



**CURLING
ALBERTA**

**POLICIES AND
PROCEDURES
MANUAL**

2018-19

Updated November 1, 2018

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SECTION 1: POLICIES

CONFIDENTIALITY

POLICY #002

EFFECTIVE DATE: JULY 30, 2018

POLICY STATEMENT:

The Curling Alberta (CA) is committed to protecting its proprietary confidential information.

The Curling Alberta (CA) will comply with relevant legislation.

The purpose of this Policy is to ensure the protection of Confidential Information that is proprietary to the Curling Alberta.

DEFINITIONS

CA Representatives: all individuals employed by, or engaged in activities with, the CA including, but not limited to, athletes, coaches, officials, volunteers, administrators, contract personnel, committee members, and Directors and officers of the CA (hereinafter "CA Representatives").

Confidential Information:

The term "Confidential Information" includes, but is not limited to, the following:

- a) Personal information of CA Representatives including:
 - i. Home address
 - ii. Email address
 - iii. Personal phone numbers
 - iv. Date of birth
 - v. Financial information
 - vi. Medical history
 - vii. Police and background Checks

POLICY

- This Policy applies to all categories of membership within the CA's Bylaws as well as all individuals employed by, or engaged in activities with, the CA. Persons affected by this Policy include, but are not limited to, athletes, coaches, officials, volunteers, administrators, contract personnel, committee members, Directors and officers of the CA (hereinafter "CA Representatives").
- Confidential Information does not include the following: name, title, business address, work telephone number, or any other information widely available or posted publicly.
- CA Representatives voluntarily publishing or consenting to the publication of basic personal information in a public forum (such as the listing of an email address on a website) forfeit the expectation of confidentiality for that personal information for as long as it is available publicly.
- Directors, Staff and Committee members will review and sign a confidentiality agreement on an annual basis.

Responsibilities

- CA Representatives will not, either during the period of their involvement/employment with the CA or any time thereafter, disclose to any person or organization any Confidential Information acquired during their period of involvement/employment, unless expressly authorized to do so.
- CA Representatives will not publish, communicate, divulge, or disclose to any unauthorized person, firm, corporation, or third party any Confidential Information without the express written consent of the CA or the individual where appropriate.
- CA Representatives will not use, reproduce, or distribute Confidential Information without the express written consent of the CA or the individual where appropriate.
- All files and written materials relating to Confidential Information will remain the property of the CA and, upon termination of involvement/employment with the CA or upon request of the CA, the CA Representative will immediately return all written or tangible Confidential Information, as well as copies and reproductions, and any other media containing Confidential Information.
- The CA will review FOIP and other relevant legislation to ensure compliance.

Intellectual Property

- Copyright and any other intellectual property rights for all written material (including material in electronic format or posted on a website) and other works produced in connection with employment or involvement with the CA will be owned solely by the CA, which shall have the right to use, reproduce, or distribute such material and works, in whole or in part, for any purpose it wishes. The CA may grant permission for others to use its intellectual property.

Enforcement

- A breach of any provision in this Policy may be subject to legal recourse, termination of the employment or volunteer position, or sanctions.

CONFLICT OF INTEREST

POLICY #001

EFFECTIVE DATE: JULY 30, 2018

POLICY STATEMENT:

This policy applies to the expected conduct of Directors, committee members and employees of the Curling Alberta, when carrying out the business and activities of the Curling Alberta. It enables Directors, committee members and employees to recognize and declare potential conflicts of interest.

DEFINITIONS

Officials: The word “Official” will be used throughout this document to include all members of the Curling Alberta (Directors), all members of committee(s), and employees.

Conflict of Interest: Officials are considered to be in a “conflict of interest” whenever they themselves, or members of their family, business partners or close personal associates, may personally benefit either directly or indirectly, financially or otherwise, from their position on the Association, committees or as an employee.

A conflict of interest may be “real,” “potential” or “apparent”; the same duty to disclose applies to each. Full disclosure in itself does not remove a conflict of interest.

Committees: This policy applies equally to all committee members who participate in committees of the Curling Alberta.

PURPOSE:

The purpose of this policy outlines the expectations of individuals when conducting activities that further the Curling Alberta’s programs and services. The policy sets forth guidelines for dealing with conflicts of interest and related matters. It is intended to protect Curling Alberta’s reputation for integrity, and to increase its capacity for effective governance.

POLICY:

Curling Alberta Directors, committee members, employees or representatives of the Curling Alberta shall not:

- Engage in any business or transactions or have a financial or other personal interest which is incompatible with the discharge of their duties and obligations with the Curling Alberta.
- Knowingly place themselves in a position where they are under obligation to any person who might benefit from special consideration or favour on their part, or might seek, in any way, preferential treatment.
- Accord, in the performance of their duties and obligations, preferential treatment to relatives or friends or to organizations in which they or their relatives or friends have an interest, financial or otherwise.
- Benefit from the use of information acquired during the course of their duties with the Curling Alberta, which is generally not available to the public.
- Use Curling Alberta property, equipment, supplies or services of consequence for

- activities not associated with the discharge of official duties with Curling Alberta.
- Place themselves in a position where they could influence decisions or contracts from which they could derive any direct or indirect benefits or interest.
 - Accept any gift that could reasonably be construed as being given in anticipation or recognition or of special consideration by the Curling Alberta, Committee Members, employees, representatives and decision makers of the Curling Alberta.
 - In addition, engage in any outside work, activity or business undertaking that conflicts or appears to conflict with their duties as Directors, Committee Members, employees, representatives and decision makers of the Curling Alberta, in which they have an advantage or appear to have an advantage deriving from their Association with the Curling Alberta.
 - Act in a manner which is contrary to the best interest of the association.

PROCEDURE FOR DISCLOSURE:

Individuals, who are elected, appointed or hired to positions within the Curling Alberta, will disclose their potential conflict in the following manner:

- Whenever a Board of Director, committee member, staff person, representative or decision maker considers that he or she could be, or could potentially be, in a conflict of interest as defined within this policy, he or she shall disclose this conflict to the Chair & the Executive Director immediately.
- Any other Board of Director, Committee member, employee or representative of the Curling Alberta who feels that a Board of Director, Committee member, employee or representative of the Curling Alberta is in a conflict of interest, may report the matter to the Chair and the Executive Director at any time.
- If a Board of Director, Committee member, employee or representative of the Curling Alberta is in doubt as to whether or not conflict of interest situations exist, he or she should provide disclosure to the Chair and the Executive Director immediately.

PROCEDURE FOLLOWING DISCLOSURE:

Once a Board of Director, Committee member, employee or representative of the Curling Alberta has provided disclosure of a conflict of interest with respect to a particular matter to be considered or decision to be made, the following principles shall apply:

- The individual in the conflict of interest may not participate in discussion of this matter as an advocate on his or her own behalf, either formally at the meeting or informally through private contact, communication or discussion, unless such participation is approved by a majority vote of the Curling Alberta Board of Directors
- The individual in a conflict of interest shall not participate in any vote on the matter and either the committee or board level.
- Documentation relating to conflict of interest situations shall be recorded in the Minutes of the Curling Alberta and all relevant committees of the Curling Alberta.

SANCTIONS FOR FAILURE TO ADHERE TO THIS POLICY:

- Curling Alberta Board of Directors will review the situation, if required will convene a hearing with the individual who is alleged to have failed to adhere to this policy. The final decision regarding a breach of this policy rests with the Curling Alberta Board of Directors.

In investigating the matter, convening a hearing, recommending sanctions, and deciding the outcome of any breach of this policy, the Curling Alberta Board of Directors will respect the principles of procedural fairness.

TRAVEL & EXPENSE

POLICY #00

EFFECTIVE DATE: JULY 30, 2018

POLICY STATEMENT:

The purpose of this policy is to provide all Curling Alberta employees and associates (which includes contractors, consultants, Board members, committee members, etc.) general guidelines and information regarding travel and allowable business expenses, and the procedure for reimbursement of travel and business expenses.

Legitimate expenses, related to approved Curling Alberta travel or business, will be reimbursed by Curling Alberta, in accordance with this policy.

GENERAL

Curling Alberta will reimburse, or pay for, business travel and expenses that are legitimate, reasonable and appropriate for the business activity undertaken. All employees and associates, incurring business-related expenses on behalf of Curling Alberta, should bear in mind the following principles:

- **Accountability** – Curling Alberta has a responsibility to its stakeholders, including donors and funding agencies, and to those who depend on Curling Alberta's programs and services, to use its resources appropriately;
- **Moderation** – Curling Alberta believes in being efficient with its resources. Expenses should reflect the principle of moderation, ensuring that good value for money is obtained.
- **Integrity** – We are who we say we are. Nowhere is this principle more important than in the way employees and associates conduct themselves with respect to travel and business expenses.

Expenses that have already been, or will be, reimbursed by another organization, or that will be used for personal income tax purposes, will not be claimed from Curling Alberta. Personal expenses incurred on behalf of the claimant, or his or her family or friends, will not be reimbursed. Individuals should neither gain nor lose personally as a result of incurring expenses on behalf of Curling Alberta. Any personal expenses incurred and paid for by Curling Alberta will be charged back to the individual.

All expense claims should be submitted for reimbursement within 30 days. Expense claims submitted later than the 30-day deadline may not be eligible for reimbursement. Expense claims submitted after year-end cut-off may not be eligible for reimbursement. If there is any doubt as to the application and scope of this policy, the ED or Finance Coordinator should be consulted.

TRAVEL

Travel is an important aspect of Curling Alberta's operations. It represents a large expenditure that is within its control. The high cost of travel dictates that careful consideration should be given to the necessity and frequency of travel. At the same time, Curling Alberta has a responsibility to reasonably provide for the comfort, safety and convenience of those who travel on its behalf.

Curling Alberta employees and associates who travel on Curling Alberta business shall be entitled to claim and be reimbursed for reasonable and actual expenses incurred, in accordance with this policy.

While the method of travel may be at the discretion of the traveller, he or she should consider all costs and time available and should select the least expensive option.

Private automobile:

Use of private automobile should be limited to those trips where suitable public transportation or car rental is not available or where a private automobile is more efficient, considering costs and time available.

Curling Alberta reimburses 51 cents per km for personal vehicle usage. The current rate for allowance may be re-evaluated and adjusted from time to time. This rate is intended to cover the cost of gas, car insurance, repairs, maintenance, etc. No other vehicle-related expenses will be reimbursed. Curling Alberta does not provide personal automobile insurance. This is solely the responsibility of the driver or owner of the vehicle.

Air, bus, or rail:

All travel will be paid, at the actual cost of the travel, based on an economy class ticket. Travel must be arranged through the designated travel agency, if one exists.

For air travel, the travel must be booked using the lowest possible airfare available from any airline for the requested trip, taking into consideration luggage fees, change fees, etc. The best cost travel will be booked within a one-hour window before or after the requested travel times, where possible. This option must be taken unless flight time or additional stops are unreasonable, in which case an alternate flight may be booked.

Travel should be booked at least two weeks in advance of the scheduled dates, to obtain the most reasonable fare.

The traveller will also be reimbursed for the transportation to and from the departure point (example – taxi from home to airport or airport parking while away).

Curling Alberta will not pay for airline club or lounge access, and loyalty program costs.

Car rental:

For rental cars, Curling Alberta will reimburse the rental fees and any gas receipts for the rented vehicle.

Automobile rentals are reimbursed for intermediate, compact or sub-compact sized vehicles only. Collision Damage and Loss Damage coverage offered by the rental agency is not necessary to purchase. The rental automobile value cannot be in excess of \$75,000 and cannot be for more than 30 days.

Original rental agreements are to be attached to the claim form, along with related fuel receipts. Before returning the vehicle to the drop-off location, the vehicle must be filled with fuel (or pre-purchased).

Car rentals must be arranged through Curling Alberta's exclusive car rental agency. Arrangements can be made either through the organization's travel agency or directly with the car rental agency.

Taxi, Parking, Other:

All taxi receipts are required. The receipt must indicate date, starting point, and destination of each trip.

Parking expenses are allowable and must be accompanied by a receipt.

Traffic fines for speeding, parking infractions, etc. are the responsibility of the driver and will not be reimbursed or paid by Curling Alberta.

Curling Alberta does not provide personal automobile insurance. This is solely the responsibility of the driver or owner of the vehicle.

Accommodations:

Actual and reasonable expenses for accommodations at a hotel, motel, or bed and breakfast facility, while travelling on official business, will be reimbursed. All such accommodations should be made at the lowest rate possible per night. Where possible, the maximum hotel expenditure shall be \$150.00 per night. Premiums for suites or deluxe rooms will not be paid or reimbursed.

When possible, travellers should consider using the Curling Alberta's exclusive accommodation supplier, Best Western.

Reasonable and actual hotel, motel and lodging expenses shall be reimbursed at full cost on submission of original receipts. These expenses include the room charges and taxes. Meals should not be charged on hotel bills, they will not be reimbursed if a per diem applies (see section 4.0). Curling Alberta does not reimburse for additional services provided by a hotel establishment, such as newspapers, movies, hotel tips, mini-bar and personal items. These expenses should be paid personally.

Original receipts (detailed hotel bill) must be attached to the Expense Reimbursement Claim Form. Documents such as credit card slips alone cannot be used for reimbursement, as they do not provide a detailed list of the charges being paid for and taxes charged.

Lodging per diem: If an employee chooses to stay with friends or family during a Curling Alberta business trip, he or she will be entitled to a \$50.00 per night lodging per diem. This rate may be reviewed and may be adjusted from time to time.

MEALS

An employee travelling for Curling Alberta business purposes is entitled to receive a subsistence per diem, at the current authorized levels, for the duration of the travel. The maximum per diem is \$60.00 per day, broken down as follows:

Breakfast	\$10.00
Lunch	\$15.00
Dinner	\$35.00

The per diem is instead of the reimbursement for actual costs. When receiving a per diem, a reimbursement may not be claimed over and above the per diem.

Food receipts are not required and need not be attached to the reimbursement form. The reimbursement will be limited to \$60.00 per day. Number of days claimed will include the date of departure and date of arrival.

For travel outside Canada, the per diem will be calculated in US dollars, in Euros, or in Pounds. The foreign currency per diem will then be translated to the Canadian dollar equivalent at the rate outlined in section 6.0.

These per diem rates may be reviewed and may be adjusted time to time. When attending a conference or meeting, meals are often included in the conference fee or provided by the host. A per diem cannot be claimed in such cases.

Curling Alberta will reimburse full and actual meal expenses only when an employee is acting as a host of visitors on official Curling Alberta business. The nature and purpose of the event, including the name of the group, number of guests or names of the people being entertained, must be listed on the receipt or Expense Claim Reimbursement Form. The Officers of Curling Alberta may on occasion be acting as a host.

Only reasonable alcohol charges will be reimbursed where an employee or officers are hosting visitors on official Curling Alberta business.

For all business meals where more than one Curling Alberta employee is present, the most senior person must pay for the meal and submit the claim for reimbursement.

OTHER ITEMS

GRATUITIES

Reimbursement may be claimed for gratuities paid in the course of incurring business expenditures, as follows:

- Baggage handling porters or valets – \$2.00 per occurrence.
- Taxicab drivers – must be reasonable, usually up to 15% of the fare.
- Housekeeping staff in hotels/motels – \$5.00 for the first day, and \$2.00 for each additional day.
- Restaurant wait staff – must be reasonable, usually up to 15% of the cost, excluding taxes, unless a higher amount is automatically added to the bill by the restaurant.

HOME OFFICE

There is no reimbursement for home office expenses.

INSURANCE

There is no reimbursement for flight cancellation insurance, travel medical insurance, or car insurance.

LAUNDRY & DRY CLEANING

Normally, costs of laundry and dry cleaning are a personal expense; however, when a business trip is planned for more than seven days or lasts longer than planned, if less than seven days, reasonable costs of laundry services and dry cleaning may be reimbursed. Receipts are required when available.

LEISURE AND ENTERTAINMENT

Personal leisure and entertainment expenses including, but not limited to, movies, exercise facilities, sporting events and activities, theatre productions, tourist attractions, sightseeing trips are not reimbursable by Curling Alberta under any circumstances, whether incurred on travel or at home, for personal enjoyment or while entertaining guests.

LUGGAGE

Curling Alberta does not cover the costs of luggage, except for reasonable costs incurred to purchase a carrying bag or briefcase for a Curling Alberta-owned laptop computer. Curling Alberta will not pay for the cost of wrapping suitcases for travel. Curling Alberta will not reimburse for the cost of lost luggage.

PASSPORTS AND VISAS

Curling Alberta will not reimburse any individual for the cost of a passport or other travel documentation routinely required to travel outside the country, unless such costs are incurred solely for business reasons. Curling Alberta will not reimburse the cost of the NEXUS border clearing program.

Curling Alberta will reimburse the cost of a visa or other specific documentation that is required to enter another country specifically for Curling Alberta business.

TELEPHONE

Curling Alberta employees and associates may be reimbursed for reasonable and occasional out-of-pocket telephone costs, such as long distance, incurred in the performance of their position responsibilities.

Curling Alberta employees and associates who travel on Curling Alberta business may be reimbursed for the reasonable costs of calling home during their absence.

While use of a business cell phone for personal use is permitted, any additional charges for personal use including long-distance calls, roaming charges, and text messages, other than as noted above, are to be considered a personal expense and reimbursed to Curling Alberta. When a Curling Alberta employee is travelling outside of the country, he or she must advise the ED, prior to the departure, so that the appropriate travel plan can be added to cell phone package. Failure to inform the ED may result in additional charges that may be charged back to the individual. Please refer to the Cell Phone and Portable Device Policy for additional information.

FOREIGN CURRENCY TRANSACTION

If an expense is paid in a currency other than the Canadian dollar, the actual amount paid in the foreign currency must be indicated on the Expense Claim Reimbursement Form. The reimbursement will be made in Canadian dollars only.

For US dollar or foreign currency transactions, if the exact equivalent amount paid in Canadian dollars is available, such as included on a credit card statement, please attach the credit card statement to the claim form. That rate will be used to calculate the reimbursement. If a US or foreign bank withdrawal was made and the expenses were paid in cash, the rate used to calculate the reimbursement will be the actual exchange rate, as per the banking slip, if provided.

In all other cases, Finance will use the most recent Bank of Canada rate available.

You are encouraged to exchange your money at a local bank, prior to leaving on your trip, to benefit from a better exchange rate.

CASH ADVANCE

A cash advance or request for per diem allowance is a loan given prior to travel in order to cover various legitimate travel and business expenses.

Individuals who are travelling on Curling Alberta business should pay for the expenses and then claim reimbursement upon their return. If there are exceptional circumstances warranting a cash advance, such as a trip to a country where use of a credit card is not possible, an advance is possible, within the following guidelines. A full accounting of the funds used, along with an Expense Claim Reimbursement Form, must be provided within five business days of the conclusion of the event, or return from the trip for which the advance was provided.

Guidelines:

- A Cash Advance Request Form (see form attached – Appendix 2) must be submitted at least two weeks prior to travel.
- The form must be approved by the ED.
- Advances are available for employees of Curling Alberta only.
- The amount of the cash advance is determined on a case-by-case basis and considers the location and duration of the trip.
- The maximum cash advance is \$2,000, unless otherwise pre-approved by the ED.
- A flight itinerary or hotel confirmation must be attached to the Request Form.
- It is the responsibility of the employee to provide the itinerary (ies) as support for the advance.
- Advances must be reconciled at the end of each trip and are considered a loan to the employee until the Expense Reimbursement Claim Form is submitted. If expenses are not submitted in a timely manner, the employee may be required to reimburse the advance.

APPROVAL PROCESS

The claimant is responsible for ensuring that claims for expenses are accurate and reasonable. By signing the Expense Reimbursement Claim Form, the claimant confirms that all expenditures incurred are related to Curling Alberta business, that charges included have not been submitted to other organizations for reimbursement, that expenditures are in accordance with Curling Alberta policies, and that they will not be used for income tax purposes.

The Expense Reimbursement Claim Form must be signed by both the claimant and the ED. Any claims submitted by the ED must be approved by another person with signing authority.

The individual who approves the Expense Reimbursement Claim Form is also responsible for ensuring that the reimbursement is made in accordance with Curling Alberta policy and that the amounts are charged to the proper accounts.

To be reimbursed, expenses must have been incurred by the claimant; no person may request reimbursement for expenses that have been paid by another individual. Approval and reimbursement of the expense claim does not constitute final acceptance. All transactions are subject to subsequent audit adjustment. Amounts refused must be reimbursed personally by claimants.

The ED has the obligation to refuse claims that do not conform to this policy. The ED may also authorize expenses that are not clearly covered by this policy.

REIMBURSEMENT PROCEDURE

For a prompt and efficient reimbursement, the claimant must complete an Expense Reimbursement Claim Form (see Appendix 1 attached). A form that is not properly filled out, signed and approved, may be returned to the claimant.

The Expense Reimbursement Claim Form should be used only to reimburse individuals for allowable travel and business expenses. For payments to companies or individuals outside Curling Alberta, an invoice from that company or individual should be submitted to Finance, in lieu of the Expense Reimbursement Claim Form.

Specific Requirements and Instructions:

- A separate Expense Reimbursement Claim Form should be submitted for each project or trip.
- The dates and purpose of the trip must be listed on the Expense Reimbursement Claim Form.
- The specific nature of all expenses must be clearly identified.
- Claims should be submitted within 30 days following the completion of travel, or other activity for which expenses were incurred.
 - o Timely reporting is important to ensure that charges are recorded against departmental accounts in the correct accounting period.
 - o If an advance was processed, any delay in submitting the expense report, and reconciling the advance, could delay reimbursement and prevent the allocation of future advances.

- Once the Expense Reimbursement Claim Form is completed and signed, attach all original receipts and submit to Finance for processing.

Receipts:

- Original or *photocopied* receipts must be submitted.
- Receipts that are numbered and follow the order on the claim form are easier for Finance to verify and this will speed up the reimbursement process. Receipts not clearly identified and/or thrown into one envelope, will delay the processing of the claim and may be returned to the claimant.
- Receipts are not required for per diem meal or lodging claims or for mileage allowances. However, justification for the expense must be included with the claim form.
- If a receipt is missing, an explanation should be included.
- To avoid any confusion, please do not label expense items as “miscellaneous.”
- Original receipts must support all expense reimbursement claims, except when allowances are paid on a per diem basis. When expenses are charged to a credit card, both the credit card slip and the detailed receipt listing the items purchased should be submitted. When original receipts are not available, a personal declaration and detailed explanation must be provided. While expenses will continue to be reimbursed to individuals who occasionally misplace a receipt, provided the expense is reasonable and adequately explained, individuals who repeatedly and frequently misplace receipts should be aware that Curling Alberta is under no obligation to reimburse them.

Personal Expenses:

Personal expenses should never be submitted on a business expense claim. If a portion of a claim is for personal reasons, the amount must be deducted from the claim. If items of a personal nature are claimed, Curling Alberta will either refuse the claim, deduct the amount directly on that claim, or make arrangements for reimbursement via payroll or subsequent claims. This may delay the reimbursement process.

Processing:

The ED and signing authority will review the expense reports for compliance with the established policies/guidelines. Any discrepancy from policy must be explained and be approved by the ED and second signing authority.

A reimbursement, via direct deposit or cheque, will be processed on the next weekly cheque run following the receipt of the properly completed and approved form. However,

- When a claim form is not complete, the processing will be delayed,
- Any request for documentation or clarification of expenses will delay the payment of expense claims, and
- Incomplete or unclear expense reports or missing original receipts will delay the process.

PURCHASING POLICY

POLICY #00

EFFECTIVE DATE: JULY 30, 2018

POLICY STATEMENT:

Background

1. An attempt will be made in all cases to achieve the lowest priced, technically acceptable product given time and availability constraints. Further, and where practical every effort will be made to acquire the goods in the following order:
 - a. Borrow;
 - b. Rent or Lease;
 - c. Purchase
2. All purchasing decisions shall recognize the following:
 - a. The contribution of the local business community to the Association's success
 - b. The contribution of the Alberta business community to the Association's success;
 - c. The contribution and/or contractual agreements with the Association's sponsors and suppliers;
 - d. The need for competitive bidding among suppliers; and
 - e. Budget constraints

Policy

1. No purchases will be approved unless they are in the Board approved Budget.
2. The Curling Alberta Board may approve unbudgeted amounts or take other action to address the Association's budget. The ED, financial coordinator and Committee Chair is responsible to monitor not only expenditures, but also Gift-in-Kind required to support their committees.
3. Purchases of up to \$2,000 (no tenders or quotes required) may be approved by the ED as per the Operational Budget Approved by the Board.
4. Purchases in excess of \$2,000 and less than \$10,000 (tenders or quotes required, *minimum 2*) may be approved by the ED as per the Operational Budget Approved by the Board.
5. For purchases in excess of \$10,000, tenders of RFP's will be required except on the approval of the Alberta Curling Federation Board of Directors.
 - a. For all purchases in excess of \$10,000, requests for proposals and tenders must be submitted to the *Executive Director* or Financial Coordinator prior to being released. An attempt will be made in all cases to achieve the lowest priced, technically acceptable product given time and availability constraints. The ED/ Financial Coordinator will review the package with the *president*.
 - b. Given the need to consult with the above, it is important that Board Members or committee chairs submitting packages allow a minimum of seven (7) working days for the Finance committee to return the package with any changes required. A list

of vendors where the RFP (Request for Proposals) or RFT (Request for Tender) will be sent out should accompany the proposal or tender as well. A list of approved vendors can be obtained by the Association's office but this list will not limit where they can be sent.

- c. The Executive Director and Treasurer are available to consult with Committee Chairs and Board members who are in the process of developing tender packages. A tender template is required which is available from the Association office if needed. Generally speaking; "Requests for Proposals" – (RFP) or "Requests for Tender" – (RFT) should contain the following information:
 - i. Association's legal name
 - ii. Specific details of what goods or services re required
 - iii. Specific terms and conditions of the goods and/or services required
 - iv. Lowest or any proposal/tender will not necessarily be accepted
 - v. Expiry date for the receipt of RFP or RFT
 - vi. Proposal or tender is revocable
 - vii. Statement that the information provided in the request is believed to be accurate at the time
 - viii. Selection Criteria to be used
 - d. The Curling Alberta Board shall have final approval on RFP's over \$10,000. This can be done in regular board meetings, or by email/telephone survey.
6. Petty Cash – The Executive Director will reimburse cash for purchase of office supplies:
- a. If the purchase was approved by the Executive Director previous to the purchase.
 - b. Upon submission of an expense form containing original receipt with details of expenditure.
 - c. If the purchase is less than \$50.

SECTION 2: PROCEDURES & GUIDELINES

APPEAL POLICIES AND PROCEDURES

DEFINITIONS

1. The following terms have these meanings in this Policy:
 - a. “*Appellant*” – The Party appealing a decision
 - b. “*Appeals Panel*” – A single person, or in extraordinary circumstances and at the discretion of the Case Manager, three persons, who will hear and decide the appeal.
 - c. “*Association*” – Curling Alberta
 - d. “*Case Manager*” – An individual appointed by the Association, who need not be a member or affiliated with the Association, to administer this Appeal Policy. The Case Manager will comply with the position description described in Appendix “A”.
 - e. “*Days*” – Days including weekend and holidays
 - f. “*In writing*”- A letter, fax or email sent directly to the Association.
 - g. “*Individuals*” – All categories of membership defined in the Association’s Bylaws, including clubs, teams as well as, all individuals engaged in activities with the Association including, but not limited to, athletes, coaches, referees, officials, volunteers, managers, administrators, committee members, and directors and officers of the Association
 - h. “*Respondent*” – The body whose decision is being appealed

PURPOSE

2. The Association provides Individuals with this Appeal Policy to appeal certain decisions made by the Association.

SCOPE AND APPLICATION OF THIS POLICY

3. Any Individual who is directly affected by an Association decision will have the right to appeal that decision; provided the appeal falls within the jurisdiction of this Policy and there are sufficient grounds for the appeal under the ‘Grounds for Appeal’ section of this Policy.
4. This Policy will not apply to decisions relating to:
 - a. Employment
 - b. Infractions for doping offenses
 - c. The rules of the sport
 - d. Budgeting and budget implementation
 - e. Operational structure and committee appointments
 - f. Volunteer appointments and the withdrawal of termination of those appointments
 - g. Decisions rendered by entities other than Association (appeals of these decisions shall be dealt with pursuant to the policies of those other entities unless requested and accepted by Association at its sole discretion)
 - h. Commercial matters
 - i. Decisions made under this Policy

TIMING AND CONDITIONS OF APPEAL

5. Individuals who wish to appeal a decision have seven (7) Days from the date on which they received notice of the decision to submit, in writing to the Association, the following:
 - a. Notice of the intention to appeal
 - b. Contact information and status of the Appellant
 - c. Name of the Respondent and any affected parties, when known to the Appellant
 - d. Date the Appellant was advised of the decision being appealed
 - e. A copy of the decision being appealed, or description of decision if written document is not available
 - f. Grounds for the appeal
 - g. Detailed reasons for the appeal
 - h. All evidence that supports the appeal
 - i. Requested remedy or remedies
 - j. An appeal fee of five hundred dollars (\$500) which will be refunded if the appeal is successful or forfeited if the appeal is denied. Payment will be made to Curling Alberta by cheque.
6. An Individual who wishes to initiate an appeal beyond the seven (7) Day period must provide a written request stating the reasons for an exemption. The decision to allow, or not allow, an appeal outside of the seven (7) Day period will be at the sole discretion of the Case Manager and may not be appealed.
7. Appeals should be submitted to:
Jill Richard | Executive Director
11759 Groat Road, NW Edmonton, AB
T: 780.903.9554
E: jill.richard@curlingalberta.ca

CASE MANAGER

8. Upon the receipt of an appeal, the Association will appoint an independent Case Manager to manage and administer appeals submitted in accordance with this Policy and such appointment is not appealable. Case Manager services will be accessible through the Alberta Sport Connection from an external firm or pool of individuals with knowledge and expertise in dispute resolution.

GROUNDINGS FOR APPEAL

9. An appeal may only be heard if there are sufficient grounds for appeal, as determined by the Case Manager. Sufficient grounds only include the Respondent:
 - a. Made a decision that it did not have the authority or jurisdiction (as set out in the Respondent's governing documents)
 - b. Failed to follow its own procedures (as set out in the Respondent's governing documents)
 - c. Made a decision that was influenced by bias (where bias is defined as a lack of neutrality to such an extent that the decision-maker appears not to have considered other views)
 - d. Made a decision that was grossly unreasonable

10. The Appellant must demonstrate, on a balance of probabilities, that the Respondent has made a procedural error as described in the 'Grounds for Appeal' section of this Policy.

ALTERNATE DISPUTE RESOLUTION

11. Upon receiving the notice of the appeal, the fee, and all other information (outlined in the 'Timing of Appeal' section of this Policy), the Appeal Panel may suggest, and the Parties may consent, the appeal to be heard under the Association's *Alternate Dispute Resolution Policy*.
12. Appeals resolved by mediation under the *Association's Alternate Dispute Resolution Policy* will cause the administration fee to be refunded to the Appellant.

SCREENING OF APPEAL

13. Should the appeal not be resolved by using the Alternate Dispute Resolution Policy, the Case Manager will have the following responsibilities:
 - a. Determine if the appeal falls under the scope of this Policy
 - b. Determine if the appeal was submitted in a timely manner
 - c. Decide whether there are sufficient grounds for the appeal
14. If the appeal is denied on the basis of insufficient grounds, because it was not submitted in a timely manner, or because it did not fall under the scope of this Policy, the Appellant and the Association will be notified, in writing, by the Panel of the reasons for this decision. This decision may not be appealed.
15. If there are sufficient grounds for an appeal, the Case Manager will appoint an Appeal Panel (the "Panel") which shall consist of a single Adjudicator, to hear the appeal. In extraordinary circumstances, and at the discretion of the Case Manager, a Panel of three persons may be appointed to hear the appeal. In this event, the Case Manager will appoint three Panel members and designate one of the appointees to serve as the Chair.
16. The Case Manager will establish and adhere to timeframes that ensure procedural fairness and that the matter is heard in a timely fashion.

PROCEDURE FOR APPEAL HEARING

17. The Case Manager, in cooperation with the Panel, shall then decide the format under which the appeal will be heard. This decision may not be appealed.
18. The format of the hearing may involve an oral in-person hearing, an oral hearing by telephone/telecommunications or other electronic means, a hearing based on a review of documentary evidence submitted in advance of the hearing, or a combination of these methods. The hearing will be governed by the procedures that the Case Manager and the Panel deem appropriate in the circumstances, provided that:
 - a. The hearing will be held within a timeline determined by the Case Manager or the Panel

- b. The Parties will be given reasonable notice of the day, time and place of the hearing, in the case of an oral in-person hearing, an oral hearing by telephone or other telecommunications
 - c. Copies of any written documents which the parties wish to have the Panel consider will be provided to all Parties in advance of the hearing
 - d. The Parties may be accompanied by a representative, advisor, or legal counsel at their own expense
 - e. The Panel may request that any other individual participate and give evidence at the hearing
 - f. The Panel may allow as evidence at the hearing any oral evidence and document or thing relevant to the subject matter of the appeal, but may exclude such evidence that is unduly repetitious and shall place such weight on the evidence as it deems appropriate
 - g. If a decision in the appeal may affect another party to the extent that the other party would have recourse to an appeal in their own right under this Policy, that party will become a party to the appeal in question and will be bound by its outcome
 - h. The decision to uphold or reject the appeal will be by a majority vote of the Panel
19. The hearing will proceed in any event, even if a Party chooses not to participate in the hearing.
20. In fulfilling its duties, the Panel may obtain independent advice.
21. To keep costs to a reasonable level the Panel may conduct the appeal by means of a telephone conference.
22. As a general rule, the Panel will only consider evidence that was before the original decisionmaker. At its discretion, the Panel may hear new evidence that is material and that was not available at the time of the original decision.

APPEAL DECISION

23. The Panel shall issue its decision, in writing and with reasons, after the hearing's conclusion. In making its decision, the Panel will have no greater authority than that of the original decisionmaker. The Panel may decide to:
- a. Reject the appeal and confirm the decision being appealed
 - b. Uphold the appeal and refer the matter back to the initial decision-maker for a new decision
 - c. Uphold the appeal and vary the decision where it is found that an error occurred, and such an error cannot be corrected by the original decision-maker for reason of lack of clear procedure, lack of time, or lack of neutrality; and
 - d. Determine how costs of the appeal, excluding legal fees and legal disbursements of any of the parties, will be allocated, if at all.
24. The Panel's written decision, with reasons, will be distributed to all Parties, the Case Manager, and the Association within 14 Days of the hearing's conclusion. In extraordinary circumstances, the Panel may first issue a verbal or summary decision soon after the hearing's conclusion, with the full written decision to be issued thereafter. The decision will be considered a matter of public record unless decided otherwise by the Panel.

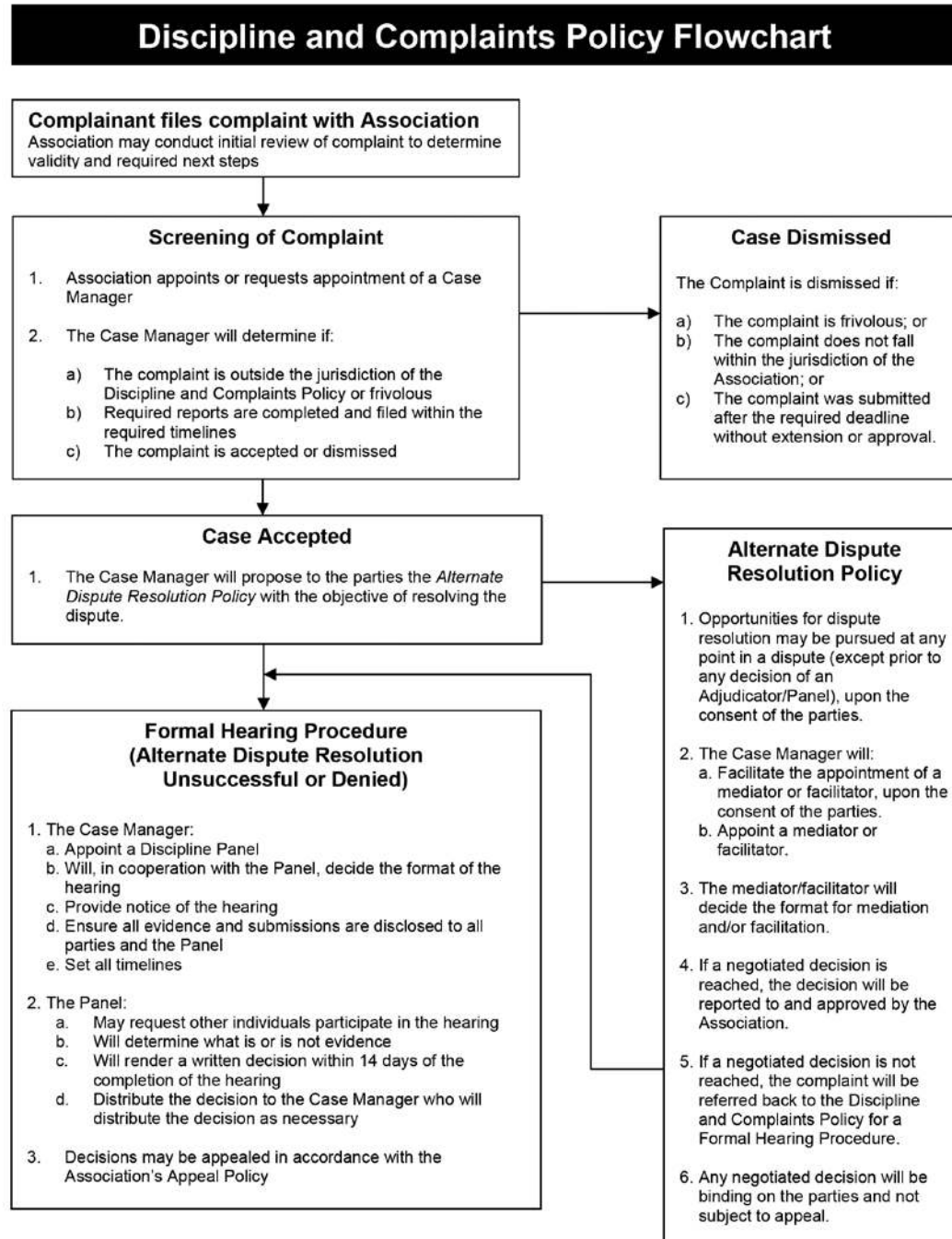
CONFIDENTIALITY

27. The appeals process is confidential and involves only the Parties, the Case Manager, the Panel, and any independent advisors to the Panel. Once initiated and until a decision is released, none of the Parties will disclose confidential information to any person not involved in the proceedings.

FINAL AND BINDING

28. The decision of the Panel will be binding on the Parties and on all the Association's Individuals.
29. No action or legal proceeding will be commenced against the Association or Individuals in respect of a dispute, unless the Association has refused or failed to provide or abide by the appeal process as set out in this Policy.

DISCIPLINE AND COMPLAINTS POLICY



DEFINITIONS

1. The following terms have these meanings in this Policy:
 - a) “*Association*” – Curling Alberta
 - b) “*Case Manager*” – An individual appointed by the Association, who need not be a member or affiliated with the Association, to administer this Discipline and Complaints Policy. The Case Manager will comply with the position description described in Appendix “A”.
 - c) “*Complainant*” – The Party alleging an infraction
 - d) “*Days*” – Days including weekend and holidays
 - e) “*Individuals*” – All categories of membership defined in the Association’s Bylaws, including clubs, teams, as well as all individuals engaged in activities with the Association including, but not limited to, athletes, coaches, referees, officials, volunteers, managers, administrators, committee members, and directors and officers of the Association
 - f) “*In writing*”- A letter, fax or email sent directly to the Association.
 - g) “*Respondent*” – The alleged infracting Party

PURPOSE

2. Individuals and participants are expected to fulfill certain responsibilities and obligations including, but not limited to, complying with Association’s policies, bylaws, rules and regulations, and Codes of Conduct. Non-compliance may result in sanctions pursuant to this Policy.

APPLICATION OF THIS POLICY

3. This Policy applies to all Individuals relating to matters that may arise during the course of Association’s business, activities, and events including, but not limited to, competitions, practices, tryouts, training camps, travel associated with Association activities, and any meetings.
4. This Policies also applies to Individuals’ conduct outside of the Association’s business, activities, and events when such conduct adversely affects relationships within the Association (its work and/or sport environment) or is detrimental to the image and reputation of the Association. The jurisdiction of this Policy will be determined by the Association at its sole discretion.
5. This Policy does not prevent discipline from being applied, during a competition or event. Further discipline may be applied according to this Policy. Any infractions 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.
6. An employee of the Association found to have to be a Respondent will be subject to appropriate disciplinary action subject to the terms of the Association’s *Human Resources Policy*, as well as the employee’s Employment Agreement, as applicable. Violations may result in a warning, reprimand, restrictions, suspension or other disciplinary actions up to and including termination of employment.

REPORTING A COMPLAINT

7. Any Individual may report any complaint to the Association. A complaint must be In Writing and must be filed within 14 days of the alleged incident. Complaints should be submitted to:

Jill Richard, Executive Director
11759 Groat Road, Edmonton, AB T5M 3K6
780.903.9554 or jill.richard@curlingalberta.ca
8. A Complainant wishing to file a complaint outside of the 14 Days must provide a written statement giving reasons for an exemption to this limitation. The decision to accept or deny the complaint outside of the 14 Day timeframe will be considered by the Association and/or the Case Manager (if assigned). This decision may not be appealed.
9. At the Association's discretion, the Association may act as the complainant and initiate the complaint process under the terms of this Policy. In such cases, the Association will identify an individual to represent the Association.
10. Resignation or lapsing of membership after a complaint is filed does not preclude disciplinary proceedings being pursued under this policy.
11. Upon receiving a complaint, the Association will review the complaint to determine validity and required next steps.

CASE MANAGER

12. Upon the receipt and review of a complaint, the Association may appoint or request the appointment of an independent Case Manager to manage and administer complaints submitted in accordance with this Policy and such appointment is not appealable. Case Manager services will be accessible through Sask Sport from an external firm or pool of individuals with knowledge and expertise in dispute resolution.
13. The Case Manager has a responsibility to:
 - a) Determine whether the complaint is within the jurisdiction of this Policy or frivolous
 - b) Propose the use of the Association's Alternate Dispute Resolution Policy
 - c) Appoint the Discipline Panel, if necessary
 - d) Coordinate all administrative aspects and set timelines
 - e) Provide administrative assistance and logistical support to the Panel as required
 - f) Provide any other service or support that may be necessary to ensure a fair and timely proceeding.

PROCEDURES

14. If the Case Manager determines the complaint is:
 - a) Frivolous or outside the jurisdiction of this Policy, the complaint will be dismissed immediately.
 - b) Not frivolous and within the jurisdiction of this Policy, the Case Manager will notify the Parties the complaint is accepted and the applicable next steps.

15. The Case Manager's decision to accept or dismiss the complaint may not be appealed.
16. The Case Manager will establish and adhere to timeframes that ensure procedural fairness and that the matter is heard in a timely fashion.
17. After notifying the Parties that the complaint has been accepted, the Case Manager will first, propose the Association's *Alternate Dispute Resolution Policy* with the objective of resolving the dispute. If the dispute is not resolved or the parties refuse the Alternate Dispute Resolution Policy, the Case Manager will appoint a Discipline Panel, which shall consist of a single Adjudicator, to hear the complaint. In extraordinary circumstances, and at the discretion of the Case Manager, a Panel of three persons may be appointed to hear the complaint. In this event, the Case Manager will appoint one of the Panel's members to serve as the Chair.
18. The Case Manager, in cooperation with the Discipline Panel, will then decide the format under which the complaint will be heard. This decision may not be appealed. The format of the hearing, which may involve direct communications with the Parties, an oral in-person hearing, an oral hearing by telephone or other telecommunications, a hearing based on a review of documentary evidence submitted in advance of the hearing, or a combination of these methods. The hearing will be governed by the procedures that the Case Manager and the Discipline Panel deem appropriate in the circumstances, provided that:
 - a) The Parties will be given appropriate notice of the day, time, and place of the hearing, in the case of an oral in-person hearing, an oral hearing by telephone or other telecommunications
 - b) Copies of any written documents which the parties wish to have the Panel consider will be provided to all Parties, through the Case Manager, in advance of the hearing and/or decision rendered
 - c) The Parties may be accompanied by a representative, advisor, or legal counsel at their own expense
 - d) The Discipline Panel may request that any other individual participate and give evidence at the hearing
 - e) The Discipline Panel may allow as evidence at the hearing any oral evidence and document or thing relevant to the subject matter of the complaint, but may exclude such evidence that is unduly repetitious and shall place such weight on the evidence as it deems appropriate
 - f) The decision will be by a majority vote of the Discipline Panel
19. If the Respondent acknowledges the facts of the incident, the Respondent may waive the hearing, in which case the Discipline Panel will determine the appropriate disciplinary sanction. The Discipline Panel may still hold a hearing for the purpose of determining an appropriate sanction.
20. The hearing will proceed in any event, even if a Party chooses not to participate in the hearing.
21. If a decision affects a 3rd party to the extent that the 3rd party would have recourse to a complaint or an appeal in their own right, that 3rd party will become a party and apart of the complaint procedure to the complaint in question and will be bound by the decision.

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

DECISION

23. After hearing and/or reviewing the matter, the Discipline Panel will determine whether an infraction has occurred and, if so, the sanctions to be imposed. Within fourteen (14) Days of the hearing's conclusion, the Discipline Panel's written decision, with reasons, will be distributed to all Parties, the Case Manager, and the Association. In extraordinary circumstances, the Discipline Panel may first issue a verbal or summary decision soon after the hearing's conclusion, with the full written decision to be issued before the end of the fourteen (14) Day period. The decision will be considered a matter of public record unless decided otherwise by the Discipline Panel.

SANCTIONS

24. The Panel may apply the following disciplinary sanctions, singularly or in combination:

- a) Verbal or written reprimand
- b) Verbal or written apology
- c) Service or other contribution to the Association
- d) Removal of certain privileges
- e) Suspension from certain teams, events, and/or activities
- f) Suspension from all Association activities for a designated period of time
- g) Withholding of prize money or awards
- h) Payment of the cost of repairs for property damage
- i) Suspension of funding from the Association or from other sources
- j) Expulsion from the Association
- k) Any other sanction considered appropriate for the offense

25. Unless the Discipline Panel decides otherwise, any disciplinary sanctions will begin immediately, notwithstanding an appeal. Failure to comply with a sanction as determined by the Discipline Panel will result in automatic suspension until such time as compliance occurs.

26. Infractions that result in discipline will be recorded and records will be maintained by the Association.

SUSPENSION PENDING A HEARING

27. The Association may determine that an alleged incident is of such seriousness as to warrant suspension of an Individual pending completion of the criminal process, a hearing or a decision of the Panel.

CRIMINAL CONVICTIONS

28. An Individual's conviction for a Criminal Code offense, as determined by the Association, will be deemed an infraction under this Policy and will result in expulsion from the Association. Criminal Code offences may include, but are not limited to:

- a) Any child pornography offences
- b) Any sexual offences

- c) Any offence of physical violence
- d) Any offence of assault
- e) Any offence involving trafficking of illegal drugs

CONFIDENTIALITY

29. The discipline and complaints process is confidential and involves only the Parties, the Case Manager, the Discipline Panel, and any independent advisors to the Panel. Once initiated and until a decision is released, none of the Parties will disclose confidential information relating to the discipline or complaint to any person not involved in the proceedings.

TIMELINES

30. If the circumstances of the complaint are such that adhering to the timelines outlined by this Policy will not allow a timely resolution to the complaint, the Discipline Panel may direct that these timelines be revised.

RECORDS AND DISTRIBUTION OF DECISIONS

31. Other individuals or organizations, including but not limited to, national sport organizations, provincial sport organizations, Sask Sport Inc., etc., may be advised of any decisions rendered in accordance with this Policy.

APPEALS PROCEDURE

32. The decision of the Panel may be appealed in accordance with the Association's *Appeal Policy*.

APPENDIX A

CASE MANAGER POSITION DESCRIPTION

PURPOSE

1. In some of its policies, the Association requires the appointment of a Case Manager. This Position Description outlines the role, identity, responsibilities and tasks of the Case Manager.

POLICIES

2. The following Policies require the appointment of a Case Manager:
 - a) Discipline and Complaints
 - b) Appeal
 - c) Alternate Dispute Resolution Policy

IDENTITY

3. The Case Manager, whether or not appointed by the Association at its sole discretion, should be experienced with the management of disputes in an unbiased manner. The individual should not be connected in any way to the issue being disputed (and/or the outcome of the dispute) but does not necessarily need to be an independent third-party not connected with the Association – though the guaranteed independence and neutrality of a third-party is preferred. The individual does not need to be a Member of the Association.
4. The Case Manager's identity does not need to be approved by any of the parties involved in the dispute, excluding the Association.

DISCRETION - COMPLAINTS

5. When a complaint is filed, the Case Manager is required to:
 - a) Determine whether the complaint is frivolous and within the jurisdiction of the Discipline and Complaints Policy
 - b) Propose the use of the Association's Alternate Dispute Resolution Policy
 - c) Appoint the Panel, if necessary
 - d) Coordinate all administrative aspects and set timelines
 - e) Provide administrative assistance and logistical support to the Panel as required
 - f) Provide any other service or support that may be necessary to ensure a fair and timely proceeding

DISCRETION - APPEALS

6. When an appeal is filed, the Case Manager is required to:
 - a) Propose the use of the Association's Alternate Dispute Resolution Policy
 - b) Determine if the appeal falls under the scope of the Appeal Policy
 - c) Determine if the appeal was submitted in a timely manner
 - d) Decide whether there are sufficient grounds for the appeal
 - e) Appoint the Panel, if necessary
 - f) Coordinate all administrative aspects and set timelines

- g) Provide administrative assistance and logistical support to the Panel as required
 - h) Provide any other service or support that may be necessary to ensure a fair and timely proceeding
7. When determining if there are sufficient grounds for appeal, the Case Manager is not acting as the Panel and determining the merits of the appeal, but instead determining whether the Appellant has properly shown that an error, as described in the Appeal Policy, has been properly argued. The Case Manager will need to carefully consult the Association's policies and procedures, and analyze the process that contributed to the decision, to determine whether there are appropriate grounds.

DISCRETION — ALTERNATE DISPUTE RESOLUTION

8. When the parties agree to the jurisdiction of the Alternate Dispute Resolution Policy, the Case Manager maybe required to:
- a) Appoint the mediator or facilitator
 - b) Coordinate all administrative aspects and set timelines
 - c) Provide administrative assistance and logistical support to the mediator or facilitator as required

HEARING FORMAT - DISCRETION

9. If necessary, the Case Manager is required to exercise their discretion to determine the format of the hearing. Hearings typically take the following forms, but are not limited to:
- a) In person
 - b) Conference call
 - c) Written submissions
 - d) Conference call plus written submissions
10. In determining the format of the hearing the Case Manager should consider:
- a) The distance between the parties
 - b) The animosity between the parties
 - c) The time commitment and location of the Panel
 - d) The timelines for a decision
 - e) The language barriers between the parties
 - f) The gravity of the complaint/appeal

PANEL APPOINTMENT

11. The Case Manager is required to appoint a Panel of one person, or three in extraordinary circumstances, to decide the issue. The individual(s) should have the following characteristics:
- a) Experience in dispute resolution
 - b) Experience with sport disputes
 - c) No connection to either party
 - d) Preferably no connection with the Parties
 - e) Decisive

12. The Case Manager should remind the Panel to adhere to the powers given to the Panel by the applicable policy. For example, if the policy does not permit the Panel to suspend the respondent indefinitely, then the Panel cannot sanction the respondent in this manner.

COMMUNICATION

13. Especially when the hearing is to be held by written submissions, the Case Manager is required to communicate swiftly, clearly, and decisively with each party. The parties must adhere to the deadlines set by the Case Manager or by the applicable policy and the process must move forward even if a party misses a deadline.
14. When coordinating an oral hearing, the Case Manager should first consider the schedule of the Panel, then the schedule of the complainant, and then the schedule of the respondent in an attempt to find a suitable time for everyone.

SUGGESTED PROCEDURE

15. The Case Manager may implement the following procedure to facilitate the Discipline and Complaints Policy or the Appeal Policy:
 - a) Receive the written complaint or appeal
 - b) Communicate with the Complainant/Appellant that you have been appointed the Case Manager and that their complaint/appeal will be disclosed to the Respondent and Panel. Also determine if there is additional evidence or written submissions to follow, if so, provide a deadline for receipt. (After this step, the Complainant/Appellant may not have another opportunity to make additional submissions or provide evidence, unless determined otherwise by the Panel)
 - c) Determine whether the complaint is within the jurisdiction of the applicable Policy.
 - d) Notify the Respondent that you are the Case Manager and are in receipt of a complaint/appeal. Communicate to the Respondent that any submissions will be provided to the Complainant/Appellant and Panel. Provide the Respondent with a reasonable timeframe to submit their response document and any applicable evidence. (After this step, the Respondent may not have another opportunity to make additional submissions or provide evidence, unless determined otherwise by the Panel).
 - e) The Case Manager may wish to provide the Complainant/Appellant to submit a rebuttal, but the rebuttal must be limited to issues raised by the Respondent and is not an opportunity to provide new evidence. The Panel may exclude such new evidence.
 - f) Appoint the Panel
 - g) Conduct a hearing either via written documentation, teleconference, in – person, or a combination of these techniques.
 - h) Ensure the Panel renders a written decision within a prescribed timeline.

ALTERNATE DISPUTE RESOLUTION POLICY

DEFINITIONS

1. The following terms have these meanings in this Policy:
 - a) “*Association*” – Curling Alberta
 - b) “*In writing*”- A letter, fax or email sent directly to the Association.

PURPOSE

2. The Association supports the principles of Alternate Dispute Resolution (ADR) and is committed to the techniques of negotiation, facilitation, and mediation as effective ways to resolve disputes.
3. The Association encourages all individuals and parties to communicate openly, collaborate, and use problem solving and negotiation techniques to resolve their differences. The Association believes that negotiated settlements are usually preferable to outcomes resolved through other dispute resolution techniques.

APPLICATION OF THIS POLICY

4. This Policy applies to all disputes within the Association when all parties to the dispute agree that such a course of action would be mutually beneficial.

FACILITATION AND MEDIATION

5. If all parties to a dispute agree to Alternate Dispute Resolution, a mediator or facilitator shall be appointed by the Association and/or the Case Manager to mediate or facilitate the dispute.
6. The mediator or facilitator shall decide the format under which the dispute shall be mediated or facilitated.
7. The final decision will be communicated by the mediator or facilitator to the parties and the Association.
8. Should a negotiated decision be reached, the decision shall be reported to, and approved by the Association.
9. Should a negotiated decision not be reached by the deadline specified by the mediator or facilitator, or if the parties to the dispute do not agree to Alternate Dispute Resolution, the dispute shall be considered under the appropriate section of Association’s *Discipline and Complaints Policy* or *Appeal Policy*.
10. The costs of mediation and facilitation will be shared equally by the parties or paid by the Association upon the Association’s sole discretion.

FINAL AND BINDING

11. Any negotiated decision will be binding on the parties. Negotiated decisions may not be appealed.

12. No action or legal proceeding will be commenced against Association or its Individuals in respect of a dispute, unless the Association has refused or failed to provide or abide by its governing documents.

FINANCE PROCEDURES

1. CASH RECEIPTS

Payments are received primarily via Stripe, cheque, EFT's or Direct Payments are made directly to the operating bank account (ATB). Cash transactions are more rare, and consist mostly of event registrations, clothing or equipment sales.

a. **Payments by Cheque**

Cheques are received by mail or drop off are received by the staff at the Percy Page Centre office. A photocopy of every of each cheque is made and collected for distribution to the Finance Coordinator. The cheque is then stamped on the back with the bank deposit stamp and recorded on the deposit slip.

b. **Payments by Cash**

Cash is only received in person by a Curling Alberta staff member. The cash is recorded on the cash receipt log immediately with source information (i.e.- payor, date, amount, description of payment). The cash receipt log is to be emailed to the ED and Finance Coordinator weekly for review/approval. Cash is stored in a lock box until it can be deposited.

c. **Payments by EFT/Direct Deposit**

Notices of direct payments will usually come in the mail and are received by staff. If a notice pertains to a grant or other support funding, a copy of that funding agreement must be attached to the notice of direct payment and provided to the Finance Coordinator. The Finance Coordinator will receipt the transaction in QuickBooks Online (QBO) and retain the documents for filing with the bank reconciliation.

d. **Deposits**

Deposits should be made at a minimum twice per month, or at the discretion of the staff. The bank teller will stamp a copy of the deposit slip in the deposit book. A photocopy of the deposit slip is to be made and any cheque stubs/photocopies, cash receipts, and any other info is to be attached and given to the Finance Coordinator for processing. *Any undeposited cheques will be help in a safe place.*

2. CASH DISBURSEMENTS

Payments are made by cheque or by Telpay, an online payment system. Requests for cash disbursements take many forms:

a. **Invoices/Bills**

Invoices may be received by mail or electronically by the staff. Each invoice must be stamped with an accounting coding stamp. Any categorization of the expense, if known (i.e.- event, competition, or program), should be noted on the invoice. All invoices must be reviewed and approved by the ED and then forwarded to the Finance Coordinator for processing. All invoices must have the word "Invoice" on the bill.

b. **Expense Forms**

Expense forms may be submitted by anyone for approved expenses incurred in the operations of Curling Alberta. An expense form should meet the following criteria:

- Name and address of submitting party;
- Date/Description of expense claim (i.e.- event competition, meeting, etc.);
- If claiming mileage, kms driven and start/destination;
- If claiming per diem, number of days and date range;

- If claiming accommodations/travel, a copy of receipt must be attached to the report;
- All amounts are clear and legible;
- Signature of expense claimer.

All expense reports must be reviewed and approved by the ED and/or a Board member. Electronic copies will be accepted, provided that all receipts are scanned and legible. Expense reports are submitted to the Finance Coordinator for payment processing. Expense claims should be submitted no later than 30 days following the date(s) of the expense activity. All claims must comply with the Curling Alberta Expense Policy.

c. **Cheque Requisition Form**

All other expense/payment requests must be submitted as a cheque requisition. It should follow similar criteria:

- Name of submitting party;
- Name and address of payable to (if other than requesting);
- Date and description of requisition (i.e.- event, competition, meeting, etc.);
- Amount;
- Required date of payment;
- Signature of requestor;
- All cheque requests must be reviewed and approved by the ED and/or a Board Member;
- Approved cheque requisitions are submitted to the Finance Coordinator for payment processing.

3. PAYMENT/DISBURSEMENT

Payments are processed on a weekly basis with the following methods:

a. **Cheques**

Cheque runs are done by the Finance Coordinator weekly or at the request of staff. Cheques are issued from the operating account and printed from QBO. The cheque package has three parts: cheque, remittance or detail stub, and the cheque stub retained by accounting. The cheque stub for accounting is detached from the cheque and attached to the supporting bills/expense report/cheque request. The cheque and the remittance stub is then attached by paper clip to the front of the cheque document package.

Cheques are reviewed and signed by two authorized signatories, only when the following criteria have been met:

- Payee name matches the payee name/supplier found on the supporting documents;
- All supporting documentation to the payment amount is attached;
- All supporting documentation has been reviewed/approved (noted) by ED/Board member;
- The cheque is NOT issued to the signor.

b. **Telpay**

Telpay is an electronic payment system that facilitates direct deposit payments, with an approval process similar to the process to issue cheques.

1. Approved invoices, expense reports, and cheque requisitions are assembled and processed as payment through the "Telpay Clearing Account" in QBO by the

Finance Coordinator.

2. The Finance Coordinator will set up each payment within the Telpay system and indicate the date of direct deposit.
3. The Finance Coordinator will submit the payment batch within the Telpay system.
4. The Finance Coordinator will scan/email all supporting documents to the payment batch to the Authorized Signors for their review.
5. The Finance Coordinator will submit the batch within the Telpay system.
6. An email will be generated from Telpay, detailing the payee, amount, nature of expense, and date of deposit, to all authorized signors (see cheque signing).
7. Authorized signors will review the payment batch and, if accepted, approve the Telpay batch, initiating one code sent by Telpay to the Finance Coordinator.
8. The Finance Coordinator requires two codes from the authorized signors to submit the batch within the Telpay system. Any incorrect codes or changes to the payment batch after being sent for approval will immediately terminate the process for payment.
9. If a signor declines a payment for any reason, the appropriate correction must be made and the process is reinitiated.

The Finance Coordinator and ED will receive a confirmation email from Telpay once the payment has been processed. This confirmation is filed with the accounting records.

4. PAYROLL

The human resources function within Curling Alberta acts to staff the necessary positions required for operations. This section covers only the financial portion of employee compensation and termination.

a. **New Hires**

Accounting will require the following items to set up an employee for payroll:

- i. Signed Contract (Employee and Authorized Signor), indicating rate of pay and start date;
- ii. Completed TD1 (Federal and Provincial) forms, signed by the new employee;
- iii. Void cheque or banking information for payroll deposit.

b. **Payroll Process**

- Payroll is processed on a semi-monthly basis.
- Payroll deposits will be complete by the 15th and last day of each month.
- The Finance Coordinator will create recurring payment within the Ceridian payroll system for each employee, as per each employee's approved contract.
- Once a new employee is created within Ceridian, the Finance Coordinator will issue a report to the ED for approval. The employee payroll profile is then filed within the personnel file of the employee.
- Any retroactive pay for a new employee will be calculated by the Finance Coordinator and submitted to the ED for approval, prior to entry in the Ceridian system. Any changes to an employee's pay or deductions must be made in writing and approved by the ED. Adjustments to the ED's remuneration must be approved in writing by the Executive Committee.
- After each payroll run, the following reports are generated: Payroll Detail Register, Payroll Deduction Summary, and EFT Pay Memos. The payroll detail register shall be submitted to the ED at the end of each pay period for approval. The payroll deduction summary will be reviewed by the Finance Coordinator for accuracy.

- EFT Pay Memos should be distributed to Curling Alberta staff in a secure manner. Ceridian employs a secure and confidential Epost system for this purpose.
- T4s and T4 Summary are processed and issued by the Ceridian Payroll System every February. The manner of distribution should be a secure and confidential platform (see Epost above). A copy of the T4s and T4 summary should be reviewed by the Finance Coordinator, approved by the ED, and filed with Accounting.
- c. **Termination of Employment**
- The financial process for termination is as follows:
- The ED will advise the Finance Coordinator of the termination by email, indicating the last day worked, last day of work, and any vacation owed. Any written notice does not need to be provided, but should be kept in the employee's personnel file.
 - The Finance Coordinator will prepare a final pay memo and submit to the ED for review/approval.
 - Within 30 days, the Finance Coordinator will prepare the Record of Employment for the departing employee. A copy is retained by accounting and human resources. The employee copy will be mailed by an by the ED.
- d. **Payroll Changes**
- Any other changes to the payroll process, such as wage increase, bonus or other payouts must be documented and approved by an authorized signor of Curling Alberta.

5. FINANCIAL REVIEW

Regular review of the financial function within Curling Alberta is conducted by the Finance Coordinator, Treasurer, ED, President, and Vice President, and the Curling Alberta Board of Directors. The below outlines these processes:

- a. **Bank Reconciliations**
- The Finance Coordinator will reconcile all bank/cash accounts within the QBO system. A reconciliation report is generated and includes details of both outstanding cheques and deposits. This report is attached to the monthly bank statement. The Finance Coordinator will initial the report and submit to the ED for his or her review and approval. Approved bank reconciliations will be filed within the accounting records. The last bank reconciliation of the fiscal year is additionally reviewed and approved by the Treasurer.
- b. **Accounting System Access**
- Access to QuickBooks Online is restricted to the following: Finance Coordinator, ED, and the Treasurer. These parties have full rights to view all financial transactions, and regular review is conducted as convenience allows.
- c. **Financial Statement Review**
- The Finance Coordinator prepares all financial reports including the following:
- Comparative Balance Sheet
 - Comparative Profit & Loss Statement
 - Budget vs Actual Profit & Loss Statement
 - Program/Event Reports as Required

The financial statement package is prepared monthly by the Finance Coordinator within 15 days of the new month. The package is reviewed by the Finance Coordinator and ED, and supplementary information/notes may be prepared for presentation to the Board. The financial statement package is presented to the Board of Directors by the ED. Once presented and reviewed, a Board member will initial a copy of the financial statement package. This copy is given to the Finance Coordinator to file within the accounting records.

Draft and audited financial statements are presented annually to the Board of Directors, and follow the same process as outlined above.