



# DISCIPLINE AND COMPLAINTS POLICY

*(Non-Maltreatment Complaints)*

**Effective Date:** January 1, 2026

**Approved by:** Tennis Alberta Board of Directors on December 16, 2025

This policy replaces all previous Tennis Alberta discipline and complaints policies and functions alongside Tennis Alberta's adoption of the **Alberta Safe Sport Complaint Mechanism (ABSSCM) Reporting and Independent Resolution Policy**.

## A. POLICY STATEMENT

**IMPORTANT:** For all complaints involving Maltreatment or Prohibited Behaviour as defined in the **Alberta Universal Code of Conduct (AB UCC)**, please refer to the **Alberta Safe Sport Complaint Mechanism (ABSSCM) Reporting and Independent Resolution Policy**, which Tennis Alberta has adopted and is available on our website. The ABSSCM has exclusive jurisdiction over all Maltreatment-related complaints.

This Discipline and Complaints Policy (the "Policy") applies to complaints involving alleged breaches of Tennis Alberta's Code of Conduct that do not constitute Prohibited Behaviour under the AB UCC. This includes matters such as sportsmanship violations, minor conduct issues, policy breaches, and other Code of Conduct matters that fall outside the scope of the ABSSCM.

Tennis Alberta ("TA") has also adopted Tennis Canada's Sport Safety Code of Conduct (the "NSO Code"). In adopting the NSO Code, Tennis Alberta agrees to adhere to the NSO Code and corresponding Tennis Canada Discipline and Complaints Policy ("NSO Policy") as applicable, and implement any decisions and disciplinary sanctions imposed pursuant to the NSO Policy. Tennis Alberta recognizes that if a complaint pertains to certain defined conduct, Tennis Canada may retain jurisdiction over the conduct and the NSO Code and NSO Policy shall apply instead of this Policy (please see Section B for more information on jurisdiction).

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

This Policy is founded on the highest ethical standards of treating all 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.

Tennis Alberta is committed to leading the growth of tennis in Alberta by promoting an environment that is free from all forms of misconduct and that reflects our core values of Integrity, Progress, Respect, and Collaboration.

This Policy applies to and is meant to protect all Participants and identifies the consequences of non-compliance with Tennis Alberta's Codes of Conduct. It is incumbent upon every



Participant to comply with and be bound by this Policy and all of Tennis Alberta's policies. Tennis Alberta requires the Reporting of all violations of the Code of Conduct.

**Related Documents:** This Policy should be read in conjunction with the following documents, which are maintained separately and available on Tennis Alberta's website:

- Tennis Alberta's Codes of Conduct
- ABSSCM Safe Sport Reporting and Independent Resolution Policy
- Alberta Universal Code of Conduct (AB UCC)
- Tennis Canada Sport Safety Code of Conduct and Discipline & Complaints Policy
- Tennis Canada Rules of the Court

## B. DEFINITIONS

**AB UCC:** The Alberta Universal Code of Conduct, as amended from time to time.

**ABSSCM:** The Alberta Safe Sport Complaint Mechanism, as administered and delivered by ASLA pursuant to the ABSSCM Reporting and Independent Resolution Policy.

**ASLA:** Alberta Sport Leadership Association.

**Athlete:** An individual who is an Athlete Participant in Tennis Alberta who is subject to the policies of Tennis Alberta and to this 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.

**Code of Conduct:** Tennis Alberta's Code of Conduct, as amended from time to time.

**Complainant:** An individual or organization who Reports an alleged or suspected violation of the Code of Conduct.

**CSSP Participant(s):** A Participant affiliated with Tennis Canada who has been designated by Tennis Canada as a Canadian Safe Sport Program Participant and who has completed an e-learning module and signed the required consent form.

**Days:** Calendar days.

**Fair Play Officer (FPO):** An individual designated by Tennis Alberta and/or Tennis Canada to receive and potentially investigate/evaluate a non-maltreatment-related complaint.

**Maltreatment:** As defined in the AB UCC and UCCMS, as amended from time to time. For clarity, complaints involving Maltreatment fall under ABSSCM jurisdiction.

**Minor:** A Participant who is under the age of majority (18 years) in Alberta at the time of the alleged conduct.

**NSO:** Tennis Canada.

**NSO Code:** Tennis Canada's Sport Safety Code of Conduct.



**NSO ITP:** The independent entity that is retained by Tennis Canada to receive and, if needed, investigate and determine all complaints in accordance with the Tennis Canada Sport Safety Code of Conduct & Discipline and Complaints Policy.

**NSO Policy:** Tennis Canada's Discipline and Complaints Policy.

**Participant:** Any individual who is a member of Tennis Alberta or who participates in Tennis Alberta activities. This includes all Athletes, Personnel, Athlete Support Personnel, coaches, officials, volunteers, parents/guardians, spectators, and committee members.

**Personnel:** Tennis Alberta employees, students, interns, officials, self-employed independent contractors, volunteers, and members of the Board.

**Prohibited Behaviour:** As defined in the AB UCC. For clarity, complaints involving Prohibited Behaviour fall under ABSSCM jurisdiction.

**Provincial ITP:** The independent third party retained under the ABSSCM to receive Reports and oversee the complaint mechanism.

**Report (or Reporting):** As defined in the AB UCC and as amended from time to time.

**Respondent:** A Participant who is alleged or suspected to have violated the Code of Conduct.

**Serious Misconduct:** An allegation of misconduct which Tennis Canada determines, in its sole discretion, would constitute a severe violation of the NSO Code (or Tennis Alberta's Code of Conduct), if proven.

**SIC:** Sport Integrity Canada, the body mandated to independently administer and enforce the UCCMS by receiving and responding to Reports of Prohibited Behaviour.

**TPA:** Tennis Professionals Association of Canada.

**UCCMS:** Universal Code of Conduct to Prevent and Address Maltreatment in Sport, as amended from time to time.

## **C. SCOPE OF APPLICATION**

### **C1. Policy Scope**

This Policy applies to Participants and to any alleged breaches of Tennis Alberta's Code of Conduct that do not constitute Prohibited Behaviour under the AB UCC.

In addition to being subject to disciplinary action pursuant to this Policy, an employee of Tennis Alberta who is a Respondent to a complaint may also be subject to consequences in accordance with the employee's employment agreement or Tennis Alberta's human resources policies and procedures.

### **C2. Jurisdiction**



Tennis Alberta recognizes that Participants may also be registered with Tennis Canada and/or other affiliated organizations. The jurisdiction of a complaint will be assigned to the appropriate organization based on the nature of the complaint, the affiliation or identity of the Respondent, and the Respondent's role at the time of the conduct.

**ABSSCM Jurisdiction (Provincial Safe Sport):**

All complaints involving Prohibited Behaviour as defined in the AB UCC, including Maltreatment, fall under the jurisdiction of the ABSSCM. Should the ABSSCM deem a complaint to be outside of their jurisdiction (i.e. National Jurisdiction), the complaint will be directed accordingly.

Tennis Alberta will implement and enforce all decisions and sanctions issued by the ABSSCM.

Please see the **ABSSCM Reporting and Independent Resolution Policy** for more information.

**Tennis Canada Jurisdiction:**

The NSO Policy shall be followed when a complaint involves:

- a) Individuals participating in national-level sporting activities, including high-performance programs, national team selection and training, national championships, and events featuring interprovincial participants that qualify athletes for national or international competition; or
- b) Individuals contracted by Tennis Canada who support participants in the above activities (e.g., national coaches, high-performance staff, event officials for national championships) as determined in the sole discretion of Tennis Canada.
- c) allegations of Serious Misconduct under the jurisdiction of Tennis Alberta, and which do not fall under the AB UCC.

**SIC Jurisdiction:**

Incidents involving an alleged breach of the UCCMS which involves a CSSP Participant will be addressed pursuant to SIC's policies and procedures.

A full list of designated CSSP Participant is available from the Sr. Director of Integrity at [sportsafety@tenniscanada.com](mailto:sportsafety@tenniscanada.com).

**Tennis Alberta Jurisdiction:**

The procedure outlined in this Policy shall be followed where a complaint involves an alleged breach of Tennis Alberta's Code of Conduct that:

- a) does not constitute Prohibited Behaviour under the AB UCC; and
- b) does not fall within Tennis Canada's jurisdiction as described above.

*Note: It is possible that more than one entity may retain jurisdiction and may investigate a breach of policies/procedures.*



## D. REPORTING

### D1. How to Report

**All complaints, regardless of type, should be submitted through the ABSSCM Provincial ITP reporting platform.** The Provincial ITP will assess the complaint and determine the appropriate jurisdiction and pathway.

Complaints may be submitted:

- **Online:** Via the reporting link/button on Tennis Alberta's website
- **Phone:** 1-855-603-0483

If a complaint is submitted directly to Tennis Canada, Tennis Canada's ITP will assess the complaint and determine whether the complaint shall be dealt with in accordance with the policies and procedures of the NSO or Tennis Alberta..

Participants are expected to Report all alleged or suspected violations of the Code of Conduct 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), whether it occurred domestically or abroad.

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

### D2. Intake and Triage

Upon receiving a complaint through the Provincial ITP platform, the Provincial ITP will:

1. Assess whether the complaint involves Prohibited Behaviour under the AB UCC (if so, the ABSSCM process applies);
2. Determine whether Tennis Canada has jurisdiction;
3. Refer non-maltreatment complaints within Tennis Alberta's jurisdiction to Tennis Alberta's Fair Play Officer(s).

Note: Some complainants may self-select reporting directly to Tennis Alberta, through the Provincial ITP Platform (i.e. non-maltreatment). These complaints will go directly to Tennis Alberta's Fair Play Officer(s).

### D3. Preliminary Requirements

Complaints under this Policy 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.

The Fair Play Officer may decline to accept a complaint that:

- a) is made outside of the 60-day timeline without exceptional circumstances;



- b) does not fall within the jurisdiction of this Policy;
- c) is frivolous, vexatious or filed in bad faith; or
- d) is submitted anonymously (see below).

The Fair Play Officer shall provide reasons for declining to accept a complaint on these bases.

**Anonymous Complaints:** Anonymous complaints typically will not be accepted under this Policy. If an anonymous complaint is received, it will be reviewed by the Fair Play Officer to determine whether circumstances require that an exception be made. The Fair Play Officer will offer an anonymous Complainant the opportunity to put their name to the complaint before dismissing it.

## E. AVAILABLE PROCESSES

Once a complaint is accepted under this Policy, the Fair Play Officer will determine the appropriate process based on the nature and severity of the complaint.

### E1. Informal Resolution

The Fair Play Officer or ITP may determine that informal resolution is appropriate for minor matters. If the parties agree to attempt informal resolution, the Fair Play Officer may:

- facilitate discussions between the parties directly;
- refer the file to an external mediation or facilitation service (such as the SDRCC's early resolution facilitation services); or
- propose a resolution for the parties' consideration.

Informal resolution is voluntary and requires the consent of all parties.

### E2. Investigation and Adjudication

Where informal resolution is not possible, the parties do not agree to attempt it, or informal resolution is unsuccessful, the Fair Play Officer will proceed with a formal process (either themselves or through a defined ITP):

1. **Investigation:** The Fair Play Officer or ITP will investigate the complaint, which may include reviewing documents, interviewing the parties and witnesses, and gathering relevant evidence. Participants and witnesses are expected to cooperate with the investigation and provide full details to the best of their ability.
2. **Findings:** Upon completion of the investigation, the Fair Play Officer or ITP will prepare findings regarding whether, on a balance of probabilities, the allegations constitute a breach of the Code of Conduct.
3. **Decision:** The Fair Play Officer or ITP may make a decision on the complaint, or may escalate the matter to an internal panel for determination. If a breach is found, appropriate sanctions may be imposed in accordance with Section F.
4. **Notification:** A summary of the findings will be shared with the Complainant and Respondent, and Tennis Alberta.



### **E3. Escalation to Panel**

For more complex matters, or where the Fair Play Officer determines it is appropriate, the complaint may be referred to an internal panel constituted of one or more independent members. The panel will review the Fair Play Officer's investigation findings and make a determination regarding any breach and appropriate sanctions.

### **E4. Interim Measures**

Prior to or during the investigation, Tennis Alberta may take steps to address immediate concerns, such as the safety of Participants, by imposing interim measures pending the outcome of the investigation. Interim measures may include, but are not limited to, probation, a provisional suspension, or restrictions on eligibility or participation.

### **E5. Other Reporting Obligations**

Any procedure outlined in this Policy does not prevent a Complainant from filing a complaint or claim under provincial 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.

## **F. RESOLUTION AND SANCTIONS**

### **F1. Resolution**

If at any time during the process the complaint can be resolved to the satisfaction of the Complainant and in a manner acceptable to the Respondent and Tennis Alberta, 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 Alberta.

### **F2. Sanctioning Considerations**

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 following factors will be considered (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, and/or cooperation in the investigative and/or disciplinary process;
- f) real or perceived impact of the incident on the Complainant, Tennis Alberta, or the sporting community;
- g) circumstances specific to the Respondent (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 or high-impact decision-making may face more serious sanctions; and
- 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.

### **F3. Available Sanctions**

The following disciplinary sanctions may be applied, singularly or in combination:

- **Verbal or Written Warning:** A verbal reprimand or an official, written notice that the individual has violated the Code of Conduct and that more severe sanctions will result should the individual be involved in other violations.
- **Education:** The requirement that an individual undertake specified educational or remedial measures.
- **Probation:** Further violations during the probationary period may result in additional disciplinary measures, including suspension or permanent ineligibility. May include loss of privileges or other conditions.
- **Suspension:** Suspension from participation in any capacity in Tennis Alberta programs, activities, events, or competitions for a set time or until further notice. 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
- **Eligibility Restrictions:** Restrictions or prohibitions from some types of participation while allowing participation in other capacities under strict conditions.
- **Permanent Ineligibility:** Ineligibility to participate in any capacity in Tennis Alberta programs, activities, events, or competitions.
- **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



#### **F4. NSO/SIC/ABSSCM Sanctions**

As a member of Tennis Canada and a participant in the ABSSCM, Tennis Alberta will ensure that any sanctions or measures imposed by Tennis Canada, SIC, or the ABSSCM will be implemented and respected within Tennis Alberta's jurisdiction upon receipt of appropriate notice.

#### **F5. Notification**

Once the 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 Alberta, at its discretion, may also give notice of a Code violation to affected third parties, such as a Coach's employer, Clubs, or others.

#### **F6. Failure to Comply**

Failure to comply with a sanction, or failure to cooperate with Tennis Alberta's, ABSSCM's, and/or Tennis Canada's process, may lead to the implementation of additional sanctions and/or restrictions on the individual's ability to participate in sport.

#### **F7. Tennis Canada Public Sanctions Registry**

Tennis Alberta is committed to fostering a sport environment free from abuse that is safe for all participants. Tennis Alberta recognizes that Tennis Canada maintains a Public Sanctions Registry ("Registry") for this purpose. Tennis Alberta agrees to work with the Tennis Canada to ensure the information posted on the Registry is accurate and up-to-date.

The Registry supports the objectives of the NSO Code, NSO Policy, UCCMS and of SIC, 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 NSO Code and NSO 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 Alberta agrees to provide copies of discipline and appeal decisions rendered pursuant to the Code and Policy to the NSO. This includes discipline and appeal decisions from the **ABSSCM Reporting and Independent Resolution Policy**.



As such, Tennis Alberta 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 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 Alberta may also collect, use and disclose personal information without giving advance notice where permitted or required by law.

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

Questions regarding collection should be addressed to [sportsafety@tenniscanada.com](mailto:sportsafety@tenniscanada.com).

## **G. APPEALS**

**Note:** Appeals of decisions made under the ABSSCM (including Maltreatment-related complaints) must follow the ABSSCM appeal process as outlined in Section 18 of the **ABSSCM Reporting and Independent Resolution Policy**.

### **G1. Interim Sanction Appeals**

Any interim sanction imposed under this Policy may be appealed by the Respondent to the ITP, Fair Play Officer, or to an internal panel (if a panel was appointed with respect to the complaint investigation).

To submit an interim measure appeal, the Respondent must:

- provide a written statement setting out why it is manifestly unfair for the interim measure to be imposed/maintained, within thirty (30) days of being advised of the measure; and
- pay an administrative fee of two hundred and fifty dollars (\$250.00 CAD), which will be refunded if the appeal is upheld. The administrative fee shall be paid directly to Tennis Alberta

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

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



The Fair Play Officer/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 Fair Play Officer/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 and Tennis Alberta.

Any decision shall not be subject to further appeal.

## **G2. Procedural Appeals**

A procedural appeal may be brought if the Fair Play Officer or ITP denies the admissibility of a complaint (e.g., outside the 60-day timeline, outside jurisdiction, frivolous/vexatious, or anonymous).

To submit a procedural appeal, the Complainant must:

- provide a written statement setting out their grounds of appeal to the Tennis Alberta Executive Director within thirty (30) days of receiving the decision; and
- pay an administrative fee of two hundred and fifty dollars (\$250.00 CAD), which will be refunded if the appeal is upheld. The administrative fee shall be paid directly to Tennis Alberta

The procedural appeal will be reviewed and either dismissed or allowed (with the complaint referred back for investigation).

## **G3. Merit-Based Appeals**

The parties shall have the right to contest the 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 Fair Play Officer/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:

- provide a written statement setting out their grounds of appeal within thirty (30) days of receiving the decision; and



- pay an administrative fee of two hundred and fifty dollars (\$250.00 CAD), which will be refunded if the appeal is upheld. The administrative fee shall be paid directly to Tennis Alberta

The panel shall issue its decision in writing with reasons within thirty (30) days after the hearing's conclusion. A copy of the decision will be provided to all parties and Tennis Alberta.

## **H. OTHER CONSIDERATIONS**

### **H1. Confidentiality**

Participants can be assured that Tennis Alberta 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 Alberta must report incidents that are likely to give rise to a claim to its insurance provider at the time Tennis Alberta is made aware of the incident. As well, Tennis Alberta may be required to report incidents to our governing bodies. Moreover, Tennis Alberta may be required to share relevant information with child protection authorities and police. Tennis Alberta 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.

### **H2. Record Keeping**

Tennis Alberta will keep and retain investigation and disciplinary records in accordance with applicable legislation. Records will be stored in a confidential file maintained and accessed only by authorized personnel. 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 identified.

### **H3. Competition Jurisdiction**

Any alleged Code violations 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 Policy.

### **H4. 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.