2026

Canadian Pony Club

SAFE SPORT POLICIES

Abstract

Policies around the Canadian Pony Club's commitment to Safe Sport practices

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STATEMENT ON SAFE SPORT

Canadian Pony Club ("CPC") has a fundamental obligation and responsibility to protect the health, safety and physical and mental well-being of every individual that is involved in the Canadian equestrian sport community.

CPC takes situations involving misconduct or maltreatment very seriously. For this reason, CPC is committed to enacting and enforcing strong, clear, and effective policies and processes for preventing and addressing all forms of misconduct or maltreatment.

CPC's policies are intended to promote a Safe Sport environment in a manner that allows for consistent, immediate, appropriate, and meaningful action should any issues arise. They are also intended to prevent issues from arising in the first place by communicating expected standards of behaviour.

Should anyone wish to report an incident or concern about misconduct or maltreatment involving anyone associated with CPC, including but not limited to Athletes, coaches, officials, volunteers, and parents/guardians of Athletes, they may do so directly to CPC, which will then determine the appropriate forum and manner to address the complaint.

CPC makes the following commitments to an equine activity environment free from Maltreatment:

a) All participants in equine activities can expect to play, practice, and compete, work, and interact in an environment free from Maltreatment.

b) Addressing the causes and consequences of Maltreatment is a collective responsibility and requires the deliberate efforts of all participants, broader equine community, club administrators and organization leaders.

c) Participants in positions of trust and authority have the general responsibility to protect the health and well-being of all other participants.

d) Adult participants have a specific ethical and statutory duty and the additional responsibility to respond to incidents of Maltreatment involving Minors and other vulnerable participants.

e) All participants recognize that Maltreatment can occur regardless of age, sex, sexual orientation, gender identity or expression, race, ethnicity, Indigenous status, or level of physical and intellectual disability and their intersections. Moreover, it is recognized that those from traditionally marginalized groups have increased vulnerability to experiences of Maltreatment.

f) All participants recognize that individuals who have experienced Maltreatment may experience a range of effects that may emerge at different time points and that can profoundly affect their lives.

g) All adults working with children and youth have a duty to prevent or mitigate opportunities for misconduct.

h) Individuals affiliated with Equestrian Canada may have to complete appropriate mandatory training on preventing and addressing harassment and abuse.

i) In recognition of the historic vulnerability to discrimination and violence amongst some groups, which persists today, participants in positions of trust and authority have a duty to incorporate strategies to recognize systemic bias, unconscious bias, and to respond quickly and effectively to discriminatory practices.

DEFINITIONS

Terms in this policy are defined as follows:

a) ***Affected Party*** – any individual or entity, as determined by the Appeal Manager, who may be affected by a decision rendered under the *Appeal Policy* and who may have recourse to an appeal in their own right

b) ***Appeal Manager*** – an individual, who may be any staff member, committee member, volunteer, director, or an Independent Third Party, who is appointed to oversee the *Appeal Policy*. The Appeal Manager will have responsibilities that include using decision making authority empowered by the *Appeal Policy.*

c) ***Appellant*** – the party appealing a decision

d) ***Athlete*** – an individual who is an athlete participant in CPC who is subject to the policies of CPC and to the *Code of Conduct and Ethics*

e) ***Athlete Support Personnel*** - any coach, trainer, manager, examiner, agent, team staff, official, medical, paramedical personnel, parent, or any other person working with, treating or assisting an Athlete participating in or preparing for equine competition

f) ***Bullying*** – offensive behaviour and/or abusive treatment of an Organizational Participant that typically, but not always, involves an abuse of power

g) ***Canadian Anti-Doping Program (CADP)*** – The CADP is a set of rules that govern doping control in Canada. The CADP can be viewed here. The 2021 CADP came into effect on January 1, 2021.

h) ***Canadian Centre for Ethics in Sport (CCES)*** – The CCES is an independent, national, not-for-profit organization responsible for administering Canada's Anti-Doping Program and the World Anti-Doping Code in Canada.

i) ***Commercial Activity*** – any particular transaction, act or conduct that is of a commercial character

j) ***Complainant*** – an Organizational Participant who makes a report of an incident, or a suspected incident, of alleged Maltreatment, Prohibited Behaviour or other misconduct that may be a violation of the standards described in CPC's policies, by-laws, rules or regulations, or the UCCMS

k) ***Criminal Record Check (CRC)*** – a search of the RCMP Canadian Police Information Centre (CPIC) system for adult convictions

l) ***Days*** – calendar days[1]

m) ***Director of Sanctions and Outcomes –*** responsible for overseeing the imposition of provisional measures, agreed outcomes, sanctions and appearing before the Safeguarding Tribunal or the Appeal Tribunal in cases arising from a potential breach of the UCCMS (or other conduct rules, as applicable)

n) ***Diversity*** – the presence and integration of a variety of individuals with different personal characteristics, particularly Under-Represented Groups, in a group or organization

o) ***Enhanced Police Information Check (E-PIC)*** – a Criminal Record Check plus a search of Local Police Information

p) ***Equity*** – fairness afforded to individuals with diverse personal characteristics regardless of those characteristics

q) ***Event*** – an event sanctioned by CPC or a member, and which may include a social Event.

r) ***External Discipline Panel*** – a panel of one or three people who are appointed by the Independent Third Party to decide on complaints that are assessed under Process #2 of this policy

s) ***Harass* or *Harassment*** – a course of vexatious comments or conduct against an Organizational Participant or group, which is known or ought reasonably to be known to be unwelcome. Harassing behaviours may also be Maltreatment. Types of behaviour that constitute harassment include, but are not limited to:

i. written or verbal abuse, threats, or outbursts;

ii. the display of visual material which is offensive or which one ought to know is offensive;

iii. unwelcome remarks, jokes, comments, innuendo, or taunts;

iv. leering or other suggestive or obscene gestures;

v. condescending or patronizing behaviour which is intended to undermine self-esteem, diminish performance or adversely affect working conditions;

[1] For the purpose of calculating deadlines, the following shall apply: the day of the act is not included in the calculation (i.e., the date of receipt of a decision is not Day 1); instead, the deadline would start on the day following receipt of the decision and would expire at midnight (in the location of the individual seeking to file an appeal) on the last day of the period. If the end date is a Saturday, a Sunday or a legal holiday, the period runs until the next day that is not a Saturday, a Sunday or a legal holiday. For example, if an individual receives a decision on Thursday December 17, 2020, the 14-day deadline to appeal this decision starts on Friday December 18, 2020 and would expire on Friday January 1, 2021. However, since January 1, 2021, is a legal holiday, January 2, 2021 is a Saturday, and January 3, 2021 is a Sunday, the deadline to appeal would expire at midnight (in the location of the individual seeking to file an appeal) on January 4, 2021.

vi. practical jokes which cause awkwardness or embarrassment, endanger a person's safety, or negatively affect performance;

vii. any form of hazing;

viii. unwanted physical contact including, but not limited to, touching, petting, pinching, or kissing;

ix. unwelcome sexual flirtations, advances, requests, or invitations;

x. physical or sexual assault;

xi. behaviours such as those described above that are not directed towards a specific individual or group but have the same effect of creating a negative or hostile environment; and/or

xii. retaliation or threats of retaliation against an individual who reports harassment.

t) ***Inclusion*** – acceptance of individuals with diverse personal characteristics into a group or organization regardless of those characteristics

u) ***Independent Third Party*** – the individual retained by CPC to receive reports and complaints, and to fulfill the responsibilities outlined in the *Discipline and Complaints Policy*, *Investigations Policy* and *Appeal Policy*, as applicable. This individual must not be in a real or perceived conflict of interest or have a direct relationship with any of the Parties.

v) ***Internal Discipline Chair*** – an individual appointed by CPC to decide on complaints that are assessed under Process #1 of this policy. The Internal Discipline Chair may be a director, head coach, staff member, or other individual affiliated with CPC but must not be in a conflict of interest or have a direct relationship with any of the Parties.

w) ***IP Address*** – a numerical label that is assigned to electronic devices participating in a computer network that uses internet protocol for communication between devices

x) ***Local Police Information (LPI)*** – additional conviction and selected non-conviction information in national and local police data sources which may be relevant to the position sought

y) ***Maltreatment*** – as defined in the *UCCMS*

z) *Member* - refers to all categories of members as defined in the by-laws of CPC who are subject to the policies, rules and regulations of CPC, including Branches, Regions and Centres.

aa) ***Minor*** – as defined in the *UCCMS*

bb) ***Organizational Participant(s)*** – refers to all categories of individual members or Registrants as defined in the by-laws of CPC who are subject to the policies, rules and regulations of CPC, as well as all persons employed by, contracted by, or engaged in activities with, CPC including, but not limited to, employees, contractors, Athletes, examiners, coaches, instructors, officials,

volunteers, judges, Athlete Support Personnel, managers, administrators, committee members, parents or guardians, spectators, committee members, or directors and officers

cc) ***OSIC*** – Office of the Sport Integrity Commissioner, an independent division of the SDRCC which comprises the functions of the Sport Integrity Commissioner

dd) ***Party or Parties*** – the individual(s) involved in a dispute

ee) ***Person in Authority*** – any Organizational Participant who holds a position of authority within the Organization including, but not limited to, coaches, instructors, officials, managers, Athlete Support Personnel, chaperones, committee members, or directors and officers

ff) ***Personal Information*** – any information about an individual that relates to the person's personal characteristics including, but not limited to gender, age, income, home address or phone number, ethnic background, family status, health history, and health conditions

gg) ***Power Imbalance*** – as defined in the *UCCMS*

hh) ***Program Signatory*** – an organization who has signed a Program Signatory Agreement with the SDRCC

ii) ***Prohibited Behaviour*** – as defined in the UCCMS

jj) ***Provisional Suspension*** – means that the Organizational Participant is barred temporarily from participating in in any capacity in any Event or activity of CPC and its members, or as otherwise decided pursuant to the *Discipline and Complaint Policy*, prior to the decision rendered in a hearing conducted pursuant to this policy

kk) ***Representatives*** – members, directors, officers, committee members, employees, athletes, coaches, officials, sport assistants, managers, trainers, volunteers, administrators, contractors and participants within Canadian Pony Club ("CPC")

ll) ***Respondent*** – the Party responding to the complaint

mm) ***Social Media*** – the catch-all term that is applied broadly to new computer-mediated communication media such as blogs, YouTube, Facebook, Instagram, Tumblr, TikTok, Snapchat, and Twitter

nn) ***Sport-Related Concussion ("SRC")*** – a sport-related concussion is a traumatic brain injury induced by biomechanical forces. Several common features that may be used to define the nature of a SRC may include:

i. caused either by a direct blow to the head, face, neck or elsewhere on the body with an impulsive force transmitted to the head;

ii. typically results in the rapid onset of short-lived impairment of neurological function that resolves spontaneously. However, in some cases, signs and symptoms evolve over

several minutes to hours;

iii. may result in neuropathological changes, but the acute clinical signs and symptoms largely reflect a functional disturbance rather than a structural injury and, as such, no abnormality may be visibly apparent; or

iv. results in a range of clinical signs and symptoms that may or may not involve loss of consciousness. Resolution of the clinical and cognitive features typically follows a sequential course. However, in some cases symptoms may be prolonged.

oo) ***Suspected Concussion*** – means the recognition that an individual appears to have either experienced an injury or impact that may result in a concussion or who is exhibiting unusual behaviour that may be the result of concussion

pp) ***UCCMS*** - *Universal Code of Conduct to prevent and address Maltreatment in Sport*, as amended from time to time by the SDRCC

qq) ***UCCMS Participant*** – an individual affiliated with a Program Signatory as designated by the Program Signatory and who has signed the required consent form. UCCMS Participants may include an Athlete, a coach, an official, an Athlete Support Personnel, an employee, a Worker, an administrator, or a volunteer acting on behalf of, or representing the Program Signatory in any capacity.

rr) ***Under-Represented Groups*** – includes individuals who identify as Black, Indigenous, or people of colour (BIPOC), children in low-income families, seniors, people with disabilities, newcomers to Canada, and members of the LGBTQ community

ss) ***Vulnerable Participant*** or ***Vulnerable Organizational Participant*** – as defined in the UCCMS

tt) ***Vulnerable Sector Check (VSC)*** – a detailed check that includes a search of the RCMP Canadian Police Information Centre (CPIC) system, Local Police Information, and the Pardoned Sex Offender database

uu) ***Worker*** – any person who performs work for CPC including employees, managers, supervisors, temporary Workers, volunteers, student volunteers, part-time Workers, the Board of Directors, and independent contractor

vv) ***Workplace*** – any place where business or work-related activities are conducted. Workplaces include but are not limited to, the registered office(s), work-related social functions, work assignments outside the registered office(s), work-related travel, the training and competition environment, and work-related conferences or training sessions.

ww) ***Workplace Harassment*** – a course of vexatious comment or conduct against an Organizational Participant in a Workplace that is known or ought reasonably to be known to be unwelcome. Workplace Harassment should not be confused with legitimate, reasonable management actions that are part of the normal work/training function, including measures to correct

performance deficiencies, such as placing someone on a performance improvement plan, or imposing discipline for workplace infractions.

xx) ***Workplace Violence*** – the use of or threat of physical force by a person against a Worker in a Workplace that causes or could cause physical injury to the Worker; an attempt to exercise physical force against a Worker in a Workplace that could cause physical injury to the Worker; or a statement or behaviour that it is reasonable for a Worker to interpret as a threat to exercise physical force against the Worker in a Workplace that could cause physical injury to the Worker

yy) ***World Anti-Doping Agency (WADA)*** – an independent, international, not-for-profit organization responsible for administering the World Anti-Doping Code and the promotion of clean sport internationally

zz) ***World Anti-Doping Code (WADC)*** – set of rules that govern doping control internationally. The full policy can be viewed here.

CODE OF CONDUCT AND ETHICS

(the "Code")

CPC recognizes the development of the Universal Code of Conduct to Prevent and Address Maltreatment in Sport (UCCMS). The CPC has adopted the UCCMS, as amended from time to time, which shall be incorporated into the Code by reference as if set out in full herein.

Any modifications or amendments made to the UCCMS by the Sport Dispute Resolution Centre of Canada (SDRCC) shall come into effect immediately upon their adoption by the SDRCC and automatically without the need for any further action by CPC.

Purpose

1. The purpose of the *Code* is to ensure a safe and positive environment within the programs, business, activities, and events of CPC by making all Organizational Participants aware that there is an expectation, at all times, of appropriate behaviour consistent with CPC's core values, mission and policies.
2. CPC and its Organizational Participants support equal opportunity, prohibit discriminatory practices, and are committed to providing an environment in which all individuals can safely participate in equine activities and are treated with respect and fairness.

Application of this Code

3. The *Code* applies to any Organizational Participant's conduct during the programs, business, activities, and events of CPC including, but not limited to competitions, practices, evaluations, treatment, or consultations (i.e., massage therapy), training camps, travel associated with organizational activities, the office environment, and any meetings.
4. The *Code* also applies to Organizational Participants' conduct outside of the programs, business, activities, and events of CPC when such conduct adversely affects CPC's relationships (and the work and equine environment) or is detrimental to the image and reputation of CPC. Such applicability will be determined by CPC at its sole discretion.
5. In addition, the *Code* will apply to breaches that occur when the Organizational Participants involved interact due to their mutual involvement in equine activities or, if the breach occurred outside of the equine environment, if the breach has a serious and detrimental impact on the Organizational Participant(s).
6. The *Code* applies to Organizational Participants active in equine activities or who have retired from equine activities where any claim regarding a potential breach of the *Code* occurred when the Organizational Participants were active in equine activities.

Prohibited Behaviours

7. All Organizational Participants must refrain from any behaviour that constitutes a Prohibited Behaviour as defined by the UCCMS and the Code.

8. Organizational Participants are responsible for knowing what actions or behaviours constitute Prohibited Behaviours and Maltreatment.

   Prohibited Behaviours under the UCCMS include, but are not limited to:

   a) Prohibited Physical Maltreatment
   b) Psychological Maltreatment
   c) Neglect
   d) Sexual Maltreatment
   e) Grooming
   f) Boundary Transgressions
   g) Discrimination
   h) Failing to Report
   i) Aiding and Abetting
   j) Retaliation
   k) Interference with or Manipulation of Process
   l) False Reports

In addition to the Prohibited Behaviours as defined by the UCCMS in Appendix "A", the *Code* sets out other expected standards of behaviour and conduct for all Organizational Participants and any failure to respect these expected standards of behaviour by an Organizational Participants may constitute a breach of the *Code*. In addition, the following behaviours also constitute breaches of the *Code*:

   a) Bullying
   b) Harassment
   c) Workplace Harassment
   d) Workplace Violence

Organizational Participants must follow any policies regarding animal welfare and equine care that are developed and imposed by CPC.

Responsibilities of all Organizational Participants

9. All Organizational Participants have a responsibility to:

   a) refrain from any behaviour that constitutes Maltreatment and Prohibited Behaviour under the *Code*, the UCCMS and other conduct policies established by CPC;

   b) maintain and enhance the dignity and self-esteem of other Organizational Participants by:

      i. treating each other with the highest standards of respect and integrity;

      ii. focusing comments or criticism appropriately and avoiding public criticism of Athletes, coaches, officials, organizers, volunteers, employees, or other Organizational Participants;

iii. consistently demonstrating the spirit of sportsmanship, sport leadership, and ethical conduct;

iv. consistently treating individuals fairly and reasonably; and

v. ensuring adherence to the rules of the equine activities and the spirit of those rules.

c) refrain from the use of power or authority to coerce another person to engage in inappropriate activities;

d) refrain from consuming tobacco products, cannabis, or recreational drugs while participating in the programs, activities, competitions, or Events of CPC;

e) in the case of Minors, not consume alcohol, tobacco, or cannabis at any competition or Event;

f) in the case of individuals who are not Minors, not consume cannabis in the Workplace or in any situation associated with the Events of CPC (subject to protections under applicable human rights legislation), not consume alcohol during training, competitions, in situations where Minors are present, or when in the presence or control of horses, and take reasonable steps to manage the responsible consumption of alcohol in adult-oriented social situations;

g) when driving a vehicle:

i. have a valid driver's license;

ii. not be under the influence of alcohol or illegal drugs or substances;

iii. have valid car insurance; and

iv. refrain from engaging in any activity that would constitute distracted driving.

h) respect the property of others and not wilfully cause damage;

i) promote equine activities in the most constructive and positive manner possible;

j) refrain from engaging in deliberate behaviour which is intended to manipulate the outcome of a competition and/or not offer, receive or refrain from offering or receiving any benefit which is intended to manipulate the outcome of a competition. A benefit includes the direct or indirect receipt of money or anything else of value, including, but not limited to, bribes, gains, gifts, preferential treatment, and other advantages;

k) adhere to all applicable federal, provincial/territorial, municipal and host country laws; and

l) comply, at all times, with the By-laws, policies, procedures, and rules and regulations of CPC, as applicable and as adopted and amended from time to time.

Directors, Committee Members, and Staff

10. In addition to section 10 (above), directors, committee members, and staff of CPC have additional responsibilities to:

    a) function primarily as a director, committee member or staff member of CPC (as applicable) and ensure to prioritize their loyalty to CPC (and not to any other organization or group) while acting in this role. Certain obligations of directors, such as confidentiality, continue after the end of a director's or committee member's term;

    b) act with honesty and integrity and conduct themselves in a manner consistent with the nature and responsibilities of the business and the maintenance of an Organizational Participant's confidence;

    c) ensure that financial affairs are conducted in a responsible and transparent manner with due regard for all fiduciary responsibilities;

    d) comply with their obligations under the Screening Policy, including understanding ongoing expectations under the Screening Policy and fully cooperating in the screening process;

    e) conduct themselves openly, professionally, lawfully and in good faith;

    f) be independent and impartial and not be influenced by self-interest, outside pressure, expectation of reward, or fear of criticism influence their decision-making on behalf of CPC;

    g) exercise the degree of care, diligence, and skill required in the performance of their duties pursuant to applicable laws;

    h) maintain required confidentiality of organizational information;

    i) commit the time to attend meetings and be diligent in preparation for, and participation in, discussions at such meetings; and

    j) have a thorough knowledge and understanding of all governance documents.

Athlete Support Personnel

11. In addition to section 10 (above), Athlete Support Personnel have many additional responsibilities.

12. Athlete Support Personnel must understand and respect the inherent Power Imbalance that exists in this relationship and must not abuse it, either consciously or unconsciously.

13. Athlete Support Personnel will:

    a) avoid any behaviour that abuses the Power Imbalance inherent in the coaching position of the Athlete Support Personnel;

b) ensure a safe environment by selecting activities and establishing controls that are suitable for the age, experience, ability, and fitness level of the Athletes and ensuring that they are suitably mounted;

c) prepare Athletes systematically and progressively, using appropriate time frames and monitoring physical and psychological adjustments while refraining from using training methods or techniques that may harm Athletes or their mounts;

d) avoid compromising the present and future health of Athletes by communicating and cooperating with sport medicine professionals in the diagnosis, treatment, and management of Athletes' medical and psychological treatments;

e) support the Athlete Support Personnel of a training camp, provincial/territorial team, or national team should an Athlete qualify for participation with one of these programs;

f) comply with all established responsibilities and obligations as set out by the Athlete Support Personnel's professional governing association or order, if any;

g) accept and promote Athletes' personal goals and refer Athletes to other coaches and sport specialists as appropriate;

h) provide Athletes (and the parents/guardians of Minor Athletes) with the information necessary to be involved in the decisions that affect the Athlete;

i) act in the best interest of the Athlete's development as a whole person;

j) comply with their obligations under the Screening Policy, including understanding ongoing expectations under this policy and fully cooperating in the screening process;

k) under no circumstances provide, promote, or condone the use of drugs (other than properly prescribed medications) or prohibited substances or prohibited methods to both Athletes and mounts and, in the case of Minors, alcohol, cannabis, and/or tobacco;

l) respect competitor Athletes and, in dealings with them, not encroach upon topics or take actions which are deemed to be within the realm of 'coaching', unless after first receiving approval from the coaches who are responsible for the Athletes;

m) when a Power Imbalance exists, not engage in a sexual or intimate relationship with an Athlete of any age;

n) avoid compromising the present and future health of Athletes by communicating and cooperating with sport science and sport medicine professionals in the diagnosis, treatment, and management of Athletes' medical and psychological treatments, including weight control methods for junior-aged Athletes and above (18 + years of age). Dieting and other weight control methods are not permitted for Athletes 17 years of age and younger;

o) recognize the power inherent in the position of Athlete Support Personnel and respect and promote the rights of all Organizational Participants in sport. This is accomplished by establishing and following procedures for confidentiality (right to privacy), informed participation, and fair and reasonable treatment. Coaches have a special responsibility to respect and promote the rights of Organizational Participants who are in a vulnerable or dependent position and less able to protect their own rights; and

p) dress professionally and use appropriate language, considering the audience being addressed (e.g., the age/maturity of the individuals).

Athletes

14. In addition to section 10 (above), Athletes will have additional responsibilities to:

a) follow their athlete agreement (if applicable);

b) report any medical problems in a timely fashion, when such problems may limit their ability to travel, practice, or compete;

c) participate and appear on-time and prepared to participate to their best abilities in all competitions, practices, training sessions, and evaluations;

d) properly represent themselves and not attempt to participate in a competition for which they are not eligible by reason of age, classification, or other reason;

e) adhere to any rules and requirements regarding clothing, professionalism, and equipment; and

f) act in accordance with applicable policies and procedures and, when applicable, additional rules as outlined by Athlete Support Personnel.

Officials and Examiners

15. In addition to section 10 (above), officials will have additional responsibilities to:

a) maintain and update their knowledge of the rules and rules changes;

b) not publicly criticize other Organizational Participants;

c) adhere, at all times, to the rules of their international federation and any other sporting organization that has relevant and applicable authority;

d) place the safety and welfare of competitors and their mounts, and the fairness of the competition above all else;

e) strive to provide a fair sporting environment and, at no time, engage in Maltreatment or Prohibited Behaviour toward any person on the field of play;

f) respect the terms of any agreement that they enter with CPC;

g) work within the boundaries of their position's description while supporting the work of other officials;

h) act as an ambassador of equine activities by agreeing to enforce and abide by national and provincial/territorial rules and regulations;

i) take ownership of actions and decisions made while officiating;

j) respect the rights, dignity, and worth of all Organizational Participants;

k) act openly, impartially, professionally, lawfully, and in good faith;

l) be fair, equitable, considerate, independent, honest, and impartial in all dealings with others;

m) respect the confidentiality required by issues of a sensitive nature, which may include discipline processes, appeals, and specific information or data about Organizational Participants;

n) comply with their obligations under the Screening Policy, including understanding ongoing expectations under this policy and fully cooperating in the screening process;

o) honour all assignments, unless unable to do so by virtue of illness or personal emergency and, in these cases, inform a supervisor or CPC at the earliest possible time;

p) when writing reports, set out the actual facts to the best of their knowledge and recollection; and

q) dress in proper attire for officiating.

Parents/Guardians and Spectators

16. In addition to section 10 (above), parents/guardians and spectators at Events will:

a) encourage Athletes to compete within the rules and to resolve conflicts without resorting to hostility or violence;

b) condemn the use of violence in any form against any individual or horse, including the maltreatment of a horse at a CPC Event;

c) never ridicule an Organizational Participant for making a mistake during a competition or practice;

d) respect the decisions and judgments of officials and encourage Athletes to do the same;

e) support all efforts to remove verbal and physical abuse, coercion, intimidation, and sarcasm;

f) respect and show appreciation to all competitors, and to coaches, officials and other volunteers;

g) never harass Organizational Participants, competitors, coaches, officials, parents/guardians, or other spectators; and

h) never encourage, aid, covert up or assist an Athlete in cheating through doping, competition manipulation or other cheating behaviors.

Members

17. Members must:

a) adhere to all CPC governing documents and, where necessary, amend their own rules to comply or align with those of CPC;

b) pay all required dues and fees by the prescribed deadlines;

c) ensure that all Athletes and coaches participating in sanctioned competitions and events of CPC are registered and in good standing, where required;

d) appropriately screen prospective employees and volunteers to help ensure Athletes have a healthy and safe sport environment;

e) ensure that any possible or actual misconduct is investigated promptly and thoroughly;

f) impose appropriate disciplinary or corrective measures when misconduct has been substantiated;

g) advise CPC immediately of any situation where a complainant has publicized a complaint in the media (including social media);

h) provide CPC with a copy of all decisions rendered pursuant to the Organization's policies for complaints and appeals;

i) implement any decisions and disciplinary sanctions imposed pursuant to CPC's discipline process;

Retaliation, Retribution or Reprisal

18. It is a breach of the Code for any Organizational Participant to engage in any act that threatens or seeks to intimidate another individual with the intent of discouraging that Organizational Participant from filing, in good faith, a complaint pursuant to any CPC policy.

19. It is also a breach of the Code for an Organizational Participant to file a complaint for the purpose of retaliation, retribution, or reprisal against any other Organizational Participant.

20. Any Organizational Participant found to be in breach of this section shall be liable for the costs related to the disciplinary process required to establish such a breach.

Privacy

21. The collection, use and disclosure of any personal information pursuant to this policy is subject to CPC's *Privacy Policy*.

APPENDIX A – UCCMS

The UCCMS is available here.

ATHLETE PROTECTION POLICY

Purpose

1. This *Athlete Protection Policy* describes how Persons in Authority shall maintain a safe sport environment for all Athletes.

Interactions between Persons in Authority and Athletes – the 'Rule of Two'

2. CPC requires that the 'Rule of Two' be followed for all Persons in Authority who interact with Athletes, to the maximum extent feasible. The 'Rule of Two' is a directive that says that an Athlete must never be alone one-on-one with an unrelated Person in Authority.

3. CPC recognizes that fully implementing the 'Rule of Two' may not always be possible in some instances. Consequently, at a minimum, interactions between Persons in Authority and Athletes must respect the following:

   a) To the maximum extent possible, the training environment should be visible and accessible so that all interactions between Persons in Authority and Athletes are observable.

   b) Private and one-on-one situations that are not observable by another adult or Athlete should be avoided to the maximum extent possible.

   c) A Vulnerable Organizational Participant may not be alone under the supervision of a Person in Authority unless prior written permission is obtained from the Vulnerable Organizational Participant's parent or guardian.

   d) Persons in Authority may not invite or host Vulnerable Organizational Participants in their home without the written permission from parents or guardians or without parents or guardians having contemporaneous knowledge of the visit.

Competitions, Training Sessions, and Practices

4. For competitions, training sessions and practices, CPC recommends:

   a) A Person in Authority should never be alone with a Vulnerable Organizational Participant prior to or following a competition or training session unless the Person in Authority is the Vulnerable Organizational Participant's parent or guardian.

   b) If the Vulnerable Organizational Participant is the first Athlete to arrive, the Athlete's parent should remain until another Athlete or Person in Authority arrives.

   c) If a Vulnerable Organizational Participant would potentially be alone with a Person in Authority following a competition or training session, the Person in Authority should ask another Person in Authority (or a parent or guardian of another Athlete) to stay until all the Athletes have been picked up. If an adult is unavailable, another Athlete, who is preferably

not a Vulnerable Organizational Participant, should be present to avoid the Person in Authority being alone with a Vulnerable Organizational Participant.

d) Persons in Authority giving instructions, demonstrating skills, or facilitating drills or lessons to an individual Athlete should always do so within earshot and eyesight of another Person in Authority.

e) Persons in Authority and Athletes should take steps to achieve transparency and accountability in their interactions. For example, a Person in Authority and an Athlete who know they will be away from other Organizational Participants for a lengthy period must inform another Person in Authority where they are going and when they are expected to return. Persons in Authority should always be reachable by phone or text message.

Communications

5. For communication between Persons in Authority and Athletes, CPC recommends:

a) Persons in Authority may only send texts, direct messages on social media or emails to individual Athletes when necessary and only for communicating information related to team issues and activities (e.g., non-personal information). Any such texts, messages or emails shall be professional in tone.

b) Electronic communication between Persons in Authority and Athletes that is personal in nature should be avoided. If such personal communication is unavoidable, it must be recorded and available for review by another Person in Authority and/or by the Athlete's parent/guardian (when the Athlete is a Vulnerable Organizational Participant).

c) Parents/guardians may request that their child not be contacted by a Person in Authority using any form of electronic communication and/or may request that certain information about their child not be distributed in any form of electronic communication.

d) All communication between a Person in Authority and Athletes must be between the hours of 6:00am and midnight, unless extenuating circumstances justify otherwise.

e) Communication concerning drugs or alcohol use (unless regarding its prohibition) is not permitted.

f) No sexually explicit language or imagery or sexually oriented conversation may be communicated in any medium.

g) Persons in Authority are not permitted to ask Athletes to keep a personal secret for them.

Travel

6. For travel involving Persons in Authority and Athletes, CPC recommends:

a) Teams or groups of Athlete shall always have at least two Persons in Authority with them.

b) For mixed gender teams or groups of Athletes, there should be one Person in Authority from each gender.

c) If two Persons in Authority cannot be present, reasonable efforts should be made to supplement supervision with screened parents or other volunteers.

d) To the maximum extent possible, no Person in Authority may drive a vehicle alone with an Athlete unless the Person in Authority is the Athlete's parent or guardian.

e) A Person in Authority may not share a hotel room or be alone with an Athlete unless the Person in Authority is the Athlete's parent/guardian or spouse.

f) Room or bed checks during overnight stays must be done by two Persons in Authority.

g) For overnight travel when Athletes must share a hotel room, roommates must be age-appropriate and of the same gender identity.

Locker Rooms/Changing Areas

7. For locker rooms, changing areas and other closed meeting spaces, CPC recommends:

a) Interactions between Persons in Authority and Athletes should not occur in any area where there is a reasonable expectation of privacy such as a locker room, washroom or changing area. A second adult should be present for any necessary interaction between an adult and an Athlete in any such area.

b) If Persons in Authority are not present in the locker room or changing area, or if they are not permitted to be present, they should still be available outside the locker room or changing area and be able to enter the room or area if required, for reasons including but not limited to team communications and/or emergencies.

Photography/Video

8. For all photography and video of an Athlete, CPC recommends:

a) Photographs and video should only be taken in public view. Content must observe generally accepted standards of decency and be both appropriate for and in the best interest of the Athlete.

b) The use of recording devices in areas where there is a reasonable expectation of privacy is strictly prohibited.

c) Examples of photos that shall be edited or deleted include:

i. images with misplaced apparel or where undergarments are showing;

ii. suggestive or provocative poses; and

iii. embarrassing images.

d) If any content featuring an Athlete will be used on any form of public media, a Photo and Video Consent Form (**Appendix A**) must be completed before the content is recorded.

Physical Contact

9. Some physical contact between Persons in Authority and Athletes may be necessary for various reasons including, but not limited to, teaching a skill, or tending to an injury. For physical contact, CPC recommends:

a) A Person in Authority must always request permission to make physical contact from the Athlete in advance and clearly explain where and why the physical contact will occur. The Person in Authority must make clear that they are requesting to touch the Athlete and not requiring physical contact.

b) Infrequent, incidental physical contact during a training session is not considered a violation of policy.

c) Non-essential physical contact may not be initiated by the Person of Authority. It is recognized that some Athletes may initiate non-essential physical contact such as hugging or other physical contact with a Person in Authority for various reasons (e.g., such as celebrating or crying after a poor performance). This physical contact should always occur in an open and observable environment.

Enforcement

10. Any alleged violations of this *Athlete Protection Policy* shall be addressed pursuant to the *Discipline and Complaints Policy*.

APPENDIX A – PHOTO AND VIDEO CONSENT FORM

Name of Organizational Participant (print): _____

Name of Parent/Guardian (print): _____

(*When the Organizational Participant is a Minor*)

Date: _____

1. I, being the Organizational Participant or the parent or legal guardian of the minor Organizational Participant, hereby grant to CPC and its Regions (collectively the "Organizations") the permission to photograph and/or record the Organizational Participant's image and/or voice in pictures or videos (collectively the "Images"), and to use the Images to promote equine activities and/or the Organizations through traditional media such as newsletters, websites, television, film, radio, print and/or display form, and through social media such as Instagram, Facebook, YouTube, and Twitter. I understand that I waive any claim to remuneration for use of audio/visual materials used for these purposes. This consent will remain in effect in perpetuity.

2. I, being the Organizational Participant or the parent or legal guardian of the Minor Organizational Participant, hereby fully release, discharge, and agree to save harmless the Organizations, from any and all claims, demands, actions, damages, losses or costs that might arise out of the collection, use or disclosure of the Images or taking, publication, distortion of the Images, negatives, and masters or any other likeness or representation of the Organizational Participant that may occur or be produced in the taking of said Images or in any subsequent processing thereof, including without limitation any claims for libel, passing off, misappropriation of personality, or invasion of privacy.

3. I, being the Organizational Participant or the parent or legal guardian of the Minor Organizational Participant, **UNDERSTAND AND AGREE**, that I have read and understood the terms and conditions of this document. On behalf of myself, my heirs, and assigns, I agree that I am signing this document voluntarily and to abide by such terms and conditions.

Signature of Organizational Participant: _____

OR, if the Organizational Participant is a Minor

Signature of Parent/Guardian: _____

DISCIPLINE AND COMPLAINTS POLICY

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 the CPC, as updated and amended from time to time.

2. Non-compliance with any of CPC'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 CPC or, as applicable, those of its Members].

APPLICATION

Application – General

3. This policy applies to all Organizational Participants and to any alleged breaches of CPC's policies, by-laws, rules or regulations, or any of those of its Members, which 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 CPC who is a Respondent to a complaint may also be subject to consequences in accordance with the employee's employment agreement or CPC's human resources policies, if applicable.

REPORTING

UCCMS Participants

5. If an Organizational Participation of CPC has been designated as a UCCMS Participant by a Program Signatory under OSIC, any alleged Maltreatment or Prohibited Behaviour (as those terms are defined in the UCCMS) that occurred or continued during the activities of the Program Signatory must be reported to the OSIC here and will be addressed pursuant to the OSIC's policies and procedures.

6. If the Independent Third Party receives a complaint that they consider would otherwise fall within the above section, they shall refer the matter to the OSIC and notify the individual(s) that made the complaint of such action.

Organizational Participants

7. Any complaints involving alleged breaches of CPC's policies that do not fall within Sections 5 or 6 above may be reported by an Organizational Participants to the Independent Third Party in writing

60 days of the occurrence of the incident.[2] For the avoidance of doubt, this includes complaints referred to the Independent Third Party by the OSIC if OSIC determine that a complaint initially reported to OSIC does not fall within its jurisdiction.

8. Notwithstanding any provision in this policy, CPC may, at its discretion, or upon request by the Independent Third Party, act as the Complainant and initiate the complaint process under the terms of this policy. In such cases, CPC will identify an individual to represent the Organization.

9. 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 and request that their identity be kept confidential. If the Independent Third Party considers that the Complainant's identity must remain confidential during the initial stages, the Independent Third Party may ask that CPC take carriage of the complaint and act as the Complainant.[3] The confidentiality of the Complainant's identity may not be guaranteed and may not be maintained for the entirety of the complaint process.

10. In exceptional circumstances, the Independent Third Party may direct a complaint to be managed by CPC 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, CPC shall have the right to request that a cost-sharing agreement is entered into with the member as a pre-condition to CPC managing the complaint.

11. Where the Independent Third Party refers a matter to be managed by a member or affiliated organization, or where a Member is otherwise responsible for managing a matter (i.e., because they received the matter directly), and the Member fails to conduct disciplinary proceedings within a reasonable timeline, CPC may, at its discretion, take jurisdiction over the matter and conduct the necessary proceedings. In such circumstances, if the Internal Discipline Chair or External Discipline Panel decides that CPC acted reasonably in taking jurisdiction over the matter, CPC's costs to conduct the proceedings, including legal fees, shall be reimbursed by the Member to CPC.

[2] This timeline may be waived at the Independent Third Party's sole discretion on provision of an explanation individual as to why they did not report their complaint within 60 days of the occurrence of the incident. Any such decision by the Independent Third Party is not subject to appeal. Any complaints involving incidents occurring between January 1, 2023 to December 31, 2023 will be accepted without the restriction of the above timeline.

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

MINORS

12. 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.
13. Communication from the Independent Third Party, Internal Discipline Chair or External Discipline Panel (as applicable) must be directed to the Minor's representative.
14. 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.
15. 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

16. Upon receipt of a complaint, the Independent Third Party has a responsibility to:
    a) determine whether the complaint falls within the jurisdiction of this policy [and whether it has been submitted in accordance with the deadlines indicated above;
    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 CPC, or one of its members; and
        ii. if the member can manage the complaint process[4].
    c) determine whether the complaint is frivolous, vexatious or if it has been made in bad faith[5];

[4] In making this assessment, the Independent Third Party may determine that the Member lacks the capacity to manage the complaint (which may include financial and human resource capacity), that the Member is not the appropriate instance to manage the complaint due to its seriousness (for example, clubs will 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.

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

[5] 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 must consider that it was filed

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 Process

There are two different processes that may be used to hear and adjudicate complaints. Subject to Sections 5 and 6, the Independent Third Party decides which process will 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 Participant, in which case the matter will be addressed under Process #2

c) Conduct contrary to the values of CPC or those of one of its Members

d) Non-compliance with the policies, procedures, rules, or regulations of CPC or those of one of its Members.

e) Minor violations of the policies or bylaws of CPC or those of one of its Members.

*** 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 any of the following behaviours:

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 (the "*Code*") 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;

consciously for a dishonest purpose or due to the moral underhandedness of the Complainant and that there was an intention to mislead.

h) conduct that intentionally damages the image, credibility, or reputation of CPC or that of one of its Members;

i) consistent disregard for the by-laws, policies, rules, or regulations of CPC or those of one of its Members;

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 CPC or one of its Members, 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; or

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

17. If it is considered appropriate or necessary on the basis of the circumstances, immediate discipline or the imposition of a Provisional Suspension or interim measures may be imposed against any Organizational Participant by the Board of Directors of the CPC after which further discipline or sanctions may be applied according to this policy.

18. If an infraction occurs at a competition, it will be dealt with by the procedures specific to the competition, if applicable. Provisional Suspensions or interim measures may be imposed for the duration of a competition, training, activity, or Event only, or as otherwise determined appropriate by the designated party at the Event, if any.[6]

19. Notwithstanding the above section, CPC may determine that an alleged incident at an Event 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.

20. Any Respondent against whom a Provisional Suspension or interim measure is imposed may make a request to the Independent Third Party or External Discipline Panel (if appointed) to have the Provisional Suspension or interim measure lifted. In such circumstances, CPC shall be provided with an opportunity to make submissions, orally or in writing, regarding the Respondent's request to

[6] In-competition discipline or sanction imposed by the applicable official or authority does not prevent an Organizational Participant from facing additional disciplinary proceedings under the Code.'

have their Provisional Suspension lifted. Provisional Suspensions or interim measures shall only be lifted in circumstances where the Respondent establishes that it would be manifestly unfair to maintain the Provisional Suspension or interim measures against them.

21. 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

22. Following the determination that the complaint or incident should be handled under Process #1, the Independent Third Party will refer the matter to the Management Committee, who will appoint an Internal Discipline Chair[7] 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 be present when such submissions are made (unless waived by a Party); 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.

23. 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 whether to impose a sanction 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 listed in Process #1 above have occurred, they shall dismiss the complaint.

24. The Independent Third Party will inform the Parties of the Internal Discipline Chair's 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

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

Chair may render a short decision, either orally or in writing, followed by a written reasoned decision.

25. Any decision rendered by the Internal Discipline Chair shall be provided to and maintained in the records of CPC. Decisions will be kept confidential by the Parties and CPC and shall be retained and discarded in accordance with the relevant and applicable privacy legislation.

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

Independent Third Party

26. Following the determination that the complaint should be handled under Process #2, the Independent Third Party will propose the use of alternative dispute resolution methods, if appropriate. If the dispute is not resolved using alternative dispute resolution methods, the Independent Third Party will appoint an External Discipline Panel of one (1) person to hear the complaint. Thereafter, the Independent Third Party 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 CPC, any member or any other sport organization that had authority over the Respondent; and

    c) provide any other service or support that may be necessary to ensure a fair and timely proceeding.

27. The Independent Third Party will establish and adhere to timelines that ensure procedural fairness and that the matter is heard in a timely fashion.

28. If warranted based on the nature of the case, the Independent Third Party may, in their sole discretion, appoint an External Discipline Panel of three (3) people. When a three-person External Discipline Panel is appointed, the Independent Third Party will appoint one of the External Discipline Panel's members to serve as the Chair.

29. The Independent Third Party, 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.

30. The hearing will be governed by the procedures that the Independent Third Party and the External Discipline Panel deem appropriate for the circumstances. The following procedural directions will apply:

a) The determination of procedures and timelines, as well as the hearing duration, shall be as expedient and cost-efficient as possible to ensure that costs to the Parties and CPC 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, in advance of the hearing and in accordance with the timelines set by the Independent Third Party.

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, CPC 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, CPC and/or the relevant member may make submissions at the hearing or may provide the discipline panel with clarifying information that may be required for the External Discipline Panel to render its decision[8].

g) The External Discipline Panel shall allow any evidence at the hearing filed by the Parties and may exclude any evidence that 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.

[8] The purpose of this provision is not to provide the CPC 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 the CPC or a member with the possibility to provide the discipline panel with clarifying information in other circumstances, for example, including but not limited to, when the parties have sought a particular sanction against an individual, 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 discipline panel imposing a sanction that is unenforceable.

31. If the Respondent acknowledges the facts of the incident(s), 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.

32. The process will proceed if a Party chooses not to participate in the hearing.

33. If a decision may affect another Organizational Participant to the extent that the other Organizational Participant would have recourse to a complaint or an appeal in their own right, that Organizational Participant will become a Party to the complaint, shall be permitted to participate in the proceedings as determined by the External Discipline Panel, and will be bound by the decision.

34. In fulfilling its duties, the External Discipline Panel may obtain independent advice.

DECISION

35. 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 complaint will be dismissed.

36. Within fourteen (14) days of the conclusion of the hearing, the External Discipline Panel's written decision, with reasons, will be distributed to all Parties by the Independent Third Party, including to CPC and the relevant member(s).

37. In extraordinary circumstances, the External Discipline Panel may first issue a verbal or summary decision soon after the conclusion of the hearing, with the full written decision to be issued before the end of the fourteen (14) day period.

38. 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 CPC and all of its members and associated organizations, [according to the terms of the *Reciprocity Policy*].

39. Once the appeal deadline in the *Appeal Policy* has expired, CPC 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, or as otherwise specified by the Publication Guidelines. If the matter is appealed, the publication provisions in the *Appeal Policy* shall apply. Identifying information regarding Minors or Vulnerable Participants will never be published.

40. If the External Discipline Panel dismisses the complaint, the information referred to in Section 35 above may only be published with the Respondent’s consent. If the Respondent does not provide such consent, the information referred to in Section 39 above will be kept confidential by the Parties, the Independent Third Party, CPC, and the Member and shall be retained and discarded in

accordance with the relevant and applicable privacy legislation. Failure to respect this provision may result in disciplinary action being taken against the Party who breaches confidentiality pursuant to this policy.

41. Other individuals or organizations, including but not limited to, Members, other provincial/territorial sport organizations, sport clubs, etc., shall be advised of the outcome of any sanction imposed in accordance with this policy.

42. Records of all decisions will be maintained by CPC in accordance with their 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) where applicable, the specific provision(s) of CPC's policies, bylaws, rules or regulations that have been breached;

    d) which Party or Organization 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 Respondent must satisfy (if any);

    g) which Organization is responsible for ensuring that the conditions have been satisfied; and

    h) any other guidance that will assist the Parties to implement the External Discipline Panel's decision.

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

SANCTIONS

45. 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, Prohibited Behaviour 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, Prohibited Behaviour or Maltreatment, and/or cooperation in the investigative and/or disciplinary process of CPC;

f) real or perceived impact of the incident on the Complainant, equine organizations 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*; addiction; disability; illness);

h) whether, given the facts and circumstances that have been established, continued participation in the equine 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.

46. 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.

47. 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 that an Organizational Participant(s) has violated the *Code* and that more severe sanctions will result should the Organizational Participant(s) be involved in other violations

b) **Education** - the requirement that an Organizational Participant(s) undertake specified educational or similar remedial measures to address the violation(s) of the *Code* or the UCCMS

c) **Probation** - Should any further violations of the *Code* or the UCCMS occur during the probationary period, this may result in additional disciplinary measures, including, without limitation, 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** - 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 CPC. A suspended Organizational Participant(s) may be eligible to return to participation, but reinstatement may be subject to certain restrictions or contingent upon the Organizational Participant(s) 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 CPC

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.

48. 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.

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 or 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.

49. An Organizational Participant(s)'s conviction for certain *Criminal Code* offenses involving harmful conduct shall carry a presumptive sanction of permanent ineligibility from participating with CPC. Such *Criminal Code* offences may include, but are not limited to:

a) any child pornography offences;

b) any sexual offences; and

c) any offence of physical violence.

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. CPC will ensure that any sanctions or measures imposed by the OSIC's Director of Sanctions and Outcomes ("DSO") against an Organizational Participant will be implemented and respected within CPC's jurisdiction if CPC receives appropriate notice of any sanction or measure from the OSIC against and Organizational Participant.

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 CPC, the member (where applicable) the Parties, the Independent Third Party, the Internal Discipline Chair, the External Discipline Panel (as appropriate), and any independent advisors to the External Discipline Panel.

54. None of the Parties (or their representatives or witnesses) or organizations referred to in Section 53 will disclose confidential information relating to the discipline or complaint to any person not involved in the proceedings, unless CPC is required to notify an organization such as an international federation, Sport Canada, Equestrian 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 may direct that these timelines be revised.

STATISTICAL REPORTING

57. CPC may publish a general statistical report of the activity that has been conducted pursuant to this *Discipline and Complaints Policy*. This report shall not contain, any information that is confidential under this policy, or that has been ordered to be kept confidential by a discipline or appeal panel, but may include the number of complaints reported to the Independent Third Party (for CPC and Members), and statistics regarding the number of cases that were resolved through alternate dispute resolution, the Internal Discipline Chair process, the discipline panel process, and 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 CPC's *Privacy Policy*.

59. CPC, its members, or any of their delegates pursuant to this policy (i.e., Independent Third Party, Internal Discipline Chair, External Discipline Panel), shall comply with CPC's *Privacy Policy* (or, in

the case of 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 Policy and is accepted by the Independent Third Party, the Independent Third Party will determine if the incident(s) should be investigated.

Investigation

2. If the Independent Third Party considers that an investigation is necessary, they will appoint an investigator. The investigator must be independent of the Independent Third Party and CPC with experience in investigating. The investigator must not be in a conflict-of-interest situation and should also have no connection to either Party.

3. Provincial 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 provincial legislation. The investigation may include:

   a) interviews with the Complainant;

   b) witness interviews;

   c) statement of facts (Complainant's perspective) prepared by the investigator, acknowledged by the Complainant and provided to the Respondent;

   d) interviews with the Respondent; and

   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 written report that shall include a summary of evidence from the Parties and any witnesses interviewed. The report shall also include a non-binding recommendation from the investigator regarding whether an allegation or, where there are several allegations, which allegations, should be heard by an External Discipline Panel pursuant to the *Discipline and Complaints Policy* because they constitute a likely breach of the *Code of Conduct and Ethics*, the UCCMS or any other relevant and applicable CPC or member policy.

6. The investigator may also make non-binding recommendations regarding the appropriate next steps (i.e., mediation, disciplinary procedures, further review, or investigation).

7. The Investigator's Report will be provided to the Independent Third Party who will disclose, at their discretion, all or part of the investigation report to CPC and the relevant members (if applicable). The Independent Third Party 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. Alternatively, and only if determined to be necessary or appropriate, the Independent Third Party or the External Discipline Panel, other relevant Organizational Participants may be provided with an executive summary of the investigator's findings by the Independent Third Party.

8. Should the investigator find that there are possible *Criminal Code* offences, the investigator shall advise the Parties, CPC and, where applicable, the member, and the matter shall be referred by the Independent Third Party to the police.

9. The investigator must also inform CPC or the member (as applicable) of any findings of criminal activity. The CPC 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 crime involving Minors, fraud against the Organization or any member(s) (as applicable), or other offences where the lack of reporting would bring the Organization or the member (as applicable) into disrepute.

Reprisal and Retaliation

10. Any Organizational Participant against whom a complaint has submitted to the Independent Third Party by an Organizational Participant, or which Organizational Participant gives evidence in an investigation are strictly prohibited from engaging in reprisal or retaliation.

11. Any such conduct may constitute Prohibited Behaviour be subject to disciplinary proceedings pursuant to the *Discipline and Complaints Policy* or, as applicable, the policies and procedures of the OSIC.

False Allegations

12. 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. The investigator may recommend to CPC or the member (as applicable) that the Organizational Participant be required to pay for the costs of any investigation that comes to this conclusion.

13. Any Organizational Participant who is liable to pay for such costs shall be automatically deemed to be not in good standing until the costs are paid in full and shall be prohibited from participating in any member and CPC Events, activities or business. CPC or any member(s) (as applicable), or the Organizational Participant against whom the allegations were submitted, may act as the Complainant with respect to making a complaint pursuant to this Section 10.

Confidentiality

14. The investigator will make reasonable efforts to preserve the anonymity of CPC, Respondent, and any other party. However, CPC and its members recognize that maintaining full anonymity during an investigation may not be feasible. The investigator must inform any witness or participant in the investigation of this limitation.

Privacy

15. The collection, use and disclosure of any personal information pursuant to this policy is subject to CPC's *Privacy Policy*.

16. CPC, its members, or any of their delegates pursuant to this policy (i.e., Independent Third Party, Internal Discipline Chair, External Discipline Panel), shall comply with CPC'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 B - PUBLICATION GUIDELINES

1. Subject to CPC's *Discipline and Complaints Policy*, disciplinary decisions of an External Discipline Panel will be considered a matter of public record, subject to the restrictions set out below.
2. Publication of all decisions will not take place until the disciplinary process undertaken by CPC is complete, or the appeal period has passed, as applicable.
3. Publication means the communication of information by making it known or accessible to the public through any means, including print, telecommunication, or electronic means.
4. Notification means providing a written copy of any disciplinary decision to an organization as required by the *Reciprocation Policy*. Parties who receive a copy of a disciplinary decision may not publicly disclose this information, expect as reasonably necessary to implement the terms of the decision and any sanction.
5. After receiving a copy of a disciplinary decision, CPC will, unless otherwise directed by the External Discipline Panel, make the disciplinary decision publicly available on their website or by any other means, such as social media channels, deemed appropriate by CPC.
6. Decisions will be posted in accordance with the following:
    a) Where a sanction or discipline is imposed for a set period where an Organizational Participant is restricted in their involvement with the sanctioned activities of the CPC, such as a suspension or a probationary period, the decision will be posted for the duration of the sanction. It will be removed at once the identified time has passed.
    b) Where a sanction or discipline involves a verbal or written warning or other reprimand, the decision will be posted for two years.
    c) If there a sanction or discipline involves a period of ineligibility, the decision will be posted for the period of ineligibility plus two years, except in the case of a sanction of permanent ineligibility. A sanction of permanent ineligibility will be posted indefinitely.
    d) If a sanction or discipline is conditional on the completion of training, education or other conditions, the decision will be posted until the Organizational Participant has completed the required conditions to the satisfaction of CPC, plus two years.
    e) All publications shall take place following the completion of the complaint process. In exceptional circumstances, publication will take place to protect the public and/or if the integrity of CPC will be affected by not publishing the decision.
    f) The publishing of interim suspensions and/or provisional measures will only take place in exceptional circumstances described above in subsection (e).
    g) Publication bans are standard while a complaint is in progress with CPC. All information except for information already publicly available or released is subject to a publication ban

and must be kept confidential until the process is completed to protect the integrity of the process.

7. Prior to publishing the disciplinary decision, CPC will remove any confidential or sensitive material from the disciplinary decision, including any identifying information about Organizational Participants or other individuals named, unless these Organizational Participants are subject to a sanction and/or discipline in the disciplinary decision.

8. Matters which are resolved prior to a decision of a panel being issued will not be subject to publication, though CPC may notify any relevant organization of any settlement and resulting restrictions on the participation rights of an Organizational Participant within the sanctioned activities of CPC.

9. CPC will publish a summary of the disciplinary decision. This summary will include the name of the Respondent(s), the nature of the breach or breaches, the policies, bylaws, rules, or regulations that have been breached, the outcome and any sanction imposed, as well as the date of decision.

10. Identifying information regarding Minor or Vulnerable Organizational Participants will never be published by CPC.

11. Disciplinary decisions involving sanctions imposed by the OSIC will be published according to the guidelines established by the OSIC.

12. Nothing in the above prohibits CPC from notifying relevant sport organizations of any disciplinary decision imposing a sanction and/or discipline on an Organizational Participant, including Minor or Vulnerable Organizational Participant, as required by the *Reciprocation Policy*. If a Minor or Vulnerable Organizational Participant is sanctioned and/or disciplined under a disciplinary decision, any organization who receives notification of this disciplinary decision must keep the decision confidential, expect as reasonably necessary to implement the terms of the disciplinary decision.

13. Records of all decisions will be maintained by CPC in accordance with the *Privacy Policy*.

ALTERNATIVE DISPUTE RESOLUTION POLICY

Purpose

1. CPC supports the principles of Alternative Dispute Resolution (ADR) and is committed to the techniques of negotiation, facilitation, and mediation as effective ways to resolve disputes. ADR also avoids the uncertainty, costs, and other negative effects associated with lengthy appeals or complaints, or with litigation.
2. CPC encourage all Organizational Participants to communicate openly, and to collaborate and use problem-solving and negotiation techniques to resolve their differences. CPC believe that negotiated settlements are most often preferable to arbitrated outcomes.
3. Negotiated resolutions to disputes with and among Organizational Participants are strongly encouraged.

Application of this Policy

4. This policy applies to all Organizational Participants.
5. Opportunities for ADR may be pursued at any point in a dispute when all parties to the dispute agree that such a course of action would be mutually beneficial.

Facilitation and Mediation

6. If all parties to a dispute agree to ADR, a mediator or facilitator shall be appointed to mediate or facilitate the dispute.
7. The mediator or facilitator shall decide the format under which the dispute shall be mediated or facilitated and may, if they consider it appropriate, specify a deadline before which the parties must reach a negotiated decision.
8. Should a negotiated settlement be reached, the settlement shall be reported to CPC for approval if it involves any action by the CPC before execution. Any actions that are to take place because of the settlement shall be completed in accordance with the timelines specified by the negotiated settlement, pending approval.
9. Should a negotiated settlement not be reached by the deadline specified by the mediator or facilitator at the start of the process (if set), or if the parties to the dispute do not agree to ADR, the dispute shall be considered under the appropriate section of the *Discipline and Complaints Policy* or *Appeal Policy,* as applicable.

Final and Binding

10. Any negotiated settlement will be binding on the parties.
11. Negotiated settlements may not be appealed.

APPEAL POLICY

Purpose

1. This *Appeal Policy* provides Organizational Participants with a fair and expedient appeal process.

Scope and Application of this Policy

2. This policy applies to all Organizational Participants.
3. Any Organizational Participant who is directly affected by a decision made by CPC or an External Discipline Panel, as applicable, shall have the right to appeal that decision if there are sufficient grounds for the appeal under the **Grounds for Appeal** section of this policy.
4. This policy **will apply** to decisions relating to:
   a) eligibility;
   b) selection;
   c) conflict of interest;
   d) discipline; and
   e) membership.
5. This policy **will not apply** to decisions relating to:
   a) employment;
   b) infractions for doping offenses;
   c) the rules of the sport;
   d) selection criteria, quotas, policies, and procedures established by entities other than CPC;
   e) substance, content and establishment of team selection or carding criteria;
   f) volunteer/coach appointments and the withdrawal or termination of those appointments;
   g) budgeting and budget implementation;
   h) the Organization's operational structure and committee appointments;
   i) decisions or discipline arising within the business, activities, or events organized by entities other than CPC (appeals of these decisions shall be dealt with pursuant to the policies of those other entities unless requested and accepted by CPC at its sole discretion);
   j) commercial matters for which another appeals process exists under a contract or applicable law; or
   k) decisions made under this policy.

Timing of Appeal

6. Organizational Participants who wish to appeal a decision have seven (7) days from the date on which they received notice of the decision to submit, in writing to CPC, the following:

   a) notice of the intention to appeal;

   b) their contact information;

   c) name and contact information of the Respondent and any Affected Parties, when known to the Appellant;

   d) date the Appellant was advised of the decision being appealed;

   e) a copy of the decision being appealed, or description of decision if written document is not available;

   f) grounds for the appeal;

   g) detailed reasons for the appeal;

   h) all evidence that supports these grounds;

   i) requested remedy or remedies; and

   j) an administration fee of two hundred dollars ($200), which will be refunded if the appeal is upheld.

7. An Organizational Participant who wishes to initiate an appeal beyond the seven (7) day period must provide a written request stating the reasons for an exemption. The decision to allow, or not allow an appeal outside of the seven (7) day period will be at the sole discretion of the Appeal Manager and may not be appealed.

Grounds for Appeal

8. A decision cannot be appealed on its merits alone. An appeal may only be heard if there are sufficient grounds for appeal. Sufficient grounds include the Respondent:

   a) made a decision that it did not have the authority or jurisdiction (as set out in the applicable governing documents) to make;

   b) failed to follow its own procedures (as set out in the applicable governing documents);

   c) made a decision that was influenced by bias (where bias is defined as a lack of neutrality to such an extent that the decision-maker appears not to have considered other views); or

   d) made a decision that was unreasonable.

Screening of Appeal

9. The parties may first attempt to resolve the appeal through the *Alternative Dispute Resolution Policy*, if appropriate in the circumstances.

10. Appeals resolved under the *Alternative Dispute Resolution Policy* will result in the administration fee being refunded to the Appellant.

11. Should the appeal not be resolved by using the *Alternative Dispute Resolution Policy*, CPC will appoint an independent Appeal Manager (who must not be in a conflict of interest or have any direct relationship with the parties) who has the following responsibilities:

    a) to determine if the appeal falls under the scope of this policy;

    b) to determine if the appeal was submitted in a timely manner; and

    c) to decide whether there are sufficient grounds for the appeal.

12. If the Appeal Manager denies the appeal because of insufficient grounds because it was not submitted in a timely manner, or because it did not fall under the scope of this policy, the Appellant will be notified, in writing, of the reasons for this decision. This decision may not be appealed.

13. If the Appeal Manager is satisfied there are sufficient grounds for an appeal, the Appeal Manager will appoint an Appeal Panel which shall consist of a single Arbitrator, to hear the appeal.

14. In extraordinary circumstances, and at the discretion of the Appeal Manager, an Appeal Panel composed of three persons may be appointed to hear the appeal. In this event, the Appeal Manager will appoint one of the Panel's members to serve as the Chair.

Determination of Affected Parties

15. To confirm the identification of any Affected Parties, the Appeal Manager will engage CPC. The Appeal Manager may determine whether a Party is an Affected Party in their sole discretion.

Procedure for Appeal Hearing

16. The Appeal Manager shall notify the Parties that the appeal will be heard. The Appeal Manager shall then decide the format under which the appeal will be heard. This decision is at the sole discretion of the Appeal Manager and may not be appealed.

17. If a Party chooses not to participate in the hearing, the hearing will proceed in any event.

18. The format of the hearing may involve an oral in-person hearing, an oral hearing by telephone or other electronic means, a hearing based on a review of documentary evidence submitted in advance of the hearing, or a combination of these methods. The hearing will be governed by the procedures that the Appeal Manager and the Panel deem appropriate in the circumstances. The following guidelines will apply to the hearing:

a) The hearing will be held within a timeline determined by the Appeal Manager

b) The Parties will be given reasonable notice of the day, time, and place of an oral, in-person hearing or oral hearing by telephone or electronic communications.

c) Copies of any written documents which any of the Parties wish to have the Panel consider will be provided to all Parties in advance of the hearing.

d) The Parties may be accompanied by a representative, advisor, or legal counsel at their own expense.

e) The Panel may request that any other individual participate and give evidence at an oral in-person hearing or oral hearing by telephone or electronic communications.

f) The Panel may allow as evidence at the hearing any oral evidence and document or thing relevant to the subject matter of the appeal but may exclude such evidence that is unduly repetitious and shall place such weight on the evidence as it deems appropriate.

g) If a decision in the appeal may affect another Party to the extent that the other Party would have recourse to an appeal in their own right under this policy, that Party will become an Affected Party to the appeal in question and will be bound by its outcome.

h) The decision to uphold or reject the appeal will be by a majority vote of Panel members.

19. In fulfilling its duties, the Panel may obtain independent advice.

Appeal Decision

20. The Appellant must demonstrate, on a balance of probabilities, that the Respondent has made a procedural error as described in the Grounds for Appeal section of this policy and that this error had a material effect on the decision or decision-maker.

21. The Panel shall issue its decision, in writing and with reasons, within seven (7) days after the hearing's conclusion. In making its decision, the Panel will have no greater authority than that of the original decision-maker. The Panel may decide to:

a) reject the appeal and confirm the decision being appealed;

b) uphold the appeal and refer the matter back to the initial decision-maker for a new decision; or

c) uphold the appeal and vary the decision.

22. The Panel will also determine whether costs of the appeal will be assessed against any Party. In assessing costs, the Panel will consider the outcome of the appeal, the conduct of the parties, and the parties' respective financial resources.

23. The Panel's written decision, with reasons, will be distributed to all parties, the Appeal Manager, and CPC. In extraordinary circumstances, the Panel may first issue a verbal or summary decision

soon after the hearing's conclusion, with the full written decision to be issued thereafter. The decision will be considered a matter of public record and published according to the Publication Guidelines unless decided otherwise by the Panel.

Timelines

24. If the circumstances of the appeal are such that adhering to the timelines outlined by this policy will not allow a timely resolution to the appeal, the Appeal Manager and/or Panel may direct that these timelines be revised.

Confidentiality

25. The appeals process is confidential and involves only the parties, the CPC the Appeal Manager, the Panel, and any independent advisors to the Panel. Once initiated and until a decision is released, none of the Parties (or their representatives or witnesses) will disclose confidential information relating to the appeal to any person not involved in the proceedings, unless CPC is required to notify an organization such as an international federation, Sport Canada, Equestrian 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

26. None of the Parties (or their representatives or witnesses) or organizations referred to in Section 25 will disclose confidential information relating to the appeal to any person not involved in the proceedings, unless CPC is required to notify an organization such as an international federation, Sport Canada, Equestrian 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.

27. Any failure to respect the confidentiality requirement may result in further sanctions or discipline by the Panel.

Final and Binding

28. No action or legal proceeding will be commenced against CPC or Organizational Participants in respect of a dispute, unless CPC has refused or failed to provide or abide by the dispute resolution process and/or appeal process as set out in governing documents.

SOCIAL MEDIA POLICY

Preamble

1. CPC is aware that Organizational Participant interaction and communication occurs frequently on social media. CPC cautions Organizational Participants that any conduct falling short of the standard of behaviour required by this *Social Media Policy* and the *Code* may be subject to the disciplinary sanctions identified within the *Discipline and Complaints Policy*.

Application of this Policy

2. This policy applies to all Organizational Participants.

Conduct and Behaviour

3. All conduct and behaviour occurring on Social Media must comply with the *Code of Conduct and Ethics.*

4. Organizational Participants may not engage in the following behaviour on Social Media:

   a) posting a disrespectful, hateful, harmful, disparaging, or insulting comment on a social medium;

   b) posting a picture, altered picture, or video on a social medium that is harmful, disrespectful, insulting, embarrassing, suggestive, provocative, or otherwise offensive;

   c) creating or contributing to a Facebook group, webpage, Instagram account, Twitter feed, blog, or online forum devoted solely or in part to promoting negative or disparaging remarks or commentary about CPC or its stakeholders or reputation; or

   d) any instance of cyber-bullying or cyber-harassment where incidents of cyber-bullying and cyber-harassment can include but are not limited to the following conduct on any social medium, via text message, or via email: regular insults, negative comments, vexatious behaviour, pranks or jokes, threats, posing as another person, spreading rumours or lies, or other harmful behaviour.

Organizational Participants' Responsibilities

5. Organizational Participants should be aware that their Social Media activity may be viewed by anyone; including CPC.

6. If CPC unofficially engages with an Organizational Participant in Social Media (such as by retweeting a tweet or sharing a photo on Facebook) the Organizational Participant may, at any time, ask CPC to cease this engagement.

7. When using Social Media, an Organizational Participant must model appropriate behaviour befitting the Organizational Participant's role and status in connection with CPC.

8. Removing content from Social Media after it has been posted (either publicly or privately) does not excuse the Organizational Participant from being subject to the *Discipline and Complaints Policy.*

9. An individual who believes that an Organizational Participant's Social Media activity is inappropriate or may violate policies and procedures should report the matter to CPC in the manner outlined by the *Discipline and Complaints Policy*.

CPC's Responsibilities

10. CPC has a responsibility to understand if and how Persons in Authority and Athletes are using Social Media to communicate with each other. Persons in Authority and Athletes may need to be reminded that behaviour in Social Media is still subject to the *Code of Conduct and Ethics* and *Social Media Policy*.

11. Complaints and concerns about the behaviour of a Person in Authority or Athlete in Social Media can be addressed under the *Discipline and Complaints Policy*.

Guidelines

12. The Guidelines in this section provide Persons in Authority and Athletes with tips and suggestions for Social Media use. Persons in Authority and Athletes are strongly encouraged to develop their own strategy for Social Media use (either written down or not) and ensure that their strategy for Social Media use is acceptable pursuant to the Code.

13. Given the nature of Social Media as a continually developing communication sphere, Persons in Authority and Athletes must use their best judgment when interacting with Social Media. These Guidelines are not hard and fast rules or behavioural laws; but rather recommendations that will inform individuals' best judgment.

14. Any behaviour on Social Media which violates the *Code* may be subject to discipline.

Social Media Guidelines for Persons in Authority

15. Persons in Authority should consider the following guidelines to inform their own strategy for Social Media use:

    a) with Minor Athletes, ensure that parents/guardians are aware if some interactions may take place on Social Media and the context for those interactions, and give parents/guardians the option to prohibit or restrict communication in this space;

    b) attempt to make communication with Athletes in Social Media as one-sided as possible. Be available for Athletes if they initiate contact – Athletes may wish to have this easy and quick

access to you – but Persons in Authority should never impose themselves onto an Athlete's personal Social Media space;

c) ensure all Social Media communication is professional, unambiguous, and on-topic. Avoid emojis and unspecific language that can be interpreted in multiple ways;

d) choosing not to engage with Social Media is an acceptable strategy. Be prepared to inform Athletes (and/or parents/guardians) if you will not engage in this space and explain which media you will use to communicate with them;

e) Athletes will search for your Social Media accounts. Be prepared for how you will respond when an Athlete attempts to interact with you on Social Media;

f) annually review and update the privacy settings on all your Social Media accounts;

g) consider monitoring or being generally aware of Athletes' public Social Media behaviour to ensure compliance with the *Code of Conduct and Ethics* and this policy;

h) never demand access to an Athlete's private posts on Twitter, Instagram, or Facebook;

i) do not send friend requests to Athletes. Never pressure Athletes to send you a friend request or follow your Social Media accounts;

j) if you accept a friend request from one Athlete, you should accept these requests from all Athletes. Be careful not to show favouritism on Social Media;

k) consider managing your Social Media so that Athletes do not have the option to follow you on Twitter or send you a friend request on Facebook;

l) do not identify Minor Athletes on publicly available Social Media;

m) seek permission from adult Athletes before identifying them on publicly available Social Media;

n) avoid adding Athletes to Snapchat and do not send snapchats to Athletes;

o) do not post pictures or videos of Minor Athletes on your private Social Media accounts;

p) be aware that you may acquire information about an Athlete that imposes an obligation of disclosure on your part (such as seeing pictures of Minor Athletes drinking during a trip);

q) if selection decisions and other official team business are announced on Social Media, ensure they are also posted on a less-social medium like a website or distributed via email;

r) never require Athletes to join Facebook, join a Facebook group, subscribe to a Twitter feed, or join a Facebook page about your team or organization;

s) if you create a page on Facebook or Instagram for your team or Athlete, do not make this Social Media site the exclusive location for important information. Duplicate important information in less-social channels (like on a website or via email);

t) exercise appropriate discretion when using Social Media for your own personal communications (with friends, colleagues, and other Persons in Authority) with the knowledge that your behaviour may be used as a model by Athletes;

u) avoid association with Facebook groups, Instagram accounts, or Twitter feeds with explicit sexual conduct or viewpoints that might offend or compromise your relationship with an Athlete; and

v) never misrepresent yourself by using a fake name or fake profile.

Social Media Guidelines for Athletes

16. The following tips should be used by Athletes to inform their own strategy for Social Media use:

a) Set your privacy settings to restrict who can search for you and what private information other people can see.

b) Coaches, teammates, officials, or opposing competitors may all add you to Facebook or follow you on Instagram or Twitter. You are not required to follow anyone or be Facebook friends with anyone.

c) Avoid adding Persons in Authority to Snapchat and do not send snapchats to Persons in Authority.

d) If you feel harassed by someone in a social medium, report it to your coach or another Person in Authority with your organization.

e) You do not have to join a fan page on Facebook or follow a Twitter feed or Instagram account.

f) Content posted on a social medium, relative to your privacy settings, is considered public. In most cases, you do not have a reasonable expectation of privacy for any material that you post.

g) Content posted to a social medium is almost always permanent – consider that other individuals may take screen caps of your content (even snapchats) before you can delete them.

h) Avoid posting pictures of, or alluding to, participation in illegal activity such as: speeding, physical assault, harassment, drinking alcohol (if underage), and smoking cannabis (if underage).

i) Model appropriate behaviour in Social Media befitting your status as a) an Athlete, and b) a member of your organization and its governing organizations. As a representative of your organization, you have agreed to the *Code of Conduct and Ethics* and must follow that *Code* when you post material and interact with other people through Social Media.

j) Be aware that your public Facebook page, Instagram account, or Twitter feed may be monitored by your organization, coach, or by another organization and content or behaviour demonstrated in Social Media may be subject to sanction under the *Discipline and Complaints Policy*.

SCREENING POLICY

Preamble

1. CPC understands that screening personnel and volunteers is a vital part of providing a safe sporting environment and has become a common practice among sport organizations that provide programs and services to the sport community.

Application of this Policy

2. This policy applies to all individuals whose position with CPC is one of trust or authority which may relate to, at a minimum, finances, supervision, or Vulnerable Organizational Participants.

3. Not all individuals associated with CPC will be required to obtain a criminal record check or submit screening documents because not all positions pose a risk of harm to CPC or Organizational Participants. CPC will determine which individuals will be subject to screening using the following guidelines (CPC may vary the guidelines at their discretion):

   Level 1 – Basic Screening - Organizational Participants involved in low-risk assignments who are not in a supervisory role, not directing others, not involved with finances, and/or do not have unsupervised access to Vulnerable Organizational Participants. Examples include parents, youth, or volunteers who are helping out on a non-regular or informal basis

   Level 2 - Basic Screening Plus - If a volunteer expects to be present at multiple events throughout the year, it is strongly recommended they become an associate member. They will then be registered with the CPC. This level of screening does not require an official police background check (CRC or E-PIC), but a self-declaration of good character will be on file with the CPC.

   On a yearly basis every volunteer will have to renew their associate membership, including a screening renewal form.

   This level of screening is also required for every board member at a Branch or Regional level.

   Level 3 – Basic Regular Screening – Organizational Participants involved in medium risk assignments who may be in a supervisory role, may direct others, may be involved with finances, and/or who may have limited access to Vulnerable Organizational Participants. Examples include:

   a) Athlete support personnel;

   b) non-coach employees or managers;

   c) directors;

   d) coaches who are typically under the supervision of another coach; and

e) officials.

f) Horse masters & active members over the age of majority

Level 4 – Enhanced Screening – Organizational Participants involved in high-risk assignments who occupy positions of trust and/or authority, have a supervisory role, direct others, are involved with finances, and who have frequent or unsupervised access to Vulnerable Organizational Participants. Examples include:

a) Athlete Support Personnel;

b) full-time coaches;

c) Athlete Support Personnel who travel with Athletes; and

d) Athlete Support Personnel who could be alone with Athletes.

e) Examiners

f) Billeting families

g) Scribes in a private setting

Screening Committee

4. The implementation of this policy is the responsibility of the Screening Committee which is a committee composed of either one (1) or three (3) members. CPC will ensure that the members appointed to the Screening Committee possess the requisite skills, knowledge, and abilities to accurately screen documents and render decisions under this policy.

5. The Screening Committee is responsible for reviewing all documents submitted and based on the review, making decisions regarding the appropriateness of individuals filling positions within CPC. In carrying out its duties, the Screening Committee may consult with independent experts including lawyers, police, risk management consultants, volunteer screening specialists, or any other person.

6. Nothing in this policy restricts or limits the Screening Committee from requesting that the individual attend an interview with the Screening Committee if the Screening Committee considers that an interview is appropriate and necessary to screen the individual's application.

7. Nothing in this policy restricts or limits the Screening Committee from requesting the individual's authorization to contact any professional, sporting, or other organization in order to assess the individual's suitability for the position that they are seeking.

8. Nothing in this policy restricts or limits the Screening Committee from requesting further information from the individual on more than one occasion, subject to the individual's right to insist that the Screening Committee decide based on the information before it.

9. The Screening Committee may, where appropriate, draw an adverse inference from an individual's failure to provide information or answer queries.

10. When assessing an individual's screening application, the Screening Committee shall determine whether there is reason to believe that the individual may pose a risk to CPC or to another individual.

11. An individual having been previously penalized for a prior offence shall not prevent the Screening Committee from considering that offence as part of the individual's screening application.

12. If the Screening Committee determines based on the individual's screening application, in addition to any further material received by it, that the individual does not pose a risk to the members of CPC, the Screening Committee shall approve the individual's application, subject to the Screening Committee's right to impose conditions.

13. In the case of a decision denying an application or approving an application with conditions, a copy of the decision shall be provided to the applicant and to the Board of Directors of CPC, which may disseminate the decision as they see fit to best fulfil the mandate of CPC.

14. An Organizational Participant whose screening application has been denied or revoked may not re-apply to participate in the programs or activities of CPC for two (2) years from the date the rejected application was made.

Screening Requirements

15. A Screening Requirements Matrix is provided as **Appendix A**.

16. It is the policy of CPC that when an individual is first engaged by the Organization:

    a) Level 1 (Basic Screening) individuals will:

        i. Fill out attendance sheet at the start of the event, including self declaration

        ii. participate in training, orientation, and monitoring as described in the Screening Requirements Matrix (**Appendix A**).

        iii. it is recommended that individuals complete a safe sport training such as Respect in Sport, CAC Safe Sport Training or Equestrian Canada: Fostering Healthy Equestrian Environments

    b) Level 2 (Basic Screening+) individuals will:

        i. complete an Associate Membership Form

        ii. complete a Screening Disclosure Form/Declaration of Good Character (**Appendix C**);

        iii. participate in training, orientation, and monitoring as described in the Screening Requirements Matrix (**Appendix A**); and

iv. it is recommended that individuals complete a safe sport training such as Respect in Sport, CAC Safe Sport Training or Equestrian Canada: Fostering Healthy Equestrian Environments

c) Level 3 (Regular Screening) individuals will:

i. Complete all Basic + Screening

ii. Provide an E-Pic

iii. It is required that you have completed one Safe Sport Training either CAC Safe Sport Training, Respect in Sport or Equestrian Canada Fostering Healthy Environments

iv. It is also recommended that you complete Making Ethical Decisions and Commit to Kids

d) Level 4 (Enhanced Screening) individuals will:

i. complete an Application Form (**Appendix B**);

ii. complete a Screening Disclosure Form (**Appendix C**);

iii. complete and provide an E-PIC and a VSC;

iv. provide one letter of reference related to the position; and

v. participate in training, orientation, and monitoring as described in the Screening Requirements Matrix (**Appendix A**).

e) Provide a driver's abstract, if requested. If an individual subsequently receives a charge, conviction for, or is found guilty of, an offense they will report this circumstance immediately to CPC. Additionally, the individual will inform CPC of any changes in their circumstance that would alter their original responses in their Screening Disclosure Form.

f) If CPC learns that an individual has provided false, inaccurate, or misleading information, the individual will immediately be removed from their position and may be subject to further discipline in accordance with the *Harassment, Discipline and Complaints Policy.*

Minor

17. For the purposes of this policy, CPC defines a Minor as someone who is younger than eighteen (18) years old. When screening Minor, CPC will:

a) not require the Minor to obtain a VSC or E-PIC; and

b) in lieu of obtaining a VSC or E-PIC, require the Minor to submit up to two (2) additional letters of reference if requested by CPC.

18. Notwithstanding the above, CPC may ask a Minor to obtain a VSC or E-PIC if CPC suspects the Minor has an adult conviction and therefore has a criminal record. In these circumstances, CPC will be

clear in its request that it is not asking for the Minor's *youth record*. CPC understands that they may not request to see a Minor's youth record.

Renewal

19. Unless the Screening Committee determines, on a case-by-case basis, to modify the submission requirements, individuals who are required to submit an E-PIC, Screening Disclosure Form, or Screening Renewal Form, are required to submit the documents as follows:

    a) an E-PIC every three years;

    b) a Screening Disclosure Form every three years;

    c) a Screening Renewal Form (**Appendix D**) every year; and

    d) a Vulnerable Sector Check once.

20. At any time, including after either the submission of an individual's application or its approval (with or without conditions), the Screening Committee may re-open an individual's file for additional screening if it is advised of new information that, in the discretion of CPC, could affect the assessment of the individual's suitability for participation in the programs or activities of CPC, or the individual's interactions with other individuals involved with CPC.

Orientation, Training, and Monitoring

21. The type and amount of orientation, training, and monitoring will be based on the individual's level of risk, at the discretion of CPC.

22. Orientation may include, but is not limited to, introductory presentations, facility tours, equipment demonstrations, parent/Athlete meetings, meetings with colleagues and supervisors, orientation manuals, orientation sessions, and increased supervision during initial tasks or initial period of engagement.

23. Training may include, but is not limited to, certification courses, online learning, mentoring, workshop sessions, webinars, on-site demonstrations, and peer feedback.

24. At the conclusion of orientation and training, the individual may be required to acknowledge, in written form, that they have received and completed the orientation and training (**Appendix E**).

25. Monitoring may include, but is not limited to, written or oral reports, observations, tracking, electronic surveillance (e.g., facility security cameras), and site visits.

How to Obtain an E-PIC or VSC

26. An E-PIC may be obtained online via:

    https://pages.sterlingbackcheck.ca/landing-pages/c/canadian-pony-club/

27. Organizational Participants may only obtain a VSC by visiting an RCMP office or police station, submitting two pieces of government-issued identification (one of which must have a photo), and completing any required paperwork. Fees may also be required.

28. Fingerprinting may be required if there is a positive match with the individual's gender and birth date.

29. CPC understands that it may be required to assist an individual with obtaining a VSC. A Request for VSC (**Appendix F**) may need to be submitted or other documentation may need to be completed that describes the nature of the Organization and the individual's role with Vulnerable Organizational Participants.

Procedure

30. Screening documents must be submitted to the Screening Committee.

31. An individual who refuses or fails to provide the necessary screening documents will be ineligible to volunteer or apply for the position sought. The individual will be informed that their application and/or position will not proceed until such time as the screening documents are submitted.

32. CPC understands that there may be delays in receiving the results of an E-PIC or a VSC. At the discretion of CPC, an individual may be permitted to participate in the role during the delay. This permission may be withdrawn at any time and for any reason.

33. CPC recognize that different information will be available depending on the type of screening document that the individual has submitted. For example, an E-PIC may show details of a specific offense, or not, and/or a VSC may be returned with specific information or simply a notification indicating 'cleared' or 'not cleared'. The Screening Committee will use its expertise and discretion when making decisions based on the screening documents that have been submitted.

34. Following the review of the screening documents, the Screening Committee will decide:

    a) the individual has passed screening and may participate in the desired position;

    b) the individual has passed screening and may participate in the desired position with conditions;

    c) the individual has not passed screening and may not participate in the desired position; or

    d) more information is required from the individual.

35. In making its decision, the Screening Committee will consider the type of offense, date of offense, and relevance of the offense to the position sought.

36. The Screening Committee may decide that an individual has not passed screening if the screening documentation reveals any of the following:

    a) <u>if imposed in the last three years</u>:

i. any offense involving the use of a motor vehicle, including but not limited to impaired driving;

ii. any offense of assault, physical or psychological violence;

iii. any offense involving trafficking or possession of illegal drugs;

iv. any offense involving conduct against public morals; or

v. any offense involving theft or fraud.

b) if imposed at any time:

i. any offense involving a Minor or Minors;

ii. any offense involving the possession, distribution, or sale of any child-related pornography; or

iii. any sexual offense.

Conditions and Monitoring

37. Excluding the incidents above which, if revealed, would cause the individual to not pass screening, the Screening Committee may determine that incidents revealed on an individual's screening documents may allow the individual to pass the screening process and participate in a desired position with *conditions* imposed. The Screening Committee shall have the sole and unfettered discretion to apply and remove conditions, determine the length of time for the imposition of conditions, and determine how adherence to conditions may be monitored.

Records

38. All records will be maintained in a confidential manner and will not be disclosed to others except as required by law, for use in legal, quasi-legal, or disciplinary proceedings.

39. The records kept as part of the screening process include but are not limited to:

a) an individual's Vulnerable Sector Check;

b) an individual's E-PIC (for a period of three years);

c) an individual's Screening Disclosure Form (for a period of three years);

d) an individual's Screening Renewal Form (for a period of one year);

e) records of any conditions attached to an individual's registration by the Screening Committee; and

f) records of any discipline applied to any individual by CPC or by another sport organization.

APPENDIX A – SCREENING REQUIREMENTS MATRIX

Minor

For the purposes of this policy, CPC defines a Minor as someone who is younger than 18 years old. When screening Minor, CPC will:

a) not require the Minor to obtain a VSC or E-PIC; and

b) in lieu of obtaining a VSC or E-PIC, require the Minor to submit up to two (2) additional letters of reference.

Volunteer Screening EXPLAINED

The purpose of this brochure is to describe CPC Background check policies. Nothing in this brochure can be construed to extend, alter, vary or waive any of the provisions of the CPC safe sport policies.

Canadian Pony Club aims to provide a Safe Sport environment for all its members and volunteers. Several policies and procedures form the basis for our commitment to Safe sport. Some important instruments in this commitment are our *Code of Conduct and Ethics*, available on the website, our ***Screening Policy*** and adoption of ***the rule of two.***

SCREENING VOLUNTEERS

Screening our volunteers is part of our efforts to provide a safe environment. Not all individuals associated with the CPC will be required to obtain a criminal record check or submit screening documents because not all positions pose a risk of harm to the CPC or Participants.

BASIC SCREENING	BASIC+ SCREENING	REGULAR SCREENING	ENHANCED SCREENING
✓ Volunteering on a non-regular basis ✓ Not in a supervisory role nor directing others ✓ Not involved with finances ✓ No unsupervised access to vulnerable participants	✓ Volunteering on a regular basis ✓ Not in a supervisory role nor directing others ✓ Not involved with finances ✓ No unsupervised access to vulnerable participants	✓ Supervisory roles ✓ Directing others ✓ Involved with finances ✓ Limited access to vulnerable participants	✓ Position of trust and/or authority ✓ Frequent and maybe unsupervised access to vulnerable participants
• Volunteers helping on a non-regular, informal basis • Incidental show volunteers (gate, whipper in, timer, etc.) • Administrative support (show entries, memberships) • Workbees (ground and equipment maintenance) • Volunteering in a high visibility or group setting	• Volunteers helping on a regular basis • Parents and other family members regularly volunteering in a high visibility or group setting • Board members at large at the Branch or Regional level.	• Directors and officers at Branch, Regional and National level. • Officials such as safety officers, tack check and stewards • Volunteers under supervision of a coach or enhanced screened volunteer • Horsemasters & active members over 18 years of age	• Coaches • Examiners • Billeting families • Chaperones and volunteers traveling with vulnerable members • Scribes in a private setting
Background Check	**Background Check**	**Background Check**	**Background Check**
Fill out attendance sheet at the start of the event, including a self declaration **Participate in training as determined by the CPC***	**Complete (Associate) Membership Form** **Screening Disclosure form / Declaration of Good Character** **Participate in training as determined by the CPC***	**Basic+ screening plus:** **Provide an E-Pic**	**Regular screening plus:** **Provide a VSC (vulnerable sector check)**
Ethics Training	**Ethics Training**	**Ethics Training**	**Ethics Training**
✓ Recommended: - CAC Safe sport training - Respect in Sport for activity leaders	✓ Recommended: - CAC Safe sport training - Respect in Sport for activity leaders	✓ Required: - CAC Safe sport training ✓ Recommended: - Make Ethical Decisions - Respect in Sport - Commit to Kids	✓ Required: - CAC Safe sport training - Make Ethical Decisions (coaches in an ongoing relationship with students) ✓ Recommended - Respect in Sport - Commit to Kids

* Note that some positions have additional requirements such as first aid, concussion awareness etc.

APPENDIX B – APPLICATION FORM

Note: Organizational Participants who are applying to volunteer or work within certain positions with CPC must complete this Application Form. Organizational Participants need to complete an Application Form once for the position sought. If the individual is applying for a new position within CPC, a new Application Form must be submitted.

NAME: _____

First Middle Last

CURRENT PERMANENT ADDRESS:

_____

Street City Province Postal

DATE OF BIRTH: _____ **GENDER IDENTITY**: _____

Month/Day/Year

EMAIL: _____ **PHONE**: _____

POSITION SOUGHT: _____

By signing this document below, I agree to adhere to the policies and procedures of CPC, including but not limited to the *Code of Conduct and Ethics*, *Conflict of Interest Policy*, *Privacy Policy*, and *Screening Policy*.

Policies are located at the following link:
https://www.canadianponyclub.org/documents/operational/administration

I recognize that I must pass certain screening requirements depending on the position sought, as outlined in the *Screening Policy*, and that the Screening Committee will determine my eligibility to volunteer or work in the position.

NAME (print): _____ **DATE**: _____

SIGNATURE: _____

APPENDIX C – SCREENING DISCLOSURE FORM

NAME: _____

First Middle Last

OTHER NAMES YOU HAVE USED: _____

CURRENT PERMANENT ADDRESS:

_____

Street City Province Postal

DATE OF BIRTH: _____ **GENDER IDENTITY**: _____

Month/Day/Year

CLUB (if applicable): _____ **EMAIL**: _____

Note: Failure to disclose truthful information below may be considered an intentional omission and the loss of volunteer responsibilities or other privileges

1. **Have you been convicted of a crime? If so, please complete the following information for *each conviction*. Attach additional pages as necessary.**

Name or Type of Offense: _____

Name and Jurisdiction of Court/Tribunal: _____

Year Convicted: _____

Penalty or Punishment Imposed: _____

Further Explanation: _____

2. **Have you ever been disciplined or sanctioned by a sport governing body or by an independent body (e.g., private tribunal, government agency, etc.) or dismissed from a coaching or volunteer position? If so, please complete the following information for each disciplinary action or sanction. Attach additional pages as necessary.**

Name of disciplining or sanctioning body: _____

Date of discipline, sanction, or dismissal: _____

Reasons for discipline, sanction, or dismissal: _____

Penalty or Punishment Imposed: _____

Further Explanation: _____

3. **Are criminal charges or any other sanctions, including those from a sport body, private tribunal or government agency, currently pending or threatened against you? If so, please complete the following information for each pending charge or sanction. Attach additional pages as necessary.**

Name or Type of Offense: _____

Name and Jurisdiction of Court/Tribunal: _____

Name of disciplining or sanctioning body: _____

Further Explanation: _____

PRIVACY STATEMENT

By completing and submitting this Screening Disclosure Form, I consent and authorize CPC to collect, use and disclose my personal information, including all information provided on the Screening Disclosure Form as well as my Enhanced Police Information Check and/or Vulnerable Sector Check (when permitted by law) for the purposes of screening, implementation of the *Screening Policy*, administering membership services, and communicating with national sport organizations, provincial/territorial sport organizations, club members or school members, and other organizations involved in the governance of sport. CPC does not distribute personal information for commercial purposes.

CERTIFICATION

I hereby certify that the information contained in this Screening Disclosure Form is accurate, correct, truthful and complete.

I further certify that I will immediately inform CPC of any changes in circumstances that would alter my original responses to this Screening Disclosure Form. Failure to do so may result in the withdrawal of volunteer responsibilities or other privileges and/or disciplinary action.

NAME (print): _____ **DATE**: _____

SIGNATURE: _____

APPENDIX D – SCREENING RENEWAL FORM

NAME: _____

First Middle Last

CURRENT PERMANENT ADDRESS:

_____

Street City Province Postal

DATE OF BIRTH: _____ **GENDER IDENTITY**: _____

Month/Day/Year

EMAIL: _____ **PHONE**: _____

By signing this document below, I certify that there have been no changes to my criminal record since I last submitted an Enhanced Police Information Check and/or Vulnerable Sector Check and/or Screening Disclosure Form and/or Driver's Abstract ("Personal Document") to CPC. I further certify that there are no outstanding charges and warrants, judicial orders, peace bonds, probation or prohibition orders, or applicable non-conviction information, and there have been no absolute and conditional discharges.

I agree that any Personal Document that I would obtain or submit on the date indicated below would be no different than the last Personal Document that I submitted to CPC. I understand that, if there have been any changes or if I suspect that there have been any changes, it is my responsibility to obtain and submit a new Personal Document to CPC's Screening Committee instead of this form.

I recognize that, if there have been changes to the results available from any Personal Document and if I submit this form improperly, then I am subject to disciplinary action and/or the removal of volunteer responsibilities or other privileges at the discretion of the Screening Committee.

NAME (print): _____ **DATE**: _____

SIGNATURE: _____

APPENDIX E – VOLUNTEER ORIENTATION AND TRAINING ACKNOWLEDGEMENT FORM

1. I have the following role(s) with CPC (circle as many as apply):

Parent/Guardian	Coach	Director/Volunteer
Athlete	Official	Committee Member
Other		

2. As an individual affiliated with CPC, I acknowledge I have received completed the following orientation and training:

Name of Training or Orientation: _____

Instructor: _____ Date Completed: _____

Name of Training or Orientation: _____

Instructor: _____ Date Completed: _____

Name of Training or Orientation: _____

Instructor: _____ Date Completed: _____

_____ _____ _____

Name Signature Date

APPENDIX F – REQUEST FOR VULNERABLE SECTOR CHECK

Note: CPC must modify this letter to adhere to any requirements from the VSC provider

INTRODUCTION

CPC is requesting a Vulnerable Sector Check for _____ [insert individual's full name] who identifies as a _____ [insert gender identity] and who was born on _____ [insert birthdate].

DESCRIPTION OF ORGANIZATION

Canadian Pony Club is a not-for-profit provincial organization for the sport of Equestrianism in [INSERT PROVINCE].

Canadian Pony Club is a volunteer driven youth organization that trains young people in all areas of horsemanship. Our vulnerable members range from 5 to 18 years of age and the majority of our membership is female, between 11 and 15 years old.

DESCRIPTION OF ROLE

_____ [insert individual's name] will be acting as a _____ [insert individual's role]. In this role, the individual will have access to vulnerable individuals.

[Insert additional information re: type and number of vulnerable individuals, frequency of access, etc.]

CONTACT INFORMATION

If more information is required, please contact CPC:

Info@canadianponyclub.org or 1-888-286-7669

Signed: _____ Date: _____

PRIVACY POLICY

General

1. Background – Privacy of personal information is governed by the federal *Personal Information Protection and Electronics Documents Act* ("PIPEDA"). This policy describes the way that CPC collects, uses, safeguards, discloses, and disposes of personal information, and states CPC's commitment to collecting, using, and disclosing personal information responsibly. This policy is based on the standards required by PIPEDA and CPC's interpretation of these responsibilities.

2. Purpose –The purpose of this policy is to govern the collection, use and disclosure of personal information during commercial activities in a manner that recognizes the right to privacy of Organizational Participants with respect to their personal information and the need of CPC to collect, use or disclose personal information.

Application of this Policy

3. Application – This policy applies to Representatives in connection with personal information that is collected, used, or disclosed during any commercial activity related to CPC.

4. Ruling on Policy – Except as provided in the *Act*, the Board of Directors of CPC will have the authority to interpret any provision of this policy that is contradictory, ambiguous, or unclear.

Obligations

5. Statutory Obligations – CPC is governed by the PIPEDA in matters involving the collection, use and disclosure of personal information.

6. Additional Obligations – In addition to fulfilling all requirements of the *Act*, CPC and its Representatives will also fulfill the additional requirements of this policy. Representatives of CPC will not:

    a) disclose personal information to a Third Party during any business or transaction unless such business, transaction or other interest is properly consented to in accordance with this policy;

    b) knowingly place themselves in a position where they are under obligation to any organization to disclose personal information;

    c) in the performance of their official duties, disclose personal information to family members, friends or colleagues, or to organizations in which their family members, friends or colleagues have an interest;

    d) derive personal benefit from personal information that they have acquired during the course of fulfilling their duties with CPC; or

e) accept any gift or favour that could be construed as being given in anticipation of, or in recognition for, the disclosure of Personal Information.

Accountability

7. Privacy Officer – The Privacy Officer is responsible for the implementation of this policy and monitoring information collection and data security and for ensuring that all staff receives appropriate training on privacy issues and their responsibilities. The Privacy Officer also handles personal information access requests and complaints. The Privacy Officer may be contacted as follows:

Canadian Pony Club ("CPC")

ADDRESS: 262106 Poplar Hill Dr, Calgary, AB, T3R 1C7

Tel: 1-888-286-PONY (7669)

Email: info@canadianponyclub.org

8. Duties – The Privacy Officer will:

a) implement procedures to protect personal information;

b) establish procedures to receive and respond to complaints and inquiries;

c) record all persons having access to personal information;

d) ensure any third-party providers abide by this policy; and

e) train and communicate to staff information about CPC's privacy policies and practices.

9. Employees – CPC shall be responsible to ensure that the employees, contractors, agents, or otherwise of CPC are compliant with the *Act* and this policy.

Identifying Purposes

10. Purpose – Personal information may be collected from Representatives and prospective Representatives for purposes that include, but are not limited to, the following:

1.1 *Communications:*

a) sending communications in the form of e-news or a newsletter with content related to CPC programs, events, fundraising, activities, discipline, appeals, and other pertinent information;

b) publishing articles, media relations and postings on CPC website, displays or posters;

c) award nominations, biographies, and media relations;

d) communication within and between Representatives;

e) discipline results and long-term suspension list;

f) checking residency status; and

g) posting images, likeness or other identifiable attributes to promote CPC.

Registration, Database Entry and Monitoring:

a) registration of programs, events and activities;

b) database entry at the Coaching Association of Canada and to determine level of coaching certification coaching qualifications and coach selection;

c) database entry to determine level of officiating certification and qualifications;

d) determination of eligibility, age group and appropriate level of play/competition;

e) athlete Registration, outfitting uniforms, and various components of athlete and team selection;

f) technical monitoring, officials training, educational purposes, sport promotion, and media publications;

g) selection;

h) implementation of anti-doping policies and drug testing;

i) implementation of classification; and

j) technical monitoring, coach/club review, officials training, educational purposes, media publications, and sport promotion.

Sales, Promotions and Merchandising:

a) purchasing equipment, coaching manuals, resources and other products; and

b) promotion and sale of merchandise.

General:

a) travel arrangement and administration;

b) implementation of CPC's screening program;

c) medical emergency, emergency contacts or reports relating to medical or emergency issues;

d) determination of membership demographics and program wants and needs;

e) managing insurance claims and insurance investigations;

f) video recording and photography for personal use, and not commercial gain, by spectators, parents, and friends;

g) video recording and photography for promotional use, marketing and advertising by CPC; and

h) payroll, honorariums, company insurance and health plans.

11. Purposes not Identified – CPC shall seek consent from individuals when personal information is used for Commercial Activity not previously identified. This consent will be documented as to when and how it was received.

Consent

12. Consent – CPC shall obtain consent by lawful means from individuals at the time of collection and prior to the use or disclosure of this information. CPC may collect personal information without consent where reasonable to do so and where permitted by law.

13. Implied Consent – By providing personal information to CPC, Organizational Participants are consenting to the use of the information for the purposes identified in this policy.

14. Withdrawal – An individual may declare to the Privacy Officer in writing to withdraw consent to the collection, use or disclosure of personal information at any time, subject to legal or contractual restrictions. CPC will inform the Organizational Participant of the implications of such withdrawal.

15. Legal Guardians – Consent shall not be obtained from individuals who are minors, seriously ill, or mentally incapacitated and therefore shall be obtained from a parent, legal guardian or person having power of attorney of such an individual.

16. Exceptions for Collection – CPC is not required to obtain consent for the collection of personal information if:

a) it is clearly in the Organizational Participant's interests and consent is not available in a timely way;

b) knowledge and consent would compromise the availability or accuracy of the information and collection is required to investigate a breach of an agreement or contravention of a federal or provincial law;

c) the information is for media or journalistic purposes; or

d) the information is publicly available as specified in the *Act*.

17. Exceptions for Use – CPC may use personal information without the Organizational Participant's knowledge or consent only:

a) if CPC has reasonable grounds to believe the information could be useful when investigating a contravention of a federal, provincial or foreign law and the information is used for that investigation;

b) for an emergency that threatens an individual's life, health or security;

c) aggregate information for statistical or scholarly study or research;

d) if it is publicly available as specified in the *Act;*

e) if the use is clearly in the individual's interest and consent is not available in a timely way; or

f) if knowledge and consent would compromise the availability or accuracy of the information and collection was required to investigate a breach of an agreement or contravention of a federal or provincial law.

18. Exceptions for Disclosure – CPC may disclose personal information without the individual's knowledge or consent only:

a) to a lawyer representing CPC;

b) to collect a debt the individual owes to CPC;

c) to comply with a subpoena, a warrant or an order made by a court or other body with appropriate jurisdiction;

d) to a government institution that has requested the information, identified its lawful authority, and indicated that disclosure is for the purpose of enforcing, carrying out an investigation, or gathering intelligence relating to any federal, provincial or foreign law; or that suspects that the information relates to national security or the conduct of international affairs; or is for the purpose of administering any federal or provincial law;

e) to an investigative body named in the *Act* or government institution on CPC's initiative when CPC believes the information concerns a breach of an agreement, or a contravention of a federal, provincial, or foreign law, or suspects the information relates to national security or the conduct of international affairs;

f) to an investigative body for the purposes related to the investigation of a breach of an agreement or a contravention of a federal or provincial law;

g) in an emergency threatening an individual's life, health, or security (CPC must inform the individual of the disclosure);

h) aggregate information for statistical, scholarly study or research;

i) to an archival institution;

j) 20 years after the individual's death or 100 years after the record was created;

k) if it is publicly available as specified in the regulations; or

l) if otherwise required by law.

Limiting Collection, Use, Disclosure and Retention

19. Limiting Collection, Use and Disclosure – CPC shall not collect, use or disclose personal information indiscriminately. Information collected will be for the purposes specified in this policy, except with the consent of the individual or as required by law.

20. Retention Periods – Personal information shall be retained as long as reasonably necessary to enable participation in CPC, to maintain accurate historical records and or as may be required by law.

21. Destruction of Information – Documents shall be destroyed by way of shredding and electronic files will be deleted in their entirety.

Safeguards

22. Safeguards – Personal information shall be protected by security safeguards appropriate to the sensitivity of the information against loss or theft, unauthorized access, disclosure, copying, use or modification.

Breaches

23. Breaches – CPC is required to report breaches of its security safeguards and any unauthorized disclosure of, or access to, personal information to the Office of the Privacy Commissioner if the breach, disclosure, or access may pose a "real risk of significant harm" to an individual. A "real risk of significant harm" is defined as: "*Bodily harm, humiliation, damage to reputation or relationships, loss of employment, business or professional opportunities, financial loss, identity theft, negative effects on the credit record and damage to or loss of property".*

24. Reporting – CPC will report the breach or unauthorized access or disclosure to the Office of the Privacy Commissioner in the form and format specified by the Office of the Privacy Commissioner or will be subject to financial penalties.

25. Records and Notification – In addition to reporting the breach or unauthorized access or disclosure, CPC will keep records of the breach and inform affected individuals.

Individual Access

26. Access – Upon written request, and with assistance from CPC, an individual may be informed of the existence, use and disclosure of his or her personal information and shall be given access to that information. Further, an individual is entitled to be informed of the source of the personal information along with an account of third parties to whom the information has been disclosed.

27. Response – Requested information shall be disclosed to the individual within 30 days of receipt of the written request at no cost to the individual, or at nominal costs relating to photocopying expenses, unless there are reasonable grounds to extend the time limit.

28. Denial – An individual may be denied access to his or her personal information if the information:

    a) cannot be disclosed for legal, security, or commercial proprietary purposes; or

    b) is subject to solicitor-CPC privilege or litigation privilege.

29. Reasons – Upon refusal, CPC shall inform the individual the reasons for the refusal and the associated provisions of the *Act*.

30. Identity – Sufficient information shall be required to confirm an individual's identity prior to providing that individual an account of the existence, use, and disclosure of personal information.

Challenging Compliance

31. Challenges – An individual shall be able to challenge compliance with this policy and the *Act* to the designated individual accountable for compliance.

32. Procedures – Upon receipt of a complaint CPC shall:

    a) record the date the complaint is received;

    b) notify the Privacy Officer who will serve in a neutral, unbiased capacity to resolve the complaint;

    c) acknowledge receipt of the complaint by way of written communication and clarify the nature of the complaint within three (3) days of receipt of the complaint;

    d) appoint an investigator using Organization personnel or an independent investigator, who shall have the skills necessary to conduct a fair and impartial investigation and shall have unfettered access to all relevant file and personnel, within ten (10) days of receipt of the complaint;

    e) upon completion of the investigation and within twenty-five (25) days of receipt of the complaint, the investigator will submit a written report to CPC; and

    f) notify the complainant to the outcome of the investigation and any relevant steps taken to rectify the complaint, including any amendments to policies and procedures within thirty (30) days of receipt of the complaint.

33. Whistleblowing – CPC shall not dismiss, suspend, demote, discipline, harass or otherwise disadvantage any director, officer, employee, committee member volunteer, trainer, contractor, and other decision-maker within CPC or deny that person a benefit because the individual, acting in good faith and on the basis of reasonable belief:

    a) disclosed to the commissioner that CPC has contravened or is about to contravene the *Act*;

    b) has done or stated an intention of doing anything that is required to be done in order to avoid having any person contravene the *Act*; or

c) has refused to do or stated an intention of refusing to do anything that is in contravention of the *Act*.

IP Address

34. IP Address – CPC does not collect, use, or disclose personal information such as IP Addresses.

Applicable Law

35. Applicable Law – CPC website is created and controlled by CPC in the Province of Ontario. As such, the laws of the Province of Ontario shall govern these disclaimers, terms, and conditions.

WHISTLEBLOWER POLICY

Purpose

1. CPC is committed to fostering an environment conducive to open communication regarding the business practices of CPC and to protecting Workers from unlawful retaliation and discrimination for their having properly disclosed or reported illegal or unethical conduct.

2. To further this commitment, this policy:

   a) establishes guidance for the receipt, retention and treatment of verbal or written reports received by CPC from a Worker regarding actions that (i) are illegal, unethical or contrary to CPC's policies in respect of accounting, internal controls, disclosure, or business practices or (ii) constitute discrimination, harassment, violence or abuse against a Worker by a Director or another Worker;

   b) provides Workers who make a report with a means to make reports in a confidential and anonymous manner; and

   c) demonstrates the CPC's intention to discipline any person who commits an act of retaliation or reprisal against a Worker up to and including termination of employment for just cause, in the case of employees.

Application

3. This policy only applies to Workers who observe, or experience incidents of wrongdoing committed by directors or by other Workers.

4. Incidents of wrongdoing or misconduct observed or experienced by Organizational Participants, volunteers, spectators, parents of Organizational Participants, or other individuals not employed or contracted by CPC can be reported under the terms of the *Discipline and Complaints Policy* and/or reported to the Organization's Board of Directors or senior staff person to be handled under the terms of the individual Worker's Employment Agreement or Contractor Agreement, as applicable, and/or CPC's policies for human resources.

5. Matters reported under the terms of this policy may be referred to be heard under the *Discipline and Complaints Policy*, at the discretion of the Compliance Officer.

Wrongdoing

6. Wrongdoing can be defined as:

   a) violating the law;

   b) intentionally or seriously breaching of the *Code*;

c) committing or ignoring risks to the life, health, or safety of an Organizational Participant, volunteer, Worker, or other individual;

d) directing an individual or Worker to commit a crime, serious breach of a policy, or other wrongful act; or

e) fraud.

Pledge

7. CPC pledges not to dismiss, penalize, discipline, or retaliate or discriminate against any Worker who discloses information or submits, in good faith, a report against another Worker or director under the terms of this policy.

8. Any individual affiliated with CPC who breaks this **Pledge** will be subject to disciplinary action.

Reporting Wrongdoing

9. A Worker who believes that a director or another Worker has committed an act of wrongdoing should prepare a report that includes the following:

a) a written description of the act or actions that comprise the alleged wrongdoing, including the date and time of the action(s);

b) the identities and roles of other individuals or Workers (if any) who may be aware of, affected by, or complicit in, the wrongdoing;

c) why the act or action should be considered to be wrongdoing; and

d) how the wrongdoing affects the Worker submitting the report (if applicable).

Authority

10. The following Compliance Officer has been appointed to receive reports made under this policy:

sportmatters@outlook.com

11. After receiving the report, the Compliance Officer has the responsibility to:

a) assure the Worker of the **Pledge**;

b) connect the Worker to the Alternate Liaison if the individual feels that they cannot act in an unbiased or discrete manner due to the individual's role with CPC and/or the content of the report;

c) determine if the report is frivolous, vexatious, or not submitted in good faith (e.g., the submission of the report is motivated by personal interests and/or the content of the report is obviously false or malicious) and, if so, inform the Worker that no action will be taken on

the report and the reasons why the report has been considered frivolous, vexatious, or not in good faith;

d) determine if the *Whistleblower Policy* applies or if the matter should be handled under the *Discipline and Complaints Policy*;

e) determine if the local police service be contacted;

f) determine if mediation or alternative dispute resolution can be used to resolve the issue;

g) determine if CPC's President and/or senior staff person should or can be notified of the report; and

h) begin an investigation.

Alternate Liaison

12. If the Worker feels that the Compliance Officer is unable to act in an unbiased or discrete manner due to the individual's role with CPC and/or the content of the report, the Worker should contact the following individual who will act as an independent liaison between the Worker and the Compliance Officer:

TBD

13. The Alternate Liaison will not disclose the Worker's identity to the Compliance Officer or to anyone affiliated with CPC without the Worker's consent.

14. A Worker who is unsure if they should submit a report, or who does not want to have their identity known, may contact the Alternate Liaison for informal advice about the process.

Investigation

15. If the Compliance Officer determines that an investigation should be launched, the Compliance Officer may decide to contract an external investigator. In such cases, CPC's President and/or senior staff person may be notified that an investigation conducted by an external investigator is necessary without the nature of the investigation, content of the report, or identity of the Worker who submitted the report being disclosed. CPC's President and/or senior staff person may not unreasonably refuse the decision to contract an external investigator.

16. An investigation launched by the Compliance Officer or by an external investigator should, generally, take the following form:

a) follow-up interview with the Worker who submitted the report;

b) identification of Workers, Organizational Participants, volunteers or other individuals that may have been affected by the wrongdoing;

c) interviews with such-affected individuals;

d) interview with the director(s) or Worker(s) against whom the report was submitted; and

e) interview with the supervisor(s) of the Worker(s) against whom the report was submitted, if applicable.

17. The investigator will prepare an Investigator's Report – omitting names whenever possible and striving to ensure confidentiality – that will be submitted to CPC's President and/or senior staff person for review and action.

Decision

18. Within fourteen (14) days after receiving the Investigator's Report, CPC's President and/or senior staff person will take corrective action, as required. Corrective action may include, but is not limited to including:

a) enacting and/or enforcing policies and procedures aimed at eliminating the wrongdoing or further opportunities for wrongdoing;

b) revision of job descriptions; or

c) discipline, suspension, termination, or other action as permitted by the By-laws, provincial/territorial employment legislation, applicable policies for human resources, and/or the Worker's Employment Agreement or Contractor Agreement.

19. The corrective action, if any, will be communicated to the investigator who will then inform the Worker who submitted the report.

20. Decisions made under the terms of this policy may be appealed under the terms of the *Appeal Policy* provided that:

a) if the Worker who submitted the initial report is appealing the decision, the Worker understands that their identity must be revealed if they submit an appeal; and

b) if the director or Worker against whom the initial report was submitted is appealing the decision, the Worker or director understands that the identity of the Worker who submitted the report will not be revealed and that CPC will act as the Respondent.

Confidentiality

21. Confidentiality at all stages of the procedures outlined in this policy – from the initial report to the final decision – is the goal for all individuals (the Worker, the Worker(s), or director(s) against whom the report is submitted, and the individuals interviewed during the investigation). An individual who intentionally breaches the confidentiality clause of this policy will be subject to disciplinary action.

In all stages of the investigation, the investigator will take every precaution to protect the identity of the Worker who submitted the report and/or the specific nature of the report itself. However,

CPC recognizes that there are some instances where the nature of the report and/or the identity of the Worker who submitted the report will or may be inadvertently deduced by individuals participating in the investigation.

RECIPROCATION POLICY

Purpose

1. The purpose of this policy is to ensure national enforcement and recognition of all disciplinary sanctions applied by CPC and Members.

Application

2. This policy applies to all Members.

Responsibilities

3. CPC will:

   a) provide copies of discipline and appeal decisions to Equestrian Canada and to the Member(s) affected or impacted by the decision;

   b) for discipline decisions provided to CPC by Equestrian Canada or by a Member, determine per the *Discipline and Complaints Policy* whether to initiate further action against the individual(s) named in the decision; and

   c) recognize and enforce the disciplinary sanctions imposed by Equestrian Canada and/or a Member.

4. Members will:

   a) provide copies of discipline and appeal decisions involving Organizational Participants to CPC;

   b) for discipline decisions provided to a member by CPC, determine per its own policies whether to initiate further action against the Organizational Participant(s) named in the decision;

   c) recognize and enforce the disciplinary sanctions imposed by CPC and/or Equestrian Canada; and

   d) update their governing documents to reference the reciprocation procedures described herein.

EVENT DISCIPLINE PROCEDURE

** This *Event Discipline Procedure* does not supersede or replace the *Discipline and Complaints Policy* **

Purpose

1. CPC is committed to providing a competition environment in which all Organizational Participants are treated with respect. This Procedure outlines how alleged misconduct during an Event will be handled.

Scope and Application

2. This Procedure will be applied to all Events designated by CPC as using this Procedure.
3. If the Event is being sanctioned by an organization other than CPC (e.g., by an international federation or Equestrian Canada), the procedures for event discipline of the host organization will replace this procedure.
4. Incidents involving Organizational Participants connected with CPC (such as Athletes, Athlete Support Personnel, and directors and officers) must still be reported by the head coach or team representative to CPC to be addressed under the *Discipline and Complaints Policy,* if necessary.
5. This Procedure does not replace or supersede the *Discipline and Complaints Policy*. Instead, this Procedure works in concert with the *Discipline and Complaints Policy* by outlining, for a designated person with authority at an event sanctioned by CPC, the procedure for taking immediate, informal, or corrective action in the event of a possible violation of the *Code.*

Misconduct During Events

6. Incidents that violate or potentially violate the *Code* or applicable conduct standards, which can occur during a competition, away from the area of competition, or between parties connected to the Event, shall be reported to the designated person (usually the chief official) responsible at the Event.
7. The designated person at the Event shall use the following procedure to address the incident that violated or potentially violated the *Code*:
    a) notify the involved parties that there has been an incident that violated or potentially violated the *Code;*
    b) convene an Event Discipline Panel of either one person or three people (one of whom shall be designated the Chairperson), who shall not be in a conflict of interest or involved in the original incident, to determine whether the *Code* has been violated;
    c) The Event Discipline Panel will interview and secure statements from any witnesses to the alleged violation;

d) If the violation occurred during a competition, interviews will be held with the officials who officiated or observed the competition and with the coaches and captains of each team when necessary and appropriate;

e) The Event Discipline Panel will attempt to secure a statement from the person(s) accused of the violation;

f) The Event Discipline Panel will render a decision and determine a possible penalty; and

g) The Chairperson of the Event Discipline Panel will inform all parties of the Event Discipline Panel's decision.

8. The penalty determined by the Event Discipline Panel may include any of the following, singularly or in combination:

a) oral or written warning;

b) oral or written reprimand;

c) suspension from future competitions at the Event;

d) ejection from the Event; or

e) other appropriate penalty as determined by the Event Discipline Panel.

9. The Event Discipline Panel does not have the authority to determine a penalty that exceeds the duration of the Event.

10. A full written report of the incident and the Event Discipline Panel's decision shall be submitted to CPC by the Chair of the Event Discipline Panel following the conclusion of the Event.

11. A complaint and further discipline may then be applied in accordance with the *Discipline and Complaints Policy*, if necessary.

12. Decisions made pursuant to this Procedure may not be appealed.

13. This Procedure does not prohibit other Organizational Participants from reporting the same incident to CPC to be addressed as a formal complaint under the *Discipline and Complaints Policy.*

14. CPC shall record and maintain records of all reported incidents. Decisions by the Event Discipline Panel may be published according to the Publication Guidelines.

Timelines

15. The procedures outlined in this Procedure are Event-specific and therefore shall be exercised and implemented as soon as it is reasonable to do so. The final decision of the Event Discipline Panel must be reached and communicated to the Parties prior to the conclusion of the event for it to be effective.

16. Decisions issued by the Event Discipline Panel after the conclusion of the event will not be enforceable.

DIVERSITY, EQUITY, AND INCLUSION POLICY

POLICY STATEMENT: CPC is committed to encouraging equity in its administration, policies, programs, and activities.

Purpose

1. CPC is committed to encouraging diversity, equity and inclusion in its administration, policies, programs, and activities.
2. The purpose of this policy is to ensure that CPC provides Under-Represented Groups with a full and equitable range of opportunities to participate and lead.

General

3. CPC will:
   a) provide this policy to all Organizational Participants and provide education on the importance of diversity, equity, and inclusion and what this entails in terms of practices, policies, procedures, and norms of behaviour;
   b) provide registration forms and other documents that allow:
      i. the Organizational Participant to indicate their gender identity and expression, rather than their sex or gender;
      ii. the Organizational Participant to abstain from indicating a gender identity with no consequence to the individual;
      iii. the Organizational Participant to indicate their pronoun(s); and
      iv. the Organizational Participant to indicate their preferred name as well as their legal name.
   c) maintain organizational documents and CPC's website in a manner that promotes inclusive language and images;
   d) refer to Organizational Participants by their preferred name and their pronoun(s);
   e) work with Under-Represented Groups on the implementation, monitoring and/or modification of this policy;
   f) when CPC has the authority to determine Organizational Participants' use of washrooms, change rooms, and other facilities, CPC will permit individuals to use the facilities of their gender identity;
   g) ensure uniforms and dress codes that respect an Organizational Participant's gender identity and gender expression;

h) support inclusion, equity, and access for Under-Represented Groups; and

i) exercise influence with external agencies to encourage equity.

Programming

4. CPC is committed to creating and supporting programs that address diversity, equity, and inclusion issues in sport. For example, CPC will:

a) ensure that the achievement of equitable opportunities is a key consideration when developing, updating, or delivering CPC's programs and policies;

b) ensure that Organizational Participants from Under-Represented Groups have no barriers to participation in CPC's programs, training, and coaching opportunities;

c) create and support new programming that specifically addresses diversity, equity, and inclusion;

d) monitor and evaluate the success of its diversity, equity, and inclusion programming;

e) fund programs and services equitably;

f) encourage Under-Represented Groups to act as role models for young Organizational Participants; and,

g) when planning educational sessions, consider a balance of presenters from all gender identities.

Staff, Board of Directors, Committee

5. CPC will:

a) strive to achieve gender balance in the appointment of all committees, task forces and other decision-making or decision-influencing bodies, and in seeking nominations for and appointments to the Board;

b) include gender equity as a stated value that is accepted and promoted on nominating and selection committees;

c) ensure equal opportunities exist for all staff to receive professional development to move towards senior levels of decision-making;

d) develop, update, and deliver all policies, programs and services ensuring the concerns and needs of Under-Represented Groups are identified, promoted, and supported; and

e) deal with any incidence of discriminatory behaviour according to CPC's *Code*.

Media Relations

6. CPC will:

   a) strive to ensure that Under-Represented Groups are portrayed equitably in promotional materials and official publications, and that gender-neutral language is used in all communications;

   b) produce all written and visual materials in a gender-inclusive manner;

   c) develop a communication plan that strives to give media visibility to Under-Represented Groups; and

   d) use gender-appropriate or gender-neutral language and positive, active visuals in all publications, graphics, videos, posters and on websites.

Human Resource Management

7. As part of its commitment to the use of equitable human resource management practices, CPC will:

   a) adopt, when possible, work practices such as flex-time, job-sharing, and home-based offices;

   b) provide a physically accessible workplace environment;

   c) ensure a non-smoking environment;

   d) use non-discriminatory interview techniques;

   e) provide opportunities for all staff to advance to senior decision-making levels and receive equitable remuneration;

   f) publicly declare CPC to be an equal opportunity employer and respect and implement the principle of pay equity in relation to salaried and contract employees; and

   g) when appropriate, make available access to Employee Assistance counselling.

Ongoing Commitment to Inclusion, Diversity and Equity

8. CPC resolves to continue to incorporate inclusion, diversity, and equity matters in its strategies, plans, actions, and operations; including technical programs, business management, sponsorship, marketing, media, and communications.

Evaluation

9. CPC will continually monitor and evaluate its inclusion, equity, and diversity progress.

CONCUSSION POLICY AND CODE

Preamble

1. This policy is based on the 5th Consensus Statement on Concussion in Sport that was released in April 2017. The 6th Consensus Statement on Concussion in Sport is expected to be released in Spring 2023. At that time, this policy will be updated to reflect same. Until then, the 5th Consensus Statement on Concussion Sport remains the relevant authority.
2. This policy interprets the information contained in the report that was prepared by the 2017 Concussion in Sport Group (CISG), a group of sport concussion medical practitioners and experts, and adapts concussion assessment and management tools.
3. The CISG suggested 11 Rs of Sport-Related Concussion ("SRC") management to provide a logical flow of concussion management. This policy is similarly arranged. The 11 Rs in this policy are: Recognize, Remove, Re-Evaluate, Rest, Rehabilitation, Refer, Recover, Return to Sport, Reconsider, Residual Effects, and Risk Reduction.
4. A concussion is a clinical diagnosis that can only be made by a physician.

Purpose

5. CPC is committed to ensuring the safety of Organizational Participants in its activities. CPC recognizes the increased awareness of concussions and their long-term effects and believes that prevention of concussions is paramount to protecting the health and safety of Organizational Participants.
6. This policy describes the common signs and symptoms of a concussion and how to identify them, the protocol to be followed in the event of a possible concussion, and a Return to Sport protocol should a concussion be diagnosed. Awareness of the signs and symptoms of concussion and knowledge of how to properly manage a concussion is critical to recovery and helping to ensure the individual is not returning to physical activities too soon, risking further complication.
7. This policy applies to all activities and events for which CPC is the governing or sanctioning body including, but not limited to, competitions, practices, and training sessions.

Registration

8. When an Organizational Participant under the age of 26 years old registers with CPC, the Organizational Participant **must** provide written or electronic confirmation that they have reviewed concussion awareness resources within the past 12 months. The Ontario Government has produced age-appropriate concussion resources located here:
   a) ages 10 and under
   b) ages 11-14

c) ages 15+

9. Organizational Participant under the age of 26 years old must also sign the *Concussion Code of Conduct* (**Appendix A**).

10. For Athletes younger than 18 years old, the athlete's parent or guardian **must** also provide confirmation that they have also reviewed the concussion resources as well and signed the *Concussion Code of Conduct*.

11. Athlete Support Personnel must provide confirmation that they have also reviewed the concussion resources and sign the *Concussion Code of Conduct*; but not if they will be interacting exclusively with Athletes who are 26 years old or older.

Recognizing Concussions

12. If an Organizational Participant demonstrates or reports any of the following **red flags**, a Designated Person in Ontario or a licensed healthcare professional for any organization outside of Ontario shall be summoned and, if deemed necessary, an ambulance should be called[9]:

    a) neck pain or tenderness;

    b) double vision;

    c) weakness or tingling/burning in arms or legs;

    d) severe or increasing headache;

    e) seizure or convulsion;

    f) loss of consciousness;

    g) deteriorating conscious state;

    h) vomiting more than once;

    i) increasingly restless, agitated, or combative; and/or

    j) increased confusion.

13. The following **observable signs** may indicate a possible concussion:

    a) lying motionless on the playing surface;

    b) slow to get up after a direct or indirect hit to the head;

    c) disorientation or confusion/inability to respond appropriately to questions;

    d) blank or vacant look;

[9] If an onsite healthcare professional is not available, an ambulance should be called.

e) balance or gait difficulties, absence of regular motor coordination, stumbling, slow laboured movements; and/or

f) facial injury after head trauma.

14. A concussion may result in the following **symptoms**:

a) headache or “pressure in head”;

b) balance problems or dizziness;

c) nausea or vomiting;

d) drowsiness, fatigue, or low energy;

e) blurred vision;

f) sensitivity to light or noise;

g) more emotional or irritable;

h) “don’t feel right”;

i) sadness, nervousness, or anxiousness;

j) neck pain;

k) difficulty remembering or concentrating; and

l) feeling slowed down or “in a fog”.

15. Failure to correctly answer any of these **memory questions** may suggest a concussion:

a) What venue are we at today?

b) Where was your last major competition?

c) What day is it?

d) What event are you participating in?

e) What is the name of your horse?

Removal from Sport Protocol

16. In the event of a Suspected Concussion where there are **observable signs** of a concussion, **symptoms** of a concussion, or a failure to correctly answer **memory questions**, the Organizational Participant must be immediately removed from participation by a designated person who is either an on-site individual designated by CPC, such as a first aid person, coach, examiner, safety officer.

17. After removal from participation, the following actions should be taken:

a) The designated person who removed the Organizational Participant should consider calling 9-1-1;

b) CPC must make and keep a record of the removal;

c) The designated person must inform the Organizational Participant's parent or guardian if the Organizational Participant is younger than 18 years old, and the designated person must inform the parent or guardian that the Organizational Participant is required to undergo a medical assessment by a physician or nurse practitioner before the Organizational Participant will be permitted to return to participation; and

d) The designated person will remind the Organizational Participant, and the Organizational Participant's parent or guardian as applicable, of CPC's Return-to-Sport protocol as described in this policy.

18. Organizational Participants who have a Suspected Concussion and who are removed from participation should:

a) be isolated in a dark room or area and stimulus should be reduced;

b) be monitored;

c) have any cognitive, emotional, or physical changes documented;

d) not be left alone (at least for the first 1-2 hours);

e) not drink alcohol;

f) not use recreational/prescription drugs;

g) not be sent home by themselves; and

h) not drive a motor vehicle until cleared to do so by a medical professional.

19. An Organizational Participant who has been removed from participation due to a Suspected Concussion should not return to participation until the Organizational Participant has been assessed medically, preferably by a physician who is familiar with the Sport Concussion Assessment Tool – 5th Edition (SCAT5) (for Organizational Participants over the age of 12) or the Child SCAT5 (for Organizational Participants between 5 and 12 years old), even if the symptoms of the concussion resolve.

Re-Evaluate

20. An Organizational Participant with a Suspected Concussion should be evaluated by a licensed physician who should conduct a comprehensive neurological assessment of the Organizational

Participant and determine the Organizational Participant's clinical status and the potential need for neuroimaging scans.

Rest and Rehabilitation

21. Organizational Participants with a diagnosed SRC should rest during the acute phase (24-48 hours) but can gradually and progressively become more active so long as activity does not worsen the Organizational Participant's symptoms. Organizational Participants should avoid vigorous exertion and follow the return to sport strategy outlined in Table 1, and sections 26 to 32.".

22. Organizational Participants must consider the diverse symptoms and problems that are associated with SRCs. Rehabilitation programs that involve controlled parameters below the threshold of peak performance should be considered.

Refer

23. Organizational Participants who display persistent post-concussion symptoms (i.e., symptoms beyond the expected timeline for recovery – 1 to 14 days for adults and 4 weeks for children) should be referred to physicians with experience handling SRCs.

Recovery and Return to Sport

24. SRCs have large adverse effects on cognitive functioning and balance during the first 24-72 hours after injury. For *most* Organizational Participants, these cognitive defects, balance, and symptoms improve rapidly during the first two weeks after injury. An important predictor of slower recovery from an SRC is the severity of the Organizational Participant's initial symptoms following the first few days after the injury.

25. The table below represents a graduated return to sport for most Organizational Participants, those that did not experience high severity of initial symptoms after the following the first few days after the injury.

Table 1 – Return to Equine Activity Strategy

Stage	Aim	Activity	Stage Goal
1	Symptom-limited activity	Daily activities that do not provoke symptoms	Gradual reintroduction of work/school activities
2	Light aerobic exercise	Walking or stationary cycling at slow to medium pace. No resistance training. Unmounted. Light grooming or tacking up.	Increase heart rate

3	Equine Activity exercise	Light drills such as flatwork. No head impact activities. Walking or hacking only. No jarring motions or work at speed	Add movement
4	Non-contact training drills	Harder training drills including schooling. May start progressive resistance training	Exercise, coordination and increased thinking
5	Full practice, including jumping	Following medical clearance, participate in normal training activities	Restore confidence and assess functional skills by coaching staff
6	Return to competition	Normal participation	

26. An initial period of 24 to 48 hours of both physical rest and cognitive rest is recommended before beginning the Return to Equine Activities strategy.
27. There should be at least 24 hours (or longer) for each step. If symptoms reoccur or worsen, the Organizational Participant should go back to the previous step.
28. Resistance training should only be added in the later stages (Stage 3 or Stage 4).
29. If symptoms persist, the Organizational Participant should return to see a physician.
30. The Organizational Participant's Return-to- Equine Activities strategy must be guided and approved by a physician with regular consultations throughout the process.
31. The Organizational Participant must provide CPC with a medical clearance form, signed by a physician, following Stage 5 and before proceeding to Stage 6.

Reconsider

32. The 2017 Concussion in Sport Group (CISG) considered whether certain populations (children, adolescents, and elite athletes) should have SRCs managed differently.
33. It was determined that all Organizational Participants, regardless of competition level, should be managed using the same SRC management principles.
34. Adolescents (13 to 18 years old) and children (5 to 12 years old) should be managed differently. SRC symptoms in children persist for up to four weeks. More research was recommended for how these groups should be managed differently, but the CISG recommended that children and

adolescents should first follow a Return to School strategy before they take part in a Return to Equine Activities strategy. A Return to School strategy is described below.

Table 2 – Return to School Strategy

Stage	Aim	Activity	Stage Goal
1	Daily activities at home that do not give the child symptoms	Typical activities of the child during the day if they do not increase symptoms (e.g., reading, texting, screen time). Start with 5–15 min at a time and gradually build up	Gradual return to typical activities
2	School activities	Homework, reading or other cognitive activities outside of the classroom	Increase tolerance to cognitive work
3	Return to school part-time	Gradual introduction of schoolwork. May need to start with a partial school day or with increased breaks during the day	Increase academic activities
4	Return to school full time	Gradually progress school activities until a full day can be tolerated	Return to full academic activities and catch up on missed work

Residual Effects

35. Organizational Participants should be alert for potential long-term problems such as cognitive impairment and depression. The potential for developing chronic traumatic encephalopathy (CTE) should also be a consideration, although the CISG stated that "*a cause-and-effect relationship has not yet been demonstrated between CTE and SRCs or exposure to contact sports. As such, the notion that repeated concussion or subconcussive impacts cause CTE remains unknown*."

Risk Reduction and Prevention

36. CPC recognizes that knowing an Organizational Participant's SRC history can aid in the development of concussion management and the Return to Equine Activities strategy. The clinical history should also include information about all previous head, face, or cervical spine injuries. CPC encourages Organizational Participants to make coaches and other stakeholders aware of their individual histories.

Non-Compliance

37. Failure to abide by any of the guidelines and/or protocols contained within this policy may result in disciplinary action in accordance with CPC's policies for discipline and complaints.

Liability

38. CPC shall not be liable for any Organizational Participant or other individual's use or interpretation of this policy. Further, none of CPC's members, directors, officers, employees, agents, representatives, and other individuals involved in any way in the administration of this policy shall be liable to any other individual in any way, in relation to any lawful acts or omissions committed in the honest application, administration, and/or enforcement of this policy.

CONCUSSION CODE OF CONDUCT (APPENDIX A)

PART A

The following section of the Concussion Code of Conduct must be signed by all Organizational Participants under the age of 26 years old. For Organizational Participants who are younger than 18 years old, a parent/guardian must also sign this section.

I will help prevent concussions by:

- wearing the proper equipment for my sport or activity and wearing it correctly;
- developing my skills and strength so that I can participate to the best of my ability;
- respecting the rules of my sport or activity; and
- demonstrating my commitment to fair play and respect for all (respecting other athletes, coaches, team trainers and officials).

I will care for my health and safety by taking concussions seriously, and I understand that:

- a concussion is a brain injury that can have both short-term and long-term effects;
- a blow to my head, face or neck, or a blow to the body that causes the brain to move around inside the skull may cause a concussion;
- I don't need to lose consciousness to have had a concussion;
- I have a commitment to concussion recognition and reporting, including self-reporting of possible concussion and reporting to a designated person when and individual suspects that another individual may have sustained a concussion. (Meaning: If I think I might have a concussion I should stop participating in further training, practice, or competition **immediately,** and I will tell an adult if I think another athlete has a concussion); and
- continuing to participate in further training, practice or competition with a possible concussion increases my risk of more severe, longer lasting symptoms, and increases my risk of other injuries.

I will not hide concussion symptoms. I will speak up for myself and others.

- I will not hide my symptoms. I will tell a coach, official, team trainer, parent or another adult I trust if I experience **any** symptoms of concussion.
- If someone else tells me about concussion symptoms, or I see signs they might have a concussion, I will tell a coach, official, team trainer, parent or another adult I trust so they can help.
- I understand that if I have a Suspected Concussion, I will be removed from sport and that I

will not be able to return to training, practice or competition until I undergo a medical assessment by a medical doctor or nurse practitioner and have been medically cleared to return to training, practice or competition.

- I have a commitment to sharing any pertinent information regarding incidents of removal from sport with my school and any other sport organization with which I have registered. (Meaning: If I am diagnosed with a concussion, I understand that letting all of my other coaches and teachers know about my injury will help them support me while I recover.)

I will take the time I need to recover because it is important for my health.

- I understand my commitment to supporting the return-to-sport process and I will follow my sport's Return-to-Sport Protocol.
- I understand I will have to be medically cleared by a medical doctor or nurse practitioner before returning to training, practice or competition.
- I will respect my coaches, team trainers, parents, health-care professionals, and medical doctors and nurse practitioners, regarding my health and safety.

By signing here, I acknowledge that I have fully reviewed and commit to this *Concussion Code of Conduct*.

_____	_____	_____
Name of Organizational Participant (print)	Signature of Organizational Participant	Date of Birth
_____	_____	_____
Name of Parent or Guardian (print)	Signature of Parent or Guardian	Date

PART B

The following section of the Concussion Code of Conduct must be signed by all coaches and team trainers who interact with Organizational Participants under the age of 26 years old.

I can help prevent concussions through my:

- efforts to ensure that my athletes wear the proper equipment and wear it correctly;
- efforts to help my athletes develop their skills and strength so they can participate to the best of their abilities;
- respect for the rules of my sport or activity and my efforts to ensure that my athletes do too; and
- commitment to fair play and respect for all (respecting other coaches, team trainers, officials and all Organizational Participants and ensuring my athletes respect others and play fair).

I will care for the health and safety of all Organizational Participants by taking concussions seriously. I understand that:

- a concussion is a brain injury that can have both short-term and long-term effects;
- a blow to the head, face, or neck, or a blow to the body may cause the brain to move around inside the skull and result in a concussion;
- a person doesn't need to lose consciousness to have had a concussion;
- an Athlete with a Suspected Concussion should stop participating in training, practice or competition **immediately**;
- I have a commitment to concussion recognition and reporting, including self-reporting of possible concussion and reporting to a designated person when an individual suspects that another individual may have sustained a concussion; and
- continuing to participate in further training, practice or competition with a Suspected Concussion increases a person's risk of more severe, longer lasting symptoms, and increases their risk of other injuries or even death.

I will create an environment where Organizational Participants feel safe and comfortable speaking up. I will:

- encourage athletes not to hide their symptoms, but to tell me, an official, parent or another adult they trust if they experience **any** symptoms of concussion after an impact;
- lead by example. I will tell a fellow coach, official, team trainer and seek medical attention by a physician or nurse practitioner if I am experiencing any concussion symptoms;

- understand and respect that any athlete with a Suspected Concussion must be removed from sport and not permitted to return until they undergo a medical assessment by a physician or nurse practitioner and have been medically cleared to return to training, practice or competition.
- *For coaches only*: commit to providing opportunities before and after each training, practice and competition to enable athletes to discuss potential issues related to concussions.

I will support all Organizational Participants to take the time they need to recover.

- I understand my commitment to supporting the Return-to-Sport process.
- I understand the athletes will have to be cleared by a physician or nurse practitioner before returning to sport.
- I will respect my fellow coaches, team trainers, parents, physicians and nurse practitioners and any decisions made with regards to the health and safety of my athletes.

By signing here, I acknowledge that I have fully reviewed and commit to this *Concussion Code of Conduct*.

_____ _____

Name (print) Role

_____ _____

Signature Date

a.