



# SCREENING POLICY

## Definitions

1. The following terms have these meanings in this Policy:
  - a) “*Coach*” – refers to Individuals who provide riding instruction and/or training guidance to equestrians. For the purpose of this Policy, the term Coach also encompasses instructors.
  - b) “*Criminal Record Check (CRC)*” – a search of the Royal Canadian Mounted Police (RCMP) Canadian Police Information Centre (CPIC) system for adult convictions.
  - c) “*Local Police Information (LPI)*” – additional conviction and selected non-conviction information in national and local police data sources that may be relevant to the position sought.
  - d) “*Enhanced Police Information Check (E-PIC)*” – a CRC plus a search of LPI, available from SterlingBackcheck.
  - e) “*Participant*” – coaches, athletes, volunteers, officials and other Individuals.
  - f) “*Vulnerable Sector Check (VSC)*” – a detailed check that includes a search of the RCMP CPIC system, LPI, and the Pardoned Sex Offender database.
  - g) “*Vulnerable Individuals*” – a person under the age of 18 years old and/or a person who, because of age, disability, or other circumstance, is in a position of dependence on others or is otherwise at a greater risk than the general population of being harmed by people in positions of trust or authority.
  - h) “*Screening Committee*” – a third party committee composed and administered by the Sport Law and Strategy Group

## Preamble

1. Equestrian Canada (EC) understands that screening personnel and volunteers is a vital part of providing a safe sporting environment. EC is responsible for doing everything reasonable to provide a safe and secure environment for Participants in its programs, activities, and events in accordance with its mandate as the national governing body for equestrian sport (as recognized by Sport Canada) in Canada. The purpose of screening is to identify Individuals involved with EC activities who may pose a risk to EC and its Participants so that appropriate protective measures may be put in place.

## Application of this Policy

2. This Policy applies to all individuals whose position within EC is one of trust or authority, which may relate to, at a minimum, supervision, young people, people with a disability, or finances. Specifically, this Policy applies at a minimum to members of EC’s Board of Directors, Committees of EC, Licensed Coaches, officials, and personnel assigned to EC competition teams, training camps, and clinics.



3. Not all individuals associated with EC will be required to obtain a CRC or VSC, or submit a *Screening Disclosure Form* because not all positions pose a risk of harm to EC or its participants. EC will determine which individuals will be subject to screening using the following guidelines (variations from the guidelines are at the sole discretion of EC):

**Level 1 - Low Risk** – Individuals involved in low risk assignments who are not in a supervisory role, not directing others, not involved with financial/cash management, and/or do not have regular access to Vulnerable Individuals. Examples:

- a) Parents, youth, or volunteers who are helping on a non-regular informal basis;
- b) Event volunteers and officials; or,
- c) Farriers, grooms, veterinarians, and other horse support personnel associated with teams.

**Level 2 - Medium Risk** – Individuals involved in medium risk assignments who may be in a supervisory role, may direct others, may be involved with financial/cash management, and/or who may have limited access to Vulnerable Individuals. Examples:

- a) Athlete support personnel; or,
- b) Coaches who are typically under the supervision of another coach.

**Level 3 - High Risk** – Individuals involved in high risk assignments who occupy positions of trust and/or authority, have a supervisory role, direct others, are involved with financial/cash management, and who have frequent access to Vulnerable Individuals. Examples:

- a) Licensed Coaches<sup>1</sup>; or,
- b) Team Managers, Technical Leaders, and Chefs d'Équipes.

## Policy

5. It is EC's policy that all Individuals identified within the scope of this Policy will be screened based on the level of risk associated with their self-declared and/or appointed role.
6. When a person declares a conviction as part of the *Screening Disclosure Form*, a CRC or VSC reveals an offense and/or concerns are identified as part of the screening process, the application must be directed to EC's Screening Committee.
7. Failure to participate in the screening process as outlined in this Policy will result in the Individual's ineligibility to occupy their self-declared or appointed role.

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<sup>1</sup> Licensed Coaches have been designated as high risk due to the status that is inferred by being licensed and as a measure of protection for the coaching community to be able to confirm to clients that they have been screened to the highest level.



8. If at any time an individual subsequently receives a conviction for, or is found guilty of, an offense they will report this circumstance immediately to EC.
9. If an individual provides falsified or misleading information, the individual's eligibility to occupy their self-declared or appointed role will immediately be suspended and may be subject to further discipline in accordance with EC's *Discipline, Complaints, and Appeal Policy*.

### Screening Requirements

10. It is EC's policy that when an Individual is first engaged by EC:
  - a) Level 1 Individuals will:
    - i. complete the *Application Form (Appendix A)*;
    - ii. complete the *Screening Disclosure Form (Appendix B)*; and,
    - iii. participate in training, orientation, and monitoring as determined by EC.
  - b) Level 2 Individuals will complete Level 1 requirements plus:
    - i. complete and provide an E-PIC;
    - ii. provide one (1) letter of reference related to the position; and,
    - iii. provide a driver's abstract, if requested.
  - c) Level 3 Individuals will complete Level 2 requirements plus:
    - i. complete a VSC.
  - d) Coaches applying for an EC Coach Licence will:
    - i. complete the *Application Form (Appendix A)*;
    - ii. complete the *Screening Disclosure Form (Appendix B)*;
    - iii. complete and provide an E-PIC and a VSC;
    - iv. have two (2) people complete a reference verification form;
    - v. participate in training, orientation, and monitoring as determined by EC; and,
    - vi. Provide a driver's abstract, if requested.
  - e) If an individual subsequently receives a charge, conviction for, or is found guilty of, an offense they will report this circumstance immediately to EC. Additionally, the individual will inform EC of any changes in their circumstance that would alter their original responses in their *Screening Disclosure Form*.
  - f) If EC learns that an individual has provided false, inaccurate, or misleading information, the individual will immediately be removed from their position and may be subject to further discipline in accordance with EC's *Discipline, Complaints, and Appeal Policy*.

### Young People

11. EC defines a young person as someone who is younger than 18 years old. When screening young people, EC will:
  - a) not require the young person to obtain a VSC or E-PIC; and,
  - b) in lieu of obtaining a VSC or E-PIC, require the young person to submit up to two (2) additional letters of reference.
12. Notwithstanding the above, EC may ask a young person to obtain a VSC or E-PIC if EC suspects the young person has an adult conviction and therefore has a criminal record. In these circumstances, EC will be clear in its request that it is not asking for the young person's youth record. EC understands that it may not request to see a young person's youth record.



### **Renewal**

13. Unless the Screening Committee determines, on a case-by-case basis, to modify the submission requirements, individuals who are required to submit an E-PIC, *Screening Disclosure Form*, VSC, or *Screening Renewal Form* are required to submit the documents as follows:
  - a) an E-PIC every three years;
  - b) a *Screening Disclosure Form* every three years;
  - c) a *Screening Renewal Form* (**Appendix C**) every year; and,
  - d) a VSC once.
  
14. The Screening Committee may request that an individual provide any of the above documents at any time. Such request will be in writing and reasons will be provided for the request.

### **Orientation, Training, and Monitoring**

15. The type and amount of orientation, training, and monitoring will be based on the individual's level of risk, at EC's discretion.
  
16. Orientation may include, but is not limited to: introductory presentations, facility tours, equipment demonstrations, parent/athlete meetings, meetings with colleagues and supervisors, orientation manuals, orientation sessions, and increased supervision during initial tasks or the initial period of engagement.
  
17. Training may include, but is not limited to: certification courses, online learning, mentoring, workshop sessions, webinars, on-site demonstrations, and peer feedback.
  
18. At the conclusion of orientation and training, the individual will be required to acknowledge, in written form, that they have received and completed the orientation and training.
  
19. Monitoring may include, but is not limited to: written or oral reports, observation, tracking, electronic surveillance (e.g. facility security cameras), and site visits.

### **How to Obtain an E-PIC or VSC**

20. An E-PIC may be obtained online at <http://www.backcheck.net/e-pic.htm>.
  
21. In Ontario, EC understands that the *Police Record Checks Reform Act, 2015* requires the individual to consent in writing before requesting a CRC (such as an E-PIC). The Act also requires the individual to consent in writing for any disclosure of the results to the requesting organization.
  
22. In British Columbia, the process for obtaining a CRC is different than in other provinces and territories and sections of this Policy relating to obtaining a CRC may not apply. In such cases, EC will provide individuals with directions pursuant to the following website: <https://www.viasport.ca/free-criminal-records-checks>.



23. Individuals may only obtain a VSC by visiting an RCMP office or police station, submitting two (2) pieces of government-issued identification (one (1) of which must have a photo), and completing any required paperwork. Fees may also be required.
24. Fingerprinting may be required if there is a positive match with the individual's gender and birth date.
25. EC understands that it may be required to assist an individual with obtaining a VSC. EC may need to submit a *Request for VSC (Appendix D)* or complete other documentation describing the nature of the organization and the individual's role with vulnerable individuals.

### **Procedure**

26. Screening documents are to be submitted by way of electronic submission forms associated with the application process. Questions with regards to submission of screening documents and options for alternative submission should be directed to EC's Screening Officer.

[screening@equestrian.ca](mailto:screening@equestrian.ca)

27. An individual who refuses or fails to provide the necessary screening documents will be ineligible to volunteer or apply for the position sought. The individual will be informed that their application and/or position will not proceed until such time as the screening documents are submitted.
28. EC understands that there may be delays in receiving the results of an E-PIC or a VSC. At its discretion, EC may permit the individual to participate in the role during the delay. EC may withdraw this permission at any time and for any reason.
29. EC recognizes that different information will be available depending on the type of screening document that the individual has submitted. For example, an E-PIC may show details of a specific offense or not, or a VSC may be returned with specific information or simply a notification indicating "cleared" or "not cleared".
30. An initial review of screening applications will be completed by the EC Screening Officer. The EC Screening Officer will make one of the following determinations:
  - a) The EC Screening Officer will confirm that the applicant has passed screening if all screening documents have been submitted and are clear. The EC Screening Officer will declare that an individual has not passed screening if the screening documentation reveals any of the following:
    - a) From the last three (3) years:
      - i. any offense involving the use of a motor vehicle, including but not limited to impaired driving;
      - ii. any offense for trafficking and/or possession of drugs and/or narcotics; or,
      - iii. any offense involving conduct against public morals.



- b) From the last 10 years:
  - i. any crime of violence including, but not limited to, all forms of assault; or,
  - ii. any offense involving a minor or minors.
- c) From any time:
  - i. An individual's conviction for any of the following Criminal Code offenses:
    - a. any offense of physical or psychological violence;
    - b. any crime of violence including, but not limited to, all forms of assault;
    - c. any offense involving trafficking of illegal drugs;
    - d. any offense involving the possession, distribution, or sale of any child-related pornography;
    - e. any sexual offense; or,
    - f. any offense involving theft or fraud.

b) The EC Screening Officer will then convene the EC Screening Committee and/or seek legal counsel to review all other applications.

31. For Coach Licensing, the role of Screening Officer may be delegated to a PTSO. PTSO screening officers will only be able to confirm that an applicant has passed screening if all documents are clear. All other applications shall be directed to the EC Screening Officer for further action.

32. The Screening Committee will use its expertise and discretion when making decisions based on the screening documents that have been submitted.

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

- a) the individual has passed screening and may participate in the desired position;
- b) the individual has passed screening and may participate in the desired position with conditions;
- c) the individual has not passed screening and may not participate in the desired position; or,
- d) more information is required from the individual.

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

### **Conditions and Monitoring**

35. Excluding the incidents above, which, if revealed, would cause the individual to not pass screening, the Screening Committee may determine that incidents revealed on an individual's screening documents may allow the individual to pass the screening process and participate in a desired position with conditions imposed. The Screening Committee may apply and remove conditions at its discretion and will determine the means by which adherence to conditions may be monitored.

### **Records**

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



37. The records kept by EC as part of the screening process include, but are not limited to:
- a) an individual's VSC;
  - b) an individual's E-PIC (for a period of three (3) years);
  - c) an individual's *Screening Disclosure Form* (for a period of three (3) years);
  - d) an individual's *Screening Renewal Form* (for a period of one (1) year);
  - e) records of any conditions attached to an individual's registration by the Screening Committee; and,
  - f) records of any discipline applied to any individual by EC or by another sport organization.



## Appendix A – Application Form

*Note: This is a sample form for the purposes of this policy. All application forms are to be submitted electronically using the designated form, which may be updated from time to time to meet the specific needs of the position and EC's Screening Committee. Individuals need to complete an Application Form once for the position sought. If the individual is applying for a new position within EC, a new Application Form must be submitted.*

**NAME:**

\_\_\_\_\_

First	Middle	Last
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**CURRENT PERMANENT ADDRESS:**

\_\_\_\_\_

Street	City	Province	Postal Code
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**DATE OF BIRTH:** \_\_\_\_\_ **GENDER IDENTITY:** \_\_\_\_\_  
Month/Day/Year

**EMAIL:** \_\_\_\_\_ **PHONE:** \_\_\_\_\_

**POSITION SOUGHT:** \_\_\_\_\_

By signing this document below, I agree to adhere to EC's policies and procedures, including but not limited to the *Code of Conduct and Ethics*, *Conflict of Interest Policy*, *Privacy Policy*, and *Screening Policy*. EC's policies are located at the following link: [EC to insert website link to policies]

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

**NAME (print):** \_\_\_\_\_ **DATE:** \_\_\_\_\_





**SIGNATURE:** \_\_\_\_\_



Appendix B – Screening Disclosure Form

*Note: This is a sample form for the purposes of this policy. All disclosure forms are to be submitted electronically using the designated form, which may be updated from time to time to meet the specific needs of the position and EC's Screening Committee. Where possible, the completion of the Screening Disclosure Form will be embedded in the registration process.*

**NAME:**

\_\_\_\_\_

First	Middle	Last
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**OTHER NAMES YOU HAVE USED:** \_\_\_\_\_

**CURRENT PERMANENT ADDRESS:**

\_\_\_\_\_

Street	City	Province	Postal Code
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**DATE OF BIRTH:** \_\_\_\_\_

**GENDER IDENTITY:**

\_\_\_\_\_  
Month/Day/Year

**CLUB (if applicable):** \_\_\_\_\_

**EMAIL:**

\_\_\_\_\_

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

**1. Do you have a criminal record? If so, please complete the following information for each conviction. Attach additional pages as necessary.**

Name or Type of Offense: \_\_\_\_\_

Name and Jurisdiction of Court/Tribunal: \_\_\_\_\_

Year Convicted: \_\_\_\_\_



Penalty or Punishment Imposed: \_\_\_\_\_

Further Explanation: \_\_\_\_\_

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

Name of Disciplining or Sanctioning Body: \_\_\_\_\_

Date of Discipline, Sanction, or Dismissal: \_\_\_\_\_

Reasons for Discipline, Sanction, or Dismissal: \_\_\_\_\_

Penalty or Punishment Imposed: \_\_\_\_\_

Further Explanation: \_\_\_\_\_

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

Name or Type of Offense: \_\_\_\_\_

Name and Jurisdiction of Court/Tribunal: \_\_\_\_\_

Name of Disciplining or Sanctioning Body: \_\_\_\_\_

Further Explanation: \_\_\_\_\_

## **PRIVACY STATEMENT**

By completing and submitting this *Screening Disclosure Form*, I consent and authorize EC to collect, use,



and disclose my personal information, including all information provided on the *Screening Disclosure Form*, as well as my Enhanced Police Information Check and/or Vulnerable Sector Check (when permitted by law) for the purposes of screening, implementation of EC's *Screening Policy*, administering membership services, and communicating with National Sport Organizations, Provincial/Territorial Sport Organizations, Sport Clubs, and other organizations involved in the governance of sport. EC does not distribute personal information for commercial purposes.

## **CERTIFICATION**

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

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

**NAME (print):** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**SIGNATURE:** \_\_\_\_\_



## Appendix C – Screening Renewal Form

*Note: This is a sample form for the purposes of this policy. All screening renewal forms are to be submitted electronically using the designated form, which may be updated from time to time to meet the specific needs of the position and EC's Screening Committee. Where possible, the completion of the Screening Disclosure Form will be embedded in the registration process.*

**NAME:**

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First	Middle	Last
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**CURRENT PERMANENT ADDRESS:**

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Street	City	Province	Postal Code
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**DATE OF BIRTH:** \_\_\_\_\_ **GENDER IDENTITY:** \_\_\_\_\_  
Month/Day/Year

**EMAIL:** \_\_\_\_\_ **PHONE:** \_\_\_\_\_

By signing this document below, I certify that there have been no changes to my criminal record since I last submitted an E-PIC and/or VSC and/or *Screening Disclosure Form* to EC. I further certify that there are no outstanding charges and warrants, judicial orders, peace bonds, probation or prohibition orders, or applicable non-conviction information, and there have been no absolute and conditional discharges.

I agree that any E-PIC and/or VSC and/or *Screening Disclosure Form* that I would obtain or submit on the date indicated below would be no different than the last E-PIC and/or VSC and/or *Screening Disclosure Form* that I submitted to EC. I understand that if there have been any changes, or if I suspect that there have been any changes, it is my responsibility to obtain and submit a new E-PIC and/or VSC and/or *Screening Disclosure Form* to EC's Screening Committee instead of this form.

**I recognize that if there have been changes to the results available from the E-PIC and/or VSC and/or *Screening Disclosure Form*, and that if I submit this form improperly, then I am subject to**



**disciplinary action and/or the removal of volunteer responsibilities or other privileges at the discretion of the Screening Committee.**

**NAME (print):** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**SIGNATURE:** \_\_\_\_\_



## Appendix D – Request for Vulnerable Sector Check

*Note: This is a sample for the purpose of this policy. EC will be required to modify this letter to adhere to any requirements from the VSC provider. A standard letter will generate for Coach Licence applicants upon completion of their application.*

### INTRODUCTION

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

### DESCRIPTION OF ORGANIZATION

EC is the not-for-profit national governing body for equestrian sport and industry in Canada, with a mandate to represent, promote, and advance all equine and equestrian interests. EC's mandate includes the responsibility to manage teams representing Canada internationally, the sanctioning of competitions, and the licensing of athletes, coaches, and officials to participate in the sport.

### DESCRIPTION OF ROLE

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

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

### CONTACT INFORMATION

If more information is required from EC, please contact the EC Screening Officer.

[screening@equestrian.ca](mailto:screening@equestrian.ca)

Signed: \_\_\_\_\_ Date: \_\_\_\_\_