



UCWDC® ETHICS COMMITTEE CODE OF CONDUCT

Version 1.0

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1. INTRODUCTION

The United Country Western Dance Council® is an international organization which promotes country western dance by producing festivals and competitions across the world. We host the annual Country Dance World Championships® for couples and line dancers and we advocate country dancing as a social activity for people of all ages and abilities.

1.1 Purpose

The UCWDC's Ethics Committee is an independent body within the United Country Western Dance Council structure. The Ethics Committee investigates cases of alleged violations of the UCWDC Member Director(s) Code of Ethics. The Ethics Committee may initiate such investigations on its own initiative or as a result of a report directed to the Committee.

The Ethics Committee may also provide advisory opinions on any potential issue related to the UCWDC Member Director(s) Code of Ethics to the Board of Directors, if asked for. Such advisory opinions may also concern behavior not directly connected to the involvement of a person in the UCWDC or his/her duties, if a uniform regulation is considered to be appropriate.

1.2 Parties

The only parties in cases investigated by the Ethics Committee are the persons or legal entities alleged to have violated the UCWDC Member Director(s) Code of Ethics (hereinafter: "the Parties").

2. REPORT(S) TO THE ETHICS COMMITTEE

1. Anyone can file a report to the Ethics Committee, including Associate Members of the UCWDC, as long as he/she is not already obliged to decide the regarding issue by UCWDC's governing documents, provided always that the authority of the UCWDC to ask the Ethics Committee for an advisory opinion (Article 1.1 of this Policy) remains reserved.
2. Reports to the Ethics Committee must be in writing and must fulfil the following minimum requirements:
 - a. the full name, address and contact details of the writer,
 - b. the designation of the organization or federation the writer belongs to,
 - c. a clear designation of the person alleged to have violated the UCWDC Member Director(s) Code of Ethics,
 - d. a complete description of the facts of the case,
 - e. evidence and names of witnesses to the alleged misconduct, if possible, and
 - f. a designation of the articles of the UCWDC Member Director(s) Code of Ethics alleged to be violated.
3. If a report to the Ethics Committee meets the formal requirements and a prima facie-assessment shows that there is probable cause of an offence of the UCWDC Member Director(s) Code of Ethics, the Ethics Committee is obliged to initiate an investigation and to file the date of the opening of such investigations, unless otherwise regulated in paragraphs 2.4 to 2.6 below.



4. The Ethics Committee does not consider submissions that violate human dignity or lack objectivity. In these cases, the Ethics Committee sets a short time limit to the presenter to edit his or her submission. If the writer fails to file an appropriate submission, the report is treated according to paragraph 2.5 below.
5. If the Ethics Committee decides that a report does not describe any kind of offence falling within the jurisdiction of the UCWDC Member Director(s) Code of Ethics or a report is sent to the Ethics Committee purely for querulous reasons, the Ethics Committee may decide not to initiate an investigation. Such decisions may be subject to a complaint to the General Council.
6. Reports to the Ethics Committee may also be sent to the Chairperson anonymously or without a designation of the Articles of the UCWDC Member Director(s) Code of Ethics alleged to be violated. It is in the discretion of the Ethics Committee whether or not to initiate an investigation in these cases.
7. Reports to the Ethics Committee must be submitted to the Chairperson of the Committee by e-Mail. The Chairperson shall acknowledge receipt of all reports fulfilling the above mentioned requirements within a period of five (5) calendar days after they are received.
8. Any communication directed to the Ethics Committee must be in English. Statements or evidence in other languages are not admissible.

3. REPORT(S) BY THE ETHICS COMMITTEE

1. The Ethics Committee informs the Board of Directors of the results of all investigations according to Article 1.1 of this Policy at the latest after they are closed. If the Ethics Committee considers that also a UCWDC Rule, Associate Member of Judge Certification Policy could have been violated; the Ethics Committee must inform the Board of Directors before entering into an investigation.
2. Each investigation is closed by a report of the Ethics Committee, summarizing the facts of the case, the results of the investigation and including a suggestion for a sanction. Except for such reports, the Ethics Committee refrains from exercising any influence on the Parties or other persons involved in an investigation.
3. After having initiated an investigation in a certain case, the Ethics Committee is obliged to present a report on the case not later than one half (1/2) year after gaining knowledge of the facts or of the report according to Article 2.1 of this Policy.
4. Bi-Annually, the Ethics Committee presents to the General Council a summary in writing of all reports directed to the Ethics Committee, including those that did not lead to an investigation.
5. Bi-Annually, the Ethics Committee reports to the General Council. This bi-annual report includes a summary of the work of the Ethics Committee as well as a detailed description of all reports and investigations concerning UCWDC Member Directors and other persons.
6. Advisory opinions of the Ethics Committee are only reported by the Ethics Committee if the inquirer agrees, provided always that such a disagreement of the inquirer does not preclude the Ethics Committee from initiating an investigation (Article 2.1 of this Policy) based on the facts of the inquiry. If the Ethics Committee is asked for an advisory opinion in cases of possible conflicts of interest, the Ethics Committee may suggest that the inquirer resign from his/her office if the reason for a conflict of interest cannot be



eliminated.

7. Recommendations of the Ethics Committee neither bind the UCWDC, Member(s) Directors nor the General Council Meeting or any third person. Therefore, reports or any other statements of the Ethics Committee are not subject to a complaint to the General Council or any other judicial institution.

4. PROVISIONAL MEASURES AND SANCTIONS

The General Council decides on provisional measures and sanctions based on the result of the investigations conducted by the Ethics Committee in all cases except in those in which a UCWDC Member or another person who is elected by the UCWDC is accused of having violated the UCWDC Member Director(s) Code of Ethics.

1. Based on the impact of the misconduct and the degree of the individual fault and responsibility, the General Council is entitled to impose the following measures & sanctions in cases of contraventions of the UCWDC Member Director(s) Code of Ethics:
 - a. reprimands;
 - b. warnings (warnings include a period of probation, repeated misbehavior of the same kind during that period will lead to a more severe sanction than a warning);
 - c. prohibiting individuals from participating in any UCWDC competition or other event for a certain period of time;
 - d. prohibiting individuals from taking part in any function in any UCWDC competition or other event for a certain period of time;
 - e. prohibiting individuals from attending any UCWDC competition or other event for a certain period of time;
 - f. prohibiting a person or legal entity from organizing any UCWDC competition or other event for a certain period of time;
 - g. suspending any sanctioning, license, accreditation or permit issued by the UCWDC for a certain period of time;
 - h. revoking any sanctioning, license, accreditation or permit issued by the UCWDC, including concurrently granting permission to reacquire the respective Sanctioning/License at a later stage in time;
 - i. permanently revoking any sanctioning, or license issued by the UCWDC;
 - j. permanently revoking all UCWDC sanctioning/licenses;
 - k. excluding a person from elections or appointments by the UCWDC;
 - l. excluding a person or legal entity from supplying goods or providing services to UCWDC;
 - m. excluding a person or legal entity from invitations to tender;
 - n. prohibiting individuals from accepting services from persons or legal entities that violated the UCWDC Member Director(s) Code of Ethics;
 - o. dismissing Officials elected or appointed by the UCWDC or by General Council Members;
 - p. prohibiting a person from accepting any formal position within the UCWDC for a certain period of time or forever;
 - q. imposing sanctions on any sort of UCWDC Members;
 - r. imposing administrative fines up to an amount of \$5,000USD

or a combination of any of the said measures & sanctions.



2. In cases in which the General Council cannot impose a sanction, the Ethics Committee may suggest to the General Council not to re-elect a person or to expel him/her from office.
3. The General Council may not impose any sanctions in cases of alleged violations of the UCWDC Member Director(s) Code of Ethics. The right of recall from office remains reserved.
4. If a specific conduct constitutes a violation of the UCWDC Member Director(s) Code of Ethics as well as a breach of a UCWDC Bylaws, Rules, Policies and Procedures, the case shall be handled according to the principles set out in UCWDC Policies and Procedures.

5. POWER OF THE ETHICS COMMITTEE TO ASK FOR INFORMATION

1. The Ethics Committee may ask for information. Any person who is asked for information by the Ethics Committee or who is given information by the Ethics Committee is obliged to acknowledge receipt of the inquiry or communication.
2. The Chairperson of the Ethics Committee may set a time limit for responding to the Ethics Committee. Any unannounced and unexplained further delay is considered as a denial to give information, provided always that a lack of a response by the Parties is not to be held against them.
3. The Board of Directors may refuse to give information if negotiations with third parties are concerned.

6. TIME LIMITS

1. There is no time limit for investigations by the Ethics Committee, but sanctions may only be imposed within the limits of the applicable Rules, Regulations and law.
2. Time limits set out in UCWDC's governing documents may not be extended. Time limits set by the Ethics Committee may be extended once upon request by its Chairperson.

7. MEMBERS OF THE ETHICS COMMITTEE

Refer to Article 3 - Electoral Practices and Voting Policy

8. WORK OF THE ETHICS COMMITTEE

1. The Chairperson informs the other Members of all notifications and reports directed or forwarded to the Ethics Committee. As long as the Ethics Committee has not yet started an investigation in a case, the Chairperson of the Ethics Committee directs the procedure in a case.
2. The Ethics Committee normally collects the required information by means of written inquiries or written questioning.
3. The Chairperson may appoint one of the Ethic Committee Members as a rapporteur. The Chairperson may delegate any sort of inquiries, including hearings, to the rapporteur.



4. The Members of the Ethics Committee normally communicate via e-mail, telephone or video conference and convey decisions in writing, purely based on the gathered information. Any communication of the Ethics Committee shall be in English.
5. Decisions in the Ethics Committee are taken by majority vote. The Chairperson and the Members are obliged to vote, except if paragraph 8.6 applies. Proxy votes are not permitted.
6. If the Chairperson, one of the Members of the Ethics Committee or one of their family members (including cohabitants) is personally involved in a case that should be investigated by the Ethics Committee or he/she is otherwise biased, he/she may not take part in the further investigations of the Ethics Committee anymore and must inform the Chairperson and the Members of the Ethics Committee immediately of this fact. In these cases, the remaining six (6) finish the investigation. If they disagree on the result of the investigation or the suggestion of a sanction, the Chairperson shall cast a deciding vote. If the Chairperson was the person who had to recuse him/herself from the investigation, the longest-serving Member shall cast a deciding vote. If the six (6) were elected in the same year, they shall present their opinions in the same report, even if they are different.
7. The files of each investigation and all reports directed to the Ethics Committee have to be kept for at least ten (10) years. They may be filed in electronic form.

9. PROCEDURAL RIGHTS OF THE PARTIES

1. If a report to the Ethics Committee accuses a person of having contravened the UCWDC Member Director(s) Code of Ethics, the Ethics Committee shall inform the Parties of the report only after collecting any evidence which in its view might be in any danger of being lost so that such loss may not interfere with the conduct of the investigation.
2. Before the Ethics Committee closes its investigation, the Parties have the right to be heard, to present their own evidence and to have access to all files of the case, including the report that initiated the investigation, provided always that the authorizations of the Ethics Committee not to disclose information.
3. The Board of Directors may decide that information given to the Ethics Committee may not be disclosed to the Parties if confidential matters need to be safeguarded.
4. At the request of a person submitting any statement to the Ethics Committee, the Ethics Committee may decide not to disclose the name of that person to the Parties. If the Board of Directors later decides to sanction a person based on the investigations of the Ethics Committee or the General Council takes any action according, the statements or testimonies of such anonymous persons may not be used as the only evidence against a person.
5. The Chairperson of the Ethics Committee grants the Parties at least ten (10) days to file a statement after they had the chance to look at all files of the case.
6. The Parties have the right to file additional questions to the Ethics Committee in order to present them to any person who filed a statement or testimony to the Ethics Committee.
7. The Parties have the right to obtain a copy of the Ethics Committee's report and reasons.



10. CONFIDENTIALITY

1. Anything disclosed to the Ethics Committee shall remain confidential and the Ethics Committee shall not make statement related to any matter that is pending before the Ethics Committee, unless otherwise stated in the provisions of the Parties' rights (Article 9 of this Policy) and the content of the Ethics Committee's information and reports (Article 2 of this Policy).
2. Ethics Committee deliberations and votes shall be confidential.
3. The summary of the work of the Ethics Committee directed to the General Council does not contain the names of persons alleged to have violated the UCWDC Member Director(s) Code of Ethics except if they are UCWDC Member Director or other persons directly elected by the General Council. If the Board of Directors imposes sanctions, the right to publish the names of concerned person(s) remains reserved.

11. REVIEW

If an investigation has been closed, the Ethics Committee may reopen an investigation if new facts or evidence appear that may change the conclusion of an investigation. Parties may only present new facts and evidence to the Ethics Committee after investigations are closed, if they can prove that they had no reasonable chance to discover those facts or evidence until the end of the time limit set by the Ethics Committee.

END OF POLICY