



## **POLICIES AND PROCEDURES**

### **Section 3. Officer and Director Duties and Responsibilities**



# USA WORKING EQUITATION

## Policies and Procedures



### SECTION 3. OFFICER & DIRECTOR DUTIES AND RESPONSIBILITIES

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- 3.1 General.** All Officers and Directors are responsible for:
- a. Checking their official USAWE email and all other official communications modalities at least once per day.
  - b. Responding to Decisions by Mail or Email requests within 3 days of receipt.
  - c. Responding to electronic requests for Board of Directors decisions within 3 days of posting.
  - d. Approving minutes of the BOD meetings or notifying the Secretary regarding necessary changes within 3 days of receipt.
  - e. Notifying President and cc'ing Secretary if unable to attend a scheduled Board of Directors meeting.
  - f. Serving on one or more committees as the appointed Board of Directors representative.



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### 3.2 President

- a. Ensures the mission of the organization is executed.
- b. Participates in all Regular Full Board and Executive Committee meetings to review and approve/reject projects, policies, and business matters.
- c. Sets the agenda and presides over all meetings of the Full Board and Executive Committee.
- d. Can participate in all committee meetings and all Committee Working Session meetings.
- e. Serves as leader of the Executive Committee to manage the organization's day-to-day business between Board meetings.
- f. Has the authority to sign contracts and represent/speak on behalf of the organization.
- g. Serves on the Appeals Committee for appeals of an Ethics Committee determination.
- h. Serves on the International Committee.
- i. Delegates tasks to committees and/or task forces.
- j. Reviews day-to-day business with the President Elect, Secretary, Treasurer, and Clerical Assistant (if appointed or hired).
- k. Prepares annual budget with Treasurer, President Elect, and Secretary; reviews/finalizes budget with Executive Committee, Board of Directors, and committee chairs.
- l. Organizes strategic planning sessions with the Executive Committee, Regional Directors, and committee chairs.
- m. Conducts Board and committee chair exit interviews (or delegates to an HR professional if requested). (*procedure TBD*)
- n. Acknowledges receipt of reported or suspected violations within five business days; maintains confidentiality and ensures reports are properly investigated.
- o. Serves as the USA Working Equitation point of contact for the World Association of Working Equitation (WAWWE).
- p. Organizes or delegates the organization of the Annual Meeting.
- q. Sets the Full Board Regular Meeting schedule for the year.
- r. Serves a 1-year term.



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### 3.3 President Elect

- a. Participates in all Regular Full Board and Executive Committee meetings to review and approve/reject projects, policies, and business matters.
- b. Sets the agenda and presides over a Board meeting if the President is unable to do so.
- c. Serves on the Executive Committee to manage the organization's day-to-day business between Board meetings.
- d. Can participate in all committee meetings.
- e. Sets the agenda and presides over the Committee Chairs Working Session meetings.
- f. Has the authority to sign contracts and represent/speak on behalf of the organization if acting as President.
- g. Serves on the Appeals Committee for appeals of an Ethics Committee determination.
- h. Serves on the Competitions Appeals Committee to review competition Protest Committee decisions.
- i. Prepares annual budget with President, Secretary, and Treasurer. Reviews/finalizes the budget with Executive Committee, Board of Directors, and committee chairs.
- j. Participates in strategic planning sessions with the Executive Committee, Regional Directors, and committee chairs.
- k. Acknowledges receipt of reported or suspected violations within five business days; maintains confidentiality and ensures reports are properly investigated.
- l. Serves a 1-year term before moving into the President position.



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### 3.4 Secretary

- a. Participates in Board of Director, Executive Session, and Annual Member meetings.
- b. For Board of Director meetings, Executive Sessions, Board of Director decisions by mail or email, Annual Members meetings, and Committee Working Sessions, as applicable:
  - (1) Takes roll call.
  - (2) Keeps records of the minutes.
  - (3) Maintains copies of the minutes on the website and corporate G-Drive.
  - (4) Records all Board votes in a permanent history that allows easy retrieval.
  - (5) Tracks Board of Director meeting attendance.
  - (6) Files all proxies, ballots, and waivers.
- c. Manages the main corporate email ([usaworkingequitation@gmail.com](mailto:usaworkingequitation@gmail.com)) and the Secretary's corporate email account ([secretary@usawe.org](mailto:secretary@usawe.org)).
- d. Sends notices required by the Bylaws, Policies and Procedures, or by law.
- e. Creates and files state and federal reports as required.
- f. Serves on the Executive Committee to manage the organization's day-to-day business between Board meetings.
- g. Ensures corporate records are up-to-date and the latest copy is on the website and corporate G-Drive.
- h. Ensures Board of Director Acknowledgement of Annual Statements are completed and filed on Ethics Committee G-Drive.
- i. Maintains an accurate mailing address list of members and archives previous membership lists.
- j. Acknowledges and notifies the Board of receipt of Director and committee resignations and Affiliate Organization disaffiliate notices.
- k. Updates the website calendar of events for Regular Board, Executive Session, and Annual Member meetings. Ensures the website Events Calendar lists all Board of Director meetings, Executive Session, and Annual Member meetings.
- l. Oversees the mailing lists and target audience(s) for eBlast and eNews newsletter distribution.
- m. Maintains a list of Secretary's tasks performed at the corporate level.
- n. Acknowledges receipt of reported or suspected violations within five business days; maintains confidentiality and ensures reported concerns, violations, and issues are properly investigated.
- o. Ensures Secretary email and documents are retained or destroyed according to the Bylaws document retention policy.
- p. Serves on the Appeals Committee for appeals of an Ethics Committee determination.



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- q. Prepares annual budget with Treasurer, President Elect, and President and reviews/finalizes with Executive Committee, Board of Directors, and committee chairs.
- r. Participates in strategic planning with the Executive Committee, Regional Directors, and committee chairs.
- s. Serves a 2-year term.

The Secretary may delegate any or all of these activities to others but remains responsible for their completion, accuracy, and legal compliance.



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### 3.5 Treasurer

- a. Manages the organization's funds:
  - (1) Reviews/codes/enters transactions into QuickBooks or oversees this work if contracted to an outside bookkeeper.
  - (2) Manually enter transactions not automatically downloaded into QuickBooks or oversee this work if contracted to an outside bookkeeper.
  - (3) Works with the Board of Directors, Treasurer Assistant, Secretary, Clerical Assistant, and committee chairs to ensure invoicing is categorized appropriately for QuickBooks accounting.
  - (4) Works with and provides guidance to committees/groups on establishing procedures for the management of any new financial transactions.
  - (5) Works with committees within USAWE (e.g., Affiliate Organizations, Awards, Elections, Membership, Horse Recording, International, Licensed Officials, Professional Development, etc.) to ensure accurate and timely receipt and documentation of income, expenditures, and reimbursements.
  - (6) Oversees distribution of Member Designated Funds (MDF) according to the ballots each year.
  - (7) Provides guidance on appropriate account balances and use of funds (restricted donations, grants, scholarships, etc.).
- b. Maintains accurate financial records:
  - (1) Reconciles all financial accounts monthly or oversees this work if contracted out to an outside bookkeeper.
  - (2) Reviews all revenues and expenses to ensure proper coding by General Ledger (GL) Account and Class in QuickBooks.
  - (3) Prepares reconciliation and financial reports to be uploaded to the USAWE Google Drive before Board meetings. This includes a monthly summary of the activity in a one-page (approximately) document.
  - (4) Provides specific reports as necessary for the Financial Oversight Committee (FOC) or other committees.
  - (5) Prepares budget entries and reviews to submit to the board at requested time intervals.
- c. Provides financial reports at Board meetings and the annual General Members meetings:
  - (1) Profit & Loss Statement Comparison (shows Monthly Activity and YTD Activity in total).
  - (2) Profit and Loss Statement by Class (refines the information into groupings such as Membership, Admin, Clinics etc.).
  - (3) Balance Sheet and/or Balance Sheet with change from the prior period.





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- d. Provides information for filing required state and federal reports.
  - (1) Prepares the year end information to submit to the CPA for filing the Annual IRS 990 form. Work with CPA to ensure compliance with new regulations.
  - (2) Prepares and files the yearly 1099 reports to the IRS.
- e. Serves on the Executive Committee to manage the organization's day-to-day business between Board meetings.
- f. Serves on the Appeals Committee for appeals of an Ethics Committee determination.
- g. Takes the lead in preparing an annual budget with the President, President Elect, Secretary, and committee chairs. Reviews/finalizes the annual budget with the Board of Directors and committee chairs.
- h. Participates in all Board and Executive Session meetings.
- i. Participates in Committee Working Session meetings and provides guidance on setting up general ledger accounts, payment methods, and use of funds.
- j. Participates in Strategic Planning sessions with the Executive Committee, Regional Directors, and committee chairs.
- k. The Treasurer is appointed by the Board of Directors, with an annual review each November. Annual appointment term is December 1<sup>st</sup> through November 30<sup>th</sup>.



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### 3.6 At Large Directors

- a. Participate in all Regular Full Board meetings and Executive Committee meetings to review and approve/reject projects, policies, and business matters.
- b. Encouraged to participate in Committee Working Session meetings.
- c. Represent the general membership (including international members) at Board meetings, keeping the best interests of the entire organization foremost in the consideration and decisions.
- d. Serve on the Executive Committee to manage the organization's day-to-day business between Board meetings.
- e. Prepare the annual budget with the President, Secretary, and Treasurer.  
Review/finalize the budget with the Board of Directors and committee chairs.
- f. Participate in Strategic Planning sessions with the Executive Committee, Regional Directors, and committee chairs.
- g. Set-up and meet with the Regional Directors at least quarterly to get a pulse on what's happening in each region, share member engagement ideas, discuss championships, and look for ways to network.
- h. Act as USAWE liaisons to promote working equitation through equestrian group demonstrations, horse fairs, tack sale displays, etc.
- i. Recruit and nominate volunteers to fill Board and committee positions.
- j. Serve a 2-year term.



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### 3.7 Regional Directors

- a. Participate in all Regular Full Board meetings to review and approve/reject projects, policies, and business matters.
- b. Encouraged to participate in Committee Working Session meetings.
- c. Represent the membership of their region at Board meetings, keeping the best interests of the entire organization foremost in their consideration and decisions.
- d. Encourage members of their region to submit questions, concerns, or recommendations to be brought to the Board for consideration.
- e. Regularly publish updates about USAWE and answer questions about WE in their region on social media and in the newsletter.
- f. Keep their region's members informed of national and regional news (clinics, schooling shows, licensed shows, exhibitions, events, seminars, etc.).
- g. Maintain lines of communication with individuals conducting events in their region to help alleviate scheduling conflicts.
- h. Review and enforce logo branding guidelines posted on social media for Affiliate Organization events in the region.
- i. Serve on a Competitions Appeals Committee when requested (rotating assignment).
- j. Increase visibility of USAWE through social media and news articles. Publicly recognize achievements of members and USAWE Affiliate Organizations, including regional and national leaderboard rankings, lifetime rider medals, and breed award recipients.
- k. Promote USAWE through equestrian group demonstrations, horse fairs, tack sale displays, etc.
- l. Recruit and nominate volunteers to fill Board and committee positions.
- m. Extend a warm welcome to new USAWE members in their region (send a personal welcome email).
- n. Serve on the Competitions Committee's designated zone championship evaluation committee to review, evaluate, rank, and submit zone championship proposals to the Board for final selection.
- o. Review/finalize the annual budget with the Executive Committee and committee chairs.
- p. Participate in Strategic Planning sessions with the Executive Committee, Regional Directors, and committee chairs.
- q. Encouraged to participate in planning and promoting championship shows hosted within their region.
- r. Serve a 2-year term.



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### 3.8 Staff

#### 3.8.1 Clerical Assistant(s)

The Clerical Assistant supports the Secretary and the Executive Committee. The Clerical Assistant performs tasks and day-to-day maintenance activities to support the programs and activities of the organization as directed by the Secretary and the Executive Committee. In the event the Secretary becomes unable to perform their duties, the Clerical Assistant may perform Secretary duties until the Secretary position can be filled. The Clerical Assistant has no vote on the Board of Directors or Executive Committee.

The Clerical Assistant is appointed by the Board of Directors, with an annual review each November. The annual appointment term is December 1<sup>st</sup> through November 30<sup>th</sup>.

If a Clerical Assistant is not appointed or does not take on the following responsibilities, the Secretary completes these duties (or designates others) and is responsible for their completion, accuracy, and legal compliance.

Clerical Assistant duties may include and is not limited to:

- a. Clerical Support
  - (1) Assist the Board and committees with creating Google forms to ensure the document owner is USA Working Equitation.
  - (2) Create appropriate email 'filter forward' to ensure form responses are forwarded to the committee or individual(s) monitoring responses.
  - (3) Maintain a list of Clerical Assistant tasks performed at the corporate level.
- b. Events. Monitor the online 'Request to Add Event' Google form and update the website calendar of events.
- c. MailChimp
  - (1) Ensure the organization's MailChimp Audience and Mail Tags are current before sending each eBlast and newsletter.
  - (2) Resolve duplicate email addresses.
  - (3) Resolve bounced email addresses.
  - (4) Resolve unsubscribed email addresses.
  - (5) Safeguard member-based mailing lists (email and physical) against unauthorized use, access or distribution.
- d. Corporate Email Accounts
  - (1) Assign, track, and maintain corporate email accounts.
  - (2) Maintain security protocols and spam prevention measures.
  - (3) Troubleshoot email and G-Drive issues with account holders.



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e. Corporate Assets

- (1) Maintain a consolidated tracking record of all asset accounts.
- (2) Establish and maintain all asset accounts using [usaworkingequitation@gmail.com](mailto:usaworkingequitation@gmail.com) as the account holder/owner's email address.

An asset account is any asset that is:

- Used for periodic or day-to-day operations of the corporation.
- Any digital or physical property used by the corporation.
- Used to conduct corporate business that would hinder or prohibit the corporation from doing business if it were not the account owner.
- Opened or contracted for in the name of the corporation.
- Used by a committee to conduct the business of the corporation.

f. Corporate G-Drive

- (1) Perform an annual review of each folder within the corporate G-Drive to ensure appropriate access.
- (2) Remove resigned, retired, or terminated committee members and previously elected directors.
- (3) Add or remove G-Drive access as appropriate.

g. Committee Appointments

- (1) Sends an email to newly appointed committee members to welcome each to their respective committee.
- (2) Ensures each newly appointed committee member **Acknowledgement of Annual Statements** are completed and filed on the Ethics Committee G-Drive.
- (3) Ensures annual committee member **Acknowledgement of Annual Statements** are completed and filed on the Ethics Committee G-Drive.
- (4) Maintains a Committee/Task Force Directory that documents the date of BOD appointment, identifies the committee chair, and tracks the date of resignation, retirement, or termination for each committee member appointment.
- (5) Performs annual review in January to ensure committee members are current USAWE members; notify committee chairs if a committee member failed to renew annual membership.

h. Corporate Passwords

- (1) Establish, track, and maintain all corporate and asset account passwords in a secure location (not on the G-Drive).
- (2) Ensure the President, Secretary, and Clerical Assistant have a record of essential account login information at all times. Ensure the highest Admin/Owner privileges are granted to these same three individuals.
- (3) Change all account passwords at recommended best practices intervals.



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- i. Corporate Records
  - (1) Create and file all staff records as required by state and federal employment laws. Make records available to authorized governmental agencies.
  - (2) Ensure staff records are only made available to persons with managerial or personnel responsibilities within the organization.
  - (3) Make staff records available to the Board when requested.
  
- j. Corporate Document. Keep the following corporate G-Drive documents up to date:
  - Corporate assets
  - BOD - Committee Chairs - Key Contacts
  - USAWE email, contacts and G-Drive
  - USAWE Zoom and Webinar License usage.
  
- k. Document Retention
  - (1) Ensure Clerical Assistant email and documents are retained or destroyed according to the Bylaws document retention policy.
  - (2) Ensure email, document, tax records, employment records, personnel records, Board and committee materials, press releases, public filings, legal files, marketing and sales documents, intellectual property, trade secrets, contracts, correspondence, banking and accounting, insurance and audit records are retained or destroyed according to the Bylaws document retention policy.
  
- l. Meetings
  - (1) Annual Member Meetings
    - (a) Assists President with the Annual Meeting agenda.
    - (b) Create and distribute Webinar registration link, and Panelist (presenter) invitations.
    - (c) Ensure Annual Meeting agenda is posted to the website and communicated to members via newsletter (December and January).
    - (d) Ensure a separate Annual Meeting announcement eBlast is distributed to current membership a minimum of 30 days prior to the meeting.
    - (e) Ensure members joining after the eBlast distribution date (and up to 24 hours prior to the meeting date/time) are sent the Annual Meeting registration link.
    - (f) Ensure the Annual Meeting registration link is posted on usawe.org a minimum of 30 days prior to meeting date.
  - (2) Board of Directors (BOD) Meetings
    - (a) Assist President with BOD agenda and Zoom meeting invitations.
    - (b) Receive notice of all meetings of the BOD
    - (c) Attend BOD meetings as a non-voting participant.
    - (d) If invited, attend Executive Sessions as a guest.
  - (3) Committee Working Meetings
    - (a) Assist President Elect with Committees Working Session agenda and Zoom meeting invitations.



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- (b) Encouraged to attend Committee working session meetings to stay abreast of committee activities and programs.
- (4) Strategic Planning. Encouraged to participate in strategic planning with the Board of Directors and committee chairs.

The Clerical Assistant may be asked to perform other duties as assigned.

#### 3.8.2 Treasurer Assistant

The Treasurer Assistant supports the Treasurer and Executive Committee. The Treasurer Assistant performs day-to-day maintenance activities to support the programs and activities of the organization as directed by the Treasurer and Executive Committee. In the event the Treasurer becomes unavailable to perform their duties, the Treasurer Assistant may perform Treasurer duties until the Treasurer position can be filled. The Treasurer Assistant has no vote on the Board of Directors or Executive Committee.

The Treasurer Assistant works with the income-generating committees such as Affiliate Organizations (AOs), Membership, Horse Recording, International, Licensed Officials, and Professional Development, to ensure receipt of income overseen by each committee.

The Treasurer Assistant coordinates with the Affiliate Organization Chair for the distribution of Member Designated Funds (MDF) according to the ballots each year.

The Treasurer Assistant is appointed by the Executive Committee, with an annual review each November. The annual appointment term is December 1<sup>st</sup> through November 30<sup>th</sup>.

If a Treasurer Assistant is not appointed, the Treasurer completes these duties (or designates to others) and is responsible for their completion and accuracy.

Treasurer Assistant duties include:

- a. Expenditures
  - (1) Ensure an Expenditure-Reimbursement Request Form and appropriate documentation are obtained, authorized, and filed for all expenditures.
  - (2) Obtain, maintain, and monitor disbursement authorizations (requester, committee chair, and two Executive Committee officers).
  - (3) Ensure Executive Committee officer authorization is performed on a rotation basis.
- b. Account Transfers. Ensures an Expenditure-Reimbursement Request Form is obtained, authorized, and filed for all account transfers.



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c. Invoicing

- (1) Order banners for Affiliate Organizations and show/event organizers; invoice as appropriate.
- (2) Send invoices on behalf of the Executive Committee, Board of Directors (BOD), and committees.
- (3) Ensure BOD and committee invoices are categorized appropriately for QuickBooks accounts.
- (4) Review invoice templates and update them whenever needed to reflect current fees and accurate categories within the USAWE QuickBooks accounts.
- (5) Document invoiced payments (amount invoiced, date invoiced, date paid, and payment remitter).
- (6) Process refunds (overpayment, duplicate payment, cancellations, etc.).
- (7) Files forms for authorized expenditures, reimbursements, and refunds.

d. Meetings

- (1) Board Meetings
  - (a) Receive notice of all meetings of the BOD.
  - (b) Attend BOD meetings as a non-voting participant.
  - (c) If invited, attend Executive Sessions as a guest.
- (2) Committee Working Sessions. Encouraged to participate in Committee Working Session meetings.
- (3) Strategic Planning. Encouraged to participate in strategic planning with the Board of Directors and committee chairs.

e. Document Retention

- (1) Ensure Treasurer Assistant email and documents are retained or destroyed according to the Bylaws document retention policy.
- (2) Ensure email, document, tax records, employment records, personnel records, Board and committee materials, press releases, public filings, legal files, marketing and sales documents, intellectual property, trade secrets, contracts, correspondence, banking and accounting, insurance and audit records are retained or destroyed according to the Bylaws document retention policy.

The Treasurer Assistant may be asked to perform other duties as assigned.