



Conduct / Conflict Management Process Checklist

Hockey Alberta has provided a checklist for Minor Hockey Associations (MHAs) to use when reviewing conduct / conflict management complaints. Checklist is based off of [Hockey Alberta's Guide to Effective Conduct Management](#) document.

If at any point in the process the MHA does not feel they are equipped or have the capacity to meet one of the needs of the checklist the MHA can reach out to Hockey Alberta for support.

All steps should be reviewed when receiving complaints of conduct, conflict management or allegations of harm.

Within 24-48 hours of complaint being received.

Step 1: Acknowledgement and Initial Review	
The MHA must acknowledge the complaint, regardless of the situation.	
	Complaint / allegation / concern / feedback is acknowledged – you have communicated this to the “complainant” in a formal capacity. <i>(written documentation of the acknowledgement or of the contents and outcome of a verbal conversation)</i>
	Identified Discipline & Conduct personnel, board member(s) and / or MHA executive have reviewed the complaint and decided on an Outcome [select appropriate outcome below]. *Individual(s) reviewing the initial complaint MUST be impartial, free from a conflict of interest, and not be named individuals within the complaint.
	Outcome A: Investigation NOT warranted; complaint has no merit, no further action needed.
	Formal documentation of initial review and outcome.
	“Complainant” has been made aware that a decision has been made and that no further action will be taken – <u>details do not need to be shared.</u>
	Outcome B: Investigation NOT warranted; however, complaint has merit but not enough for investigation. Complaint should be addressed at team level and / or via conversation and mediation between individuals involved.
	Formal documentation of initial review and next steps.
	Any identified next steps for complaint resolution has been actioned and completed.
	“Complainant” has been made aware that a decision has been made and if action was or was not taken – <u>details of the decision, actions or outcomes do not need to be shared.</u>
	All documentation related to the process and outcome has been kept.
	Outcome C: Investigation WARRANTED; further action and investigation is needed.
	“Complainant” has been made aware that a decision has been made and that further action will be taken. “Complainant” has been informed that they will be communicated with when / if it is necessary during any of the next steps. <u>Details of action or next steps do not need to be shared.</u>
	Continue to Step 2 below.

Within a timely manner.

Step 2: Investigation The MHA must investigate the complaint, thoroughly and independently, and present the findings.	
	Identify and assign an “investigator”. <i>“Investigator” MUST be impartial, free from a conflict of interest, and be independent of the situation. (not a board member, MHA member, did not receive the initial complaint, and be removed from any perceived conflict of interest to the “complainant” or the “subject”)</i>
	Investigation process has been started.
	Information from the “complainant” has been gathered. “Complainant” has been given the opportunity to provide / update their complaint information. <i>All conversations, verbal or written, are documented.</i>
	Information from the “subject” has been gathered. “Subject” has been given the opportunity to give their information related to the incident. <i>All conversations, verbal or written, are documented.</i>
	Information from all “witnesses” have been gathered. “Witness” names may be provided by both “complainant” and “subject”. <i>All conversations, verbal or written, are documented.</i>
	Investigation information has been compiled and shared with the MHA board.
	MHA Board has reviewed the investigation information and come to a decision on next steps and has decided on an Outcome [select appropriate outcome below].
	Outcome A: NOT enough sufficient information to move complaint ahead. <i>Decision must be consistent with MHA policies.</i>
	Formal documentation of the reasons for decision.
	“Complainant” and “subject” have both been made aware that a decision has been made and that no further action will be taken – <u>details do not need to be shared.</u>
	All documentation related to the process and outcome has been kept.
	Outcome B: Sufficient information has been shared by the investigator; the complaint will move ahead. <i>Decision must be consistent with a violation of the MHA policies.</i>
	Continue to Step 3 below.

Within a timely manner, any delays should be related to the MHA exercising due diligence in reviewing and investigating the complaint (Step 2 above).

Step 3: Due Process – Right to Notice, Right to Defend	
When the Board determines that the action(s) outlined in the complaint appear(s) to have violated a code of conduct, bylaw, policy, rule or guideline, the subject of the complaint is entitled to due process.	
	The “Subject” of the complaint has been informed of what they have alleged to have done. <i>Details are shared relating only to what the subject has done, must be specific to the behaviour.</i> <i>*Complainant information is not shared.</i>
	The “subject” has or has not provided additional evidence.
	A Decision Committee has been established. <i>*the Decision Committee (3-5 ppl) MUST be impartial, free from a conflict of interest, and be independent of the situation. (not a board member, MHA executive or member, and be removed from any perceived conflict of interest to the “complainant” or the “subject”)</i>
	A hearing date has been set by the Decision Committee.
	“complainant” and “subject” have both been notified about the hearing date.
	The Hearing Process / meeting has been completed.
	Decision Committee has rendered a decision. <i>Decision must be consistent with a violation of the MHA policies.</i>
	Decision Committee delivers the outcome of the hearing and decision to the MHA Board. <i>All conversations and documents are captured in writing.</i>
	Continue to step 4 below.

Step 4: Sanctions	
MHA Board, once the decision has been received by the Decision Committee, and a violation of MHA policies has been noted, is responsible for deciding if a discipline or sanction is to be levied against the subject of the complaint.	
<i>Previous disciplinary action or history of the subject can be taken into account at this stage.</i>	
	The MHA Board assigns appropriate discipline / sanction. Either Option A, Option B or both may be possible.
	OPTION A: An education focused discipline / sanction has been levied. The education program: <ul style="list-style-type: none"> - Should educate about the impact of the action(s). - Must be appropriate to the action(s). - Must be within the confines of what can be controlled by the MHA. - Must provide the Subject of the complaint with the resources required.
	OPTION B: A Corrective discipline / sanction has been levied.
	Formal documentation of the discipline / sanction including reasoning has been done.
	The “subject” <u>only</u> has been made aware, in writing, of the formal decision of the MHA Board regarding the complaint and the levying of discipline or sanction.
	The appeal process was included in the decision given to the “subject” including reasons for requesting an appeal, and reasonable timelines for submitting an appeal.

	<p>The “complainant” has been informed that the investigation process is complete, and whether action has or has not been taken – <u>details of the decision, actions or outcomes do not need to be shared.</u></p> <p>Proceed to Step 5 if the “subject” has requested an Appeal.</p>
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<p>Step 5: Due Process – the Right to Appeal</p> <p>The “subject” of the complaint has the right to request an appeal, once the investigation, hearing, and the MHA Board has levied discipline and/or sanctions.</p> <p><i>The “subject/appellant” must meet the appeal criteria and can provide evidence to support the appeal.</i></p>	
	<p>An Appeal Committee is established.</p> <p><i>*the Appeal Committee (3-5 ppl) MUST be impartial, free from a conflict of interest, and be independent of the situation. (not part of the original decision, not on the Decision Committee, not a board member, MHA executive or member, and be removed from any perceived conflict of interest to the “complainant” or the “subject”)</i></p>
	<p>Appeal committee has reviewed the information and come to a decision on an Outcome [select appropriate outcome below].</p>
	<p>OPTION A: Appeal Committee determined that the appeal request is NOT ELIGIBLE to be heard.</p>
	<p>The MHA Board and the “appellant” have both been made aware, in writing, of the decision and rationale regarding the ineligibility of the appeal.</p>
	<p>OPTION B: Appeal Committee determined that the appeal request IS ELIGIBLE to be heard.</p>
	<p>An Appeal hearing date has been set by the Appeal Committee.</p>
	<p>“Appellant” has been notified about the hearing date.</p>
	<p>The Hearing Process/meeting has been completed.</p>
	<p>Appeal Committee has rendered a final decision [select appropriate decision below].</p>
	<p>Decision A: Affirmation of the original decision, and rejection of the appeal.</p>
	<p>Decision B: Rejects the original decision and upholds the appeal.</p>
	<p>Appeal committee has reversed, quashed or modified the original decision or has ordered a new hearing.</p> <p><i>MHA President delivers decision and rational to “appellant”.</i></p>
	<p>Decision C: Rejects the original decision, upholds the appeal but no new hearing is ordered.</p>
	<p>MHA Board has evaluated the findings and made appropriate changes to the original discipline/sanction.</p> <p><i>MHA President delivers decision and rational to “appellant”.</i></p>
	<p>Decision D: Rejects the original decision, upholds the appeal and a new hearing is ordered.</p>
	<p>The hearing process is restarted with a new Decision Committee (return to Step 3)</p> <p><i>MHA President delivers decision and rational to “appellant”.</i></p>
	<p>Appeal Committee delivers the outcome of the hearing and decision to the MHA Board AND to the “subject/appellant”.</p> <p><i>All conversation and documents are captured in writing.</i></p>

Step 6: Document Retention	
Proper records and document must be kept in accordance with a Document Retention Policy.	
	Documents kept and stored securely during Step 1
	Documents kept and stored securely during Step 2
	Documents kept and stored securely during Step 3
	Documents kept and stored securely during Step 4
	Documents kept and stored securely during Step 5

Regardless of where the conduct/complaint review process started and stopped according to the above processes, please provide all details of the final decision, discipline and/or sanctions attached to the conduct/complaint review.

Final Decision, Discipline and/or Sanctions imposed (detail below):