

CODE OF CONDUCT FOR MEMBERS OF THE INVESTIGATION UNIT

1. PURPOSE AND APPLICATION

This Code of Conduct sets out the standards of conduct governing the professional and ethical responsibilities of the members of the Investigation Unit (hereinafter referred to as “the Investigators”). It is intended to complement existing legal and professional requirements to which these Investigators are otherwise bound.

This Code does not form part of, override or replace the rules or applicable laws of investigations conducted under the Investigation Unit.

The SDRCC Board of Directors is empowered to investigate alleged breaches of this Code and impose sanctions which may include removal of an Investigator, more particularly but not exclusively through the application of the SDRCC Complaint Process Policy, as amended from time to time.

2. OBJECTIVES

- a) Provide guiding principles for the conduct of Investigators;
- b) Publicly affirm the commitment of the SDRCC to offer professional and independent third-party investigation services to the Canadian sport community;
- c) Promote public confidence in the services provided by the Investigation Unit.

3. PRINCIPLES OF CONDUCT

a) Regulatory Compliance

The Investigators shall:

- i) Conduct all investigations in accordance with applicable laws and policies;
- ii) Possess knowledge of and comply with the Investigation Unit policies and guidelines, as amended from time to time, and facilitate others' compliance;
- iii) Not commit or condone an unethical or illegal act or invoke another to do so; and
- iv) Promptly disclose to the relevant authorities any information acquired through an investigation that they are compelled by applicable laws to report.

b) Independence and Impartiality

The Investigators shall:

- i) Accept an appointment only if fully satisfied to be impartial and independent from the client, the parties and the witnesses as well as their representatives;

- ii) Immediately disclose any interest or relationship, reasonably known at any given time, which may adversely affect their independence or impartiality (or appearance thereof) or the credibility of the SDRCC;
- iii) Not be influenced by outside pressure or self interest;
- iv) Render conclusions and, if any, recommendations that are just, deliberate and based on facts only;
- v) Not give or accept anything that might raise a question about their impartiality; and
- vi) Refrain from acting as an advocate for any party involved in any investigation conducted under the Investigation Unit.

c) Accessibility, Fairness and Courtesy

The Investigators shall:

- i) Avoid impropriety in communications with clients, parties, witnesses, and their representatives, as well as with SDRCC staff;
- ii) Act fairly, without discrimination or favouritism, in a manner respectful of diversity and of social and cultural differences;
- iii) Communicate with parties and witnesses as well as their representatives even-handedly, respectfully and sensitively and encourage mutual respect among the parties;
- iv) Ensure that the parties have an adequate understanding of the procedural aspects of such investigation process and have adequate opportunities to be heard, whether or not they are represented; and
- v) Refrain from unduly influencing parties or from providing legal advice.

d) Quality, Consistency and Integrity

The Investigators shall:

- i) Accept an appointment only if available to devote the time and attention to meet the timeliness standards of the Investigation Unit and satisfy the reasonable expectations of the parties concerning a timely resolution;
- ii) Make all reasonable efforts to prevent delaying tactics, harassment of parties or other participants, or other abuse or disruption of the investigation process;
- iii) Be fully apprised of the case and prepare appropriately prior to commencing an investigation or interviewing witnesses;
- iv) Not delegate any duty to decide to another person unless permitted to do so by parties or by the applicable rules;
- v) Not engage in conduct that exploits their position as an Investigator; and
- vi) Adhere to standards of integrity and honesty when making arrangements for compensation and reimbursement of their expenses.

e) Professionalism and Competence

The Investigators shall:

- i) Maintain a high level of professional competence and knowledge required to discharge their obligations and duties as Investigators;
- ii) Remain current in the field and contribute to the improvement of the Investigation Unit, including by attending the mandatory training sessions organized by the SDRCC;
- iii) Welcome feedback and fully cooperate in addressing any complaint filed against them;
- iv) Refrain from publicly denigrating another Investigator, a decision made by a client or an SDRCC roster member, or the SDRCC; and
- v) Refrain from carrying on any activity or behavior which could be considered as conduct unbecoming of a member of the Investigation Unit or bring the SDRCC into disrepute.

f) Confidentiality

The Investigators shall:

- i) Refrain from disclosing or using for other purposes any confidential information obtained through investigations conducted under the Investigation Unit, even beyond the termination of their mandate with the SDRCC, unless compelled by law to disclose it;
- ii) Promote understanding among the parties and the witnesses as well as their representatives of their duty to confidentiality during investigations conducted under the Investigation Unit;
- iii) Properly store and, within such reasonable time after the closing of a file as is needed in the eventuality of further proceedings in a court of law, dispose of confidential notes, records, files, information, documents and communications relating to investigations conducted under the Investigation Unit; and
- iv) Forward any request by the media to speak about a pending investigation under the Investigation Unit to the person designated by the client for which the investigation is conducted.