# Disciplinary policy template

## Explanatory note

The Code of Integrity for Sport and Recreation (the **Integrity Code**) requires organisations to have a policy that imposes sanctions if a participant is found to have engaged or attempted to engage in a prohibited behaviour. This is part of Minimum Standard 3 of the Integrity Code (clause 13 of the Integrity Code). Organisations will also need to have an appropriate Complaints and Dispute Resolution Policy to fully comply with minimum standard 3.

This disciplinary policy template covers the minimum requirements that need to be in place to respond to breaches of the Integrity Code by participants.

## It complies with the Integrity Code

Organisations who use and implement this policy template without changing the content, or add the mandatory sections of this policy to their existing policies, will comply with clause 13(2)(e) under Minimum Standard 3.

Even if you haven’t adopted the Integrity Code, we encourage you to use and implement this policy template or to develop and adapt your own disciplinary policy using this policy template as a guide*.* This can be used as a standalone disciplinary policy for integrity issues only or can be adapted to cover all disciplinary matters for your organisation.

We encourage you to go beyond the minimum standards to create the safest and fairest sport and recreation environment possible for your members and participants.

## How to use this policy template

1. Download and save to your computer*.*
2. Either*:*
	1. use this policy by inserting your organisation’s logo, name and sport or recreation activity where indicated, or
	2. adapt your existing disciplinary policy by adding the mandatory sections of this policy indicated in blue. Check that the wording in your existing policy will be consistent with the mandatory sections.

### Contact us

For questions about the Integrity Code, contact our team at:

Email: integritycode@sportintegrity.nz

Phone: 0800 378 437

# Disciplinary policy

Add your logo here

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| --- |
| Our commitment to you We’re committed to protecting you from abuse and harm at [name of organisation] by ensuring anyone who engages in behaviour prohibited by [name of organisation] is held accountable and appropriately disciplined. We do this by:* having a clear disciplinary process
* setting out how breaches of the Integrity Code are handled
* having a clear process for determining the seriousness of the behaviour and whether to sanction the person
* setting out a framework for determining appropriate sanctions
* setting out how to appeal a decision.

This policy provides detailed information about our disciplinary process, imposing sanctions and breaches of the Integrity Code.Who you can speak to If you are concerned about behaviour you see or experience you can make a complaint or disclosure either to: • [name of organisation] • Sport Integrity Commission – [sportintegrity.nz/making-a-complaint](https://sportintegrity.nz/making-a-complaint/make-a-complaint)  |

## Introduction

1. Everyone at [name of organisation] has the right to:
	1. take part in sport and recreation
	2. be safe, respected and treated fairly, equitably and with dignity
	3. participate in activities and environments that are free from harmful behaviour, cheating and corruption.
2. This policy supports this by providing for people to be held accountable for engaging in behaviours that are a threat to integrity and that have been prohibited by [name of organisation].

## Purpose

1. The purpose of this policy is to set out how breaches of our prohibited behaviour policy are handled and ensure the process used is fair, timely and appropriate.
2. The policy:
	1. provides a clear process for determining if a breach has occurred and the sanction to be imposed
	2. sets out a framework for determining appropriate sanctions
	3. sets out the appeal rights to a decision
	4. gives effect to our obligations under the Code of Integrity for Sport and Recreation (the Integrity Code).

## Who this policy applies to

1. This policy applies to the members, staff, volunteers and contractors of [name of organisation] as well as all participants involved in [sport and recreation] activities, events and competitions that we are responsible for.

## When this policy applies

1. This policy applies where there is:
	1. an alleged breach of the prohibited behaviour policy and any other [name of organisation] policy giving effect to the Integrity Code.
2. This policy does not apply in relation to:
	1. anti-doping rules violations under the Sports Anti-Doping Rules
	2. appeals against a member’s non-selection to a sports team
	3. appeals against a member’s non-nomination to a New Zealand Olympic, Paralympics, Special Olympics or Commonwealth Games Team.

## Te Tiriti o Waitangi

1. [name of organisation] is committed to upholding the mana of Te Tiriti o Waitangi and the principles of partnership, protection and participation. This policy has been prepared in line with this commitment and its text and implementation is guided by the following values and principles.
	1. Whanaungatanga: fostering positive relationships, connections and a sense of community between participants, particularly for people who are disadvantaged or at risk.
	2. Manaakitanga: participants are treated, and treat each other, with dignity and respect.
	3. Hauora: physical, psychological, spiritual, family and social wellbeing of participants and recognising sport and recreation should make a positive contribution to participants’ wellbeing.
	4. Haumarutanga: the importance of protecting the safety and wellbeing of participants, particularly when they are at risk.
	5. Mokopunatanga: an emphasis on the wellbeing of children and young people, and ensuring future generations thrive.
	6. Pono: acting in a way that is trustworthy, honest and fair.
	7. Utu and ea: reciprocity and opportunities for repairing harm done and restoring a state of balance.

## Definitions

In this policy:

**abuse** includes physical, psychological, emotional and sexual abuse

**adult** means a person who is 18 years or over

**adult at risk** means any adult who needs care and support, is experiencing or is at risk of abuse or neglect, and is unable to remove or protect themselves from that risk because of those needs

**children and young people** means people under the age of 18 years

**Commission** means the Sport Integrity Commission

**complainant** means a person who has made a complaint under our complaints and dispute resolution policy or to the Commission

**complaint** means an expression of dissatisfaction with an explicit or implicit expectation of a response or resolution made under our complaints and dispute resolution policy or to the Commission

**disciplinary panel** means a disciplinary panel established by the Commission

**disclosure** means a disclosure of information relating to an alleged or actual breach of the Integrity Code, a policy required under the Integrity Code, or the Integrity Sport and Recreation Act 2023

**dispute resolution** means any process used to respond to or resolve a complaint or disclosure, including:

* consent-based processes such as mediation, restorative processes or arbitration
* determinative processes such as investigation and disciplinary processes

**harm** means physical or mental damage or injury resulting from a prohibited behaviour

**in connection with sport and recreation** means that:

* the behaviour occurs while a person is engaging in sport and recreation to which the Integrity Code applies
* the behaviour occurs while a participant is dealing with an organisation, its employees, volunteers, contractors, or representatives in the context of their mutual involvement in sport and recreation
* a person is acting in their capacity as a participant, member, officer, or representative of an organisation
* the behaviour occurs between people interacting with each other primarily because of their mutual involvement in sport and recreation

**needs** of participantsincludes their psychological needs and other needs such as those based on vulnerability, age, culture, language, gender identity and expression, sexual identity, sex characteristics, and disability

**participant** includes:

* a player, competitor, or any other person who takes part in the [sport or recreation activity]
* an official or administrator
* a coach, trainer, or other person who gives instruction in relation to the [sport or recreation activity]
* a manager, an agent, or a team staff member
* a person providing medical or paramedical services to a person who takes part in [sport/recreation activity], or a team or group
* a parent or caregiver of a person who takes part in [sport/recreation activity]
* any other person working with, treating, or assisting a person who takes part in [sport/recreation activity], or a team or group
* a volunteer providing services for [the sport or recreation activity]

**Prohibited behaviours** means the following:

* bullying, violence, abuse, intimidation and harassment
* child abuse, child sexual abuse and child neglect
* sexually harmful behaviour
* discrimination
* competition manipulation and associated activity
* corruption, fraud, deception and breach of trust
* retaliation against or victimisation of any person because that person makes or intends to make a complaint or disclosure to [name of organisation], the Commission or another organisation bound by the Integrity Code

**respondent** means a person or organisation complained about or whom an allegation has been made against under our complaints and dispute resolution policy or to the Commission

References to clauses are to clauses in this policy.

## Breach of the Integrity Code

1. A participant may be sanctioned under this policy where they are found, on the balance of probabilities, to have:
	1. breached this policy by failing, without reasonable excuse, to:
		1. provide information or cooperate with an investigation by the Commission in accordance with Part 3 of the Integrity Code
		2. abide by a sanction imposed on them in accordance with the Integrity Code
	2. breached a policy [name of organisation] has in place to give effect to the Integrity Code
	3. breached [sections 39](https://legislation.govt.nz/act/public/2023/0048/latest/LMS806202.html) [or 40](https://legislation.govt.nz/act/public/2023/0048/latest/LMS806261.html) of the Integrity Sport and Recreation Act 2023 prohibiting retaliation and victimisation.
2. Depending on the circumstances, the [name of organisation] or the Commission is responsible for demonstrating a breach referred to in paragraph 9 has occurred.
3. For the avoidance of doubt:
	1. a participant must be bound by the Integrity Code to be in breach
	2. the act or omission must be in connection with sport and recreation
	3. the physical location where the behaviour happened is not determinative and
	4. prohibited behaviours may involve different forms of contact (eg, physical contact, verbal comments, written communications, or online conduct).

**Provisional measures**

1. [Name of organisation] may impose provisional measures on a person before a disciplinary process is held if there is a reasonable belief that provisional measures are necessary to protect the safety, wellbeing or security of persons in [sport or recreation activity] and/or [name of organisation].
2. The provisional measures available to [name of organisation] are the sanctions at clause 32.
3. Provisional measures must:
	1. be proportionate to the alleged misconduct
	2. address the identified concerns for safety, wellbeing or security
	3. be time-limited pending a disciplinary process in accordance with this policy, or an employment process if the respondent is an employee.
4. Provisional measures can be imposed at any point from when [name of organisation] become aware of an alleged or actual breach of the prohibited behaviour policy and before the issue is resolved under our complaints and dispute resolution policy or this policy, or by the Commission.
5. [Name of organisation] must take all reasonable steps to ensure that the provisional measures are adhered to by the relevant person and within the [sport or recreation] activities they may be involved in.

**Process before disciplinary process**

1. Before a disciplinary process is initiated for a participant, the decision-maker must be satisfied that an appropriate investigation or other process has taken place in accordance with [name of organisation]’s complaints and dispute resolution policy, including that:
	1. the principles of natural justice have been followed
	2. the respondent has been told the details of the allegations against them
	3. the respondent has been given a reasonable opportunity to respond to the allegation and their response has been considered by the decision-maker
	4. the outcome of any investigation or process and the reasons for the decision has been provided in writing to the respondent.

**Referral to the Sport Integrity Commission disciplinary panel**

1. In relation to breaches under clause 9, [name of organisation], the complainant or the respondent can request the Commission to refer a matter to the Commission’s independent disciplinary panel.
2. A request as described in clause 18 must be made before [name of organisation] conducts any disciplinary process.
3. If the complainant or the respondent makes a request to the Commission, they must notify [name of organisation] before the request is made or as soon as possible after the request is made. This is to ensure that [name of organisation] does not commence a disciplinary process before the Commission considers and decides on the request.
4. If [name of organisation] makes a request to the Commission, it will inform the complainant, the respondent and any other relevant parties before the request is made or as soon as possible after the request is made. [Name of organisation] will not commence a disciplinary process before the Commission considers and decides on the request.
5. If the Commission decides to make a referral to the Commission’s disciplinary panel, [name of organisation] will not take any further disciplinary action in relation to the matters to be determined by the Commission’s disciplinary panel. This does not prevent [name of organisation] from taking action under this policy in relation to matters that will not be dealt with by the Commission’s disciplinary panel, such as employment matters.
6. [Name of organisation] will take all reasonable steps to ensure that any decision or sanction imposed by the Commission’s disciplinary panel is complied with and/or implemented. This includes monitoring any steps that the person, any other relevant parties or [name of organisation] is required to take.

**Disciplinary process**

1. Following an investigation or other process that has taken place in accordance with [name of organisation]’s Complaints and Dispute Resolution Policy [name of organisation] will refer the matter to the decision-maker to determine:
	1. whether a breach of the Integrity Code or a policy that [name of organisation] has in place to give effect to the Integrity Code has been proven on the balance of probabilities
	2. what sanction, if any, should be imposed.
2. The respondent and the complainant are entitled to have representation and/or support people throughout the disciplinary process.
3. The standard of proof is whether, on the balance of probabilities, the person breached the Integrity Code or a policy [name of organisation] has in place to give effect to the Integrity Code.
4. The decision-maker must:
	1. be fair, impartial and ensure any conflicts of interest, whether actual or perceived, are identified and managed
	2. be able to consider the matter without a predetermined view
	3. ensure any decisions are:
		1. consistent with any contractual or employment agreements that apply
		2. consistent with [name of organisation]’s constitution
		3. based on the evidence, information and outcomes of any relevant resolution process or investigation
		4. reflect the seriousness of the behaviour and the impact on the complainant and other interested parties.
5. Depending on the circumstances, the decision-maker may:
	1. make a decision in writing
	2. hold a disciplinary hearing, in person or online.
6. The decision-maker must ensure that the complainant, the respondent, and any other interested parties have the opportunity to provide their views on the proposed sanction, if any, to be imposed before the decision is finalised.

## Costs

1. Each party will be responsible for their own costs in relation to the disciplinary process under this policy.

**Principles relating to sanctions and remedial actions**

1. In determining what sanction to impose on a participant, the decision-maker will observe principles of natural justice and may consider:
	1. the seriousness of the breach and the harm caused by it
	2. whether the breach was a one-off incident or part of an overall pattern of behaviour
	3. whether participants are vulnerable or at risk
	4. any power imbalance between the parties
	5. any remorse expressed or attempts to make amends, including the outcome of any restorative process, tikanga Māori-based process, or other cultural process
	6. whether the breach was an honest and reasonable mistake
	7. the views of the complainant and any other persons harmed by the breach
	8. relevant precedents that help guide a proportionate remedy or sanction
	9. cultural considerations
	10. identity-based considerations
	11. aggravating or mitigating factors.

**Sanctions**

1. The decision-maker may impose any one or more of the following sanctions:
	1. a reprimand or warning
	2. a requirement to complete education that relates to the behaviour in question (eg, education modules)
	3. conditions on participating in sport and recreation to which the Integrity Code applies
	4. suspension from some or all participation in sport or recreation to which the Integrity Code applies
	5. exclusion from some or all participation in sport or recreation to which the Integrity Code applies
	6. any other sanction or penalty provided for in [name of organisation]’s constitution or policies (eg, suspension or expulsion from membership of [name of organisation] or imposing a fine).
2. When imposing the final sanction, the decision-maker may take into account any provisional measures that were imposed on the respondent and the length of time they were imposed for.
3. [Name of organisation] must take all reasonable steps to ensure that the sanction is complied with and/or implemented. This includes monitoring any steps that the respondent, any other relevant parties or [name of organisation] is required to take.
4. [Name of organisation] may take separate disciplinary action in relation to a participant who is an employee.

Privacy and confidentiality

1. Personal information collected or held by [name of organisation], including in relation to any integrity complaint or disclosure, must be managed in accordance with the Privacy Act 2020 and with [name of organisation]’s privacy policy.
2. Personal and confidential information will only be disclosed or used by us as required or permitted under the relevant privacy laws and any relevant confidentiality obligations.
3. [Name of organisation] confirms that anyone who provides personal information to it in connection with any Integrity Code obligations or activities will be advised about:
	1. the purpose of collecting the personal information
	2. what it will be used for
	3. how it will be stored
	4. how long it will be kept for
	5. whether the information will be shared or disclosed.

## Decision

1. The decision-maker will provide a written decision to the parties, which sets out the sanction, the reasons for the sanction, and any other relevant matters as soon as possible.
2. The decision will be final and binding, subject to any appeal rights.

## Appeal

1. A decision or sanction made under this policy may be appealed to the Sports Tribunal of New Zealand in accordance with [section 38(ac)](https://www.legislation.govt.nz/act/public/2006/0058/latest/DLM390173.html) of the Sports Tribunal Act 2006.
2. The grounds and procedure for an appeal are as established by the Sports Tribunal.

## Related policies

1. [insert list of related policies]
	1. Prohibited Behaviours Policy
	2. Complaints and Dispute Resolution Policy
	3. Mandatory Notification Policy
	4. Privacy Policy

## Policy approval

1. This policy was approved on [insert date] by [insert organisation representative].

## Review of policy

1. This policy must be reviewed by [insert date no later than 1 year after approval date – should be an annual review].