



POLICIES AND PROCEDURES

1 July 2021



USA WORKING EQUITATION

Policies and Procedures



PREFACE

This document contains the policies and procedures used by the officers, directors, and committees of USA Working Equitation. Changes and additions to this document will be made on an as-required basis. Proposed changes can be submitted for consideration by officers, directors, committees, or members using the **Policy/Procedure Change Proposal** form on the USAWE website. All modifications to this manual will be approved by the Board of Directors.



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SECTION 1. POLICIES

1.1 Social Media Policy

This Social Media Policy governs the commentary via social media by Officers, Directors, Licensed Officials, and Coaches when acting as a USAWE official or can be perceived as acting as a USAWE official. For the purposes of this policy, social media means any tool for online publication and commentary, including but not limited to blogs, Facebook, LinkedIn, Twitter, Instagram, Snapchat, YouTube, and any other new media.

This Social Media Policy does not limit a person's right to post their opinions as an individual, when not acting as an Officer, Director, Licensed Official, or Coach.

Statement of Policy

Officers, Directors, Licensed Officials, and Coaches may use social media as a conduit for conveying their activities in the WE environment. All uses of social media must follow the same ethical standards as outlined in the Code of Conduct (Officers and Directors) or Code of Ethics (Licensed Officials and Coaches).

Officers, Directors, Licensed Officials, and Coaches may not represent themselves as an authority for the organization on social media.

Following the Policy

Officers, Directors, Licensed Officials, and Coaches must make every effort to consider all options within the context of appropriate civil behavior when responding to comments on social media, including the option of no response. It is best to err on the side of caution. When in doubt, do not post, comment, or engage. If you are unsure whether or not something is appropriate to post on social media, contact the Ethics Committee before making the post live. If you, for whatever reason, take an action that is in conflict with this policy, you may be contacted by the Ethics Committee to resolve the situation and may be asked to withdraw, correct, or revise the posting. Failure to adhere to this policy or to the resolution determined by the Ethics Committee may result in suspension of membership or licensure.

What you Should Do

- Disclose your affiliation. If you talk about USAWE matters that are within your role as an Officer, Director, Licensed Official, or Coach, you must disclose your affiliation with USAWE.
- State that it is your opinion. Unless authorized to speak for USAWE, you must state that the views are your own. No one should speak on behalf of USAWE without express permission.
- Keep your comments respectful, professional, and helpful. Respectful discussions are a way for the sport and the organization to grow.
- Protect yourself. Be careful about what personal information you share online.



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- Act responsibly and ethically. Do not misrepresent yourself.
- Honor our differences. USAWE will not tolerate discriminatory comments of any kind (including age, sex, race, color, creed, religion, ethnicity, sexual orientation, gender identity, national origin, citizenship, disability, or marital status, or any other legally recognized protected basis under federal, state, or local laws, regulations, or ordinances).

What you Should Not Do

- Do not publish, post, or release information that is considered confidential.
- Do not discuss anything to do with a legal issue.
- Do not use the USAWE logo unless expressly permitted.
- Licensed Officials:
 - Do not use your personal cell phone, computer, tablet, or any other similar device for social media while officiating. Do not post photos of horses or riders taken during the event, including during awards, until the show has ended.
 - Do not disclose specific details of actions taken during a competition, either by you or that you are aware of by virtue of being a Licensed Official. Reference can be made in a general way to actions of competitors or decisions by officials as long as individuals are not identified.
 - Do not share discussions regarding officiating that occurred during a competition.
 - Do not discuss specific horses, competitors, or licensed officials related to a competition on social media.

1.2 Social Media Presence Policy

USAWE will maintain one Facebook page for the national organization and seven regional pages, one for each region. USAWE will not have a Facebook group.

The purpose of the USAWE social media pages will be to:

- Provide outreach to members and potential members.
- Promote USAWE-related events.
- Introduce newcomers to the sport and direct them to the national organization.

The Board will appoint a committee responsible for maintaining a presence on social media. The committee will consist of a chair and the seven Regional Directors; additional members may be assigned.

Members of the USAWE Board will refrain from explaining Board decisions or policy on social media. Rather, Board members should direct people to send any questions to the appropriate Director or committee chair via email, providing the appropriate email address to use to ask for clarification.



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1.3 Conflict of Interest Policy

1.3.1 Purpose

It is important for USAWE directors, officers, and staff to be aware that both real and apparent conflicts of interest or dualities of interest sometimes occur in the course of conducting the affairs of the corporation and that the appearance of conflict can be troublesome even if there is in fact no conflict whatsoever. Conflicts occur because the many persons associated with the corporation should be expected to have and do in fact generally have multiple interests and affiliations and various positions of responsibility within the community. In these situations, a person will sometimes owe identical duties of loyalty to two or more corporations. The purpose of the conflict of interest policy is to protect the corporation's tax-exempt interest when it is contemplating entering into a transaction or arrangement that might benefit the private interest of an officer or director of the corporation or might result in a possible excess benefit transaction. The policy is intended to supplement but not replace any applicable state and federal laws governing conflict of interest applicable to nonprofit and charitable organizations.

Conflicts are undesirable because they potentially or eventually place the interests of others ahead of the corporation's obligations to its charitable purposes and to the public interest. Conflicts are also undesirable because they often reflect adversely upon the person involved and upon the institutions with which they are affiliated, regardless of the actual facts or motivations of the parties. However, the long-range best interests of the corporation do not require the termination of all association with persons who may have real or apparent conflicts that are harmless to all individuals or entities involved.

Each member of the board of directors and the staff of the corporation has a duty of loyalty to the corporation. The duty of loyalty generally requires a director or staff member to prefer the interests of the corporation over the director's/staff's interest or the interests of others. In addition, directors and staff of the corporation shall avoid acts of self-dealing which may adversely affect the tax-exempt status of the corporation or cause there to arise any sanction or penalty by a governmental authority.

In connection with any actual or possible conflict of interest, an interested person must disclose the existence of the financial interest and be given the opportunity to disclose all material facts to the directors and members of committees with governing board delegated powers considering the proposed transaction or arrangement.

1.3.2 Definitions

- a. Interested Person. Any director, principal officer, or member of a committee with governing board delegated powers, who has a direct or indirect financial interest, as defined below, is an interested person.
- b. Financial Interest. A person has a financial interest if the person has, directly or indirectly, through business, investment, or family:



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- (1) An ownership or investment interest in any entity with which the corporation has a transaction or arrangement,
- (2) A compensation arrangement with the corporation or with any entity or individual with which the corporation has a transaction or arrangement, or
- (3) A potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which the corporation is negotiating a transaction or arrangement.

Compensation includes direct and indirect remuneration as well as gifts or favors that are not insubstantial. A financial interest is not necessarily a conflict of interest. A person who has a financial interest may have a conflict of interest only if the appropriate governing board or committee decides that a conflict of interest exists.

1.3.3 Duty to Disclose

In connection with any actual or possible conflict of interest, an interested person must disclose the existence of the financial interest and be given the opportunity to disclose all material facts to the directors and members of committees with governing board delegated powers considering the proposed transaction or arrangement.

1.3.4 Determining Whether a Conflict of Interest Exists

After disclosure of the financial interest and all material facts, and after any discussion with the interested person, the interested person shall leave the governing board or committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining board or committee members shall decide if a conflict of interest exists.

1.3.5 Addressing the Conflict of Interest

The governing board or committee chair shall, if appropriate, appoint a disinterested person or committee to investigate alternatives to the proposed transaction or arrangement.

After exercising due diligence, the governing board or committee shall determine whether the corporation can obtain with reasonable efforts a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.

If a more advantageous transaction or arrangement is not reasonably possible under circumstances not producing a conflict of interest, the governing board or committee shall determine by a majority vote of the disinterested directors whether the transaction or arrangement is in the corporation's best interest, for its own benefit, and whether it is fair and reasonable. In conformity with the above determination, it shall make its decision as to whether to enter into the transaction or arrangement.



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1.3.6 Violations of the Conflicts of Interest Policy

If the governing board or committee has reasonable cause to believe a member has failed to disclose actual or possible conflicts of interest, it shall inform the member of the basis for such belief and afford the member an opportunity to explain the alleged failure to disclose.

If, after hearing the member's response and after making further investigation as warranted by the circumstances, the governing board or committee determines the member has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.

1.3.7 Record of Proceedings

The minutes of the governing board and all committees with board-delegated powers shall contain:

- a. The names of the persons who disclosed or otherwise were found to have a financial interest in connection with an actual or possible conflict of interest, the nature of the financial interest, any action taken to determine whether a conflict of interest was present, and the decision by the governing board or committee as to whether a conflict of interest in fact existed.
- b. The names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and a record of any votes taken in connection with the proceedings.

1.3.8 Restrictions Related to Compensation

A voting member of the governing board who receives compensation, directly or indirectly, from the corporation for services is precluded from voting on matters pertaining to that member's compensation.

A voting member of any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the corporation for services is precluded from voting on matters pertaining to that member's compensation.

No voting member of the governing board or any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the corporation, either individually or collectively, is prohibited from providing information to any committee regarding compensation.



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1.3.9 Annual Statements

Each director, principal officer and member of a committee with governing board-delegated powers shall sign a statement which affirms such person:

- a. Has received a copy of the conflicts of interest policy,
- b. Has read and understands the policy,
- c. Has agreed to comply with the policy, and
- d. Understands that the corporation is charitable and in order to maintain its federal tax exemption it must engage primarily in activities which accomplish one or more of its tax-exempt purposes.

The Conflict of Interest Policy Acknowledgement is included as attachment 1-A.

1.3.10 Periodic Reviews

To ensure the corporation operates in a manner consistent with charitable purposes and does not engage in activities that could jeopardize its tax-exempt status, periodic reviews shall be conducted. The periodic reviews shall, at a minimum, include the following subjects:

- a. Whether compensation arrangements and benefits are reasonable, based on competent survey information and the result of arm's length bargaining.
- b. Whether partnerships, joint ventures, and arrangements with management corporations conform to the corporation's written policies, are properly recorded, reflect reasonable investment or payments for goods and services, further charitable purposes and do not result in inurement, impermissible private benefit or in an excess benefit transaction.

When conducting the periodic reviews, the corporation may, but need not, use outside advisors. If outside experts are used, their use shall not relieve the governing board of its responsibility for ensuring periodic reviews are conducted.

1.4 Elections Policy

Whenever the term "Voting Member" is used in relation to USAWE elections, it shall refer to individual U.S. adult members of USAWE who have met the deadline for membership established by the Board of Directors.

The Board of Directors shall provide an online mechanism by which Voting Members can nominate people for open seats on the Board (e.g., Google Forms, online survey, etc.). A link to the online nomination mechanism shall be distributed via email, sent to all Voting Members. This link will not be posted on the website or on any Facebook pages to limit nominations to those actually eligible to nominate. Concurrent announcements shall be made announcing the nominations are open (to all members). These announcements *may* be shared via Social Media, provided the actual link to the nomination form is not shared.



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To provide transparency in the process, a link to a list of all people nominated for office shall be provided on the USAWE website throughout the elections process. This list will be updated to indicate who has accepted the nominations once the nomination window has closed and shall remain posted and publicly viewable until the results of the election have been announced. The name of the member making a nomination shall be listed, along with the person they are nominating and for which office. Anonymous nominations shall not be permitted. Self-nominations are allowed. A permanent record of the nominations list will be maintained in the USAWE archives. Nominations for all positions may be made by any Voting Member of USAWE but voting for Regional Directors is limited to people residing in that region.

Once the nomination window has closed, the Elections Committee will provide each member who has been nominated with a list of the positions for which they were nominated and instructions for how they can indicate which position, if any, they would like to accept. A person can accept only one nomination in any given election. Candidate acceptances and candidate statements will be collected electronically by the Elections Committee and organized for the preparation of ballots and for sharing with the membership in advance of ballots being distributed.

The Board of Directors shall contract with an independent elections firm (e.g., Simply Voting) to conduct the actual election (distribution of ballots and counting of votes).

Each Voting Member may cast one vote for the Regional Director position being voted on in their region and one vote for any Officer positions being voted on. Those receiving a plurality of votes cast in their respective election category shall be declared the winner.

Voting can be conducted through online or paper ballots. Voting shall be conducted anonymously. Complete results (including total number of ballots cast and number of votes received by each candidate) shall be published on the USAWE website.

Procedure to follow in the event of a tied vote for any Board of Director position in an election:

- a. If paper ballots are used, there will be a recount of the ballots.
- b. If there is still a tie, the Executive Committee shall vote between the tied candidates. A two-thirds majority of the Executive Committee shall be required to break the tie.
- c. If the Executive Committee fails to reach a two-thirds majority vote in favor of one of the candidates, then the Full Board of Directors shall vote between the tied candidates. If the vote goes to the Full Board of Directors, then a simple majority of those present will be required to break the tie.
- d. If the tie involves a seated member of the board, that Director shall recuse himself/herself from participating in the tie breaker steps described above.

Some positions will be up for election every other year. Odd-numbered regions will have Regional Directors elected in odd-numbered years; even-numbered regions will have Regional Directors elected in even-numbered years. The Secretary will be elected in even-numbered years.

Odd-numbered Years (2021, 2023, etc.) Regional Seats to be Filled: 1, 3, 5, 7



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Even-numbered Years (2022, 2024, etc.) Secretary and Regional Seats to be Filled: 2, 4, 6

The offices of President and President Elect will each be one-year terms. The President Elect will rotate into the office of President after one year, for a total of two consecutive years of service post-election. A one-year break from Executive Committee service is required after leaving the office of President (this applies even if the person has not served for four consecutive years on the Executive Committee).

Members of the Executive Committee may serve no more than four consecutive years on the Executive Committee. They may, however, run for a seat as a Regional Director after having served four years on the Executive Committee. Due to term limits delineated in the Bylaws, a person is not eligible to serve in the office of President Elect if doing so would cause them to serve a fifth consecutive year when they rotated into the office of President.

There is no limit on the number of terms a Regional Director may serve.

The following timeline will apply for elections conducted by **online** voting for the year 2021 and elections thereafter. All dates end at midnight, PDT or PST.

Activity	Deadline
Nomination announcement sent out to all U.S. adult members (with link to online nominations form).	September 1
Last date to join USAWE as an individual adult member in order to run for a seat on the Board.	September 14
Nominations window closed.	September 15
Candidate acceptance & candidate statements due.	October 1
Last date to join USAWE in order to receive a ballot (vote).	October 10
List of all candidates and candidate statements posted on the USAWE website and provided to an independent elections firm for distribution to voting members.	October 15
Ballots sent out to all voting members.	November 1
Voting closes.	November 15
Results announced.	November 16
Those elected take office.	December 1

The following timeline will apply for elections conducted by **paper** ballots sent through the postal service for the year 2021 and elections thereafter.

Activity	Deadline
Nomination announcement sent to all U.S. adult members.	August 1
Last date to join USAWE as an individual adult member in order to run for a seat on the Board.	August 14
Nominations window closed	August 15
Candidate acceptance & candidate statements due.	September 1
Last date to join USAWE in order to receive a ballot (vote).	September 10



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Activity	Deadline
List of candidates and candidate statements posted on USAWE website and provided to an independent elections firm for distribution to voting members.	September 15
Ballots sent out to all voting members.	October 1
Voting closes. All ballots must be postmarked by this date and received no later than *November 20 to be counted in the election.	*November 15
Results announced; those elected take office.	December 1

*Note: If this deadline falls on a weekend, the deadline moves to the next Monday.

The timelines above coincide with the membership and competition year, to avoid a situation in which people are members (and eligible to vote) at the start of the election process but their membership expires while the election is being conducted, and they therefore lose their legal right to participate in the election. The timeline for elections conducted by paper ballots is extended one month, when compared to the timeline for elections conducted by online ballots to account for the time needed to print, assemble, and mail ballots, and for ballots to be returned in the mail.

1.5 Amateur Status Policy

Anyone competing in a USAWE-licensed show as an amateur must meet the requirements outlined in USEF GR 1306. (A summary of GR 1306 is included as attachment 1-B.) USAWE does not prevent amateur riders from earning prize money.

If an inquiry is received by USAWE indicating that a professional may be competing as an amateur, the Ethics Committee will investigate the matter. A variety of sources will be used in the investigation, including social media posts, sponsorship promotions, ads for clinics, lessons, or training services, etc.

If evidence is found to indicate the competitor has been inappropriately competing as an amateur, he/she will be contacted and given 30 days to provide a written statement and supporting documentation of amateur status eligibility. If such documentation cannot be produced, then all scores and points earned by the competitor as an amateur during that competition year will be voided, and the competitor will be immediately moved to open status.



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Attachment 1-A. Conflict of Interest
Policy Acknowledgement



CONFLICT OF INTEREST POLICY ACKNOWLEDGEMENT

I have read the USAWE Conflict of Interest policy and agree to comply fully with its terms and conditions at all times during my service as a member of the USAWE Board of Directors. If at any time following submission of this form I become aware of any actual or potential conflict of interest, or if the information provided below becomes inaccurate or incomplete, I will promptly notify the USAWE Board of Directors in writing.

Disclosure of Actual or Potential Conflicts of Interest:

I acknowledge and agree that my selection for service on the Board and the opportunities made available to me by serving on the Board constitute good and valuable consideration for entering into this agreement, the receipt and sufficiency of which I hereby acknowledge.

Name _____

Title _____

Signature _____



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Attachment 1-B. USEF GR1306 Professional/Amateur Status *(excerpts)*

1. Amateur. Regardless of one's equestrian skills and/or accomplishments, a person is an amateur if after his 18th birthday, as defined in GR101, he has not engaged in any of the activities identified in paragraph 4 below.
2. Remuneration. Remuneration is defined as compensation or payment in any form such as cash, goods, sponsor- ships, discounts or services; reimbursement of any expenses; trade or in-kind exchange of goods or services such as board or training.
3. Permitted activities by Amateur. An Amateur is permitted to do the following:
 - a. Accept reimbursement for actual expenses associated with conducting classroom seminars for a not-for-profit organization, therapeutic riding programs, or programs for charitable organizations approved in advance by the Federation.
 - b. Act as a camp counselor when not hired in the exclusive capacity as a riding instructor; assist in setting schooling fences without remuneration; give instruction or training to handicapped riders for therapeutic purposes.
 - c. Appear in advertisements and/or articles related to acknowledgement of one's own personal or business sponsorship of a competition and/or awards earned by one's owned horses.
 - d. Accept prize money as the owner of a horse in any class other than equitation or showmanship classes. Accept prize money in Dressage.
 - e. Accept a non-monetary token gift of appreciation valued less than \$300 annually.
 - f. Serve as an intern for college credit or course requirements at an accredited institution provided one has never held professional status with the Federation or any other equestrian National Federation. In addition, one may accept reimbursement for expenses without profit, as prescribed by the educational institution's program, for the internship. At the request of the Federation, an Amateur shall provide certification from the accredited education- al institution under whose auspices a student is pursuing an internship that he is undertaking the internship to meet course or degree requirements.
 - g. Write books or articles related to horses.
 - h. Accept remuneration for providing service in one's capacity as a: clinic manager or organizer (so long as they are not performing the activities of instructor or trainer), presenter or panelist at a Federation licensed officials' clinic, competition manager, competition secretary, judge, steward, technical delegate, course de- signer, announcer, TV commentator, veterinarian, groom, farrier, tack shop operator, breeder, or boarder, or horse transporter.
 - i. Accept reimbursement for any bona fide expenses directly related to the horse (i.e. farrier/vet bills, entries). Travel, hotel, equipment, and room and board are not considered bona fide expenses.
 - j. Entries for non-under saddle classes in amateur sections at hunter, jumper or hunter/jumper competitions, must be paid either (i) directly to the competition by the Amateur or by the Amateur's family or (ii) by someone whom the Amateur or the Amateur's family reimburses within 90 days of the last day of the competition for which entries were paid.



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Attachment 1-B. USEF GR1306 Professional/Amateur Status (*excerpts*)



- k. Accept educational competition or training grant(s).
4. Professional based on one's own activities. Unless expressly permitted above, a person is a professional if after his 18th birthday he does any of the following:
 - a. Accepts remuneration AND rides, exercises, drives, shows, trains, assists in training, schools or conducts clinics or seminars.
 - b. Accepts remuneration AND gives riding or driving lessons, showmanship lessons, equitation lessons, trains horses, or provides consultation services in riding, driving, showmanship, equitation, or training of horses.
 - c. Accepts remuneration AND acts as an employee in a position such as a groom, farrier, bookkeeper, veterinarian or barn manager AND instructs, rides, drives, shows, trains or schools horses that are owned, boarded or trained by his employer, any member of his employer's family, or a business in which his employer has an ownership interest.
 - d. Accepts remuneration AND uses his name, photograph or other form of personal association as a horseperson in connection with any advertisement or product/service for sale, including but not limited to apparel, equipment or property.
 - e. Accepts prize money unless permitted in paragraph 3d or 3e above.
 - f. Rides, drives or shows any horse that a cohabitant or family member or a cohabitant or family member's business receives remuneration for boarding, training, riding, driving or showing. A cohabitant or family member of a trainer may not absolve themselves of this rule by entering into a lease or any other agreement for a horse owned by a client of the trainer.
 - g. Gives instruction to any person or rides, drives, or shows any horse, for which activity his cohabitant or another person in his family or business in which his cohabitant or a family member controls will receive remuneration for the activity. A cohabitant or family member of a trainer may not absolve themselves of this rule by entering into a lease or any other agreement for a horse owned by a client of the trainer.
 - h. Accepts remuneration AND acts as an agent in the sale of a horse or pony or accepts a horse or pony on consignment for the purpose of sale or training that is not owned by him, his cohabitant, or a member of his family, a farm/ranch/syndicate/partnership/corporation/business in which he, his cohabitant or a member of his family controls.
 - i. Advertises one's equestrian services such as training or instruction.
 - j. Accepts remuneration AND acts as an intern, apprentice, or working student whose responsibilities include, but are not limited to, riding, driving, showmanship, handling, showing, training or assisting in training, giving lessons/coaching and/or schooling horses other than horses actually owned by him.
 - k. Accepts remuneration in excess of rental fee for use of a facility, ring or school horses.
 - l. Accepts remuneration for such use AND uses commercial logoed items while on competition grounds unless expressly permitted by applicable division rules.