



Disciplinary Policy

Revision 1B

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The WHUA is responsible for setting and maintaining standards of behaviour of all its members. All members of the WHUA are responsible for ensuring that they are aware of these standards and be aware that they are responsible for their own behaviour at all times.

This policy outlines the procedure(s) to be taken should a complaint arise against an umpire or official who is registered through Hockey Wales (HW) as a member of the Welsh Hockey Umpires Association (WHUA).

1. Scope

- a. This policy can be applied once representation has been made from an individual, club or organisation about the behaviour of one of the members of the WHUA.
- b. This policy cannot be used to complain about any decisions that the umpire or official has made during the course of a game.

2. Responsibility of WHUA

The WHUA will:

- a. Appoint a Disciplinary Officer (DO), to whom all disciplinary enquires must be addressed.
- b. Always respond to any disciplinary problems as soon as possible so that they do not persist or develop into potentially damaging issues.
- c. Deal with any problems that arise consistently and transparently.
- d. Pass onto the National Governing Body, HW, any disciplinary procedure which is deemed above the responsibility, or outside the remit of, the association.

3. Reporting Procedure

- a. A complaint is a formal written statement of allegation made by an individual or organisation regarding the actions or behaviour of any person or body of persons who are members of the WHUA.
- b. The complaint should be made direct to the DO. Should the complaint be about the DO then the complaint should be made to the Chair of the association. If the Chair has been appointed as DO then the complaint shall be made to the Secretary.
- c. The complaint must be set out in as much detail as possible including what part of the code of conduct has been breached or what other conduct has resulted in the complaint.
- d. The complaint must reach the DO within 10 days of the alleged incident. Complaints made outside of this timeframe may not be considered unless the severity of the complaint is such that it is the best interests of the WHUA to take it forward.

4. Procedure for Dealing with a Complaint

Upon receiving the complaint;

- a. The DO will immediately acknowledge receipt of the complaint.
- b. The DO will decide, within three days of receiving the complaint, if the complaint should be dealt with by the WHUA or HW. If it is decided that HW should deal with the complaint, then the report should be sent to the National Disciplinary Officer (NDO) and the complainant informed of said action.
- c. The DO plus at least one other person from the Executive committee shall, within 5 days of the DO deciding the complaint will be dealt with by WHUA, form an investigation panel (IP) that shall decide if:
 - i. The complaint should be dealt with formally
 - ii. The complaint should be dealt with informally
 - iii. The complaint should be rejected
- d. If it is decided that the complaint should be rejected the DO should inform the person making the complaint that this is the case along with a brief reason outlining why the decision was made.
- e. If it is decided that the complaint should be dealt with informally then the IP will decide what action should be taken.
- f. If it is decided that the complaint should be dealt with formally then the IP shall decide if any interim sanctions are necessary.
- g. The DO should notify the person who the complaint is about with notice of the disciplinary action, along with information about what part of the code of conduct has been allegedly broken plus confirmation of any interim sanctions that have been decided. This should be done within 10 days of the decision to follow through with the complaint.
- h. Once notice of disciplinary action has been given the DO should, within 7 days of notice being given, form a Disciplinary Panel (DP) which should consist of three people. One of which should act as chair.
 - i. Members of the DP should, so far as possible, have no connection with the respondent or claimant they should not be involved in the complaint and shall be unbiased.
- i. Once a committee has been formed then the chair of the committee should provide a date, no earlier than 10 days in the future, by which all supporting evidence should be submitted. This should be communicated to all necessary parties.
- j. Once all evidence has been gathered the DP will then have a further 10 days to decide the outcome of the disciplinary hearing along with any sanctions applied.
- k. The DO will, within 5 days of the decision, inform all necessary parties of the outcome, including any sanctions, of the DP.

5. Format of Hearing / Evidence

- a. All evidence should be provided in written / electronic format e.g. hand typed / written letter, email, video etc.
- b. By default, the DP will meet and discuss evidence via email, telephone, skype
- c. The person who is the subject of the complaint may request a personal hearing but must understand that the timeframes mentioned above may be increased. Should a personal hearing be requested then notice should be given within three days of receiving the notification of complaint.
- d. If a personal hearing is requested the DO may appoint a fourth person to act as secretary / note taker for the hearing. This person should make an accurate recording of the hearings minutes and have no input to discussions or decision making.
- e. The DP shall not be bound by the rules of court (or any legislative provision).
- f. Any persons who wilfully mislead a DP will be liable to face disciplinary action.

6. Sanctions

- a. It is in the remit of the IP and the DP to determine what sanctions may be taken if a complaint is upheld.
- b. Any sanctions may be back-dated to take into account any interim sanctions imposed by the IP.
- c. If a personal hearing has been requested the Chair of the DP, may, include an order for the costs of the hearing to be paid. These costs may include any reasonable expenses incurred in the preparation or holding the hearing and in attending the hearing and otherwise in presenting or defending the case. In calculating the amount of such a sum, no legal representation or professional charges may be included in the costs.
- d. Failure to abide by any of the sanctions handed out by the DP may result in further disciplinary action being taken.
- e. For repeat offenders, it is expected that the sanctions imposed by the DP be increased in severity.

7. Recording Outcomes

- a. The DO shall maintain a record of all offences and sanctions all correspondence, documents, witness statements and minutes of the hearing in case they are required at a later appeal or otherwise.

8. Right of Appeal

- a. The decision of a DP may be appealed by the respondent only.
- b. Any appeal should be sent, in writing, to the DO who dealt with the disciplinary matter within 5 days of the notification of the result of the DP. The appeal must set out, in detail, the grounds of the appeal.

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- c. Any appeal received will be passed onto HW to deal with at a National Level and in line with any necessary HW policies.
- d. In receipt of an appeal to DO will forward on all correspondence, documents, witness statements, minutes and any other relevant information the NDO.

Key Abbreviations

WHUA	–	Welsh Hockey Umpires Association
HW	–	Hockey Wales
NDO	–	National Disciplinary Officer
DO	–	Disciplinary Officer
IC	–	Investigating Committee
DP	–	Disciplinary Panel