



POLICIES AND PROCEDURES



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.

Note: This document is still under development. Sections will be added as they are approved. The latest date of issue is indicated in the Contents section.

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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.



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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 **the Marketing and Promotion Committee chair and members appointed by the Board of Directors. Regional Directors will be responsible for promoting local and regional posts on their respective regional social media page. All posts must follow USAWE branding guidelines and social media standards.**

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.



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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:
 - (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.



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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.

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.



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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.

1.3.9 Annual Statements

Each director, principal officer, and member of a committee shall sign statements which affirm such person:

- a. Has received a copy of the **Code of Conduct**, Conflict of Interest, **Code of Ethics**, and **Social Media** policies,
- b. Has read and understands the policies,
- c. Has agreed to comply with the policies, 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.

USAWE Tax Exempt Purpose

The corporation is organized exclusively for charitable and educational purposes within the meaning of sections 501(c)(3) and 501(j) of the Internal Revenue Code of 1986, as amended (or by the corresponding section of any future federal tax code) (the "Code"). To the extent consistent with the above general purposes, the specific purposes of this corporation shall be as follows: The fostering of local, regional, national and international amateur sports competitions, including educational activities, promotional activities and competitions related to the sport of working equitation in the United States. The fostering of national or international amateur sports competitions primarily to conduct national or international competition in sports and to support and develop amateur athletes for national or international competition in sports.

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



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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.



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Attachment A

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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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.

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.



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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
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).

The offices of At-Large Director One and At-Large Director Two will each be two-year terms and will serve on the Executive Committee. The At-Large Director One will be elected on odd-numbered years and the At-Large Director Two will be elected in even-numbered years.

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.



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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
Nomination 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
Nomination 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
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.



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The timelines 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.



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1.5 Amateur Status

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 A.**) 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.

Attachment A. Amateur Status

(Excerpted from USEF GR1306)

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 and **GR103**, 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, sponsorships, discounts or services; reimbursement of any expenses; trade or in-kind exchange of goods or services such as board or training. **Amateurs are permitted to accept remuneration for the following activities:**
 - a. Barn duties on or off competition grounds. Barn duties include but are not limited to grooming, tacking and un-tacking, bathing, clipping, lunging, braiding, and stall and tack cleaning.
 - b. Teaching or training disabled riders for therapeutic purposes.
 - c. Expenses associated with conducting classroom seminars.
 - d. Serving as camp counselor when not hired in the exclusive capacity as an equestrian instructor.
 - e. Providing service in one's capacity as a clinic manager or organizer (as long as they are not performing the activities of instructor or trainer), competition manager, competition secretary, judge, steward, technical delegate, course designer, announcer, veterinarian, groom, farrier, tack shop operator, breeder, boarder, or horse transporter.
 - f. Accept reimbursement for any expenses directly related to the horse (e.g., farrier/vet bills, entries). Travel, hotel, equipment, and room and board are not considered expenses related to the horse.



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3. Other permitted activities by Amateur. An Amateur is permitted to do the following:
 - a. 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.
 - b. Accept prize money as the owner of a horse in any class.
 - c. Accept a non-monetary token gift of appreciation valued less than **\$1,000** annually.
 - d. Serve as an intern for college credit or course requirements at an accredited institution. In addition, one may accept reimbursement for expenses without profit, as prescribed by the educational institution's program, for the internship.
 - e. Write books or articles related to horses.
 - f. Accept educational, competition, or training grant(s).
4. Professional based on one's own activities. 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, **except as provided in section 2.e.**
 - b. Accepts remuneration AND gives equestrian 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. 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.
 - e. 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.
 - f. 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, or a farm business business in which he, his cohabitant, or a member of his family controls.
 - g. Advertises one's equestrian services such as training or instruction.



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- h. 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.
- i. Accepts remuneration for the use of commercially logoed items while on competition grounds as a sponsored rider.



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2.1 Affiliate Organizations

2.1.1 Affiliate Organization Policy

- a. Requirements. An Affiliate Organization (AO) is an independent, local organization involved in Working Equitation. An AO can function under any legal business structure (e.g., sole proprietor, LLC, corporation, etc.). AO policies and procedures must not be in conflict with the vision, mission, and purpose of USAWE.

AOs must offer educational opportunities and/or information about WE and USAWE to their members and/or the general public. They must promote membership in USAWE, and the head of the organization must maintain current membership with USAWE. There are no minimum USAWE membership requirements at the local level.

AOs must maintain an Affiliation Agreement with USAWE; this agreement is renewable annually. The annual fee is \$50.

- b. Benefits. USAWE will list AOs on the website by state. The listing will include a brief description of the organization's functions and activities, a point of contact, their logo or suitable photo of their choice, and a link to their website.

AO events will be included on the USAWE calendar of events.

The AO has the right to use USAWE's logo on their website and advertising.

To help provide financial support to AOs and encourage their continued activity on behalf of members and the sport, each USAWE member will be given the option to designate \$5 from their membership dues to a specified AO at the end of the membership year. If no AO is designated, then the money will be earmarked for USAWE educational initiatives.

2.1.2 Affiliate Organization Process

- a. The AO application is accessed through the USAWE website.
- b. People complete the online form requesting recognition as a USAWE AO and submit payment via PayPal.
- c. The membership committee receives an email notification of every AO application submitted. Once receipt of payment has been confirmed, the membership committee adds the Affiliate Organization listing to the USAWE website and sends an email to the AO contact person, requesting their review of the listing.
- d. If modifications to the listing are requested, the Membership committee makes the changes until the AO contact person indicates that they are satisfied.



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2.2 Awards

TBS



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2.3 Coaches Network

TBS

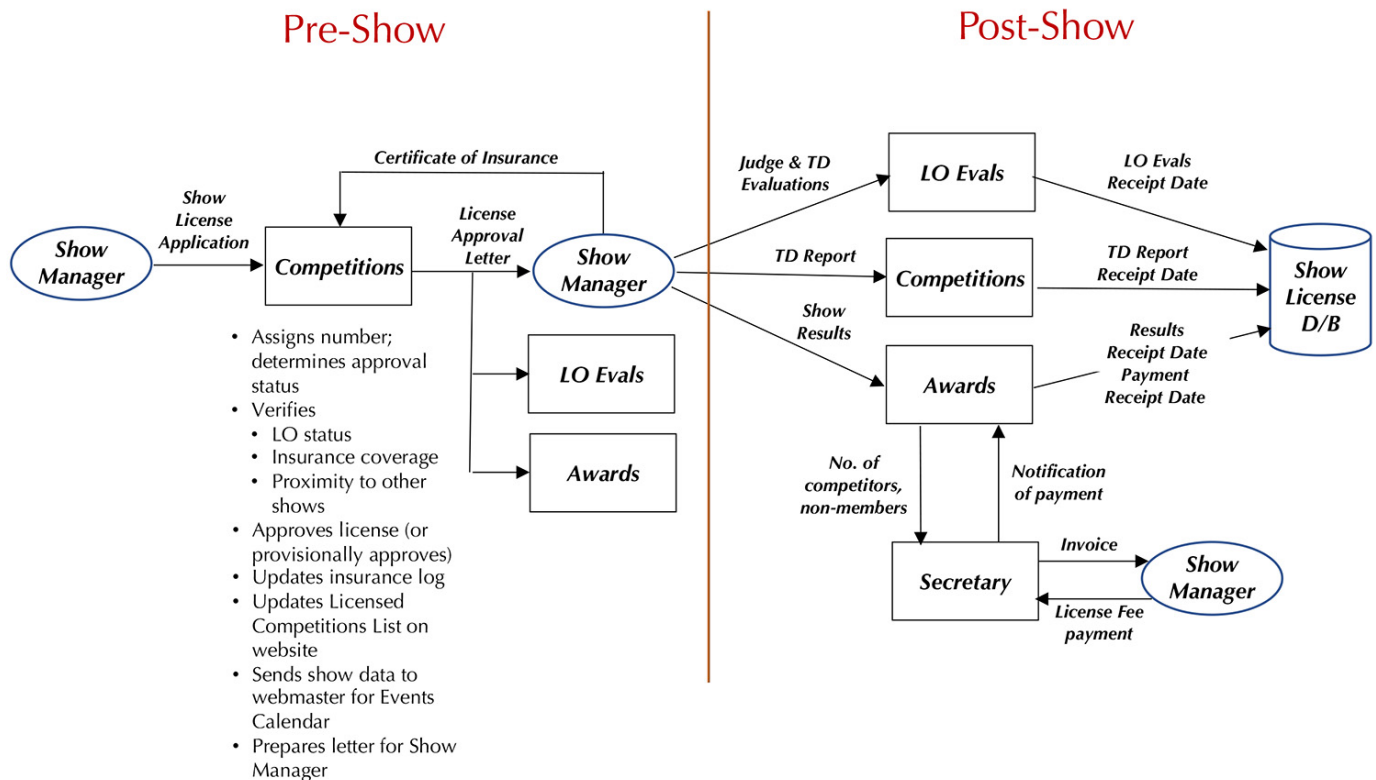
2.4 Competitions

2.4.1 General Duties and Responsibilities

The Competitions effort includes:

- Processing and approving show license applications.
- Communicating with show managers to clarify requirements and answer questions.
- Communicating with Awards, LOC, and the webmaster regarding upcoming shows.
- Reviewing TD reports for actionable items and following through with as needed.
- Verifying that LO evaluations and show results are delivered as required.
- Ensuring the currency and accuracy of the show license database, website list of shows, insurance log, and insurance certificates.
- Preparing and maintaining all documentation associated with the Competitions process.

The end-to-end process is as follows:





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2.4.2 Licensed Shows, Requirements for License Approval

Licenses are issued for live shows only. License applications can be submitted anytime during the year for the current year, but no less than 2 weeks prior to the event.

Show organizers for legacy shows that require a specific date/location have a window of five days, June 25 – 30 of any year, to reserve their date/location for the following year. Starting July 1, license applications will be open to all show organizers for the following year.

Exception: The legacy window for 2022 license applications is August 15 – 20. Applications will be available to all show organizers starting on August 21.

All license applications are checked for the following:

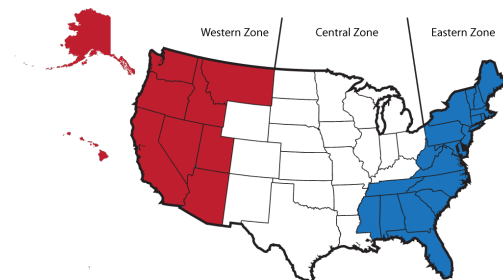
- a. Officials are licensed.
- b. Judge's license is appropriate for the levels offered.
- c. Insurance requirement is acknowledged. The show must be insured and USAWE must be designated as an "additional insured."
- d. There are no date/location conflicts with other shows in the vicinity (*see section 2.3.4*).
- e. All information is complete.
- g. There are no overdue deliverables from previous shows licensed by the applicant, i.e., reports, evaluations, results, and show fees.

2.4.3 Zone Championship Show Requirements and License Approval

Show Requirements

Championship shows may be held in each of the following U.S. zones:

Western Zone	Regions 1 and 2
Central Zone	Regions 3, 4, and 5
Eastern Zone	Regions 6 and 7



Zone championships may be held no more frequently than once per year per zone but are not required to be held every year.

To be eligible to compete, a horse-rider combination must earn a combined average of 58% or higher in Dressage and EOH and successfully complete the Speed trial (L2-L7) at a minimum of two licensed shows. At least one of the scores must be earned during the current competition year. The qualifying period is January 1 of the previous competition year through the show entry deadline for the zone championship show in the current year. Horse-rider combinations may compete in any or all zone championships, regardless of where the qualifying scores are achieved.



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License Approval

Licenses for zone championship shows are awarded based on a proposal process. Show organizers who want to hold a zone championship show must prepare a Championship Show proposal that outlines their show plan and capabilities. Show proposals must contain following information:

- a. Show name/dates
- b. Show location (accessibility to member base, availability of hotels and restaurants)
- c. Organizing committee
 - (1) Members
 - (2) Experience in managing large shows
 - (3) Experience in managing WE shows
- d. Facility and amenities (pictures are encouraged)
 - (1) Arena(s) - Indoor/outdoor, size, footing
 - (2) Warmup arena(s)
 - (3) Stabling (quantity available, structure)
- e. Show officials (Judges, TD)
- f. Show staffing plan
 - (1) Key positions and designees (Show Manager, Show Secretary, Gate Steward, Paddock Steward, Scorer, Scribes)
 - (2) All other positions to be filled. Include names if known.
- g. Financial plan:

Income estimates

- Number of entries
- Entry fees
- Stabling fees
- Other fees
- Sponsorships
- Other

Expense estimates

- Facility expenses (arenas, stalls, camping sites, vendor spaces, etc.)
- Awards budget
- Food budget
- Expenses for officials (including travel and per diem)
- Hotel expenses
- Other

- h. What will you do to make this show special?

Proposals must be submitted no later than May 31 of the year prior to the show. Late proposals will only be considered after the deadline if no other proposals were received before the deadline. * **Note:** Proposals for 2022 shows can be submitted until December 15, 2021.

A Championship Evaluation Committee is designated for each zone; each committee is comprised of the Regional Directors within the zone and a representative of the Competitions committee who does not reside in the zone. The Championship Evaluation Committee will assess all proposals received and submit the top two candidates in each zone to the Board for final selection. Submit all proposals to competitions@usawe.org; proposals will be forwarded to the respective Championship Evaluation Committee.



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USAWE will provide a grant of \$2000 to each winning proposal to hold a Zone championship show. The grant will be sent upon successful completion of the Zone championship, with all required show reports and results submitted to USAWE.

2.4.4 Competition Date/Location: Restrictions and Allowances

a. Licensed Shows

- (1) No competitions being organized by different organizers may be scheduled for the same date if they are within 100 miles of one another.
- (2) There must be a minimum of 2 weeks (one intervening weekend) in between licensed competitions if they are located within 50 miles of one another.

b. Championship Shows. There must be a minimum of 2 weeks (one intervening weekend) and 150 miles distance between any championship show and a currently scheduled licensed show. Exceptions may be made if agreement is obtained in writing from the show manager(s) of all licensed shows impacted by the championship show location and schedule.

c. In the event of a conflict, the show license that was time-stamped first after the official opening date for license applications will take precedence.

2.4.5 License Processing and Approval

License applications are assigned the next sequential number as they are received. The license is officially approved once all requirements are met. The license may be provisionally approved if some items are outstanding (e.g., designation of a qualified LO or insurance). The Competitions Committee works with the show manager to resolve provisional licensing issues and obtain final approval prior to the event.

An email is sent to the show manager with information regarding the show requirements and schedule and a copy of the Show Manual. If license issues are still outstanding 3 weeks prior to the show date, a second email is sent.

The following committees are notified once a show license application has been processed:

- LOC
- Awards
- Website (for event calendar).

2.4.6 Insurance Compliance Process

Insurance information for each show is maintained in a log on the Drive that identifies the individual or organization insured, insurance company, dates of coverage, and shows covered.



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Certificates of Insurance are assigned a control number and maintained in a folder on the Drive for reference.

2.4.7 Fees

- a. License Fee. There is no show license fee. A fee of \$2 per competitor is collected after the event. There is no charge for those doing “schooling” rides.
- b. Competitor Fees. Competitors must be a member of USAWE. Non-members can compete in licensed shows but must pay a non-member fee. Non-members cannot compete in championship shows.

Show organizers can assess additional fees if desired but they cannot be classified as a non-member fee.

Only members are eligible for lifetime or year-end awards, or have their scores tracked on the ranking board. Points earned by non-members who join within 30 days of a competition will be counted.

- c. Horse Recording Fees. All competing horses must be recorded with USAWE. This is a one-time fee.

2.4.8 Post-Show Requirements

- a. TD Report: Due 1 week after the show. It is submitted via Google form to **Competitions**. **Competitions** enters the date of receipt in the show license database and reviews the report for actionable items.
- b. Evaluations for the Judge(s) and TD: Due 1 week after the show. Evaluations are submitted via Google form to **LO Evaluations**. **LO Evaluations** enters the date of receipt in the show license database and reviews the evaluations for any actionable items.
- c. Show Results: Due 2 weeks after the show. Show results are submitted to the **Awards** committee. **Awards** enters the results on the Leaderboard and updates the show license database to indicate receipt.
- d. Show Fee. When results are received, **Awards** notifies the USAWE Secretary of the total number of competitors (members and non-members). The Secretary invoices the show manager and notifies **Awards** when the show fee has been paid. **Awards** updates the show license database to indicate receipt.

Show results are not posted until all reporting requirements are met and show fees are paid.



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2.4.9 Competition Appeals Committee Process

If a competitor appeals a decision by the Protest Committee at a show, a Competition Appeals Committee is convened. Members include:

- Competitions Committee chair (serves as chair of the Appeals Committee)
- President Elect
- Regional Director (rotating assignment; cannot serve if appeal is within her/his region)

An appeal must be in writing and accompanied by a fee of \$150 made payable to USAWE. The appeal must be received within 7 calendar days of the conclusion of the competition.

The Appeals Committee will gather all reports and information related to the protest, interview participants and witnesses to the incident, review the findings of the Protest Committee, and make a final determination on the issue within 45 days of receipt.

If the appeal is upheld, the applicant will be refunded both the fees for the protest and the appeal. Competition results impacted by the appeal will be corrected. Any awards and prizes impacted by the appeal will be corrected.

The Appeals Committee may review the results of any competition without an appeal having been filed. If discrepancies in scoring or computational errors are found, the Appeals Committee will inform the competition management and will post corrected results. Any awards or prizes will be corrected by show management. All appeals activities and decisions will be made public.



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2.5 Ethics and Appeals

2.5.1 Committee Membership

- a. Ethics Committee. The Ethics Committee consists of committee chair, and four to eight members. One member will be a Regional Director. Recommendations for committee members can come from the Ethics Committee or the Board of Directors (BOD). Final approval of committee chair and members is made by the Board of Directors. The Committee membership cannot include a current judge, TD, WE coach, or member of the Executive Committee.

Subcommittees will be formed per each complaint received and could be for additional ethics related projects.

Ethics Committee members are bound by a Confidentiality Agreement. Once signed, the Confidentiality Agreement shall remain in effect in perpetuity for the duration of support by each member on the committee.

- b. Appeals Committee. The Appeals Committee consists of the USAWE President, President Elect, Secretary, and Treasurer. Appeals Committee members are bound by a Confidentiality Agreement that must be signed for each appeal heard.

2.5.2 Jurisdiction

- a. Ethics Committee. The Ethics Committee has jurisdiction over violations of the Code of Conduct, Codes of Ethics, Social Media Policy, Conflict of Interest Policy, Confidentiality Agreements, and inquiries regarding amateur status.

The Ethics Committee does not review disputes related to:

- Scores, potential rule violations, or judgment calls at licensed competitions.
- Private disputes between members including (but not limited to) business transactions, personal disagreements, and differences of opinion.

- b. Appeals Committee. The Appeals Committee makes the final determination on formal appeals related to:
 - Decisions by the Ethics Committee.
 - Decisions by the Protests Committee at a licensed competition.



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2.5.3 Process Overview

Any questions related to potential ethics violations or reports of suspected abuse of the Social Media Policy can be submitted to ethics@usawe.org or for confidential correspondence usaweethciscomplaint@gmail.com

Any member or competitor has the right to file a complaint. The complaint must be in writing. A complaint may be filed anonymously.

Complaints must provide specific details as applicable (e.g., date, time, individual, horse, description of what occurred). Complaints must be documented and signed, along with any available supporting documentation, using the Ethics Complaint Form available on the USAWE.org website.

Complaints must be accompanied by a fee of \$100. The fee will be refunded if any portion of the complaint is upheld (i.e., the complaint is not dismissed in its entirety). The Ethics Committee, Board of Directors, or the Licensed Officials Committee has the right to initiate an investigation of ethics violations by officers, directors, licensed officials, or coaches.

If a complaint involves a licensed official, the Ethics Committee notifies the LOC and requests any relevant personnel information.

The overall process from receipt of complaint to resolution will be completed within 12 weeks. Extensions will be allowed if requested by the Ethics Committee Chair and approved by the BOD. The decision whether to request an extension is at the sole discretion of the Ethics Committee Chair. Denial or approval of a request for an extension is at the sole discretion of the BOD.

If an appeal is filed, the appeals process will be completed within a 4-week time frame. Appeals must be in writing and accompanied by a \$100 fee. The fee will be refunded if the decision is vacated in whole or in part because of the appeal.

2.5.4 Ethics Process

The USAWE ethics process is designed to ensure that all individuals who are the subject of a complaint will be afforded due process as defined in the following procedures.

- a. The Ethics Committee will review the complaint along with supporting information and evidence. Complaints will be screened to ensure that there is sufficient information to justify an investigation. If there is insufficient information, the complaint will be dismissed, and no further action will be taken.



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- b. The individual named as the subject of the complaint will be promptly notified that a complaint has been made and will be given the opportunity to review the complaint, including all written statements, notes of interviews, documents, photographs, or other evidence. The complaining party may elect to remain anonymous. In the event the complaining party or any witnesses elect to remain anonymous, the Ethics Committee will not disclose their names or other identifying information and will redact any identifying information from any documents.
- c. If the individual named in the complaint is a licensed official, the Ethics Committee will consult with the LOC Chair for any relevant information.
- d. The Ethics Committee will interview the person issuing the complaint as the Ethics Committee deems necessary, at its sole discretion.
- e. The Ethics Committee may interview witnesses named in the complaint or other witnesses that the Ethics Committee deems necessary, at its sole discretion.
- f. The Ethics Committee will interview the individual named in the complaint and may, at its sole discretion, interview witnesses designated by that individual.
- g. The individual who is the subject of the complaint will be given 7 days from notification of complaint to file a written response and/or participate in a phone interview.
- h. At the conclusion of the investigation the Ethics Committee will notify the President of its decision before formal notification to affected parties.
- i. The Ethics Committee will send written notification of its decision via certified mail to the person who filed the complaint and the individual named in the complaint within the 4-week time period allowed.
- j. Possible actions may include:
 - Dismissal of complaint, in whole or in part
 - Written warning
 - Remedial training
 - Temporary suspension of membership and/or license for a specified time period (range 1 month to 2 years)
 - Permanent suspension of membership or license
 - Other action as deemed appropriate
- k. The LOC is responsible for enforcing the decision resulting from a complaint resolution involving licensed officials.
- l. The BOD is responsible for enforcing the decision resulting from a complaint resolution involving officers, directors, coaches, or members.



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2.5.5 Other Ethics Committee Responsibilities

The Ethics Committee will verify that all requisite signatures are obtained for the organization:

- Code of Conduct: Officers, Directors, and Committees.
- Code of Ethics: Licensed Officials, Coaches
- Confidentiality Agreement: Ethics Committee members
- Confidentiality Agreement: Appeals Committee members, for each appeal heard

The Ethics Committee will ensure that all Ethics Committee activities are properly documented and will maintain all documentation associated with each complaint/hearing in a secured area on the USAWE Google Drive.



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2.6 Financial Oversight

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2.7 Horse Recording

2.7.1 Horse Recording Policy

- a. All horses competing in any USAWE-recognized competitions must be recorded with USAWE.
- b. Horse recordings are Lifetime recordings and cost \$20 per horse.
- c. Horse recordings are transferrable upon the sale of the horse.
- d. Horses of any breed, with the exception of miniature horses, as well as mules and donkeys, may be recorded with USAWE.
- e. Each recorded horse is assigned a unique Horse Recording number, which will remain unchanged throughout the horse's lifetime. Horse numbers will be retired rather than re-assigned upon the death of a horse.

2.7.2 Horse Recording Process

- a. The horse recording application is accessed through the USAWE website. People complete the online form requesting that their horse be recorded with USAWE and submit payment via PayPal.
- b. The membership committee receives an email notification of every horse recording submitted. Once receipt of payment has been confirmed, the membership committee assigns a horse recording number and adds the horse's information to the USAWE website via three different tabs on a Google Sheet: one sorted alphabetically by horse name, one sorted alphabetically by breed, and one sorted numerically by assigned horse number. Horses that are ineligible to compete due to age will not be listed on the website until their qualifying year.
- c. The membership committee then creates a PDF of a Horse Recording Card and emails it to the person requesting the horse recording.
- d. When the membership committee receives notification that a horse has transferred ownership, the committee updates the horse recording files on the website.



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2.8 International Competitions

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2.9 Licensed Officials

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2.10 Marketing and Promotion

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2.11 Membership

2.11.1 Membership Policy

The USAWE membership year runs from **January 1st through December 31st**. The Membership committee will begin their membership drive on October 15 each year.

USAWE offers Adult and Youth memberships, open to all people regardless of country of residence.

Adult members (18 and over) are eligible to serve on committees, hold office, vote, be recognized on the regional and national Leaderboard as well as earn Lifetime Rider Medals, and compete for the annual high-point breed performance awards. The fee for an adult membership is \$45.

Youth members (17 years and under as of the start of the membership year – Dec. 1) are eligible to serve on committees and be recognized on the regional and national Leaderboard as well as earn Lifetime Rider Medals and compete for the annual high-point breed performance awards. In addition, all Youth members automatically compete for the High Point Youth award. The Youth membership is free at the present time.

Each member needs to have their own unique email address on file with USAWE. Email addresses are used for elections and to send out our e-newsletters. Having a unique email address for each member will help ensure that everyone has the opportunity to participate fully in all our offerings.

Each member of USAWE is assigned a unique membership number. Membership numbers remain with the individual; they are not re-assigned to other people in future years.

To be eligible to vote in an election or serve on the Board of Directors, a member must have a USAWE membership valid for the year in which the ballots will be cast and reside in the United States.

2.11.2 Membership Process

The membership application is accessed through the USAWE website. People complete the current online form requesting membership in USAWE and submit payment via PayPal (youth members do not submit a payment).

The membership committee receives an email notification of every membership application submitted. Once receipt of payment has been confirmed, the membership committee assigns a membership number and adds the member's information - membership #, name, city, state/province, and region of residence, and rider division (e.g., open, amateur, youth) - to the membership roster on the USAWE website via an embedded Google Sheet sorted alphabetically by last name.



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The membership committee then creates a PDF of the Membership ID Card and emails it to the member.

If a member indicates interest in volunteering for a particular area within the organization, the membership committee adds that information to a list available to Board members and committee chairs.

2.11.3 Renewal Process

Current members will be informed, through the USAWE group email service (currently MailChimp), that it is time to sign up for the new year.

The renewal process is the same as it is for new members with the exception that renewing members indicate that they are renewing rather than new on the application and the membership committee uses their same membership number year after year.



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2.12 Rules

2.12.1 Committee Membership

The Rules Committee consists of five members: the committee chair and four members. The chair is selected by the Board of Directors (BOD). The chair will recommend additional members to the BOD for approval. The BOD has final approval on all committee members.

2.12.2 Process Timeline

The United States Rules for Working Equitation (rulebook) is revised annually, although exceptional changes may necessitate a mid-year release. Revisions to the rulebook are driven by rule change proposals submitted throughout the competition year by licensed officials, show officials, competitors, or other individuals involved in the sport. The cutoff for change proposals is August 1 of any calendar year to enable adequate consideration of the proposed modifications prior to the start of the new competition year on December 1. The revision release goal is November 1.

2.12.3 Rule Change Proposal Process

Change Proposals (CPs) are submitted online. Each is logged in when received and held until the review process begins on August 2. The log identifies the tracking number, date of receipt, individual who submitted the CP, section of the rulebook affected by the proposed change, subject of the proposed change, review date, and status/resolution.

Once the review period begins, the CP log is sorted to organize proposed changes by section or subject to enable a more effective review. Each CP is considered individually. In the case where 100 percent agreement cannot be reached, a simple majority of the committee makes the final determination.

As changes are accepted, the rulebook is updated in all applicable places. Committee members review the text for each change as it is developed.

Changes for the current revision are indicated in red type. A summary of accepted changes is included in the Preface.

The goal is to complete the revision process by October 1 to allow sufficient time to finalize the document, ensuring that changes have been incorporated in all applicable areas and all components carry the correct revision number/date. Committee members review the final document end-to-end prior to external review.



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2.12.4 Review and Approval Process

The finalized document is sent to a Rules Review team no later than 1 week prior to intended release. The review is designed to ensure that the changes are useful/usable/intelligible for judges, competitors, and organizers. The review team consists of a senior-level judge, a TD, an L4/5 or higher competitor, and a show organizer. The team will have 5 days to evaluate the changes for:

- Understandability/clarity.
- Consistency (i.e., all areas impacted by the change are addressed).
- Effective/correct use of terminology.

The team will not make a judgment on individual change proposals.

Once passed by the review team, the document will go to the Board for final approval before release. Depending on schedule, it will likely be necessary to obtain Board approval by email to meet the November 1 release date.

2.12.5 Document Release

Once final approval is achieved, the rulebook is configured for release and sent immediately to the webmaster for the website. Notification is sent to the Marketing committee for official notice of release once the rulebook is verified on the website.



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2.13 Website

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2.14 Youth Development

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