



POLICIES AND PROCEDURES

Section 1. Policies



USA WORKING EQUITATION

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SECTION 1. POLICIES

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1.1 Social Media Policy

This Social Media Policy governs the commentary via social media by Officers, Directors, Licensed Officials, Professional Instructors and Committee Members when acting as a **USA Working Equitation (USAWE)** official (or representative) or can be perceived as acting as a **USAWE** official (or representative). 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, Professional Instructor or Committee Member.

Statement of Policy

Officers, Directors, Licensed Officials, Professional Instructors and Committee Members **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 & Directors*, *Code of Conduct - Committee Members* or the *Code of Ethics - Licensed Officials* and/or *Code of Ethics - Professional Instructors*.

Officers, Directors, Licensed Officials, Professional Instructors and Committee Members **may not** represent themselves as an authority for the organization on social media.

Following the Policy

Officers, Directors, Licensed Officials, Professional Instructors and Committee Members 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, Professional Instructor or Committee Member, you must disclose your affiliation with **USAWE**.



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- 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.
- 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

- Officers, Directors, Licensed Officials, Professional Instructors and Committee Members
 - 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: Officers, Directors, Staff

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 will be conducted. The corporation may but is not required to use outside advisors to conduct the reviews.



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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

An election will be held in November of each year for Officer and Director positions according to the following schedule:

- Odd-numbered years: President-Elect, At Large Director 1, Regional Directors 1, 3, 5, 7
- Even-numbered years: President-Elect, Secretary, At Large Director 2, Regional Directors 2, 4, 6

The Treasurer position is appointed annually (not an elected position).

Individual U.S. Adult members of USAWE who have met the deadline for membership established by the Board of Directors are eligible to vote in USAWE elections.

Each U.S. Adult 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 will be declared the winner.

The Board of Directors will contract with an independent elections firm (e.g., Simply Voting) to conduct the actual election. This includes distribution of ballots, counting of votes, release of certified results, and designation of member-designated funds.

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

Any Director who is removed for lack of attendance shall be ineligible for election or appointment to any elected position in USAWE for a period of 1 (one) year from the date of final removal.

A position that is temporarily filled as a result of a Board vacancy before the term is ended will be placed on the next election ballot.



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1.5 Rider Division Policy

1.5.1 Division Classifications

In USAWE-licensed competitions, a rider must compete in the classification designated on their USAWE membership application, i.e.,

- **Youth:** Riders between the ages of 7 and 17 as of January 1
- **Amateur:** Non-professional riders (section 1.5.2)
- **Open:** Open to all riders (section 1.5.3). Professional riders may only compete in the **Open** division.

A **Youth** division rider may elect to compete in the **Amateur** or **Open** division but must designate either **Amateur** or **Open** division when they reach their 18th birthday prior to January 1 of the next membership year.

An **Amateur** division rider may elect to compete in the **Open** division but must reclassify to the **Open** division if he/she engages at any time during the year in professional activities as defined in section 3. The rider must immediately notify the Membership committee of the change in status.

A professional rider in the **Open** division rider may reclassify as an **Amateur** if he/she has not engaged in professional activities as defined in section 3 for one full year prior to the current competition year. The rider must indicate the change in division on their next USAWE membership application accompanied by a signed document that testifies that the individual has not engaged in any professional activities during that period.

If a rider elects to change division, the following conditions apply:

- a. The change must be made at the start of the next membership/competition year.
- b. The change must stay in place for the duration of the competition year.
- c. Riders are eligible for year-end awards only in their chosen division. *Exception:* Youth riders remain eligible for Youth scholarships and grants.



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1.5.2 Amateur Division

Regardless of one's equestrian skills and/or accomplishments, a person is an amateur if after their 18th birthday, they are not engaged in any of the activities identified in paragraph 3. Remuneration is defined as compensation or payment in any form such as cash, goods, sponsorships, discounts or services; reimbursement of any expenses; or 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.

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 from WE competitions.
- 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).



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1.5.3 Professional Division

A person is considered a professional if after their 18th birthday he/she 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 equestrian lessons, trains horses, or provides consultation services in riding, driving, showmanship, or equitation.
- c. 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.
- d. 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 that 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.
- e. Accepts remuneration AND acts as an agent in the sale of a horse or accepts a horse on consignment for the purpose of sale or training that is not owned by them, their family, or a family business.
- f. Advertises one's equestrian services such as training or instruction.
- g. 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.
- h. Accepts remuneration for the use of commercially logoed items while on competition grounds as a sponsored rider.



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1.6 Communications Policy

1.6.1 Board Agendas, Meetings, and Minutes

- a. **Agendas.** Agenda topics and board proposals must be submitted a minimum of 14 days prior to each board meeting using the online **Board Agenda Item Request Form** link located on the usawe.org website > Corporate > Records page.

Board agenda items, proposals, and discussion content must be proofread and easily copy/pasted into Board Business or sent as a PDF to be posted to the G-Drive as separate document(s).

Urgent items will be considered and may require a special meeting or email discussion/vote.

Agendas are posted to usawe.org > Corporate > Records > Meeting Minutes > Executive Session Minutes a minimum of 48 hours in advance of the meeting in accordance with the Bylaws of USA Working Equitation.

A meeting notice is posted to usawe.org > WE Events > Calendar in accordance with the Bylaws of USA Working Equitation.

- b. **Meetings.** Executive Committee meetings may be held to conduct organizational business in between regular board meetings. Executive Sessions may only be attended by members of the Board of Directors and guests the Board invites to join the meeting (per the Bylaws).

Board of Director meetings are held per a schedule set by the President. Committee Working Sessions are held per a schedule set by the President-Elect.

Meeting attendees are expected to:

- (1) Notify the President, President-Elect and/or Secretary if unable to attend a meeting. Board of Director meeting attendance is logged in accordance with USAWE Bylaws. Any Director who is absent from three or more regular meetings within a calendar year shall be subject to removal. The Secretary maintains an attendance log and a website view copy is posted to the usawe.org > Corporate > Records page.
- (2) Be prepared for discussion. Board of Directors (BOD) are asked to review meeting agenda and BOD Business items posted to the Corporate G-Drive > Board of Directors (BOD) folder prior to each meeting and be ready for each discussion topic.
- (3) Arrive on time. Sign into Zoom a minimum of 10 minutes prior to the meeting start time to ensure you are able to login.



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- (4) Never leave a meeting unannounced. Voting requires a quorum. Publicly announce and place in Chat if you have to leave the meeting early so departure time can be documented in the minutes.

- c. **Minutes.** A draft copy of the meeting minutes is sent to the board of directors within one week following the meeting. After three calendar days have passed without requests for additions, corrections or modifications, meeting minutes are considered approved.

A final copy of the meeting minutes is sent to the Board of Directors and Committee Chairs, filed on the corporate G-Drive, and posted to the appropriate page on the usawe.org website>Corporate>Records>Meeting Minutes.

1.6.2 eBlast Messages

eBlast messages include targeted emails, announcements, campaigns, surveys, and other types of mass communication. The Executive Committee, Regional Director, or Committee Chair will work with the Marketing and Promotions Committee (marketing@usawe.org) to:

- Coordinate distribution date(s).
- Determine audience (see paragraph d. below).
- Ensure branding guidelines are followed.

For newsletter submissions, the USAWE News Coordinator (news@usawe.org) must also be notified.

The requester must provide the following information prior to eBlast distribution:

- a. Content-ready proof (spell check and links validated).
- b. Jpeg(s) - maximum two.
- c. Distribution date. If an event, notify the Secretary to add the event to the calendar (USAWE.org > WE Events > Calendar).
- d. Specific audience, e.g.,
 - (1) USAWE audience: Everyone (current and past members, plus anyone who requested USAWE e-mailings).
 - (2) Specific member audience:
 - Current year USAWE members - new and renewing
 - Non-renewals
 - Election nominees
 - Election voters (Adult members)
 - Competitors
 - Show organizers



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- (3) Corporate:
 - Board of Directors (13)
 - Regional Directors (7)
 - Committee chairs
 - Committee members (specify)
- (4) Licensed Officials
 - Licensed Technical Delegates
 - Licensed Judges
 - Pending licensed officials
- (5) Other (define audience)

If eBlast uses a Survey, contact secretary@usawe.org or webadmin@usawe.org to ensure it is created with **USA Working Equitation** as the document owner, the spreadsheet captures emails, and responses are forwarded to the committee or individual monitoring responses.

Prior to eBlast distribution, the Marketing and Promotion Chair will:

- a. Email [TEST] to the requester and Secretary to approve.
- b. Contact Secretary to coordinate a CSV file audience upload to MailChimp.
- c.

1.6.3 Newsletter Articles

The goal of the newsletter is to give our membership interesting, relevant, and up-to-date information to keep members informed of corporate and committee news. Requirements for submission include:

- a. Articles should be no more than **500 words**.
- b. Complete submissions must be received by the **15th** of every month.
- c. Articles must be in Word doc, pdf, or typed within the email. A png, jpg, gif, or screenshot of the document will not be accepted.
- d. Submissions must be copy ready (spell checked, proper grammar, etc.) and all links validated.
- e. Related images (up to two) are highly encouraged to be submitted with the article. The accepted file types for images are jpg, png, or gif. Images must fall into one of these categories: (1) the author's work; (2) freely licensed; (3) public domain; or (4) fair use. Images must be attached to the email with the article submission. Include a short caption/description of each image
- f. Articles are submitted to news@usawe.org.



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1.6.4 Social Media Notices

The Marketing and Promotion Chair will select, manage, and oversee USAWE's social media platforms (e.g., Facebook, Instagram, Pinterest, TikTok, YouTube, X, etc.).

The Marketing and Promotion Chair will work with the various committees regarding the content and timing of social media posts. Communication regarding committee-based social media posts should be sent to marketing@usawe.org.

The Marketing and Promotion Chair will define the organization's social media strategy, determine use of hashtags (#) to increase visibility, and identify tools for tracking and measuring social media engagement that builds USAWE's presence.

The Marketing and Promotion Chair will assign admins and editors within the designated social media platforms who will monitor social media posts and report any negative comments to the Marketing and Promotion Chair. The Chair follow up and engage committee subject-matter experts, Board of Directors, and/or Ethics as appropriate.

1.6.5 Virtual Meetings

Executive Committee members, Regional Directors, and committee chairs are welcome to host a Zoom meeting or webinar. The *USAWE Zoom and Webinar License Usage* guide or assigned zoom account has information on how to set up a Zoom meeting and/or webinar.

Any webinar or communication intended for the entire membership must have prior approval from the Board.

Virtual meetings or webinars can be scheduled no more than one year in advance. If a Zoom meeting (or webinar) is canceled, it must be removed from the schedule to open up that time slot for other events.

Recorded meetings are retained on the corporate G-Drive and not within Zoom.

1.6.6 Website Updates and Editors

The Website Chair works with the Marketing and Promotion Chair to oversee the overall content, look, feel, functionality, and maintenance of the website, and ensure branding guidelines are met.

The Website Committee and/or Chair will work with the various committees regarding the content and layout of their representation and areas of oversight on the website.

The Website Committee is responsible for updates to the website.



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The Website Committee Chair will oversee the training of committee members from all committees with a designated website editor.

All Committee-designated website editors are responsible for editing only the areas of the website where they have assigned editing duties, and for communicating all edits with the Website Chair and Website Committee.

All edits made by designated website editors are subject to review and change by the Website Committee or Website Chair.

Communication regarding website editing and requests for committee-based website edits should be sent to WebAdmin@usawe.org.

1.6.7 Membership Correspondence

Emails issued by a USAWE Board member or Committee representative must be sent from a USAWE-issued email account.

Mass emails and e-notifications with multiple recipients must blind-copy members and never list individual member email addresses within it.

Unauthorized or misuse of membership information is subject to legal action and USAWE sanctions (e.g., fines and membership suspension, revocation, etc.).



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1.8 Code of Conduct, Officers and Directors

Duly elected and appointed Officers and Directors of **USA Working Equitation (USAWE)** shall agree to and abide by this Code of Conduct in promoting and advancing the sport of working equitation in the United States.

Officers and Directors shall commit to upholding and promoting the highest level of ethical conduct in the performance and administration of their duties on behalf of **USAWE**.

Officers and Directors recognize that even the appearance of misconduct or impropriety can be very damaging to the reputation and integrity of **USAWE** and will act accordingly.

Accountability

- Officers and Directors shall abide by the Articles of Incorporation, Bylaws, and the Policies and Procedures manual of **USAWE**.
- Officers and Directors shall conduct all **USAWE** business in good faith, with honesty, integrity, due diligence, and competence in governing and managing **USAWE's** affairs.
- Officers and Directors shall exercise good faith in their dealings with **USAWE** members, show managers, vendors, and the general public and will interact with these individuals in a responsible, respectful, and professional manner, free from discrimination, self-dealing, or harassment of any type.
- Officers and Directors shall uphold the strict confidentiality of all closed meetings and other confidential deliberations and communications.
- Officers and Directors shall hold themselves and each other accountable for the administration of financial responsibilities to **USAWE**.

Conflict of Interest

- Conflict of Interest is defined as an existing or potential incompatibility between an Officer's or Director's private interests and his/her duties toward **USAWE**.
- Officers and Directors will avoid conflicts of interest, both real and perceived, whenever possible, and disclose conflicts of interest whenever they exist and cannot be avoided. They will excuse themselves from voting on any matter where a conflict of interest exists.
- Officers and Directors shall exercise the powers vested in their position for the benefit of the organization and its members, rather than for personal benefit.
- Officers and Directors will never use **USAWE** assets or information for personal gain, financial or otherwise.
- Appointments to committees shall be made without bias or intent to influence the business of the committees.

Social Media Policy

Officers and Directors shall abide by the Social Media Policy.



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1.9 Code of Conduct, Committee Members

Duly appointed Committee Members of **USA Working Equitation (USAWE)** shall agree to and abide by this Code of Conduct in promoting and advancing the sport of working equitation in the United States.

Committee Members shall commit to upholding and promoting the highest level of ethical conduct in the performance and administration of their duties on behalf of **USAWE**.

Committee Members recognize that even the appearance of misconduct or impropriety can be very damaging to the reputation and integrity of **USAWE** and will act accordingly.

Accountability

- Committee Members shall abide by the Articles of Incorporation, Bylaws, and the Policies and Procedures manual of **USAWE**.
- Committee Members shall conduct all **USAWE** business in good faith, with honesty, integrity, due diligence, and competence in governing and managing **USAWE's** affairs.
- Committee Members shall exercise good faith in their dealings with **USAWE** members, show managers, vendors, and the general public and will interact with these individuals in a responsible, respectful, and professional manner, free from discrimination, self-dealing, or harassment of any type.
- Committee Members shall uphold the strict confidentiality of all closed meetings and other confidential deliberations and communications.
- Committee Members shall hold themselves and each other accountable for the administration of financial responsibilities to **USAWE**.

Conflict of Interest

- Conflict of Interest is defined as an existing or potential incompatibility between an Officer's or Director's private interests and his/her duties toward **USAWE**.
- Committee Members will avoid conflicts of interest, both real and perceived, whenever possible, and disclose conflicts of interest whenever they exist and cannot be avoided. They will excuse themselves from voting on any matter where a conflict of interest exists.
- Committee Members shall exercise the powers vested in their position for the benefit of the organization and its members, rather than for personal benefit.
- Committee Members will never use **USAWE** assets or information for personal gain, financial or otherwise.
- Appointments to committees shall be made without bias or intent to influence the business of the committees.

Social Media Policy

Committee Members shall abide by the Social Media Policy.



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1.10 Code of Conduct, Licensed Officials

As a Licensed Official for USA Working Equitation (USAWE), I agree to abide by this Code of Conduct in the administration of my duties on behalf of USAWE. I recognize that even the appearance of misconduct or impropriety can be very damaging to the reputation and integrity of USAWE and the sport of Working Equitation and will act accordingly.

I agree to:

- Represent USAWE with honesty, integrity, and competence in performing my duties.
- Uphold the *U.S. Rules for Working Equitation* and the *USAWE Competition Manual*.
- Interact with show managers, show staff, competitors, and the general public in a responsible, respectful, and professional manner. Be courteous and patient, even when having to make an unpopular decision. Maintain a positive, welcoming, helpful attitude.
- Explain the rules and policies of Working Equitation whenever possible to enhance understanding, recognizing that many competitors are new to the sport and may be new to competition. I understand that education is an important component of the USAWE mission.
- Be discreet. I understand and accept that any and all discussions regarding rules, procedures, marks, or anything pertaining to how the competition is run should be discussed solely with other officials in private conversations.
- Dress professionally. No shorts, sleeveless shirts, or tank tops.
- Perform my role as an ambassador for the sport of Working Equitation as well as for USAWE, whether officiating, attending for continuing education, or as a spectator.

I understand that failure to comply with the Licensed Official's Code of Conduct is grounds for disciplinary review and potential disciplinary action by the Licensed Official Committee.



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1.11 Code of Ethics, Licensed Officials

In providing a service to the working equitation community, I recognize the need to do so in a professional manner, interacting with the public and colleagues with the highest degree of integrity. By accepting licensing, I understand that the equine industry and clients expect the highest standard of conduct from those who hold this recognition. I agree to continually uphold my character and reputation.

I will adhere to the following creed:

- a. I will execute my duties without bias or prejudice.
- b. I will ensure that every horse present at an event where I am officiating will at all times be treated humanely, maintaining the welfare of the horse as paramount.
- c. I will adhere to all relevant policies/procedures of **USA Working Equitation (USAWE)** while upholding the U.S. Rules for Working Equitation.
- d. I will conduct business in a manner that will enhance the image of **USAWE** and the sport of working equitation.
- e. I will avoid conflicts of interest, either real or perceived, whenever possible, and disclose conflicts of interest whenever they exist and cannot be avoided.
- f. I will uphold the highest standard of professional behavior, recognizing that even the appearance of misconduct or impropriety can be very damaging to the reputation of **USAWE** as well as to my own reputation.

I understand and agree that USAWE has the right to investigate complaint(s) regarding a licensed official's alleged conduct. I will participate in the due process proceedings of the Ethics Committee. I have a right to review all information, documents, photographs, or other evidence used to evaluate my performance in my official duty. I will abide by the decision of the Ethics Committee or Appeals Committee once all avenues of due process have been exhausted.

I recognize that the licensing body has no binding relationship in the business relationship between a licensed official and show management.

I understand that in order to maintain licensure I must maintain membership with **USAWE** and provide proof of continuing education as outlined in the Licensed Officials Program.

I agree to abide by the Social Media Policy.

I agree to uphold this Code of Ethics and the Licensed Officials Program policies. I understand that failure to do so could result in suspension and/or loss of USAWE licensure.



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1.12 Code of Ethics, Professional Development

1.12.1 Professional Instructor

In providing a service to the working equitation community, I recognize the need to do so in a professional manner, interacting with the public and colleagues with the highest degree of integrity. I will adhere to the following creed:

- a. I will execute my duties without bias or prejudice.
- b. I will ensure that every horse present at an event where I am instructing will, at all times, be treated humanely, maintaining the welfare of the horse as paramount.
- c. I will adhere to all relevant policies/procedures of **USA Working Equitation (USAWE)** while upholding the U.S. Rules for Working Equitation.
- d. I will conduct business in a manner that will enhance the image of **USAWE** and the sport of working equitation.
- e. I will avoid conflicts of interest, either real or perceived, whenever possible, and disclose conflicts of interest wherever they exist and cannot be avoided.
- f. I will uphold the highest standard of professional behavior, recognizing that even the appearance of misconduct or impropriety can be very damaging to the reputation of **USAWE** as well as to my own reputation.
- g. I understand the only title I may use is: "USAWE Professional Instructor."

I understand and agree that USAWE has the right to investigate complaint(s) regarding alleged conduct. I will participate in the due process proceedings of the Ethics Committee. I have a right to review all information, documents, photographs, or other evidence used to evaluate my performance in my official duty. I will abide by the decision of the Ethics Committee once all avenues of due process have been exhausted.

I understand that in order to maintain recognition as a **USAWE Professional Instructor**, I must maintain membership with **USAWE** and annually provide proof of membership, insurance, and continuing education as outlined in the **Professional Development Program**.

I will abide by the Social Media Policy.

I agree to be bound by this **Code of Ethics** and the **Professional Development Program**. I understand that failure to do so could result in suspension and/or loss of recognition.



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1.13 Community Code

USA Working Equitation (USAWE) is dedicated to good horsemanship and committed to fostering camaraderie and good sportsmanship in all our events. To that end, we ask all of our members to:

- Make decisions, in training and competition, with the welfare of your horse foremost in your mind.
- Support others; encourage those new to the sport and actively seek ways to help them learn.
- Be considerate of those contributing their time to put on events. Be courteous to officials, organizers, staff, and volunteers.
- Be honest in your dealings with others and demonstrate personal integrity in your words and deeds.
- Volunteer whenever you are able. By donating your time at local events or in service to the national organization, you are helping to grow this sport.



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1.15 Cancellation-Refund Policy

1.15.1 Purpose

Unexpected cancellations and refund requests cause financial hardship and risk to event sponsors. This policy is intended to reduce risk for events sponsored by USAWE and to reduce risk to members hosting USAWE-recognized events.

1.15.2 USAWE Membership

The USAWE membership application form will include the following statement:

USAWE membership is non-refundable.

1.15.3 Events Organized and Paid for by USAWE

Events that are organized and paid for by USAWE or USAWE committee will include the following statement in registration materials:

Cancellation and Refund Policy

Cancellation: If the entire event is canceled, a full refund minus the [ENTER AMOUNT] office fee will be issued within 14 days of cancellation.

Refund: If a registered participant withdraws from a USAWE-sponsored event, they must notify the event sponsor in writing before the start of the event. If the withdrawal is prior to [ENTER ACTUAL CLOSING DATE}, a full refund minus the office fee will be sent within 14 days.

Entries are non-refundable after [ENTER SAME DATE]. Event management, however, may be able to provide a refund minus the office fee on a case-by-case basis under one of the following conditions:

- a. Withdrawal of a rider or horse is due to an injury, illness, or death. The withdrawal is accompanied by a veterinarian's or doctor's certificate.
- b. If there is a wait list and the event manager is able to replace your entry.



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1.15.4 USAWE Licensed Competitions

The USAWE Competition Manual will include the following language:

We strongly recommend that you have a clear cancellation and refund policy. The following language can be considered or adapted to meet your event needs.

Cancellation and Refund Policy

Cancellation: If the entire event is canceled, a full refund minus the [ENTER AMOUNT] office fee will be issued within 14 days of cancellation.

Refund: If a competitor withdraws prior to the closing date, they must notify the show manager in writing. A full refund minus the office fee will be sent within 14 days of notification.

Entries are non-refundable after the closing date. Show management, however, may be able to provide a refund minus the office fee on a case-by-case basis under one of the following conditions:

- a. Withdrawal of a rider or horse is due to an injury, illness, or death. The withdrawal must be accompanied by a veterinarian's or doctor's certificate.
- b. There is a wait list and the show manager is able to replace your entry.



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Attachment 1.18-A. Yellow Card



USA WORKING EQUITATION

YELLOW CARD



This Yellow Card is issued for incorrect behavior at a USAWE-licensed competition.

Date		Reporting Official	
Event Name			
License No.		Location	

Competitor:		USAWE Member No.	
Horse's Name		Horse's Recorded No.	

Issued to: Competitor Member of Competitor's Entourage

Offense: *Check all that apply:*

- | | | |
|--|--|--------------------------------|
| <input type="checkbox"/> Neglecting Horse Welfare | <input type="checkbox"/> Unsportsmanlike Conduct | <input type="checkbox"/> Other |
| <input type="checkbox"/> Violating Safety Rules | <input type="checkbox"/> Inhumane Training Methods | |
| <input type="checkbox"/> Ignoring Show Officials | <input type="checkbox"/> Public Intoxication or Drug Use | |
| <input type="checkbox"/> Disruptive Spectator Behavior | <input type="checkbox"/> Bullying or Harassment | |

Detail of offense(s): *(use additional sheets if necessary)*

Signature of Official _____

Signature of Competitor _____

If unable to obtain the competitor's signature, a copy will be sent to the competitor's registered address via certified mail.

The competitor is entitled to appeal the issuance of this Yellow Card. The appeal must be in writing, signed, accompanied by a fee of \$150 made payable to USAWE, and mailed to 5006 Forsythe Place, Boulder, CO 80303 within 7 calendar days of the conclusion of the competition.

4-10-24



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1.16 Website

1.16.1 Privacy Policy Statement

USA Working Equitation (USAWE) is committed to protecting your privacy. We take reasonable actions to protect your stored information. We do not sell or give your personal information to third parties outside of our organization. We use the information you submit to us when initiating or renewing your membership strictly for purposes of our relationship with you. Your contact information, such as name, address, telephone number and email, may be provided to members of the Board of Directors and committees within USAWE for the purpose of sending newsletters; mass communications; providing information regarding competition or disciplinary procedures; notifying you of events and special projects; and tabulating and providing various awards. Results of horse shows, program participation standings, achievement award winners and other association program results may be displayed on this website. Your name and address may be made available to third parties affiliated with USAWE for the purpose of distributing equine-related literature. Other information provided as part of your membership application or renewal is used to help us determine our membership demographics. By becoming a member of USAWE you consent to the collection and use of this information by USAWE according to this privacy policy.

Youth: If you are under 18, you may transact business with USAWE only with the involvement of a parent or guardian.

Note:

- (1) A separate privacy policy applies to the “Shop” portion of the USAWE website, which is conducted through a third-party vendor.
- (2) Although the www.usawe.org website contains links to other websites, USAWE does not accept responsibility for the privacy policies or practices of the information contained on those sites.

1.16.2 Copyright

USAWE maintains the www.usawe.org website. Unless otherwise noted, the content published on the website is the property of USAWE and may only be used for non-commercial purposes. Users must respect and follow all the relevant copyright warnings. Users may not copy or distribute the content of the website without the written permission of USAWE.



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1.17 Event Liability Policy

USAWE-sponsored events (excluding licensed competitions) must have the following liability release signed by participants.

USAWE Release, Assumption of Risk, and Indemnification Agreement

In consideration of my participation in this Event, I AGREE to the following:

I agree to be bound by the USAWE Bylaws, rules, and policies, as well as any specific rules for this Event. I agree to release and hold harmless USAWE, their directors, officers, officials, instructors, and volunteers for any action taken under the rules.

I hereby acknowledge that I choose to participate voluntarily in this Event. I am fully aware and acknowledge that horse sports involve dangerous risks of accident, loss, and serious bodily injury including broken bones, head injuries, trauma, pain, suffering, or death (“Harm”), and I specifically waive any and all rights or claims to liability for such Harm associated with or a result of participation in this Event.

I hereby release and indemnify USAWE and agree to hold it harmless for any and all claims for money damages or otherwise for any Harm to me or my horse (if applicable), and for any Harm caused by me or my horse to others, even if the Harm resulted, directly or indirectly, from the negligence of USAWE, including all of the officials, officers, directors, instructors, volunteers, and affiliated organizations.

I hereby expressly assume all risks of Harm to me or my horse, including without limitation Harm resulting from the negligence of USAWE.

I hereby agree that if I am injured at this Event, the medical personnel treating my injuries may provide information on my injury and treatment to USAWE; this agreement hereby serves as a Release of Information thereto.

I hereby grant to USAWE all rights to use or assign photographs, videos, or other likenesses of me taken during the course of the Event for promotion or education purposes. I hereby expressly and irrevocably waive and release any rights in connection with such use, including any claim to compensation, copyright, invasion of privacy, right of publicity, or misappropriation.

If the undersigned is a parent or guardian of a child under the age of 18, the undersigned consents to the child’s participation and agrees to assume all of the obligations of this agreement on the child’s behalf. I warrant that I have the legal capacity to assume all the obligations of this agreement on the child’s behalf and will assume all liability therefore.

I acknowledge that this document waives all legal rights. I have read it carefully before signing. By signing below, I AGREE to be bound by all applicable terms and provisions of this agreement.

Signature _____

Date _____

Print Name _____ **Child’s Name (if applicable)** _____



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1.18 Yellow Card

1.18.1 Overview

A Yellow Card is a warning issued to a competitor for Incorrect Behavior at a USAWE-licensed competition by the competitor and/or by a member of the competitor's entourage. For the purpose of this policy, the term "entourage" is defined to mean the competitor's parent, spouse or partner, family member, coach, trainer, groom, crew, or other person directly connected with the competitor and includes the owner(s) of the competitor's horse.

The Yellow Card may be issued by a Judge, Technical Delegate, or Show Manager.

The Yellow Card may be delivered either by hand or by any other suitable means, including by posting on the door of the stall where the competitor's horse is kept. If the competitor has left the showgrounds or for another reason cannot be notified during the competition after reasonable efforts, the Yellow Card may be delivered by certified mail within 14 days of the event.

1.18.2 Incorrect Behavior Defined

Incorrect Behavior at a horse show refers to actions or conduct that go against the accepted norms, rules, or etiquette of the event. It can include anything that disrupts the event; disrespects Licensed Officials, show management, staff, volunteers, or other participants; compromises the welfare of the horses; or creates an unsafe environment. Examples of such behavior include:

Bullying or Harassment: Any form of bullying, harassment, or intimidation directed toward Licensed Officials, show management, staff, volunteers, or fellow participants, whether riders, trainers, or support staff, is inappropriate and unacceptable.

Neglecting Horse Welfare: Failure to provide proper care for horses, including inadequate feeding and/or watering. This is not only considered abuse but can also result in health issues and compromised performance.

Unsportsmanlike Conduct: Engaging in unsportsmanlike conduct, such as cheating, sabotaging competitors, or attempting to manipulate results, in a manner that undermines the integrity of the competition.

Violating Safety Rules: Ignoring safety protocols, such as lunging or riding recklessly in a warm-up arena, refusing to leave a warm-up area when directed by show staff or Licensed Official, or failing to reasonably control horses in the area outside of the competition arena or stabling area, that can put riders, horses, and others at risk.

Inhumane Training Methods: Using abusive or inhumane training techniques that cause physical or emotional harm to the horse in a manner that is generally accepted as unethical and inappropriate.



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Ignoring Show Officials: Unreasonably disregarding the instructions or decisions of show officials in a manner that can disrupt the smooth running of the event.

Public Intoxication or Drug Use: Intoxication or drug use, legal or illegal, that endangers or disrupts the participant, horses, or fellow participants in the events. Any drug or alcohol use, legal or illegal, that violates the requirements and rules of the facility where the event is being held.

Disruptive Spectator Behavior: Shouting, using offensive language, or engaging in aggressive or intimidating behavior towards show management, participants, officials, or other spectators that creates a negative atmosphere at the horse show.

1.18.3 Penalties

There is no imposition of penalty for the first Yellow Card.

If the competitor receives one or more card(s) at the same or any other USAWE licensed competition within one (1) year of the delivery of the first Yellow Card, the competitor will be automatically suspended from membership in USAWE, including the right to enter USAWE-licensed events, for a period of four (4) months following official notification.

Upon receipt of a third Yellow Card within a 2-year period, the competitor will be referred to the Ethics Committee, which may result in a permanent ban from USAWE membership and competitions.

The Yellow Card form is included as attachment 1.18-A.