



TENNIS CANADA: SPORT SAFETY CODE OF CONDUCT & DISCIPLINE AND COMPLAINTS POLICY

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A. POLICY STATEMENT

This document contains the following Tennis Canada (“NSO”) documents:

Section C: Tennis Canada’s *Sport Safety Code of Conduct* (the “Code”)

Section D: Tennis Canada’s *Discipline and Complaints Policy* (the “Policy”)

The Code and Policy are founded on the highest ethical standards of treating all Organisational Participants with fairness and respect, ensuring the full and fair participation of all persons in the sport of tennis, and facilitating the fair, equitable, transparent and timely resolution of disputes.¹

Tennis Canada is committed to leading the growth of tennis in Canada by promoting an environment that is free from all forms of misconduct, Prohibited Behaviour and Maltreatment, and that reflects its core values of thriving together, thinking differently, embracing challenges and embodying excellence.

This Code and Policy applies to and is meant to protect all Organisational Participants and identifies the standard of behaviour Tennis Canada expects of its Organisational Participants, as well as the consequences of non-compliance. It is incumbent upon every Organisational Participant to comply with and be bound by the Code and Policy and all of Tennis Canada’s policies as outlined on the Tennis Canada website that are applicable to the individual. Tennis Canada requires the Reporting of all violations of the Code, especially incidents of alleged Prohibited Behaviour and Maltreatment, regardless of who the offender may be.

Any reference made to Tennis Canada shall be deemed to include the Tennis Professionals Association (“TPA”).

Tennis Canada has adopted the Universal Code of Conduct to Prevent and Address Maltreatment in Sport (“UCCMS”), as amended from time to time, which shall be incorporated into this Code and Policy by reference as if set out in full herein. Any modifications or amendments made to the UCCMS shall come into effect immediately upon their adoption without the need for any further action by the NSO.

The NSO has designated specific athletes, staff, board members, officials and others associated with the National Training Centre and National High Performance Program within the NSO as Canadian Safe Sport Program (CSSP) Participants. A full list of designated individuals is available from the Sr. Director, Sport Integrity at sportsafety@tenniscanada.com.

It is important to note that the Code and Policy apply to all Organisational Participants, but not all Organisational Participants are CSSP Participants and subject to the CSSP process.

¹ These standards are adapted from the Universal Code of Conduct to Prevent and Address Maltreatment in Sport (the “UCCMS”)

B. TERMS AND DEFINITIONS

TERM	DEFINITION
Athlete:	An individual who is an Athlete Organisational Participant in Tennis Canada who is subject to the policies of Tennis Canada and to this Code and Policy.
Athlete Support Personnel:	Any, trainer, manager, agent, team staff, official, medical, paramedical personnel, parent or any other person working with, treating or assisting an Athlete participating in or preparing for sports competition.
Bullying:	Offensive behaviour and/or abusive treatment of an Organisational Participant that typically, but not always, involves an abuse of power.
Canadian Safe Sport Program (CSSP) Participant(s):	An Organisational Participant affiliated with Tennis Canada who has been a) designated by Tennis Canada as a Canadian Safe Sport Program Participant and b) who has completed an e-learning module and signed the required consent form. For Tennis Canada, Canadian Safe Sport Program include: All National High Performance Program and National Training Centre participants, Tennis Canada board of directors, staff and officials.
Code:	Tennis Canada's <i>Sport Safety Code of Conduct</i> .
Complainant:	An individual or organization who Reports an alleged or suspected violation of the Code.
Consent:	As defined in the UCCMS and as amended from time to time.
Coach:	A Certified Instructor, Tennis Canada employed Coach, Tennis Canada contracted Coach, Club Professional, Coach who was or is a current member of TPA, or anyone who has or had completed the Safeguarding Only Certification at the time of the allegations resulting in the complaint(s).
Days:	Calendar Day
Event:	An event sanctioned by the NSO or a Member, and which may include a social Event.
Independent Third Party ("ITP"):	The independent entity that is retained by Tennis Canada to receive and, if needed, investigate and determine all complaints in accordance with the Code.
Member:	Refers to the provincial/territorial organizations that are admitted as Members of Tennis Canada per Tennis Canada's By-laws.
Minor:	An Organisational Participant who is under the age of majority at the time and in the jurisdiction where the alleged misconduct, Prohibited Behaviour or Maltreatment occurred. It is the responsibility of the adult to know the age of a Minor. The definition of "Minor" is as defined under the applicable provincial statutes.

Maltreatment:	As defined in the UCCMS and as amended from time to time.
Neglect:	As defined in the UCCMS and as amended from time to time.
NSO:	Tennis Canada
Organisational Participants:	Any individual who is a member of a Member provincial or territorial tennis association, and/or the NSO. This includes all Athletes, Personnel, Athlete Support Personnel and Coaches, as well as any other individual who is subject to the policies of Tennis Canada, including, without limitation to the extent not already considered an Athlete, Personnel or Coach, any other individual employed by, contracted by, or engaged in activities with Tennis Canada as well as any parent or guardian, spectators, or committee member
Personnel:	Tennis Canada employees, students, interns, officials, self-employed independent contractors, volunteers, and members of the Board.
Policy:	Tennis Canada's Discipline and Complaints Policy.
Power Imbalance:	As defined in the UCCMS and as amended from time to time.
Public Sanctions Registry:	Tennis Canada's searchable database of individuals, on Tennis Canada's website, whose eligibility to participate in tennis has in some way been restricted due to provisional measures and/or sanctions imposed by the Sport Integrity Canada, the NSO, or a Member (as applicable).
Reporting (or Report):	As defined in the UCCMS and as amended from time to time.
Respondent:	An Organisational Participant who is alleged or suspected to have violated the Code.
Serious Misconduct	An allegation of misconduct which Tennis Canada determines, in its sole discretion, would constitute a severe violation of the Code (or a Member's equivalent policy or code of conduct), if proven.
Sexual Relationship:	Includes but is not limited to: engaging, for a sexual purpose, touching, directly or indirectly, with a part of the body or with an object, any part of the body of an Organisational Participant; inviting, counselling or inciting an Organisational Participant to, for a sexual purpose, touch directly or indirectly, with a part of the body or with an object the body of the person who so invites, counsels or incites or the body of the Organisational Participant; or engaging in a romantic relationship (i.e. dating) with an Organisational Participant.

Sport Integrity Canada:	Sport Integrity Canada is the body mandated to independently administer and enforce the UCCMS by receiving and responding to Reports of Prohibited Behaviour, and by developing and carrying out education, prevention and policy activities, including sport environment assessments.
UCCMS:	Universal Code of Conduct to Prevent and Address Maltreatment in Sport, as amended from time to time.
Vulnerable Participant:	As defined in the UCCMS and as amended from time to time.

C. SPORT SAFETY CODE OF CONDUCT

C1. SCOPE OF APPLICATION

General

The Code applies to all communications and interactions between Organisational Participants and between Organisational Participants and others outside of Tennis Canada, including Athletes, Coaches, volunteers, vendors, and members of the public, with whom Organisational Participants interact in the course of their employment, contract or affiliation with Tennis Canada.

The Code applies to the conduct of Organisational Participants during all Tennis Canada business, events and activities, including without limitation: while they are performing services, including at off-site assignments/ tournaments; at employment or contract- related functions or events; when communicating by telephone or electronically; or in situations where there is a connection to the services being performed or Tennis Canada's business or operations. The Code also applies, at all times, to Personnel, Athletes and/or Coaches who are travelling with players (24 hours a day). For further clarity, the Code applies to those Organisational Participants who are now retired or no longer active with Tennis Canada but were when the alleged Code violation occurred.

All complaints related to alleged breaches of the UCCMS by a CSSP Participant will be filed with and handled by Sport Integrity Canada. All other complaints will be handled under the terms of the Code as described in the Policy.

Outside Events and Conduct

The Code also applies to an Organisational Participant's conduct outside of Tennis Canada-related activities when such conduct adversely affects relationships with members, Organisational Participants and other individuals affiliated with Tennis Canada, and when it is detrimental to the image and reputation of Tennis Canada.

In addition to the Code, Coaches working in clubs are required to adhere to all club policies and procedures.

C2. PROHIBITED BEHAVIOUR

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

Prohibited Behavior Under the UCCMS

Refrain from any behaviour that constitutes Prohibited Behaviour and Maltreatment as that term is defined in the UCCMS and as amended from time to time.

Other Prohibited Behaviour

In addition to the Prohibited Behaviours as defined by the UCCMS, this Code sets out other expected standards of behaviour and conduct for all Organisational Participants (See Section C3 “General Principles and Commitments”) and any failure to respect these expected standards of behaviour by an Organisational Participants may constitute a breach of this Code.

C3. GENERAL PRINCIPLES AND COMMITMENTS

Integrity: Organisational Participants will conduct themselves in an open and honest manner, shall uphold the law, and will be accountable for their conduct.

Respect: Organisational Participants will strive to ensure that everyone is treated equally, regardless of age, ancestry, colour, race, citizenship, ethnic origin, place of origin, creed, disability, family status, marital status, gender identity, gender expression, sex and sexual orientation.

Organisational Participants will also preserve the dignity of each person in interacting with others, and respect the principles, rules, and policies in force.

Dignity: Organisational Participants will maintain and enhance the dignity and self-esteem of Athletes and other individuals by:

- (a) Demonstrating respect to individuals regardless of body type, physical characteristics, athletic ability, age, ancestry, colour, race, citizenship, ethnic origin, place of origin, creed, disability, family status, marital status, gender identity, gender expression, sex and sexual orientation;
- (b) Focusing comments or criticism appropriately and avoiding public criticism of Organisational Participants and Members;
- (c) Demonstrating a spirit of sportsmanship, sport leadership, and ethical conduct;
- (d) Acting, when appropriate, to correct or prevent practices that are unjustly discriminatory;
- (e) Consistently treating individuals fairly and reasonably; and,
- (f) Ensuring adherence to the rules of the sport and the spirit of those rules.

Positive Environment:

Tennis Canada is committed to providing an environment free of misconduct, Prohibited Behaviour and Maltreatment.

Organisational Participants are dedicated to treating others equitably and creating an inclusive environment free of misconduct, Prohibited Behaviour and Maltreatment.

Organisational Participants are responsible for creating and maintaining a positive working and playing environment, and must be respectful and courteous towards others whether inside or outside of Tennis Canada.

Honoring Sport:

Organisational Participants must strictly observe and ensure observance of all regulations. The aim is to compete fairly and maintain dignity in all circumstances and exercise self-control. It is important for Organisational Participants to respect officials and accept their decisions without questioning their integrity.

Responsible Behaviour:

Tennis Canada expects Organisational Participants to:

- Honour commitments, words given, and agreed to objectives; Maintain confidentiality and privacy of personal information and use it appropriately;
- Avoid deriving personal advantage from a situation or decision;
- Know one's limitations in terms of knowledge and skills when making decisions, giving instructions or taking action;
- Refrain from the use of power or authority in an attempt to coerce another person to engage in inappropriate activities;
- Avoid consuming alcohol in situations where Minors are present and take reasonable steps to manage the responsible consumption of alcohol in adult-oriented social situations at Events;
- Do not engage in, directly or indirectly, any acts of violence. All forms of violence are strictly prohibited and will constitute a violation of the Code and may warrant police involvement and investigation;
- Respect the property of others and do not willfully cause damage; and
- Adhere to all federal, provincial, and municipal laws, including host country laws.

Physical Safety & Health:

Organisational Participants are committed to maintaining a safe environment, including at training and competition site(s), by following health and safety rules and practices. Organisational Participants will operate in a safe manner at all times, and practice care to ensure other Organisational Participants and other third parties are conducting themselves in a safe manner. When Organisational Participants observe unsafe behaviour, they have a duty to Report it to the Sr. Director, Sport Integrity as soon as possible, except where the behaviour involves an alleged violation of the UCCMS by a CSSP Participant, in which case it must

be reported to the Sport Integrity Canada.

Athlete Safety:

- Ensure a safe environment by selecting activities and establishing controls that are suitable for the age, experience, ability, and fitness level of the involved Athletes.
- Avoid placing Athletes in situations presenting unnecessary risk or that are beyond their level.
- Strive to preserve the present and future health and well-being of Athletes.
- To the extent possible, 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.
- To the extent possible, 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.
- Safety also includes safe driving practices when Organisational Participants are responsible for transporting Minors, Athletes, or any other individual(s) as part of their responsibilities. To ensure the passengers' safety and reduce the risk of accidents, it is essential that the driver obey all applicable road safety laws and regulations, including no distracted driving, no driving under the influence of drugs, alcohol and/or medication, no smoking or vaping in the vehicle, and no aggressive driving.

Athlete Development:

- To the extent possible, support the coaching staff of a training camp, provincial/territorial team, or national team, should an Athlete qualify for participation with one of these programs.
- Provide Athletes (and the parents/guardians of Minor Athletes) with the information necessary to be involved in the decisions that affect the Athlete.
- Act in the best interest of the Athlete's development as a whole person.
- Respect Coaches and other Athlete Support Personnel.
- Respect Athletes playing with other teams and, in dealings with them, do not encroach upon topics or actions which are deemed to be within the realm of 'coaching', until the Coaches who are responsible for the Athletes have provided their approval.

Athlete Protection:

Drugs/Prohibited Substances

Do not, under any circumstances, provide, promote, or condone the use of drugs (other than properly prescribed medications) or prohibited substances or prohibited methods (as included on the version of the Prohibited List published by the World Anti-Doping Agency currently in force) and, in the case of Minors, alcohol and/or tobacco.

Relationships

Do not, under any circumstances, engage in a Sexual Relationship with a Minor, Vulnerable Person, or where you are in a position of power, trust or authority over the individual.

Do not engage in a or Sexual Relationship with an Organisational Participant over the age of 18 if you are in a position of power, trust, or authority over the individual.

Coaches must recognize the power inherent in the position of “coach” and must respect and promote the rights of all Athletes 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 Athletes who are in a vulnerable or dependent position and less able to protect their own rights.

No Harassment or Misconduct:

Refrain from any behaviour that constitutes harassment.

Harassment is engaging in a course of vexatious comment or conduct against an individual that is known or ought reasonably to be known to be unwelcome.

Harassment may include behaviour that is likely to be offensive, embarrassing or humiliating, and that involves unwelcome and offensive comments, conduct, gestures or contact based on or related to race, colour, sex, disability, ethnic or national origin, age, religion or creed, sexual orientation, marital or family status, civil status, or other prohibited grounds of discrimination. Types of behaviour that constitute harassment include, but are not limited to:

- Written or verbal abuse, threats, or outbursts;
- The display of visual material which is offensive or which one ought to know is offensive in the circumstances;
- Unwelcome remarks, jokes, comments, innuendo, or taunts;
- Leering or other suggestive or obscene gestures;
- Condescending or patronizing behaviour which is intended to undermine self-esteem, diminish performance or adversely affect working conditions;
- Practical jokes which cause awkwardness or embarrassment, endanger a person's safety, or negatively affect performance;

- Any form of hazing where hazing is defined as “Any potentially humiliating, degrading, abusive, or dangerous activity expected of individual(s) by a more senior individual(s), which does not contribute to either person’s positive sport experience or development, but is required to be accepted as part of a team, regardless of the individual’s willingness to participate. This includes, but is not limited to, any activity, no matter how traditional or seemingly benign, that sets apart or alienates any individual based on class, number of years on the team, or athletic or other ability”;
- Physical assault, including physical violence and unwanted physical contact such as (but not limited to) touching, petting, pinching, or kissing;
- 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,
- Retaliation or threats of retaliation against an individual who reports harassment to the ITP.

No Sexual Harassment or Maltreatment:

Refrain from any behaviour that constitutes Sexual Harassment or Sexual Maltreatment, as that term is defined in the UCCMS and as amended from time to time.

No Doping or Drug Use:

Tennis Canada and its Organisational Participants adopt and adhere to the Canadian Anti-Doping Program. Tennis Canada and its Members will respect any sanction imposed on an Individual as a result of a breach of the [Canadian Anti-Doping Program](#) or any other applicable Anti-Doping Rules.

All Organisational Participants shall:

- (a) Abstain from the non-medical use of medications or drugs or the Use of Prohibited Substances or Prohibited Methods as listed on the version of the World Anti-Doping Agency’s Prohibited List currently in force.
- (b) Refrain from associating with any person for the purpose of coaching, training, competition, instruction, administration, management, athletic development, or supervision, who has been found to have committed an anti-doping rule violation and is serving a period of Ineligibility imposed pursuant to the Canadian Anti-Doping Program or any other applicable anti-doping rules
- (c) Cooperate with any Anti-Doping Organization that is conducting an investigation into any anti-doping rule violation(s)
- (d) Refrain from any offensive conduct toward a Doping Control official or other individual involved in Doping Control, whether or not such conduct constitutes Tampering as defined in the Canadian Anti-Doping Program
- (e) All Athlete Support Personnel or other Persons who are Using a Prohibited

Substance or Prohibited Method without a valid and acceptable justification shall refrain from providing support to Athletes that fall under the NSO or a Member's jurisdiction.

Confidential Information:

Confidential and personal information about Tennis Canada, its Organisational Participants and other third parties shall not be divulged to anyone other than persons who are authorized to receive such information. When there is doubt as to whether certain information is confidential, no disclosure should be made without first asking the Sr. Director, Sport Integrity. This basic policy of caution and discretion in handling confidential information extends to both external and internal disclosure.

Conflicts of Interest:

Organisational Participants will act in the best interests of Tennis Canada and will avoid conflicts between their personal interests and the interests of Tennis Canada. Potential conflicts may include but are not limited to personal business interests and the interests of family and friends. Any potential conflicts should be discussed with the Sr. Director, Sport Integrity.

Gifts or Benefits:

Organisational Participants may not accept or tender gifts, entertainment, payments, services, privileges or favours from or to others that could influence an act that is related to their official activities in relation to their role with Tennis Canada. When the individual is in doubt as to whether certain gifts or benefits are appropriate, they should discuss the matter with the Sr. Director, Sport Integrity. Where possible, gifts should be shared internally and not taken personally. Transactions that are considered appropriate activities for a particular job description are acceptable.

C4. COMPLIANCE WITH THE CODE

All Personnel, Athletes and Coaches, and any Organisational Participants requested by Tennis Canada, shall review the Code in its entirety and sign a copy of the Code agreeing to be bound by its terms and conditions. Tennis Canada reserves the right to unilaterally update and/or change the Code at its discretion and will publish any updates on its website.

Organisational Participants are responsible for their actions and must adhere to the Code and the UCCMS. Tennis Canada does not condone or tolerate any violations of the Code or the UCCMS. Violating the Code or the UCCMS will lead to corrective action, which may include, inter alia, termination of employment for just cause, termination or rescission of contract, removal from one's position, permanent ineligibility, or any other sanction(s) that is appropriate in the circumstances. Tennis Canada (or its ITP) reserves the right to address violations of the Code (or, where it has jurisdiction, the UCCMS) in the manner it determines to be appropriate as provided for in the Code (or UCCMS where applicable), which may include initiating legal proceedings or reporting such violations to the appropriate authorities.

If Organisational Participants have any questions about what interests may put them in conflict with their duties and responsibilities to Tennis Canada, and/or what constitutes an illegal or unethical act or inappropriate behaviour under the Code or the UCCMS, they are to contact the Sr. Director, Sport Integrity.

C5. REPORTING

Organisational Participants are expected to Report all alleged or suspected violations of the Code as soon as possible after experiencing or witnessing the interaction, incident, event or situation of concern, in accordance with Tennis Canada's *Discipline and Complaints Policy*. This requirement to Report applies to any alleged or suspected violation(s) of the Code, whether it occurred domestically or abroad.

Please see Tennis Canada's *Discipline and Complaints Policy* for more information.

Criminal Code

Every Organisational Participant is obligated to self-report any ongoing criminal investigation(s), charge(s), conviction(s) (for which a pardon has not been granted), and/or existing bail conditions.

D. DISCIPLINE AND COMPLAINTS POLICY

D1. SCOPE OF APPLICATION

The Policy applies to Organisational Participants and to any alleged breaches of Tennis Canada's *Sport Safety Code of Conduct*. This Policy also applies to any Member that designates this Policy as applicable to address alleged breaches.

In addition to being subject to disciplinary action pursuant to this Policy, an employee of the NSO who is a Respondent to a complaint may also be subject to consequences in accordance with the employee's employment agreement or the NSO's policies and procedures (as amended from time to time), as applicable.

Jurisdiction

The NSO recognizes that Organisational Participants are also registered with Provincial/Territorial Organizations (which are Members under Tennis Canada's by-laws) and/or clubs or affiliated organizations associated with those Members. The jurisdiction of a Complaint will be assigned to the appropriate organization based on the affiliation or identity of the Respondent and the Respondent's role at the time of the conduct.

Tennis Canada Jurisdiction: The procedure outlined in this Policy shall be followed when a complaint is raised:

- (a) involving behavior contrary to the NSO's Code which would constitute Serious Misconduct;
- (b) involving behaviour contrary to the NSO's Code involving a coach which does not constitute Serious Misconduct;
- (c) related to a breach of the Member's policies in which the Member has designated that this Policy is applicable to address such alleged breaches or where the Member has requested that the NSO take jurisdiction, and the NSO has accepted, in its sole discretion, to take such jurisdiction; and
- (d) involving allegations of Serious Misconduct under the jurisdiction of a Member, and which do not fall under the jurisdiction of a provincial/territorial ITP.

Except where a Member's provincial/territorial ITP has jurisdiction over the complaint. In such case, Tennis Canada's ITP shall first refer the complaint to the Member's provincial/territorial ITP, and only if the provincial/territorial ITP chooses not to take jurisdiction, Tennis Canada shall retain jurisdiction per above.

Member Jurisdiction: If a complaint is raised related to a breach of a Member's internal policies, the Member shall retain jurisdiction over the complaint and will handle it in accordance with its internal discipline policy or procedure. Members shall also have jurisdiction over complaints involving a breach of the NSO's Code (except where the NSO has deemed the misconduct Serious Misconduct).

Sport Integrity Canada Jurisdiction: Incidents involving an alleged breach of the UCCMS and which involves a CSSP Participant, will be addressed pursuant to the Sport Integrity Canada policies and procedures.

It is possible that more than one entity may retain jurisdiction and may investigate a breach of policies / procedures. For example, a breach of the UCCMS may also be a breach of Tennis Canada's Code.

D2. REPORTING

Organisational Participants and the NSO may file complaints using one of three mechanisms, as defined below.

Sport Integrity Canada

Any incident that involves alleged Maltreatment or Prohibited Behaviour (as defined in the UCCMS) and involving a CSSP Participant must be reported to [Sport Integrity Canada](#) and will be addressed pursuant to the CSSP policies and procedures.

The Sport Integrity Canada shall assume jurisdiction over all *Reports of Prohibited Behaviour* covered by the UCCMS and CSSP, determine the admissibility of such complaints in accordance with the relevant and applicable CSSP policies and procedures regarding the initial review and preliminary assessment.

Where the Respondent has not been designated by the NSO as a CSSP Participant, the complaint will be redirected to the NSO's ITP.

If the ITP receives a complaint that they consider would otherwise fall within the jurisdiction of Sport Integrity Canada, they shall refer the matter to the Sport Integrity Canada and notify the Complainant(s) of such action.

Provincial or Territorial Organizations

Any complaints involving alleged breaches of a Member's policy or code of conduct, must be reported in accordance with the Member's complaint process.

A Member may agree to provide jurisdiction to the NSO, and to have the complaint investigated pursuant to NSO's Policy. Or the Member may receive a complaint that they consider would otherwise fall within the jurisdiction of the NSO. In either case, the Member shall refer the matter to the NSO and notify the complainant(s) of such action. The Organisational Participant agrees that, in the circumstances, the NSO may accept the complaint and agrees to have their complaint investigated by the NSO pursuant to this Policy and to cooperate with the process.

Tennis Canada

Any complaints involving alleged breaches of the NSO's Code (which does not fall within Sport Integrity Canada jurisdiction above) or other complaints where the NSO has taken jurisdiction (see Section D1), must be reported pursuant to the below procedure.

Organisational Participants are expected to Report all alleged or suspected violations of the Code

as soon as possible after experiencing or witnessing the interaction, incident, event or situation of concern. This requirement to Report applies to any alleged or suspected violation(s) of the Code, whether it occurred domestically or abroad.

The NSO, at its discretion, may act as the Complainant and initiate the complaint process under this Policy. In such cases, the NSO will identify an individual to represent Tennis Canada.

Reporting a Complaint

All complaints related to any alleged or suspected violation of the Code shall be Reported to Tennis Canada's ITP via <https://forms.monday.com/forms/b3574b6987d9677e161979cc2d26e46e?r=use1>

The individual Reporting the alleged or suspected violation is the "Complainant".

Preliminary Steps

Complaints shall be in writing and must be made within sixty (60) days of the alleged or suspected violation, unless exceptional circumstances prevented the individual from filing the complaint within this timeline. For the avoidance of doubt, this timeframe applies to complaints referred from the Sport Integrity Canada to the ITP.

The ITP may decline to accept a complaint that is made outside of the 60-day timeline. The ITP may also decline to accept a complaint that does not fall within the jurisdiction of this Code or if it is frivolous, vexatious or filed in bad faith². The ITP shall provide reasons for declining to accept a complaint on these bases.

Anonymous complaints typically will not be accepted. If an anonymous complaint is received, it will be reviewed by the ITP to determine whether circumstances require that an exception to be made. The ITP will offer an anonymous Complainant the opportunity to put their name to the complaint before dismissing it on the ground that it was submitted anonymously.

If a complaint is denied by the ITP for being outside of (a) the 60-day timeline or (b) the jurisdiction of this Code or (c) because the ITP determined that it was frivolous, vexatious or filed in bad faith or (d) due to the complaint being filed anonymously, the Complainant may follow the appeal route outlined below under "Procedural Appeals".

D3. AVAILABLE PROCESSES

Once the ITP accepts a complaint, there are two processes available to the ITP.

Informal Resolution

Once the ITP accepts a complaint, the ITP shall determine if informal resolution is possible by consulting with the Sr. Director, Sport Integrity and the parties to the complaint. If the parties agree

² 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 consciously for a dishonest purpose or due to the moral underhandedness of the Complainant and that there was an intention to mislead

to attempt informal resolution, the ITP shall refer the file to the SDRCC's early resolution facilitation services.

Investigation Process

Once the ITP accepts a complaint, if the ITP considers that informal resolution is not possible, the parties do not agree to attempt informal resolution or the parties are not successful in resolving the dispute through informal resolution (if attempted), the following steps will be taken:

1. The ITP will determine if an investigation needs to be conducted. When making this determination, the ITP may consider if there is a need for an independent assessment to determine whether an allegation or, where there are several allegations, which allegations, should be heard by a discipline ITP/panel pursuant to this Code because they constitute a likely breach of this Code or (where Tennis Canada has jurisdiction), the Organisational Participants and witnesses are expected to cooperate with the investigator and provide full details, to the best of their ability, of the interaction, incident, event or situation they have experienced or witnessed.
2. Once the investigation is complete, the investigator will prepare a report with their findings regarding whether, on the basis of their factual findings, the allegations constitute a likely breach of the Code or (where Tennis Canada has jurisdiction), the UCCMS. The report will be provided to the Sr. Director, Sport Integrity, to the ITP and/or to the independent panel appointed by the ITP.
3. The ITP may make a decision or appoint an independent panel constituted of a single member to determine, on the basis of the findings in investigator's report, if the Respondent has breached the Code or (where Tennis Canada has jurisdiction) the UCCMS. If the ITP/panel considers that the Respondent has committed such a breach, it may impose a disciplinary sanction against the Respondent in accordance with the "Resolution and Sanctions" section below.
4. In every case a summary of the full investigation report will be shared with the Complainant and Respondent, and any other individual deemed appropriate, including the provincial tennis association(s) and/or international tennis federation (ITF). Tennis Canada retains the discretion of whether to share the full investigation report with the parties.

Any procedure outlined in and supporting this Policy does not prevent a Complainant from filing a complaint or claim under human rights or occupational health and safety legislation or making a police report. Any activity that is considered to be contrary to the *Criminal Code* shall be reported to the police.

If a Minor is involved, the parents or guardians of the Minor must be contacted as soon as possible. However, reporting to the police should not be delayed because of the unavailability of a parent or guardian.

Interim Sanctions

Prior to or during the investigation, the Sr. Director, Sport Integrity may take steps to address

immediate concerns, such as the safety of Organisational Participants, by imposing interim sanctions pending the outcome of the investigation, including but not limited to, probation, a provisional suspension or restrictions on eligibility.

D4. RESOLUTION AND SANCTIONS

If at any time during the disciplinary process the complaint can be resolved to the satisfaction of the Complainant and in a manner acceptable to the Respondent and Tennis Canada, the resolution will be documented, agreed to in writing by both parties, and a copy shall be sent to the Complainant, the Respondent, and Tennis Canada.

Any sanction imposed against a Respondent must be proportionate and reasonable, relative to the violation that has occurred, taking into account previous disciplinary actions.

When determining the appropriate sanction, the ITP/discipline panel 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 Tennis Canada;
- f) Real or perceived impact of the incident on the Complainant, sport organization or the sporting community;
- g) Circumstances specific to the Respondent being sanctioned (e.g. lack of appropriate knowledge or training regarding the requirements in the Code; addiction; disability; illness);
- h) Whether, given the facts and circumstances that have been established, continued participation in the sport community is appropriate;
- i) A Respondent who is in a position of trust, intimate contact or high-impact decision-making may face more serious sanctions; and/or
- j) Other mitigating or aggravating circumstances.

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.

The ITP/discipline panel 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 Individual has violated the Code and that more severe sanctions will result should the Individual be involved in other violations
- b) **Education** - The requirement that an Individual 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** - 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 Tennis Canada. A suspended Individual may be eligible to return to participation, but reinstatement may be subject to certain restrictions or contingent upon the Individual 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 Tennis Canada and its Members
- 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

Presumptive Sanctions

The discipline panel 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, PhySport Integrity Canadaal Maltreatment with contact, and Maltreatment related to interference or manipulation of process shall carry a presumptive sanction of either a period of suspension or eligibility restrictions
- c) While a Respondent has pending charges allegations of a crime against a person, if justified by the seriousness of the offence, the presumptive sanction shall be a period of suspension until a final determination is made by the applicable process.

An Organisational Participant's conviction for an impaired driving offense, shall carry a presumptive sanction of permanent ineligibility for transporting or driving Minors.

Criminal Offences

An Organisational Participant's non-pardoned conviction for a *Criminal Code* offense shall carry a presumptive sanction of permanent ineligibility from participating with the NSO. *Criminal Code* offenses may include, but are not limited to:

Sport Integrity Canada

- a) A non-pardoned criminal conviction under the Criminal Code;
- b) A non-pardoned conviction under the Controlled Drugs and Substances Act for trafficking or possession of trafficking, illegal substances;
- c) An anti-doping violation involving trafficking of prohibited substances or prohibited methods listed on the Prohibited List;
- d) Sexual Maltreatment involving a Minor complainant, or a complainant who was a Minor at the time of the incidents complained.

Non-pardoned criminal convictions may include offenses such as, but are not limited to:

- a) Any sexual offences, public morals and disorderly conduct
- b) Any offence against the person and reputation
- c) Any offence of terrorism

For the purpose of this section, "Criminal Code" includes Canada's *Criminal Code* (R.S.C., 1985, c. C-46) but also includes equivalent legislation in other jurisdictions (i.e. U.S. Code: Title 18 etc.).

Other Sanctions

In addition to the above potential sanctions, the ITP/discipline panel may apply the following disciplinary sanctions to Organisational Participants:

- a) Imposition of conditions on the certification (i.e. a Coach's certification or an official's certification) and/or membership, with or without the provision that another sanction will be imposed if the conditions are not observed;
- b) Suspension or revocation of the certification (i.e. a Coach's certification or an official's certification) and/or membership;
- c) Temporary suspension or termination of Tennis Canada funding to the Organisational Participant and/or their Club; and
- d) Banning, in any way, from Tennis Canada events, training and/or facilities.

Sport Integrity Canada Sanctions

As Tennis Canada adopted the CSSP, Tennis Canada will ensure that any sanctions or measures imposed by Sport Integrity Canada will be implemented and respected within Tennis Canada's jurisdiction (including at the provincial, territorial and club level), once Tennis Canada receives appropriate notice of any sanction or measure from the Sport Integrity Canada.

Once the disciplinary process concludes and sanction(s), if any, are imposed, the Complainant and the Respondent will be notified of the findings and conclusions.

Where appropriate, Tennis Canada, at its discretion, may also give notice of a Code violation to affected third parties, such as a Coach's employer, provincial tennis associations, or others.

Failure to Comply

Failure to comply with a sanction, or failure to cooperate with the NSO's investigation process may lead to the implementation of sanctions and/or restrictions on the individual's ability to participate in sport, as well as publication pursuant to Section D5 of this Policy.

D5. PUBLIC SANCTIONS REGISTRY

The NSO is committed to fostering a sport environment free from abuse that is safe for all participants, and maintains a Public Sanctions Registry ("**Registry**") for this purpose. The Registry supports the objectives of the Code, Policy, UCCMS and of the Sport Integrity Canada, including advancing a respectful sport culture that delivers quality, inclusive, accessible, welcoming and safe sport experiences.

The Registry is not a historical record of past members who have ever been suspended. For minors or other vulnerable persons who may be subject to provisional measures and/or a sanction, the disclosure of their information on the Registry will be considered on a case-by-case

basis by the NSO, taking into account the sensitivity of personal information and the need to carry out the objective of the Code and Policy, in accordance with applicable law.

The information will remain available for as long as the sanction or provisional measure remains in effect.

Collection, Use, and Disclosure of Personal Information

Tennis Canada may collect, use and disclose personal information for the purpose of investigating complaints, administering or enforcing sanctions / penalties, ensuring player safety, for the purpose of posting on the Tennis Canada website, or as required by law.

Collection will include any information relevant for the purposes above.

The following information of Respondents who have been sanctioned and/or whose eligibility to participate in sport has in some way been restricted (by Tennis Canada, Members or Sport Integrity Canada) may be disclosed on the Tennis Canada website: the (i) first and last name; (ii) membership category; (iii) jurisdiction; (iv) sanction or provisional measures imposed; (v) length of sanction or provisional measures.

This is subject to change from time to time, and Tennis Canada may also collect, use and disclose personal information without giving advance notice where permitted or required by law.

Tennis Canada will provide notice with respect to any changes where any further consent required.

Questions regarding collection should be addressed to sportsafety@tenniscanada.com.

D6. APPEAL OF DECISION

1. Interim Sanction Appeals

Any interim sanction imposed (see Section D3 of this Policy) may be appealed by the Respondent to the ITP, or to the panel (if a panel was appointed with respect to the complaint investigation).

To submit an interim sanction appeal, the Respondent must:

- a. provide a written statement setting out why it is manifestly unfair for the interim sanction to be imposed / maintained within thirty (30) days of the Respondent being advised of the interim sanction being imposed
- b. pay an administrative fee of five hundred dollars (\$500.00 CAD) dollars, which will be refunded if the appeal is upheld. The administrative fee shall be paid directly to sportsafety@tenniscanada.com

The Respondent may request to provide oral submissions in place of a written statement.

The ITP/panel may request submissions from any individual they deem appropriate in the circumstances, in their sole discretion.

The ITP/panel shall issue a decision in writing with reasons within thirty (30) of days of receipt of the Respondent's submissions (whether written or oral). The ITP/panel will either dismiss the interim sanction appeal if it cannot be established that it would be manifestly unfair to maintain / impose the interim sanction, or will lift the sanction imposed. A copy of the decision will be provided to all parties, the Sr. Director, Sport Integrity and the NSO.

Any decision shall not be subject to further appeal.

2. Procedural Appeals

A procedural appeal may be brought if Tennis Canada's ITP denies the admissibility of a complaint for any of the reasons mentioned in the Preliminary Steps section above.

To submit a procedural appeal, the Complainant must:

- a. provide a written statement setting out their grounds of appeal to the Sr. Director, Sport Integrity within thirty (30) days of the date of receiving the decision
- b. pay an administrative fee of five hundred dollars (\$500.00 CAD) dollars, which will be refunded if the appeal is upheld. The administrative fee shall be paid directly to sportsafety@tenniscanada.com

The Sr. Director, Sport Integrity, in writing, will then either dismiss the procedural appeal, or allow the procedural appeal and refer the complaint back to the ITP for investigation.

3. Merit-Based Appeals

The parties shall have the right to contest the ITP/panel's findings and the imposition of any disciplinary sanction, if the decision itself is unreasonable as follows:

Internal Appeal

The parties shall have the right to contest the ITP/panel's findings and the imposition of any disciplinary sanction before a discipline panel appointed by the ITP that is composed of a single independent member (which shall not include the panel that made the original finding and imposed the disciplinary sanction being contested).

The appointed discipline panel shall decide the format under which the appeal will be heard. This decision is at the sole discretion of the panel and cannot be appealed. Without limitation, this may include an oral in-person or virtual hearing, an oral hearing by telephone or other electronic means, a hearing based on a review of documentary evidence, documentary submissions or a combination of these methods.

To submit an internal merit-based appeal, the Complainant must:

- a. provide a written statement setting out their grounds of appeal to the Sr. Director, Sport Integrity within thirty (30) days of the date of receiving the decision
- b. pay an administrative fee of five hundred (\$500.00 CAD) dollars, which will be refunded if

the appeal is upheld. The administrative fee shall be paid directly to sportsafety@tenniscanada.com

The appointed discipline panel shall issue its decision, in writing and with reasons, within thirty (30) days after the hearing's conclusion. This decision shall be provided to all parties, the Sr. Director, Sport Integrity and the NSO.

The decision of the panel may be appealed to the SDRCC in accordance with the Canadian Sport Dispute Resolution Code.

SDRCC Appeal

Any appeals to the SDRCC will be subject to the appeal procedures and the dispute resolution mechanisms found in the Canadian Sport Dispute Resolution Code.

The individual party filing the appeal shall be solely responsible for the payment of any and all applicable appeal fees, and such fees shall be paid in full in accordance with the SDRCC's rules and policies.

D7. OTHER CONSIDERATIONS

Confidentiality

Organisational Participants can be assured that Tennis Canada will take all possible steps to preserve confidentiality to the extent reasonably possible and in accordance with applicable privacy legislation and other legal requirements. Despite assurances of confidentiality and privacy, Tennis Canada must report incidents that are likely to give rise to a claim to its insurance provider at the time Tennis Canada is made aware of the incident. Moreover, Tennis Canada may be required to share relevant information with child protection authorities and police. Tennis Canada may also be required to provide sufficient information about the allegation(s) to the Respondent to enable them to provide a proper response. In many cases, this will mean that anonymity is not feasible or fair.

At the same time, all participants in informal resolution, an investigation or the disciplinary process are expected to keep confidential all discussions and interactions with the mediator, investigator and/or discipline panel, as well as information and records related to the complaint. A failure to maintain confidentiality may result in disciplinary consequences.

Human resources will keep and retain investigation and disciplinary records in accordance with the applicable legislation. Records will be kept as long as the individual is an employee or on contract and as long as possible unless legislation requires their destruction. Such records will be stored in a confidential file maintained and accessed only by the Human Resources manager or their delegate. If a complaint is not substantiated, no documentation of the complaint will be placed in the personnel file of the Respondent, but records will be maintained so that repeat patterns can be highlighted.

Jurisdiction

Any alleged Code violations or complaints occurring within competition will be dealt with by the procedures specific to the competition, if applicable. In such situations, disciplinary sanctions will

be for the duration of the competition, training, activity or Event only. Further sanctions may be applied but only after review of the matter in accordance with the procedures set out in this Code.

Fabricated, Malicious, Frivolous or Vexatious Complaints

If it is determined that a Complainant has made a complaint or influenced others to make a complaint that is fabricated, malicious, frivolous or vexatious, they will be subject to disciplinary action up to and including termination of employment for just cause, termination or rescission of contract, removal from one's position, permanent ineligibility, or any other sanction(s) that is appropriate in the circumstances. Repeated unfounded complaints may in appropriate circumstances be considered fabricated, malicious, frivolous or vexatious and result in disciplinary action, up to and including termination of employment for just cause, termination or rescission of contract, removal from one's position, permanent ineligibility, or any other sanction(s) that is appropriate in the circumstances.

E. CONFIRMATION OF COMPLIANCE

The above constitutes Tennis Canada's *Sport Safety Code of Conduct* and *Discipline and Complaints Policy*. Every individual within the scope of the Code and Policy will be expected to confirm their understanding and acknowledgment below.

ACKNOWLEDGEMENT

I hereby acknowledge that I have received and read a copy of Tennis Canada's *Sport Safety Code of Conduct* and *Discipline and Complaint Policy* and consent to its contents. I understand that I must abide by Tennis Canada's *Sport Safety Code of Conduct*, and that failure to do so may result in sanctions pursuant to Tennis Canada's *Discipline and Complaint Policy* and/or the UCCMS (if applicable), as well as publication on Tennis Canada's Public Sanctions Registry.

I understand that the *Sport Safety Code of Conduct* and *Discipline and Complaint Policy* are Tennis Canada's policies in respect of the topics covered in effect on the date of publication and that it replaces all other previous versions of the policies. Any rules, policies, or benefits described in this document may be modified or varied by Tennis Canada at any time.

Name: _____

Signature: _____

Date: _____

Where participant is a minor

I, _____ (name of parent/guardian), parent/guardian of _____ (participant name), declare that I have read and understand Tennis Canada's *Sport Safety Code of Conduct* and *Discipline and Complaint Policy* and have discussed the *Sport Safety Code of Conduct* and *Discipline and Complaint Policy* with the participant in my care. I am confident that the participant in my care understands the *Sport Safety Code of Conduct* and *Discipline and Complaint Policy* and agrees to abide by the terms contained within.

The participant understands that s/he must abide by Tennis Canada's *Safe Sport Code of Conduct*, and that failure to do so may result in sanctions pursuant to Tennis Canada's *Discipline and Complaint Policy* and/or the UCCMS (if applicable), as well as publication on Tennis Canada's Public Sanctions Registry.

I understand that the *Sport Safety Code of Conduct* and *Discipline and Complaint Policy* are Tennis Canada's policies in respect of the topics covered in effect on the date of publication and that it replaces all other previous versions of the policies. Any rules, policies, or benefits described in this document may be modified or varied by Tennis Canada at any time.

Name: _____

Signature: _____

Date: _____