

WORLD SAILING

CODE OF ETHICS

with effect from 10 November 2024

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WORLD SAILING CODE OF ETHICS

1. Application of the Code of Ethics

- 1.1 In this Code, a "Participant" means someone who was at the time of the alleged Misconduct, breach or decision alleged:
- (a) a competitor, a boat owner, support person (as defined by the RRS) ~~who took part in a Competition~~;
 - (b) any World Sailing Council, committee, sub-committee or commission member, working party member, any alternates appointed, World Sailing Member (including any delegates or representatives sent by a Member to attend World Sailing Events, meetings or other official functions), World Sailing Officer, World Sailing Race Official or World Sailing Representative; and
 - (c) candidates or nominees for election or appointment to the positions listed at Article 1.1(b)
 - (d) any person, official or body subject to the World Sailing Constitution or World Sailing Regulations.
 - (e) Any individual who was previously defined as a Participant under 1.1 (a), 1.1.(b) 1.1.(c) or 1.1. (d) who and has since resigned or had their position terminated, if the subject matter of the complaint arose when they were a Participant.
- 1.2 For the purposes of this Code, the term "support person" also includes any coach, trainer, manager, athlete representative, agent, team staff member, team official, medical or para-medical personnel working with or treating athletes participating in or preparing for ~~c~~Competitions, family member or any other person employed by or working with an Athlete or the Athlete's Member National Authority participating in a ~~c~~Competition;
- 1.3 For the purposes of this Code, the term "official" also includes ~~means~~ any person who is the owner of, a shareholder in, an executive or a staff member of the entities which organise and/or promote Competitions, including but not limited to World Sailing Race Officials and any other contracted persons accredited to officiate or administrate at a Competition. The term also covers the executives and staff of World Sailing or, where appropriate, executives and staff of other competent sports organisations or clubs that are part of an organizing authority of a Competition.
- 1.4 With respect to any proceedings commenced with the Ethics Commission or Judicial Board under the previous Code of Ethics or World Sailing Regulations prior to 10 November 2024, those bodies shall continue to have jurisdiction and conclude the proceedings under the terms of the applicable rules and regulations they were commenced under.
- 1.5 For the purposes of this Code the term "Competition" means any international sailing competition, regatta, match, race or event, organised in accordance with the rules of World Sailing by World Sailing or its affiliated organisations (including MNA, Classes and Special Events) which requires World Sailing Eligibility in accordance with the World Sailing Eligibility Code;
- 1.6 In accordance with Annex E of this Code any Safeguarding Concerns will be processed in accordance with the World Sailing Safeguarding Policy and Safeguarding Procedures.

- 1.7 Any disciplinary and/ or Misconduct relating to World Sailing Elections will be processed in accordance with Annex F

2. Misconduct – Competition Manipulation, Betting and Anti- Corruption

- 2.1 Article 2 applies to all Participants.

2.2 In order to protect the integrity of the sport of sailing by (i) prohibiting any conduct that may impact improperly on the outcome of its events and competitions and (ii) establishing a mechanism of enforcement and sanction for those who, through their conduct, place the integrity of the sport at risk the violations in Annex D shall constitute Misconduct under this Code (whether effected directly or indirectly).

2.2.3 A breach of RRS 69.1 at an event shall constitute Misconduct.

3. Ethical Standards

- 3.1 Article 3 applies to all Participants save for those listed in Article 1.1 (a)

3.2 In order to protect the integrity, authenticity and reputation of the sport of Sailing, all Participants shall meet the highest ethical standards in its governance and administration as defined by this Code (“Ethical Standards under Article 3.4”).

3.3 A breach of Article 3.2 is Misconduct under this Code (whether effected directly or indirectly).

- 3.4 The Ethical Standards require Participants-:

(a) Honesty

To act with utmost integrity and honesty at all times including acting in good faith towards others and with mutual trust and understanding in all their dealings and in particular not to forge any document, falsify any authentic document or use a forged or falsified document.

(b) Fulfil Duties

To actively fulfil their duties and responsibilities to World Sailing with all due care and skill and in good faith and in particular not to act outside of their authority.

(c) Clean Sailing

To protect clean competitors and not engage in doping, and in particular to comply with the Anti-Doping Rules.

(d) Maintain Integrity of Competition

To ensure the integrity of, and not to improperly benefit from, sailing competitions.

(e) Disclose Interests

To ensure conflicts of interest are minimised and interests properly disclosed as required by the World Sailing Regulations and policies.

(f) Minimal Gifts and Benefits

To ensure that any gifts, hospitality or other benefits which are offered, promised, given or received are minimal and strictly in accordance with the World Sailing Regulations and policies, and in particular:

- (i) not to engage in any form of conduct in which there is an abuse of entrusted power for private gain;
 - (ii) not to offer any bribe, payment, commission, gift, donation, kickback, facilitation payment, or other inducement or incentive (whether monetary or otherwise) in order to influence decision- making in relation to any matter involving World Sailing; and
 - (iii) not accept any bribe, payment, commission, gift, donation, kickback, facilitation payment, or other inducement or incentive (whether monetary or otherwise) that is offered, promised or sent to influence their actions or decisions in relation to any matter involving World Sailing (including, without limitation, in relation to events and commercial activities);
- (g) Protect Assets
- To protect the assets of World Sailing and only use or authorise others to use them within the authority granted, and in particular not to misappropriate any such assets regardless of whether this is carried out directly or indirectly through, or in conjunction with, intermediaries or related parties.
- (h) Proper Conduct
- To conduct themselves in a professional and courteous manner and in particular to refrain from using language or conduct that is obscene, offensive or of an insulting nature towards another person.
- (i) Equality
- (j) Not to unlawfully discriminate on the basis of race, sex, ethnic origin, colour, culture, religion, political opinion, marital status, sexual orientation or other differences and in particular to encourage and actively support equality of gender in the sport of Sailing.
- (k) Dignity
- To safeguard the dignity of individuals and not to engage, (directly or indirectly) in any form of harassment or abuse, whether physical, verbal, mental, sexual or otherwise.
- (l) Maintain Confidentiality
- To keep confidential all information which is entrusted to them in confidence unless permitted to disclose such information by a person with authority to do so, or required to disclose such information by law. In addition, information obtained in connection with a Participant's role or activities in the sport of Sailing that is not confidential may not be disclosed for personal gain or benefit, nor be used maliciously to damage the reputation of any person or organisation.
- (m) Fair Elections
- To conduct any candidacy for any role or position within World Sailing with honesty, fairness, and respect for others and as otherwise specified in the rules made by the Election Panel.
- (n) Fair Bidding

To conduct any candidacy for any bid or proposal to host any Competitions with honesty, fairness, and respect for others and as otherwise specified in any rules made for the purposes of the bidding process.

(o) Neutrality

- (i) To remain politically neutral in their dealings on behalf of World Sailing with government institutions, national and international organisations.
- (ii) Not to do an act, or deliberately or recklessly omit to do anything, which compromises, or is likely to compromise, the impartiality of those who work for World Sailing.

(p) Reporting

To promptly report to World Sailing any act, thing or information which the person becomes aware of, which may constitute (on its own or with other information) a violation of this Code;

(q) Protect Reputation

To protect the reputation of World Sailing and not act, or fail to act, in any manner which may:

- (i) adversely affect the reputation of World Sailing or the sport of Sailing generally; or,
- (ii) bring World Sailing or the sport of Sailing generally into disrepute; or,
- (iii) be contrary to the objects of World Sailing; or,
- ~~(iv)~~ be prejudicial to, or adversely affect the interests of, World Sailing or the sport of Sailing.

~~(iv)~~ —

4. Attempts

4.1 This Article 4 applies to all Participants to the extent they are bound by Articles 2 and 3.

4.2 Misconduct under Articles 2 or 3 includes:

- (a) attempting, or agreeing with another person or entity, to act in a manner that would constitute or culminate in Misconduct, whether or not such attempt or agreement in fact resulted in Misconduct. However there is no Misconduct if the Participant renounces their attempt or agreement prior to it being discovered by a third party not involved in the attempt or agreement.
- (b) assisting, encouraging, aiding, abetting, conspiring, covering up or engaging in any other type of intentional complicity involving Misconduct or attempted Misconduct.

5. Bodies, Personnel and General Provisions

5.1 The Disciplinary Tribunal

- (a) The Disciplinary Tribunal is appointed and constituted under Article 45 of the World Sailing Constitution.

- (b) Further to its constitutional authority, the Disciplinary Tribunal is responsible and has authority for:
 - (i) overall administrative oversight of the appellate, disciplinary and judicial systems of World Sailing;
 - (ii) making decisions and imposing sanctions in relation to disciplinary matters in which World Sailing has become involved by virtue of this Code and other matters of an appellate or review nature;
 - (iii) publishing guidance on disciplinary matters (including recommended sanctions);
 - (iv) ensuring cases are conducted expeditiously and deciding whether to grant any requests for extensions of time under it;
 - (v) maintaining and publishing a database decisions in relation to disciplinary matters made under the auspices of this Code;
 - (vi) the proper education and training of its members; and

5.2 The Disciplinary Tribunal has authority to summarily dismiss a complaint, report or allegation if it considers it:

- (a) is, outside their jurisdiction of World Sailing and the provisions of the Code; and/or
- (b) is not made within the relevant time period for making such a complaint or report and that time period has not been extended; and/or
- (c) is not made by persons who have a direct and legitimate interest in the alleged breach; and/or
- (d) is vexatious, frivolous, and/or has already been addressed by the disciplinary, judicial and/or appellate systems of World Sailing.

6. Investigations Panel

6.1 The Investigations Panel is appointed and constituted under Article 44 of the World Sailing Constitution.

6.2 Further to its constitutional authority, the Investigations Panel is responsible and has authority for:

- (a) appointing Event Disciplinary Investigating Officers to Major Events;
- (b) publishing guidance on disciplinary matters (including recommended sanctions);
- (c) the proper education and training of Event Disciplinary Investigating Officers;
- (d) the investigation of disciplinary reports received by World Sailing which require investigation;
- (e) determining in any case being considered by the Panel whether the matter:
 - (i) is, or may be, within the jurisdiction of World Sailing and the provisions of the Code; and/or
 - (ii) has been brought to the Panel within any relevant time period and whether it can be considered by the Panel; and/or

(iii) is made by persons who has a direct and legitimate interest in the alleged breach; and/ or

(iv) is vexatious, frivolous, and/or has already been addressed by the disciplinary, judicial and/or appellate systems of World Sailing.

(f) any decision to charge a Participant for Misconduct; and

(g) the prosecution of such cases and appeals before the Disciplinary Tribunal.

6.3 In deciding whether or not to charge a Participant for Misconduct, the Investigations Panel must be satisfied in its sole opinion that:

(a) there is a realistic prospect that the Participant has committed the Misconduct to be charged; and

(b) it is in the best interests of the sport to charge the Participant.

The decision of the Investigations Panel under Article 6.3 is final and is not subject to any review or appeal

7. Event Disciplinary Investigating Officers

7.1 An Event Disciplinary Investigating Officer is an official appointed by the Investigations Panel who is responsible for one or more of the following (depending upon the stage of the process in respect of which he/she is appointed):

(a) the investigation of allegations of Misconduct at any event at which he/she is appointed; and

(b) presenting any case of Misconduct before a protest committee at any event at which he/she is appointed.

7.2 An Event Disciplinary Investigating Officer shall have the right to conduct any investigations he/she considers appropriate and may gather evidence, both documentary, physical or oral, from any person or body that is willing to speak with him/her. In respect of any Participant, an Event Disciplinary Investigating Officer shall have the right to conduct an initial interview and follow-up interviews (as deemed necessary by him/her), with any Participant in furtherance of investigation of the possibility of any commission of act(s) of Misconduct, subject as follows:

(a) the date and time of interviews shall be determined by the Event Disciplinary Investigating Officer with reasonable allowances made for Participants' racing commitments and schedules;

(b) a Participant has the right to be accompanied to an interview (including by a legal representative at his/her own cost);

(c) interviews will be recorded and shall be used for transcription and evidentiary purposes and thereafter will be retained by World Sailing for a minimum of three years in a secure place;

(d) a Participant has the right to request an interpreter (the interpreter shall be arranged by the Participant and provided at his/her own cost); and

(e) a recording or a transcript of an interview shall be provided to the Participant upon request within a reasonable time following its conclusion.

8. General Provisions

- 8.1 All Participants must take all reasonable measures to assist Event Disciplinary Investigating Officers and the Investigations Panel in the collection of evidence. If an Event Disciplinary Investigating Officer or the Investigations Panel requests the production of evidence from any person, that person is (subject to considerations of legal professional privilege or other legal impediment) under an obligation to provide it. The request for production must be reasonable and relevant to the allegations under investigation.
- 8.2 All decisions made under the auspices of this Code by the Disciplinary Tribunal, or by a Member National Authority, shall be published by World Sailing, save that the Tribunal may, in its absolute discretion (against which there is no appeal):
- (a) decide not to publish a decision if such publication is inappropriate in all the circumstances; or
 - (b) decide to redact parts of the decision and publish only the redacted copy.
- 8.3 Where a Member National Authority is required under this Code to reach any decision on any disciplinary or other matter, that Member National Authority shall use its best endeavours to ensure that the procedures by which it reaches such a decision are fair and appropriate having regard to all the circumstances of any individual case.
- 8.4 Subject to the rights of appeal provided in this Code, all decisions made under this Code shall be recognized by World Sailing and all World Sailing Members, who shall take any necessary actions to render such decisions effective.

9. Procedures

- 9.1 The procedures in Annex A – Major Events apply to the following events and take precedence over any conflicting provision of RRS 69:
- (a) Olympic and Paralympic Sailing Competitions;
 - (b) World Sailing Events which have been designated by the Chief Executive Officer, having consulted the Investigations Panel, as major international events;
 - (c) the America's Cup and its associated Events; and
 - (d) the Ocean Race.
- 9.2 The procedures in Annex B apply to all International Events raced under the Racing Rules of Sailing which are not covered by Article 9.1 and Annex A.
- 9.3 The procedures in Annex C apply to all complaints of Misconduct received by World Sailing or by Member National Authorities which cannot be addressed under Articles 9.1 or 9.2. However, Annex C does not apply to complaints that could have been brought under any other part of this Code, but which were excluded by virtue of time limits or decisions made under that Part.
- 9.4 The transitional procedures in Article 1.4 apply in addition to the procedures in Articles 9.1, 9.2, or 9.3.

10. Sanctions

- 10.1 The following penalties may be imposed on Participants by the Disciplinary Tribunal or Member National Authorities:

- (a) no sanction;
- (b) a warning, admonishment or reprimand;
- (c) a fine not exceeding €1,000;
- (d) a direction not to compete or officiate in a particular event or class (or types of event or classes);
- (e) suspension or revocation of Competition Eligibility and/or World Sailing Eligibility (or the imposition of conditions on such Eligibility);
- (f) make a report to an MNA, World Sailing Class, World Sailing (under another Regulation or the Racing Rule of Sailing) or any other appropriate organisation; and/or
- (g) any other sanction which it is within the powers of World Sailing or the MNA to impose.

10.2 In the case of the Disciplinary Tribunal, the following sanctions are also available:

- (a) suspension or removal from office as provided by Article 47.2 of the World Sailing Constitution.
- (b) suspension or removal of a certificate of appointment in the case of World Sailing Race Officials (or the imposition of conditions on such appointment);

10.3 In the case of a Member National Authority, it may impose any additional sanctions provided by its own constitution or regulations, or as available to it under its national laws.

10.4 The Disciplinary Tribunal or Member National Authority may, pending the outcome of investigations and/or disciplinary process in accordance with this Code, impose sanctions listed in this Code on a provisional basis on a Participant if there is a particular risk to the reputation of the sport and it is in the interests of justice to do so. If a provisional sanction is imposed, this must be taken into consideration in the determination of any final sanction which may ultimately be imposed.

Annex A – Major Events

1. Event Disciplinary Investigating Officer

- 1.1 The Investigations Panel must appoint an Event Disciplinary Investigating Officer to investigate complaints of Misconduct at Major International Events.
- 1.2 If the Event Disciplinary Investigating Officer or a member of the Investigations Panel is a member of the international jury of the Major International Event, then they shall not be part of any hearing panel and shall not take part in any discussions or decisions concerning the case. The international jury remains properly constituted under RRS Appendix N if up to two of its number are unable to hear a case due to appointment under this Regulation.
- 1.3 An Event Disciplinary Investigating Officer may authorise individuals to gather evidence and present allegations to the protest committee on their behalf and under their supervision.
- 1.4 The Investigations Panel may advise an Event Disciplinary Investigating Officer acting under Part C of this Code on the exercise of their functions (including advising them as far as practicable on investigations carried out by them). Event Disciplinary Investigating Officers must consult the Panel as far as reasonably practicable.

2. Complaints of Misconduct

- 2.1 Any complaint of Misconduct must be referred to the Event Disciplinary Investigating Officer. Referrals must be made within 48 hours of the alleged Misconduct occurring unless the Event Disciplinary Investigating Officer determines, in their absolute discretion (against which there is no appeal), that there is good reason to extend this time.
- 2.2 The Event Disciplinary Investigating Officer must, following their investigation, in his absolute discretion (against which there is no appeal):
 - (a) take no further action; or
 - (b) issue a warning to any Participant, and thereafter take no further action; or
 - (c) charge the Participant with Misconduct.
- 2.3 The decision of the Event Disciplinary Investigating Officer must be communicated in writing to the Participant, to the Investigations Panel, and to the protest committee at the first reasonable opportunity.

3. Protest Committee Hearing and Decision

- 3.1 If the Event Disciplinary Investigating Officer decides that a charge of Misconduct should be made against the Participant, that case shall be considered by and adjudicated upon by the protest committee in accordance with the procedures in RRS 69 as modified by this Code. The protest committee may impose any sanctions relevant to the event as provided for in the RRS. Any right of appeal of that decision will be governed by the RRS.
- 3.2 The protest committee must report its decision, and provide all recordings of the hearing and all documents or other evidence available to it, to World Sailing if it:
 - (a) imposes a penalty greater than one non-excludable disqualification from a race;
 - (b) excludes the person from the event or venue; or

- (c) in any other case if it considers it appropriate to do so (including under RRS 69.2(k)).
- 3.3 When a report is received by World Sailing, it must be referred to the Investigations Panel for review. No member of the Panel who was the Event Disciplinary Investigating Officer (or a person authorized by the Event Disciplinary Investigating Officer to act on their behalf at the event), or who was a race official at the event, may take part in its proceedings.
- 3.4 Following the review, the Investigations Panel must in its absolute discretion (against which there is no appeal):
 - (a) take no further action; or
 - (b) charge any Participant with any act(s) of Misconduct which, in the opinion of the Investigations Panel, warrant disciplinary action wider than the event jurisdiction of the protest committee.
- 3.5 The decision of the Investigations Panel must be communicated in writing to the Participant and to the Disciplinary Tribunal at the first reasonable opportunity. The Chief Executive Officer must publish the decision of the Investigations Panel unless the Panel decides there is good reason not to do so. If publishing a decision not to take further action, the decision must be anonymised.
- 3.6 Rules of Procedure published by the Disciplinary Tribunal shall apply to the conduct, determination and hearing of the charge and to the time limits for any appeal.
- 3.7 The sanctions that may be imposed by the Disciplinary Tribunal following a proven charge of Misconduct are set out in the Code. When considering sanctions, the Tribunal shall have regard to:
 - (a) any sanction guidelines published by the Tribunal prior to the event; and
 - (b) any published decisions under RRS 69 and/or this Regulation which are consistent with relevant sanction guidelines (such decisions will be a guide but are in no sense binding precedents).
- 3.8 World Sailing and Participants hereby agree to respect and be bound by the decision of any Disciplinary Tribunal, subject only to the rights of appeal set out in the Constitution.

4. Charging Procedures

- 4.1 The following procedures apply where an Event Disciplinary Investigating Officer or the Investigations Panel intend to make a charge.
- 4.2 If a charge is issued, as soon as practicable a written notice of the charge shall be provided to the Participant and the protest committee or Disciplinary Tribunal (as appropriate), which must:
 - (a) state briefly the nature of the alleged Misconduct;
 - (b) identify the rule(s) alleged to have been breached; and
 - (c) provide copies of documents or other material referred to in the charge.
- 4.3 A single charge may be issued against a Participant in respect of more than one instance of Misconduct, but the charge shall state separately the nature of each

alleged act of Misconduct and the provision(s) alleged to have been breached and shall have effect as separate charges.

- 4.4 Where the subject matter of or facts relating to a charge or charges against one or more Participant(s) are sufficiently linked (including, but not limited to, where Misconduct is alleged to have been committed at the same time or place or where there is common evidence), the Event Disciplinary Investigating Officer or the Investigations Panel (as appropriate) may consolidate the disciplinary proceedings so that they are conducted together and determined at a joint hearing, subject to the protest committee or Disciplinary Tribunal (as appropriate).deciding upon some alternative procedure.
- 4.5 Once issued, the charge may only be amended with the permission of the protest committee or Disciplinary Tribunal (as appropriate).

Annex B – All Other ~~International~~ Events

1. Allegations at Events

- 1.1 All complaints, allegations or reports of Event Misconduct must be considered and adjudicated upon by the protest committee in accordance with the procedures in RRS 69. The protest committee may impose any sanctions relevant to the Event as provided for in RRS 69. Any right of appeal of that decision will be governed by the RRS.
- 1.2 The protest committee must report its decision, and provide all recordings of the hearing and all documents or other evidence available to it, to the Member National Authority of the Participant

2. Review by the Member National Authority and further action

- 2.1 When a report is received by the Member National Authority, it shall review the report and may conduct a further investigation in relation to the matters in the report. However, the Chair of the Disciplinary Tribunal may direct that the report shall be transferred to and conducted by World Sailing under Annex C of this Code.
- 2.2 The Member National Authority shall, within three months of receipt of the report from the protest committee, issue a decision in writing in which it decides:
 - (a) to take no further action; or
 - (b) to issue a warning to any Participant in the report, and thereafter take no further action; or
 - (c) that a case of Misconduct has been made out and whether any and if so what further sanction within the jurisdiction of the Member National Authority should be imposed.
- 2.3 The decision of the Member National Authority made shall be communicated in writing to the Participant and to the Disciplinary Tribunal at the first reasonable opportunity.
- 2.4 The sanctions that may be imposed by the Member National Authority are set out in the Code. When considering sanctions, the Member National Authority shall have regard to:
 - (a) any sanction guidelines published by the Disciplinary Tribunal prior to the event; and
 - (b) any published decisions under RRS 69 and/or this Regulation which are consistent with relevant sanction guidelines (such decisions will be a guide but are in no sense binding precedents).
- 2.5 The time for the Member National Authority to reach a decision may be extended by the Chair of the Disciplinary Tribunal on written application by the Member National Authority.
- 2.6 If the Member National Authority fails to reach a decision within the time limits prescribed (or any extended time):
 - (a) the Member National Authority shall report that failure to the Disciplinary Tribunal; and

- (b) any person with a sufficient connection with the subject matter of the report may bring that failure to the attention of the Chair of the Disciplinary Tribunal.
- 2.7 If the Chair of the Disciplinary Tribunal becomes aware of any failure of the Member National Authority to reach a decision within the specified time, they may then, in their absolute discretion (in respect of which there is no appeal):
- (a) extend the time for the Member National Authority to reach its decision; and/or
 - (b) require the Member National Authority to reach a decision within any such extended time; or
 - (c) direct that the Investigations Panel take over conduct of the report.
- 2.8 In the event that the Investigations Panel takes over conduct of the report, such conduct shall be in accordance with Annex C of this Code, save that the time limits will run from the date that the Panel took over conduct of the report. The Member National Authority shall provide to the Panel, all recordings of any hearing and all documents or other evidence available to it.

3. Appeals against the decision of the Member National Authority

- 3.1 There is a right of appeal from the decision of the Member National Authority to:
- (a) an alternative dispute resolution body appointed by the Member National Authority, if those arrangements are approved by World Sailing; or
 - (b) if World Sailing has not approved any alternative arrangements, to the Disciplinary Tribunal if, and only if, the decision of the Member National Authority imposes a suspension or revocation of more than three months on the Competition Eligibility or World Sailing Eligibility of the Participant.
- 3.2 In addition, World Sailing may appeal the decision to the Disciplinary Tribunal if the Investigations Panel considers that the decision of the Member National Authority is unduly lenient.
- 3.3 Any appeal shall be made in writing within fourteen days of being notified of the decision of the Member National Authority.
- 3.4 The procedure to be adopted will be governed by Rules of Procedure published by the Disciplinary Tribunal.
- 3.5 World Sailing, its Members and Participants hereby agree to be bound by the decision of the Disciplinary Tribunal determining the appeal, or by the decision of the alternative dispute resolution body appointed. There will be no appeal from such a decision.

Annex C – Any Other Disciplinary Complaints

1. General

- 1.1 The provisions of this Annex apply to all complaints of Misconduct received by World Sailing or by Member National Authorities which cannot be addressed under Annexes A or B. However, it does not apply to complaints that could have been brought under any other Part of this Code, but which were excluded by virtue of time limits or decisions made under that Part.
- 1.2 All such complaints must be made:
 - (a) in writing to the Chief Executive Officer if the complaint relates to Misconduct of any Delegate, World Sailing Council member, World Sailing Committee, Sub-committee, Board Sub-committee, Commission, or Working Party member, alternates, World Sailing officer, World Sailing Race Official or World Sailing representative whilst acting in that capacity;
 - (b) in writing to the equivalent person at the Member National Authority of the Participant who is the subject of the complaint in all other instances;
 - (c) within fourteen days of the alleged Misconduct, unless that time is extended by the Investigations Panel either retrospectively or otherwise; and
 - (d) by a race official, competitor, technical delegate, Member National Authority or authorised member of an organising authority or an international class association, Participant or other person or body with sufficient standing or relationship to the alleged Misconduct as is permitted by the Investigations Panel.
- 1.3 Notwithstanding paragraph 1.2 in this Annex, the Chief Executive Officer or the equivalent person at a Member National Authority may initiate a complaint of Misconduct within 14 days of the information becoming available to them which justifies them making a decision to initiate a complaint. For the purpose of this provision, the Chief Executive Officer or the equivalent person at the Member National Authority is entitled to investigate matters of which they have become aware so as to enable a proper decision to be taken without the 14-day period commencing during such investigations.

2. Complaints to Member National Authorities

- 2.1 The Member National Authority must review the complaint and may conduct an investigation in relation to the matters in the complaint. However, the Chair of the Disciplinary Tribunal may direct that the complaint shall be transferred to and conducted by World Sailing.
- 2.2 The Member National Authority shall, within three months of receipt of the complaint, issue a decision in writing in which it decides:
 - (a) to take no further action; or
 - (b) to issue a warning to any person the subject of the complaint, and thereafter take no further action; or
 - (c) that a case of Misconduct has been made out and whether any and if so what further sanction within the jurisdiction of the Member National Authority should be imposed.

- 2.3 The decision of the Member National Authority must be communicated in writing to the Participant, to the Chair of the Disciplinary Tribunal, and the complainant at the first reasonable opportunity.
- 2.4 The sanctions that may be imposed by the Member National Authority are set out in the Code. When considering sanctions, the Member National Authority shall have regard to:
- (a) any sanction guidelines published by the Disciplinary Tribunal prior to the event; and
 - (b) any published decisions under RRS 69 and/or this Regulation which are consistent with relevant sanction guidelines (such decisions will be a guide but are in no sense binding precedents).
- 2.5 The time for reaching a decision may be extended by the Chair of the Disciplinary Tribunal on written application by the Member National Authority.
- 2.6 If the Member National Authority fails to reach a decision within the time limits prescribed (or any extended time):
- (a) the Member National Authority shall report that failure to the Disciplinary Tribunal; and
 - (b) any person with a sufficient connection with the subject matter of the report may bring that failure to the attention of the Chair of the Disciplinary Tribunal.
- 2.7 The Chair of Disciplinary Tribunal may then, in its absolute discretion (in respect of which there is no appeal):
- (a) extend the time for the Member National Authority to reach its decision; and/or
 - (b) require the Member National Authority to reach a decision within any such extended time; or
 - (c) direct that the Investigations Panel take over conduct of the complaint.
- 2.8 In the event that the Investigations Panel takes over conduct of the report, such conduct shall be in accordance with this Annex as if it were a complaint to World Sailing originally, save that the time limits will run from the date that the Panel took over conduct of the report. The Member National Authority shall provide to the Panel, all recordings of any hearing and all documents or other evidence available to it.

3. Complaints to World Sailing

- 3.1 When a complaint is received by World Sailing under this Part of the Code, it must be sent by the Chief Executive Officer to the Investigations Panel.
- 3.2 Following the review, the Investigations Panel shall, in its absolute discretion (against which there is no appeal):
- (a) take no further action; or
 - (b) charge any Participant with any act(s) of Misconduct which, in the opinion of the Panel, may warrant disciplinary action within the jurisdiction of World Sailing.
- 3.3 The decision of the Investigations Panel must be communicated to the Participant and the complainant promptly..

4. Procedures relating to Charging by World Sailing

- 4.1 If a charge is issued against a Participant, as soon as practicable a written notice of the charge shall be provided to the Participant and to the Disciplinary Tribunal, which shall:
- (a) state briefly the nature of the alleged Misconduct;
 - (b) identify the rule(s) alleged to have been breached; and
 - (c) provide copies of documents or other material referred to in the charge.
- 4.2 A single charge may be issued against a Participant in respect of more than one instance of Misconduct, but the charge shall state separately the nature of each alleged Misconduct and the provision(s) alleged to have been breached and shall have effect as separate charges.
- 4.3 Where the subject matter of or facts relating to a charge or charges against one or more Participant(s) are sufficiently linked (including, but not limited to, where Misconduct is alleged to have been committed at the same time or place or where there is common evidence), the Investigations Panel may consolidate the disciplinary proceedings so that they are conducted together and determined at a joint hearing, subject to the Disciplinary Tribunal deciding upon some alternative procedure.

5. Hearing and Determination of the Charge

- 5.1 Rules of procedure published by the Disciplinary Tribunal shall apply to the conduct, determination and hearing of the charge and to the time limits for any appeal.
- 5.2 The sanctions that may be imposed by the Disciplinary Tribunal are set out in the Code. When considering sanctions, the Disciplinary Tribunal shall have regard to:
- (a) any sanction guidelines published by the Disciplinary Tribunal prior to the event; and
 - (b) any published decisions under RRS 69 and/or this Regulation which are consistent with relevant sanction guidelines (such decisions will be a guide but are in no sense binding precedents).

6. Appeals against the decision of the Member National Authority or the Disciplinary Tribunal

World Sailing and Participants hereby agree to respect and be bound by the decision of the Disciplinary Tribunal, subject only to the rights of appeal set out in the Constitution.

Annex D Competition Manipulation, Betting and Anti-Corruption.

1. Introduction

- a. Acknowledging the danger to sports integrity from the manipulation of sports competitions, World Sailing restates its commitment to safeguarding the integrity of sport, including the protection of clean athletes and competitions as stated in Olympic Agenda 2020 and the Olympic Agenda 2020+5.
- b. Due to the complex nature of this threat, World Sailing recognises that it cannot tackle this threat alone, and hence cooperation with public authorities, in particular law enforcement and sports betting entities is crucial.
- c. World Sailing declares its commitment to support the integrity of sport and fight against the manipulation of competitions by adhering to the standards set out in the Olympic Movement Code on the Prevention of the Manipulation of Competitions in this Code, and by strongly encouraging the World Sailing Member National Authorities (MNAs), World Sailing Classes and World Sailing Special Events to do likewise.

2. Definitions

In addition to the definitions in the Code and in the Regulations, in this Annex D the following terms have the following meanings and for the purposes of Competition Manipulation, Betting and Anti-Corruption matters these definitions shall prevail in the event of any conflict between the definitions:

2.1 "Benefit" means the direct or indirect receipt or provision of money or the equivalent such as, but not limited to, bribes, gains, gifts and other advantages including, without limitation, winnings and/or potential winnings as a result of a wager; the foregoing shall not include official prize money, appearance fees or payments to be made under sponsorship or other contracts; Sporting advantage is also a benefit;

2.2 "Competition" means any international sailing competition, regatta, match, race or event, organised in accordance with the rules of World Sailing by World Sailing or its affiliated organisations (including MNA, Classes and Special Events) which requires World Sailing Eligibility in accordance with WS Eligibility Code;

2.3 "Inside Information" means information relating to any Competition that a person possesses by virtue of their position in relation to a Competition, excluding any information already published or common knowledge, easily accessible to

interested members of the public or disclosed in accordance with the rules and regulations governing the relevant Competition;

2.4 "Major Multi-Sport Organisation" means any international multi-sport organisation that acts as the overall ruling body for any continental, regional or other Competition

2.5 "Participant" means any natural or legal person belonging to one of the following categories:

- a. "athlete" means any person or group of persons, competing or accredited to compete in a Competition;
- b. "athlete support personnel" means any coach, trainer, manager, athlete representative, agent, team staff member, team official, medical or para-medical personnel working with or treating athletes participating in or preparing for competitions, family member or any other person employed by or working with an Athlete or the Athlete's Member National Authority participating in a Competition;
- c. "official" means any person who is the owner of, a shareholder in, an executive or a staff member of the entities which organise and/or promote competitions, including but not limited to referees, umpires, jury members and any other contracted persons accredited to officiate or administrate at a Competition. The term also covers the executives and staff of World Sailing or where appropriate, executives and staff of other competent sports organisations or clubs that are part of the competition organisation.

2.6 "Sports Betting, Bet or Betting" means any wager of a stake of monetary value in the expectation of a prize of monetary value, subject to a future and uncertain occurrence related to a Competition.

3. Application and Scope

3.1 This Annex D shall apply to all Participants who participate or assist in a Competition and each Participant shall be automatically bound by, and be required to comply with, this Annex D by virtue of such participation or assistance.

3.2 It shall be the personal responsibility of every Participant to make themselves aware of this Annex D including, without limitation, what conduct constitutes a Violation of the Annex D and to comply with the requirements within the Annex D. Participants should also be aware that conduct prohibited under this Annex D may also constitute a criminal offence and/or a breach of other applicable laws and regulations. Participants must comply with all applicable laws and regulations at all times.

3.3 Each Participant submits to the exclusive jurisdiction of World Sailing to hear and determine any charges brought and to the exclusive jurisdiction of CAS to determine any appeal from any final decision made by World Sailing.

3.4 Each Participant shall be bound by this Annex D until a date six months following their last participation or assistance in a Competition. Each Participant shall continue to be bound by this Annex D in respect of their participation or assistance in a Competition taking place prior to that date.

3.5 Member National Authorities must use their best endeavours to assist World Sailing in making immediate contact with the Participants on whom World Sailing may wish to serve a notice under this Annex D.

4. Violations

The following conduct shall constitute a Violation of this Annex D (in each case whether effected directly or indirectly):

4.1 Betting:

- (a) Participation in, support for, or promotion of, any form of Betting related to:
 - (i) a Competition in the Participant's sport; or
 - (ii) any sport of a multi-sport event or competition hosted by a Major Multi-Sport Organisation in which they are accredited to participate.

(and this includes Betting with another Participant on the result, progress, outcome, conduct or any other aspect of such Competition).

4.2 Manipulation of results:

- (a) An intentional arrangement, act or omission aimed at an improper alteration of the result or the course of a competition in order to remove all or part of the unpredictable nature of the sports competition with a view to obtaining an undue Benefit for oneself and/or for others (irrespective of whether such Benefit is in fact given or received).
- (b) Failing in return for a Benefit (or the legitimate expectation of a Benefit, irrespective of whether such Benefit is in fact given or received) to perform to the best of one's abilities in a Competition.

4.3 Corrupt Conduct:

- (a) Providing, requesting, receiving, seeking, or accepting a Benefit related to the manipulation of the result, progress, outcome, conduct a Competition or any other form of corruption (irrespective of whether such Benefit is in fact given or received).

4.4 Inside Information:

- (a) Using Inside Information for the purposes of Betting, any form of manipulation of competitions or any other corrupt purposes whether by the Participant or via another person and/or entity.
- (b) Disclosing Inside Information to any person and/or entity, with or without Benefit, where the Participant knew or should have known that such disclosure might

lead to the information being used for the purposes of Betting, any form of manipulation of competitions or any other corrupt purposes.

(c) Giving and/or receiving a Benefit for the provision of Inside Information regardless of whether any Inside Information is actually provided.

4.5 Other Violations:

(a) Any form of aid, abatement or attempt by a Participant, or any agreement by a Participant with any other person, to engage in conduct that could culminate in the commission of any Violation of this Annex D must be treated as if a Violation had been committed, whether or not such attempt or agreement in fact resulted in such Violation and/or whether that Violation was committed deliberately or negligently.

(b) Inducing, instructing, facilitating or encouraging a Participant to commit a Violation of this Annex D.

(c) Knowingly assisting, covering up or otherwise being complicit in any acts or omissions of the type described in this Annex D committed by a Participant.

(d) Failing to disclose to World Sailing or other competent authority (without undue delay) full details of any approaches or invitations received by the Participant to engage in conduct or incidents that could amount to a Violation of this Annex D.

(e) Failing to disclose to World Sailing or other competent authority (without undue delay) full details of any incident, fact or matter that comes to the attention of the Participant (or of which they ought to have been reasonably aware) including approaches or invitations that have been received by another Participant to engage in conduct that could amount to a Violation of this Annex D.

(f) Failing to cooperate with any reasonable investigation carried out by World Sailing or other competent authority in relation to a possible breach of this Annex D, including failing to provide any information and/or documentation requested by World Sailing or any other competent authority that may be relevant to the investigation.

(g) Obstructing or delaying any investigation that may be carried out by World Sailing or any other competent authority in relation to a possible violation of this Annex D, including without limitation concealing, tampering with or destroying any documentation or other information that may be relevant to the investigation.

4.6 The following are not relevant to the determination of a Violation of this Annex D:

(a) Whether or not the Participant was participating, or a Participant assisted by another Participant was participating, in the specific Event or Competition;

(b) The nature or outcome of any Bet in issue;

(c) The outcome of the Event or Competition on which the Bet was made;

(d) Whether or not the Participant's efforts or performance (if any) in any Event or Competition in issue were (or could be expected to be) affected by the acts or omissions in question;

(e) Whether or not the results in the Event or Competition in issue were (or could be expected to be) affected by the acts or omissions in question.

5. Reports Concerning Violations

5.1 Any report concerning a Violation (or alleged Violation) shall be made to the Chief Executive Officer who must refer it to the Investigations Panel. The Investigations Panel shall act in accordance with Regulation 35.

5.2 The International Olympic Committee (IOC) also operates an Integrity and Compliance Hotline. This web-based hotline offers an alternative reporting mechanism for potential cases of competition manipulation, betting and/or corruption. Reports can be made anonymously, and all information received is dealt with confidentially <https://ioc.integrityline.org/>

5.3 Any World Sailing Investigation in accordance with Regulation 36 may be conducted in conjunction with relevant competent national or international authorities (including criminal, administrative, professional and/or judicial authorities) and all Participants must co-operate fully with such investigations. World Sailing has discretion, where it deems it appropriate, to stay its own investigation pending the outcome of investigations conducted by other competent authorities.

5.4 World Sailing may, pending the outcome of investigations and/or disciplinary process in accordance with Regulation 35, impose provisional measures, including a provisional suspension, on the Participant where there is a particular risk to the reputation of the sport. Where a provisional measure is imposed, this must be taken into consideration in the determination of any sanction which may ultimately be imposed.

5.5 As part of any such Investigation, if World Sailing reasonably suspects that a Participant has committed a Violation of this Annex D, it may make a written demand to such Participant for information that is related to the alleged Violation and/or require the attendance of such Participant for interview, or a combination of the two. Any interview will be at a time and place to be determined by World Sailing and the relevant Participant will be given reasonable notice in writing of the requirement to attend. Interviews must be recorded and the Participant is entitled to have legal counsel and an interpreter present and is entitled to a copy of the recording.

5.5 By participation in an International Competition, each Participant shall be deemed to have agreed for the purposes of applicable data protection laws and other laws, and for all other purposes, to have consented to the collection, processing, disclosure or any other use of information relating to his activities (including without limitation personal information) to the extent permitted under this Annex D and must confirm such agreement in writing upon demand.

6. Disqualification of Results

6.1 Subject to any appeal in accordance with Regulation 35, a proven Violation of this Annex D by a Participant automatically leads to disqualification of the result obtained by a boat of which the Participant is a single crew member in that Competition with all resulting consequences, including forfeiture of any medals, points and prizes.

6.2 If a Participant is a crew member of a boat having a crew of two or more crew members and he/she is found to have committed a Violation of this Annex D during a Competition, (the Event Disciplinary Investigation Officer process/Event Jury process) does not apply. Instead, the boat may be subject to such disciplinary action by World Sailing as it deems appropriate. If there have been proven Violations of this Annex D by more than one Participant who is a crew member of (or is associated with) the boat and World Sailing is satisfied there has been a resulting material advantage to such boat in breach of this Annex D, or such breaches have been organized or condoned by other Participants being crew members of the boat or those charged with managing the boat, then subject to any appeal in accordance with Regulation 35 this shall lead to disqualification of the result obtained by the boat,. Such disqualification shall carry all resulting consequences, including forfeiture of any medals, points and prizes.

7. Recognition of Decisions

7.1 Member National Authorities must comply with, recognise and take all necessary and reasonable steps within their powers to enforce and give effect to this Annex D and to all decisions and Sanctions imposed hereunder.

7.2 Final decisions of a Major Event Organisation in relation to a Participant that are within the Major Event Organisation's jurisdiction and based on the same or similar betting and anti-corruption rules as this Annex D must be recognised and respected by World Sailing upon receipt of notice of the same. Any disciplinary process, so far as determining a Participant's Sanction beyond the sanction imposed by the Major Event Organisation is concerned, shall be determined by World Sailing in accordance with this Annex D.

Annex E – Safeguarding

1. World Sailing seeks to protect everyone involved in Sailing in the belief that all athletes, coaches, officials, staff, and volunteers have the right to participate in sport in a safe and inclusive environment that is free from all forms of harm, harassment, abuse, exploitation, violence, and neglect.
2. In this Annex E any Misconduct that is a Safeguarding Concern will be dealt with under this Annex E and the other Parts of this Code will not apply to those concerns unless, in accordance with the Safeguarding Procedures, it is determined that the matter is not a Safeguarding Concern.
3. **Safeguarding means** the measures taken to protect individuals from Harassment and/or Abuse and a **Safeguarding Concern means** an allegation of any conduct, concern, incident, suspicion, action, behaviour, or failure to act in a way which has caused or which causes or which may cause Abuse and/or Harassment of an Adult or Child.
4. This Annex E apply to any of the following:
 - (a) Safeguarding Concerns against a competitor, boat owner or support person occurring at a World Sailing Event defined under the World Sailing Safeguarding Policy as:
 - the Olympic Sailing Competition;
 - the World Sailing Youth World Championships; and
 - the World Sailing Combined World Championships.
 - (b) Safeguarding Concerns against a World Sailing Officer (Board, Council, Committee or Commission Members, including any alternate appointed to a World Sailing Officer post), Working Party Members, World Sailing Member National Associations (MNA) representative sent by the MNA to attend World Sailing Events, meetings or other official functions, World Sailing Class Associations representative sent by the Class to attend World Sailing Events, meetings , World Sailing Race Official or World Sailing accredited guest invited by World Sailing to attend World Sailing Events, meetings or other official functions.
 - (c) Safeguarding Concerns against a staff, consultant or contractor of World Sailing.
5. Any Safeguarding Concerns which do not fall within clause 4 above should be reported to the MNA/Class/Special Event where the allegation arose and/or if appropriate/or required by the World Sailing Safeguarding Policy, to the relevant authorities such as local police and/or local government authorities.
6. All Safeguarding Concerns which fall within Annex E shall be considered and adjudicated upon in accordance with the World Sailing Safeguarding Policy and World Sailing Safeguarding Procedures.

Annex F – Elections

1. The Investigations Panel shall appoint an Elections Ad Hoc Investigator and Elections Ad Hoc Independent Disciplinary Panel in the year that World Sailing Elections will take place.
2. The Investigations Panel shall issue (Elections) Rules of Procedure for the process of any complaints contemplated under this Annex F Elections section of the Code.
3. Any complaint of an alleged breach of the World Sailing Election Rules, shall be considered and adjudicated upon in accordance with the World Sailing Election Rules and the (Elections) Rules of Procedures and may not form the basis of an action under any other part of the Code.
4. Any complaint of an alleged breach of the World Sailing Election Rules shall be made to the World Sailing Election Panel. Complaints shall be made within 5 working days of the alleged breach occurring or within 14 days of the conduct relating to an Election coming to light.
5. The World Sailing Election Panel shall have absolute discretion to extend the deadlines specified in Clause 4 on good cause shown.
6. Upon receipt of a complaint, or upon becoming aware of an alleged breach of the World Sailing Election Rules the World Sailing Election Panel shall act in accordance with the Election Rules and may determine, in its absolute discretion, (against which there is no appeal):
 - (a) to make written observations to the candidate or nominee; or
 - (b) to issue a notice of concern to the candidate or nominee; or
 - (c) to take no further action; or
 - (d) to refer the complaint to the Elections Ad Hoc Investigator for process in accordance with the Judicial Board (Elections) Rules of Procedure.
7. The Elections Ad Hoc Independent Disciplinary Panel shall have the power to sanction a Participant where a breach of the World Sailing Election Rules is proved. The following are examples of sanctions that may be imposed by the Panel where a breach is proved:
 - (i) a formal warning;
 - (ii) a reprimand;
 - (iii) a fine;
 - (iv) a declaration that a candidate or nominee is required to make a corrective statement
 - (v) a declaration that a candidate or nominee is disqualified from standing in the World Sailing Elections.
8. World Sailing, MNAs and Participants hereby agree to respect and be bound by the decisions of the Elections Ad Hoc Investigator and/or Elections Ad Hoc Independent Disciplinary Panel subject only to the right of appeal set out in the Code.