

DISCIPLINE AND COMPLAINTS POLICY

October 2023
(the "Policy")

Unless the subject matter or context otherwise requires, all terms used but not defined herein shall have the meanings ascribed thereto in the "Introduction and Definitions."

PURPOSE

1. Organizational Participants are expected to fulfill certain responsibilities and obligations including, but not limited to, complying with all policies, by-laws, rules, and regulations of Diving Plongeon Canada ("DPC"), as updated, and amended from time to time.
2. Non-compliance with any of DPC's policies, by-laws, rules, or regulations, or those of its Members, as applicable, may result in the imposition of sanctions pursuant to this Policy or the by-laws of DPC or, as applicable, those of its Members.

APPLICATION

3. This Policy applies to all Organizational Participants and to any alleged breaches of DPC's policies, by-laws, rules or regulations, or any of those of its Members, that designate this Policy as applicable to address such alleged breaches.
4. In addition to being subject to disciplinary action pursuant to this Policy, an employee of DPC who is a Respondent to a complaint may also be subject to consequences in accordance with the employee's employment agreement or policies for human resources, if applicable.
5. An Organizational Participant, who is a Worker, who believes that a staff member or Director has committed Wrongdoing (as described in the *Whistleblower Policy*) may report the alleged incident(s) to the Independent Third Party Officer (as further described in the *Whistleblower Policy*)

REPORTING

UCCMS Participants

6. Incidents that involve alleged Maltreatment or Prohibited Behaviour that occurred or continued as of March 1, 2023 involving a UCCMS Participant must be reported to the OSIC (<https://sportintegritycommissioner.ca/report>) and will be addressed pursuant to the OSIC's policies and procedures.
7. Incidents that involve alleged Maltreatment or Prohibited Behaviour that occurred before March 1, 2023 may be reported to the OSIC; however, the OSIC shall determine the admissibility of such

complaints in accordance with the relevant and applicable OSIC Guidelines regarding the initial review and preliminary assessment, and the matter may only proceed pursuant to the OSIC's procedures with the express consent of the Parties involved where the Parties have not been designated by DPC as a UCCMS Participant.

8. If DPC's Independent Third Party Officer receives a Complaint that they consider would otherwise fall within the above sections, they shall refer the matter to the OSIC and notify the individual(s) that made the Complaint of such action.

Organizational Participants

9. Any complaints involving alleged breaches of DPC's policies that do not fall within Sections 6 or 7 above may be reported to the Independent Third-Party Officer in writing.

*DPC's Independent Third Party Officer contact information can be found on
DPC's website at www.diving.ca*

10. Notwithstanding any provision in this Policy, DPC may, at its discretion, or upon request by the Independent Third Party Officer, act as the Complainant and initiate the complaint process under the terms of this Policy. In such cases, DPC will identify an individual to represent DPC.
11. A Complainant who fears retribution or reprisal or who otherwise considers that their identity must remain confidential may file a complaint with the Independent Third Party Officer and request that their identity be kept confidential. If the Independent Third Party Officer considers that the Complainant's identity must remain confidential, the Independent Third Party Officer may ask that DPC take carriage of the complaint and act as the Complainant.¹
12. In exceptional circumstances, the Independent Third Party Officer may direct a complaint to be managed by DPC if a Member is otherwise unable to manage the complaint for valid and justifiable reasons, such as a conflict of interest, due to a lack of capacity or where the Member does not have policies in place to address the complaint. In such circumstances, DPC shall have the right to request that a cost-sharing agreement be entered into with the Member as a pre-condition to DPC managing the complaint.
13. Where the Independent Third Party Officer refers a matter to be managed by a Member or affiliated organization, or where a Member or affiliated organization is otherwise responsible for managing a matter (i.e., because they received the matter directly), and the Member and/or affiliated organization fails to conduct disciplinary proceedings within a reasonable timeline, DPC may, at its discretion, take jurisdiction of the matter and conduct the proceedings. In such circumstances, if the Internal Discipline Chair or External Discipline Panel decides that DPC acted

¹ In such circumstances, the Complainant(s) may be required to provide evidence during the disciplinary process.

reasonably in taking jurisdiction over the matter, DPC's costs to conduct the proceedings, including legal fees, shall be reimbursed by the Member and/or affiliated organization to DPC.

MINORS

14. Complaints may be brought by or against an Organizational Participant who is a Minor. Minors must have a parent/guardian or other adult serve as their representative during this process.
15. Communication from the Independent Third Party Officer, Internal Discipline Chair or External Discipline Panel (as applicable) must be directed to the Minor's representative.
16. If the Minor's representative is not their parent/guardian, the representative must have written permission to act in such a capacity from the Minor's parent/guardian.
17. A Minor is not required to attend or participate in an oral hearing, if held, or participate in an investigation if conducted. In such circumstances, no adverse inference can be drawn against the Minor.

INDEPENDENT THIRD PARTY RESPONSIBILITIES

18. Upon receipt of a complaint, the Independent Third Party Officer has a responsibility to:
 - a) Determine whether the complaint falls within the jurisdiction of this Policy;
 - b) Determine the appropriate jurisdiction to manage the complaint by considering the following:
 - i. whether the incident occurred within the business, activities, or Events of DPC, or one of its Members or affiliated organizations; and
 - ii. if the Member or affiliated organization is able to manage the complaint process².

² In making this assessment, the Independent Third Party Officer may determine that the Member or affiliated organization lacks the capacity to manage the complaint (which may include financial and human resource capacity), that the Member or affiliated organization is not the appropriate jurisdiction to manage the complaint due to its seriousness (for example, clubs should not be expected to manage serious complaints due to the complexity of conducting such a process), or that a real or perceived conflict of interest exists within the Member or affiliated organization.

If the Independent Third Party Officer determines that the Complaint or Report should be handled by a Member or affiliated organization, that organization may use its own policies to address the complaint or may adopt this Policy and appoint its own Independent Third Party Officer to fulfil the responsibilities listed herein. Where this Policy is adopted by a Member or affiliated organization, any reference to Independent Third Party Officer shall be understood as a reference to the Independent Third Party Officer of the Member or affiliated organization.

- c) Determine whether the complaint is frivolous, vexatious or if it has been made in bad faith³;
- d) Determine if the alleged incident should be investigated pursuant to **Appendix A – Investigation Procedure**; and
- e) Choose which process (Process #1 or Process #2, as outlined below) should be followed to hear and adjudicate the matter.

AVAILABLE PROCESSES

There are two different processes that may be used to hear and adjudicate complaints. The Independent Third Party Officer decides which process should be followed at their discretion, and such decision is not appealable.

Process #1 - the complaint contains allegations involving the following behaviours:

- a) Disrespectful conduct or comments
- b) Minor acts of physical violence, unless the physical violence is between a Person in Authority and a Vulnerable Individual, in which case the matter will be addressed under Process #2
- c) Conduct contrary to the values of DPC or those of one of its Members or affiliated organizations
- d) Non-compliance with the policies, procedures, rules, or regulations of DPC or those of one of its Members or affiliated organizations
- e) Minor violations of the policies or bylaws of DPC or those of one of its Members or affiliated organizations.

*** The behaviours identified above are examples only and are not a definitive list of behaviours that may be addressed through Process #1.

Process #2 - the complaint contains allegations involving the following behaviours:

³ As indicated in the Sport Dispute Resolution Centre of Canada’s Investigation Guidelines, a Reported complaint shall not be characterized as vexatious if the evidence demonstrates that there was a reasonable basis for filing and pursuing it. For a complaint to be considered to have been made in bad faith, the Independent Third Party Officer must consider that it was filed consciously for a dishonest purpose or due to the moral underhandedness of the Complainant and that there was an intention to mislead.

- a) Repeated incidents described in Process #1
- b) Hazing
- c) Abusive, racist, or sexist comments, conduct or behaviour
- d) Incidents that constitute Prohibited Behaviour under the *Code of Conduct and Ethics* or the UCCMS
- e) Major incidents of violence (e.g., fighting, attacking)
- f) Pranks, jokes, or other activities that endanger the safety of others
- g) Conduct that intentionally interferes with a competition or with any athlete's preparation for a competition
- h) Conduct that intentionally damages the image, credibility, or reputation of DPC or that of one of its Members or affiliated organizations
- i) Consistent disregard for the by-laws, policies, rules, and regulations of DPC or those of one of its Members or affiliated organizations
- j) Major or repeated violations of the *Code* or any other policies, by-laws, rules or regulations that designate this *Discipline and Complaints Policy* as applicable to address such alleged breaches
- k) Intentionally damaging the property of DPC, one of its Members or affiliated organizations, or improperly handling any of the aforementioned organizations' monies
- l) Abusive use of alcohol, any use or possession of alcohol by Minors, or use or possession of illicit drugs and narcotics
- m) A conviction for any *Criminal Code* offense

*** The behaviours identified above are examples only and are not a definitive list of behaviours that may be addressed through Process #2

PROVISIONAL MEASURES

19. If it is considered appropriate or necessary based on the circumstances, immediate discipline or the imposition of a Provisional Suspension or interim measures may be imposed against any Organizational Participant by the Independent Third Party Officer, COO or designate after which further discipline or sanctions may be applied according to this Policy.

20. If an infraction occurs at a competition, it will be dealt with by the procedures specific to the competition, if applicable. When applied at a competition, a Provisional Suspension or sanction may be for the duration of the competition, training, activity, or Event only, or as otherwise determined appropriate by the Independent Third Party Officer, COO or designate .
21. Notwithstanding the above, DPC and/or Independent Third Party Officer may determine that an alleged incident is of such seriousness as to warrant the imposition of a Provisional Suspension of a Respondent pending completion of an investigation, assessment and/investigation by the OSIC, criminal process, the hearing, or a decision of the External Discipline Panel.
22. Any Respondent against whom a Provisional Suspension or interim measure is imposed may make an appeal in accordance with the DPC Appeal Policy.
23. Any decision not to lift a Provisional Suspension or interim measure shall not be subject to appeal.

PROCEDURAL STEPS

PROCESS #1: Handled by Internal Discipline Chair

Internal Discipline Chair

24. Following the determination that the complaint or incident should be handled under Process #1, the Independent Third Party Officer will appoint an Internal Discipline Chair⁴ who may:
 - a) Propose alternative dispute resolution techniques, if appropriate; and/or
 - b) Ask the Complainant and the Respondent for either written or oral submissions regarding the complaint or incident. Both Parties shall also have the right to submit to the Internal Discipline Chair any relevant evidence, including, but not limited to witness statements, documentary evidence or evidence from other media (i.e., photos, screenshots, videos or other recordings). Each party shall have the right to receive the other party's submissions and evidence, including the Complainant's complaint. In the case of oral submissions, each party shall have the right to be present when such submissions are made; and/or
 - c) Following receipt of the Parties' submissions, the Internal Discipline Chair may convene the Parties to a meeting, either in person or by way of video or teleconference to ask the Parties questions and to allow the Parties to ask questions of one another, if the Internal Discipline Chair deems it appropriate.
25. Following their review of the submissions and evidence related to the Complaint, the Internal Discipline Chair shall determine if any of the incidents listed in Process #1 above have occurred and, if so, determine the appropriate sanction (see: **Sanctions**). If, after hearing the Parties and reviewing their submissions, the Internal Discipline Chair considers that none of the incidents

⁴ The appointed Internal Discipline Chair must be unbiased and not in a conflict of interest.

listed in Process #1 above have occurred or there is insufficient evidence to prove that the incidents occurred, they shall dismiss the Complaint.

26. The Independent Third Party Officer will inform the Parties of the decision, which shall be in writing and include reasons. The Internal Discipline Chair's decision will take effect immediately, unless specified otherwise by the Internal Discipline Chair. Should the circumstances require a decision to be rendered immediately or within a short timeline, the Internal Discipline Chair may render a short, written decision, either orally or in writing, followed by a written reasoned decision.
27. Any decision rendered by the Internal Discipline Chair shall be provided to and maintained in the records of any applicable club, provincial/territorial organization and DPC. Decisions will be kept confidential by the parties and the aforementioned organizations and shall be retained and discarded in accordance with the relevant and applicable privacy legislation and/or applicable policy.

PROCESS #2: Handled by Independent Third Party Officer and External Discipline Panel

Independent Third Party Officer

28. Following the determination that the complaint should be handled under Process #2, the Independent Third Party Officer will propose the use of alternative dispute resolution methods, if deemed appropriate. Alternatively, the Independent Third Party Officer may appoint a designate to handle the responsibilities described in this section. References to 'Independent Third Party Officer' in Process #2 then apply to the Independent Third Party Officer's designate, if appointed, instead. If the dispute is not resolved using alternative dispute resolution methods, the Independent Third Party Officer will appoint an External Discipline Panel of one (1) person to hear the complaint. Thereafter, the Independent Third Party Officer shall have the following responsibilities:
 - a) Coordinate all administrative aspects of the process and set reasonable timelines
 - b) Provide administrative assistance and logistical support to the External Discipline Panel as required, including providing the External Discipline Panel with any information related to previously imposed disciplinary sanctions against the Respondent(s) of the policies of DPC, any Member or any other sport organization that had authority over the Respondent
 - c) Provide any other service or support that may be necessary to ensure a fair and timely proceeding
29. The Independent Third Party Officer will establish and adhere to timelines that ensure procedural fairness and that the matter is heard in a timely fashion.

30. If warranted based on the severity of the allegations and at the Independent Third Party Officer's sole discretion, an External Discipline Panel of three (3) people may be appointed. When a three-person External Discipline Panel is appointed, the Independent Third Party Officer will appoint one of the External Discipline Panel's members to serve as the Chair.
31. The Independent Third Party Officer, in cooperation with the External Discipline Panel, will then decide the format under which the complaint will be heard. This decision may not be appealed. The format of the hearing may be an oral in-person hearing, an oral hearing by telephone or other communication medium, a hearing based on a review of documentary evidence submitted in advance of the hearing, or a combination of these methods.
32. The hearing will be governed by the procedures that the Independent Third Party Officer and the External Discipline Panel deem appropriate for the circumstances. The following guidelines will apply to the hearing:
 - a) The determination of procedures and timelines, as well as a hearing duration, that is as expedient and cost-efficient as possible to ensure that costs to the Parties and DPC and/or the Member are reasonable
 - b) The Parties will be given appropriate notice of the day, time, and place of the hearing
 - c) Copies of any written documents which any of the Parties wishes to have the External Discipline Panel consider will be provided to all Parties, through the Independent Third Party Officer, in advance of the hearing
 - d) The Parties may engage a representative, advisor, translator, transcription services or legal counsel at their own expense
 - e) The External Discipline Panel may request that any other individual participate and give evidence at the hearing
 - f) If not a Party, DPC and/or the relevant Member shall be allowed to attend the hearing as an observer and will be provided with access to any documents submitted. With the permission of the External Discipline Panel, DPC and/or the relevant Member may make submissions at the hearing or may provide the External Discipline Panel with clarifying information that may be required for the Panel to render its decision⁵

⁵ The purpose of this provision is not to provide DPC or a Member with the possibility to try to influence whether a sanction is imposed and, if so, the duration or nature of the sanction. Instead, this provision is intended to provide DPC or a Member with the possibility to provide the Panel with clarifying information when the parties have sought a particular sanction against an Organizational Participant, but they have misunderstood or misrepresented fundamental elements of the programming or membership structure (or other similar issues) and, if left unaddressed, could result in the Panel imposing a sanction that is unenforceable.

- g) The External Discipline Panel shall allow any evidence at the hearing filed by the parties and may exclude any evidence is unduly repetitious or otherwise an abuse of process. The External Discipline Panel shall otherwise apply relevant and applicable evidentiary rules in relation to the admissibility and weight given to evidence filed by the parties
 - h) Nothing is admissible in evidence at a hearing that:
 - i. would be inadmissible in a court by reason of any privilege under the law of evidence; or
 - ii. is inadmissible by any statute.
 - i) The decision will be by a majority vote of the External Discipline Panel, when the Panel consists of three people
33. If the Respondent acknowledges the facts of the incident, the Respondent may waive the hearing, in which case the External Discipline Panel will determine the appropriate sanction. The External Discipline Panel may still hold a hearing for the purpose of determining an appropriate sanction.
34. The process will proceed in any event, even if a Party chooses not to participate in the hearing.
35. In fulfilling its duties, the External Discipline Panel may obtain independent advice.

DECISION OF THE EXTERNAL DISCIPLINE PANEL

36. After hearing the matter, the External Discipline Panel will determine whether an infraction has occurred and, if so, the sanctions to be imposed. If the External Discipline Panel considers that an infraction has not occurred, the Reported complaint will be dismissed.
37. Within fourteen (14) days of the hearing's conclusion, the External Discipline Panel's written decision, with reasons, will be distributed to all parties by the Independent Third Party Officer (or designate), including to DPC.
38. In extraordinary circumstances, the External Discipline Panel may first issue a verbal or summary decision soon after the hearing's conclusion, with the full written decision to be issued before the end of the fourteen (14) day period.
- The External Discipline Panel's decision will come into effect as of the date that it is rendered, unless decided otherwise by the External Discipline Panel. The External Discipline Panel's decision will apply automatically to DPC and all of its Members and associated organizations (if and when applicable).
39. Unless the matter involves a Vulnerable Individual, once the appeal deadline in the *Appeal Policy* has expired, DPC or the Member (as applicable) shall publish on their website the outcome of the case, the provision(s) of the relevant policies that have been violated, the name(s) of the

Organizational Participant(s) involved and the sanction(s) imposed, if any. If the matter is appealed, the publication provisions in the *Appeal Policy* shall apply. Identifying information regarding Minors or Vulnerable Individuals will never be published.

40. If the Panel dismisses the Reported complaint, the information referred to in the above section may only be published with the Respondent's consent. If the Respondent does not provide such consent, the information referred to in the section above will be kept confidential by the Parties, the Independent Third Party Officer, DPC and the Member (including the Respondent's club, if and when applicable) and shall be retained and discarded in accordance with the relevant and applicable privacy legislation and DPC's policies. Failure to respect this provision may result in disciplinary action being taken pursuant to this *Discipline and Complaints Policy*.
41. Other individuals or organizations, including but not limited to, Members, provincial/territorial organizations in other sports, sport clubs, etc., shall be advised of any decisions rendered in accordance with this Policy.
42. Records of all decisions will be maintained by DPC in accordance with the *Privacy Policy*.
43. When the External Discipline Panel imposes a sanction, the decision shall include, at a minimum, the following details:
 - a) Jurisdiction;
 - b) Summary of the facts and relevant evidence;
 - c) The specific provision(s) of DPC's policies, bylaws, rules or regulations that have been breached;
 - d) Which Party is responsible for the costs of implementing any sanction;
 - e) Which organization is responsible for monitoring that the sanctioned individual respects the terms of the sanction;
 - f) Any reinstatement conditions that the sanctioned individual must satisfy (if any);
 - g) Which organization is responsible for ensuring that conditions (if any) have been satisfied; and,
 - h) Any other guidance that will assist the Parties to implement the External Discipline Panel's decision.

If necessary, a Party – or the organization that is responsible for implementing or monitoring a sanction – may seek clarifications from the Panel regarding the decision so that it can be implemented or monitored appropriately.

SANCTIONS

44. When determining the appropriate sanction, the Internal Discipline Chair or External Discipline Panel, as applicable, will consider the following factors (where applicable):

- a) The nature and duration of the Respondent's relationship with the Complainant, including whether there is a Power Imbalance;
- b) The Respondent's prior history and any pattern of misconduct or Maltreatment;
- c) The respective ages of the individuals involved;
- d) Whether the Respondent poses an ongoing and/or potential threat to the safety of others;
- e) The Respondent's voluntary admission of the offense(s), acceptance of responsibility for the misconduct or Maltreatment, and/or cooperation in the investigative and/or disciplinary process of DPC;
- f) Real or perceived impact of the incident on the Complainant, sport organization or the sporting community;
- g) Circumstances specific to the Respondent being sanctioned (e.g., lack of appropriate knowledge or training regarding the requirements in the *Code of Conduct and Ethics*; addiction; disability; illness);
- h) Whether, given the facts and circumstances that have been established, continued participation in the sport community is appropriate;
- i) A Respondent who is in a position of trust, intimate contact or high-impact decision-making may face more serious sanctions; and/or
- j) Other mitigating or aggravating circumstances.

45. Any sanction imposed must be proportionate and reasonable. However, progressive discipline is not required, and a single incident of Prohibited Behaviour/Maltreatment or other misconduct may justify elevated or combined sanctions.

46. The Internal Discipline Chair or External Discipline Panel, as applicable, may apply the following disciplinary sanctions, singularly or in combination:

- a) **Verbal or Written Warning** - A verbal reprimand or an official, written notice and formal admonition that an Organizational Participant has violated the *Code of Conduct and Ethics* and that more severe sanctions will result should the Organizational Participant be involved in other violations

- b) **Education** - The requirement that an Organizational Participant undertake specified educational or similar remedial measures to address the violation(s) of the *Code of Conduct and Ethics* or the UCCMS
- c) **Probation** - Should any further violations of the *Code of Conduct and Ethics* or the UCCMS occur during the probationary period, will result in additional disciplinary measures, likely including a period of suspension or permanent ineligibility. This sanction can also include loss of privileges or other conditions, restrictions, or requirements for a specified period
- d) **Suspension** - Suspension, either for a set time or until further notice, from participation, in any capacity, in any program, activity, Event, or competition sponsored by, organized by, or under the auspices of DPC. A suspended Organizational Participant is eligible to return to participation, but reinstatement may be subject to certain restrictions or contingent upon the Organizational Participant satisfying specific conditions noted at the time of suspension
- e) **Eligibility Restrictions** - Restrictions or prohibitions from some types of participation but allowing participation in other capacities under strict conditions
- f) **Permanent Ineligibility** - Ineligibility to participate in any capacity in any program, activity, Event, or competition sponsored by, organized by, or under the auspices of DPC
- g) **Other Discretionary Sanctions** - Other sanctions may be imposed, including, but not limited to, other loss of privileges, no contact directives, a fine or a monetary payment to compensate for direct losses, or other restrictions or conditions as deemed necessary or appropriate

47. The Internal Discipline Chair or External Discipline Panel, as applicable, may apply the following presumptive sanctions which are presumed to be fair and appropriate for the listed Maltreatment:

- a) Sexual Maltreatment involving a Minor Complainant, or a Complainant who was a Minor at the time of the incidents complained of, shall carry a presumptive sanction of permanent ineligibility or expulsion from membership or registration
- b) Sexual Maltreatment, Physical Maltreatment with contact, and Maltreatment related to interference or manipulation of process shall carry a presumptive sanction of either a period of suspension or eligibility restrictions
- c) While a Respondent has pending charges allegations of a crime against a person, if justified by the seriousness of the offence, the presumptive sanction shall be a period of suspension until a final determination is made by the applicable process.

48. An Organizational Participant's conviction for certain *Criminal Code* offenses involving harmful conduct shall carry a presumptive sanction of permanent ineligibility from participating with DPC. Such *Criminal Code* offences may include, but are not limited to:
- a) Any child pornography offences
 - b) Any sexual offences
 - c) Any offence of physical violence
49. Unless the External Discipline Panel decides otherwise, any disciplinary sanctions will begin immediately, notwithstanding an appeal.
50. Failure to comply with a sanction as determined by the External Discipline Panel will result in an automatic suspension until such time as compliance occurs.

OSIC SANCTION

51. As a Program Signatory to the OSIC, DPC will ensure that any sanctions or measures imposed by the OSIC's Director of Sanctions and Outcomes ("DSO") will be implemented and respected within DPC's jurisdiction (including at the provincial, territorial and club level) once DPC receives appropriate notice of any sanction or measure from the OSIC.

APPEALS

52. The decision of an Internal Discipline Chair or External Discipline Panel, as applicable, may be appealed in accordance with the *Appeal Policy*.

CONFIDENTIALITY

53. The disciplinary process is confidential and involves only DPC, the Parties, the Independent Third Party Officer (and any designates), the Internal Discipline Chair, the External Discipline Panel, and any independent advisors to the External Discipline Panel.
54. Once initiated and until a decision is released, none of the Parties will disclose confidential information relating to the discipline or Complaint to any person not involved in the proceedings, unless DPC is required to notify an organization such as an international federation, Sport Canada or other sport organization (i.e., where a Provisional Suspension or interim measures have been imposed and communication is required to ensure that they may be enforced), or notification is otherwise required by law.
55. Any failure to respect the confidentiality requirement may result in further sanctions or discipline by the Internal Discipline Chair or External Discipline Panel (as applicable).

TIMELINES

56. If the circumstances of the complaint are such that adhering to the timelines outlined by this Policy will not allow a timely resolution to the complaint, the Independent Third Party Officer may direct that these timelines be revised.

STATISTICAL REPORTING

57. DPC may, from time to time, publish a general statistical report of the activity that has been conducted pursuant to this *Discipline and Complaints Policy*. This report shall not include any information that is confidential under this Policy, or that has been ordered to be kept confidential by a Panel, but may include the number of complaints Reported to the Independent Third Party Officer, and statistics regarding the number of cases that were resolved through alternative dispute resolution, the Internal Discipline Chair process, and the External Discipline Chair process. Further, statistics shall be kept of the number of appeals filed pursuant to the *Appeal Policy* and whether the appeals were upheld, partially upheld or dismissed.

PRIVACY

58. The collection, use and disclosure of any personal information pursuant to this Policy is subject to DPC's *Privacy Policy*.
59. DPC, its Members, or any of their delegates pursuant to this Policy (i.e., Independent Third Party Officer (and any designate), Internal Discipline Chair, External Discipline Panel), shall comply with DPC's *Privacy Policy* (or, in the case if a Member, the Member's *Privacy Policy*) in the performance of their services under this Policy.

Appendix A – Investigation Procedure

Determination

1. When a complaint is submitted pursuant to the *Discipline and Complaints Policy* and is accepted by the Independent Third Party Officer, the Independent Third Party Officer will determine if the incident should be investigated.

Investigation

2. The Independent Third Party Officer will appoint an Investigator. The Investigator must be an independent third-party skilled in investigating. The Investigator must not be in a conflict-of-interest situation and should have no connection to either party.
3. Federal and/or Provincial/Territorial legislation related to Workplace Harassment may apply to the investigation if Harassment was directed toward an employee in a Workplace. The Investigator should review workplace safety legislation, the organization's policies for human resources, and/or consult independent experts to determine whether legislation applies to the complaint.
4. The investigation may take any form as decided by the Investigator, guided by any applicable Federal and/or Provincial/Territorial legislation. The investigation may include:
 - a) Interviews with the Complainant
 - b) Witness interviews
 - c) Statement of facts (Complainant's perspective) prepared by Investigator, acknowledged by the Complainant and provided to the Respondent
 - d) Interviews with the Respondent
 - e) Statement of facts (Respondent's perspective) prepared by Investigator, acknowledged by the Respondent and provided to the Complainant

Investigator's Report

5. Upon completion of their investigation, the Investigator shall prepare a report that should include a summary of evidence from the parties (including both statements of facts, if applicable) and recommendations from the Investigator of whether, on a balance of probabilities, a breach of the *Code of Conduct and Ethics* or the UCCMS occurred. The Investigator may also make non-binding recommendations regarding the appropriate next steps (i.e., mediation, disciplinary procedures, further review, or investigation).

6. The Investigator's Report will be provided to the Independent Third Party Officer who will disclose, at their discretion, all or part of it to DPC and the relevant Members (if applicable) and to External Discipline Panel. The Independent Third Party Officer may also disclose the Investigator's Report – or a redacted version to protect the identity of witnesses – to the parties, at their discretion, with any necessary redactions.
7. Should the Investigator find that there are possible instances of offence under the *Criminal Code*, the Investigator shall advise the Complainant and DPC or the Member to refer the matter to police.
8. The Investigator must also inform DPC or the Member (as applicable) of any findings of criminal activity. DPC or the Member (as applicable) may decide whether to report such findings to police but is required to inform police if there are findings related to the trafficking of prohibited substances or methods (as indicated in the version of the World Anti-Doping Agency's Prohibited List currently in force), any sexual crime involving Minors, fraud against DPC or any Member(s) (as applicable), or other offences where the lack of reporting would bring DPC or the Member (as applicable) into disrepute.

Reprisal and Retaliation

9. An Organizational Participant who submits a complaint to DPC or who gives evidence in an investigation may not be subject to reprisal or retaliation from any individual or group. Any such conduct may be subject to disciplinary proceedings pursuant to the *Discipline and Complaints Policy*.

False Allegations

10. An Organizational Participant who submits allegations that the Investigator determines to be malicious, false, or for the purpose of retribution, retaliation or vengeance may be subject to a complaint under the terms of the *Discipline and Complaints Policy* and may be required to pay for the costs of any investigation that comes to this conclusion. DPC or any Member(s) (as applicable), or the Organizational Participant against whom the allegations were submitted, may act as the Complainant.

Confidentiality

11. The Investigator will make reasonable efforts to preserve the anonymity of the Complainant, Respondent, and any other party. However, DPC and its Members recognize that maintaining full anonymity during an investigation may not be feasible.

Privacy

12. The collection, use and disclosure of any personal information pursuant to this Procedure is subject to DPC's *Privacy Policy*.

13. The Investigator will comply with DPC's *Privacy Policy* (or, in the case of a Member or club, the applicable *Privacy Policy*) in the performance of their services under this Procedure.