



USDF

Council

&

Committee

Handbook

Seventh Edition

USDF Council and Committee Handbook

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USDF Council and Committee Handbook

I. USDF MISSION STATEMENT

Dedicated to education, the recognition of achievement and promotion of dressage.

II. INTRODUCTION

The USDF volunteer members of the Councils and Committees that share ideas and create programs to educate, recognize achievement and promote the sport of dressage. Their work is guided by the organic documents of USDF: the USDF Bylaws and USDF Policies and Procedures. The Bylaws, together with the Articles of Incorporation, form the “constitution” of the organization. The Policies and Procedures serve as the guidelines for implementing the Bylaws. The latest version of these documents can be found on the USDF Website (www.usdf.org).

The Councils and Committees operate under the authority of the USDF Executive Board (EB) and Board of Governors (BOG), and their work is carried out with the assistance of the USDF office staff; in particular, the USDF staff coordinator or liaison that is assigned to each Council or Committee. The policies state that it is the duty of the EB to establish Committees and oversee on an ongoing basis both Councils and Committees that support the mission of USDF. The EB must eliminate Committees that have served their purpose and are no longer needed.

According to the USDF Bylaws, the purpose of USDF is to promote and encourage a high standard of accomplishment in dressage throughout the United States primarily through educational programs. The objectives of USDF are:

- a. To improve the general understanding of dressage through educational clinics, forums and seminars, and to promote these and other activities to effect this goal.
- b. To assist and cooperate with local and regional dressage organizations in matters of common concern.
- c. To cooperate with the United States Equestrian Federation, Inc., the United States Eventing Association, the United States Pony Club, Inc., and other national and international organizations having an interest in training horses, riders, instructors and judges through the principles of classical dressage.
- d. To guarantee fair representation to members from all geographical areas of the United States in forming policies and in the management of the United States Dressage Federation.

III. CATEGORIES

The Council and Committee structure is the backbone of USDF. Councils and Committees represent, involve and serve members, as well as provide an important training ground for future leaders. The expertise of its many volunteer leaders is invaluable to the success of the organization.

AT-LARGE DIRECTORS

1. The At-Large Director (ALD) will serve on the Executive Board (EB) as a full voting member for a **three** year term.
2. The requirements and duties of an ALD are as follows:
 - a. Serve as the Chair for his/her respective Council, preside over Council meetings, approve official Council communications and meeting minutes, and coordinate with other Council Chairs, as needed.
 - b. Represent the interests of his/her Council and act as a liaison between the EB and Council.
 - c. Be generally informed about projects and issues being discussed by the Committees and be prepared to facilitate coordination between Committees within their Council, as needed.

- d. Attend the spring and fall EB meetings and conference calls, and participate in other EB business conducted via email throughout the year.
 - e. Engage in the duties and responsibilities of an EB member as outlined in the USDF Bylaws and Policies and Procedures.
 - f. Be a Participating Member during his/her term.
3. ALDs will be reimbursed for EB related meeting expenses as outlined in the Policies and Procedures for non-officers (Article VII, Section E, 2).
 4. ALDs are expected to attend, at minimum, a spring and fall Council conference call and at least one meeting at the annual convention.
 5. ***Because Council members are also the Chairs of their respective Committees, the ALD does not make Council member appointments.***

COUNCIL AND COMMITTEE STRUCTURE (Policies and Procedures, Article VIII, Section D)

1. ADMINISTRATIVE COUNCIL: Members are limited to the five Committee Chairs and one At-Large Director (ALD).
 - a. Membership Committee (Geographic, PM and Competitor representation recommended)
 - b. GMO Committee (Geographic and GMO size diversity recommended)
 - c. Historical Recognition Committee
 - d. Bylaws Committee (Two EB appointments)
 - e. Nominating Committee (Regional representation through consultation with Regional Directors is required. Does not exclude additional appointments by Chair with approval of the EB)
2. TECHNICAL COUNCIL: Members are the six Committee Chairs and one ALD.
 - a. Judges Committee (Freestyle, para-equestrian & competitor representation recommended)
 - b. "L" Program Committee (Committee members consist of ***all*** "L" Faculty and ***three non-voting advisors***)
 - c. Freestyle Committee
 - d. Competition Management Committee (Geographic diversity, competitor & and para-equestrian representation recommended)
 - e. Technical Delegate Committee (Geographic diversity recommended)
 - f. Instructor/Trainer Committee
3. ACTIVITIES COUNCIL: Members are limited to the six Committee Chairs and one ALD.
 - a. Adult Programs Committee (Geographic diversity and para-equestrian representation recommended)
 - b. Youth Programs Committee (Geographic diversity recommended)
 - Youth Programs Advisory Subcommittee-Replaces Youth Executive Board (Geographic diversity recommended)
 - c. FEI Jr/YR Committee (Regional representation through consultation with Regional Directors is required. Does not exclude additional appointments by Chair with approval of the EB)
 - d. Regional Championships Committee (Regional representation through consultation with Regional Directors is required. Does not exclude additional appointments by Chair with approval of the EB)

- e. Sport Horse Committee
- f. Awards Committee

4. INDEPENDENT COMMITTEES:

- a. Audit Committee
- b. Steering Committee (Chair is the USDF Vice President and members are Chairs of Administrative Council, Technical Council, and Activities Council)

The President shall establish all USDF Committees subject to the approval of the Executive Board (EB).

The EB will oversee, on an ongoing basis, both Councils and Committees that support the mission of USDF. The EB must eliminate Committees that have served their purpose and are no longer needed. The President shall establish all standing, temporary, ad hoc, implementation or other committees, including subcommittees, commissions, task forces and working groups, and appoint a chairperson for each Committee, subject to the approval of the EB, except as described in the Policies and Procedures under Section VIII B. GENERAL COUNCIL/COMMITTEE POLICIES.

The EB recommends that standing Committees (hereinafter referred to as “Committees”) have no more than ten members plus the Chair, for a total maximum of eleven. More than ten appointments by the Chair must have EB approval. Committee size may vary and can be smaller as appropriate.

The President must describe, upon appointment, the responsibilities for ad hoc, task forces, working groups, and commissions.

Youth Advisory Sub Committee: *(replaces Youth Executive Board)*

- Chair is elected by the Committee members, this replaces the YEB President
- An Adult Advisor will be appointed by the Chair of the Youth Programs Committee, with approval of the EB. This creates a tie to Youth Programs and the Activities Council through the Chair of the Youth Programs Committee
- The Adult Advisor helps the Committee navigate USDF policy and governance, provides project management experience and direct interface to the Youth Programs Chair

Independent Committees:

- By nature of their function, the Audit and Steering Committees should retain an independent and arms length status within the Committee structure

Steering Committee: (Executive Director, as staff liaison, with input from the President, activates the Steering Committee as appropriate).

- Reviews only issues that arise from activities governed by the Committees and interfaces with the President/Executive Board as appropriate. Appropriate issues would include those where a conflict of interest might exist within a respective Committee or are too big to be handled within a Committee.
- Does not deal with general member or administrative issues.
- Committee members and the Chair are determined by other elected positions held and requires no EB appointments
- Must be activated on short notice but could lie dormant for long periods of time. Committee members must be well informed about Committee activity and USDF policy and be available as needed.

Standing Committee: A permanent Committees classification composed of a Chair and designated Committee members, who are normally appointed by the Chair. Chairs are advised to limit the number to approximately ten Committee members in order to facilitate communication and to conduct Committee business. All Committees should reflect equitable geographic (Regional) representation.

Standing Committees make policy recommendations and undertake short-term and long-term assignments to carry out the work of USDF.

Only Committee members who have agreed to serve and commit to work on the Committee should be appointed. The Chair bears the responsibility for contacting potential Committee members. Regional Directors may have suggestions for interested persons. In principle, makeup of the Committee should remain unchanged for the entire year. According to USDF policy, Committee members can be removed by the Chair with or without cause.

Ad-hoc Committee, Special Committee or Task Force: A special Committee established and appointed by the President, and approved by the EB, for a designated purpose, normally unmet by other Committees or to supplement the work of other Committees. Ad-hoc Committees do not have permanent status. An expiration date may be stated at the time of appointment if other than an annual appointment. Such Committees report to the President and the EB.

Implementation Committee: Special Committees may also be established from time to time by the EB for a specific purpose. Such a Committee must be appointed to investigate and recommend procedures for implementing new USDF programs. Implementation Committees may be considered temporary or they may be expected to supervise and review the procedures for their programs on an ongoing basis.

Contact: The USDF EB may designate an official “contact” for the organization in a specific area that does not require the direct involvement of a Committee. The contact is responsible for providing information to USDF on a particular subject. USDF currently designates an official contact for animal welfare.

Board: USDF has two Boards, the USDF Executive Board and the Board of Governors (BOG). The USDF Executive Board is made up of nine Regional Directors, the three At-Large Directors, and four officers. The officers and the At-Large Directors are elected by the BOG, and the Regional Directors are elected by the delegates in their respective Regions. The BOG consists of elected Participating Member (PM) delegates and Group Member (GM).

IV. GENERAL COUNCIL/COMMITTEE RULES AND POLICIES

1. The President shall establish all USDF Committees subject to the approval of the EB.
2. Three Councils are established by the USDF Bylaws and are each composed of those Committee Chairs described in the Policies and Procedures, under Section VIII, D.
3. A Committee is composed of a Chairman and designated Committee members. Committee Chair terms are for two years. Committee members are one year appointments. There are no Committee Chair or Committee member term limits.
4. Ad-hoc Committees, working groups, commissions, or task forces are special Committees established and appointed by the President, and approved by the EB, for a designated purpose, normally unmet by other Committees or to supplement the work of other Committees. Ad-hoc Committees, working groups, commissions and task forces do not have permanent status. An expiration date may be stated at the time of appointment if other than an annual appointment. Such Committees report to the President and EB.
5. Working groups may be established from time to time by the EB for a specific purpose. Such a working group must be appointed to investigate and recommend procedures for implementing new USDF programs. These working groups may be considered temporary or they may be expected to supervise and review the procedures for their programs on an ongoing basis.
6. Working groups may also be appointed by Council or Committee Chairs, as needed, or may be appointed by the President, and approved by the EB. Working groups are accountable to the entity that made the appointment.
7. When a Council or Committee creates a working group, the Chair of the Council or Committee will appoint the working group Chair. The EB reserves the right to approve any subcommittee or working group Chair.

8. Committee members are appointed on an annual basis from January 1 to December 31. There is no limit to the number of years that a Committee Chair, or Committee member may be reappointed.
9. Committee members must be either GMs or PMs, in good standing, of USDF. Council or Committee Chairs must be PMs in good standing. Ex-officio, honorary or advisory members are not required to be USDF members.
10. Councils and Committees are assisted by staff liaisons, assigned by the Executive Director. Staff liaisons are responsible for recording meeting proceedings and producing minutes for approval of the Chair and Council or Committee members, in a timely fashion. The staff liaison also works with the Chair in preparing and monitoring the Council or Committee budget and maintains communications in support of the Council's or Committee's needs. The liaison furthers the business of the Council or Committee within approved guidelines and policies, and serves as the link between the Council or Committee and the Executive Director. The liaison should be copied on e-mails and other forms of written communication (faxes or letters).
11. According to USDF policy, Committee members can be removed by the Chair with or without cause.
12. A Regional Representative must live or work in the Region that he/she represents at least 50 percent of the year.
13. USDF membership is not required for Committee or Council advisors (such as USEF staff). It is recommended that no more than two advisors be appointed for a Committee. The USDF Executive Director has the authority to appoint staff liaisons and staff advisors to Councils and Committees as he/she sees fit. Staff liaisons and advisors serve in a non-voting capacity.
14. With prior approval of the President and/or Executive Director, a chair may invite special consultants to serve the technical needs of the Council or Committee in a non-voting capacity. Prior approval must be obtained even if no expense or financial relationship is involved.
15. Appointments for Committee positions should be made with care and must be made as soon as possible after the convention, and no later than January 1. Staff liaisons should be notified by January 1 of Committee appointments.
16. Committees MUST have a wide, equitable, geographic distribution of members.
17. Individuals who are appointed to Councils and Committees must have experience in and/or a special interest in the work of the Council or Committee and be willing to serve USDF. Regardless of their membership in other organizations, their service is intended to enhance the best interests of USDF.
18. After appointed Committee members have accepted the invitation to serve, a letter will go out from the USDF office confirming the appointments. The letter will include the Committee agenda and Board of Governors report from the last convention.
19. Resignations from a USDF Committee, prior to the end of the year, should be submitted to the Chair (for members of a Committee) with a copy to the staff liaison. Vacancies during the year should be filled by the person or entity that made the original appointment. However, vacancies received on or after September 1 may remain unfilled for the remainder of the year at the discretion of the person or entity who made the original appointment.
20. Chairs, Committee members and appointees are required to comply with the USDF Code of Ethics and Conflict of Interest Policy in all USDF work. They must publicly disclose any actual or perceived conflict of interest and shall not vote on such Committee matters. However, only the Audit, and certain other Board-designated Committees, will be required to annually sign and submit affirmation and disclosure statements in compliance with the Code of Ethics and Conflict of Interest Policy. In addition, Chairs and Committee members must agree not to use information obtained in Council or Committee meetings and correspondence outside their Council or Committee without specific permission of the Chair and Council or Committee liaison.
21. Chairs and Committee members are also required to act in good faith and in accordance with what they believe to be in the best interest of USDF. They should discharge their responsibilities in a timely fashion without delegating such responsibilities to other volunteers or staff.

22. Attendance and active participation in meetings by Committee members is expected. Committee members are expected to attend the USDF Annual Convention, and to participate in teleconferences and correspondence throughout the year.
23. Each Committee reports to and addresses issues to the BOG for approval at the annual convention. Issues arising between meetings of the BOG must be addressed to the EB for discussion and approval.
24. The official spokesperson for a Council or Committee is its Chair. With the Chair's permission, another Council or Committee member can speak on the Council or Committee's behalf in meetings and to the BOG and/or EB. Issues also may be addressed to the EB through the Council or Committee liaison. Statements made on behalf of a Council or Committee may not be made without prior communication with the Chair.
25. Communication from the Chair or Council or Committee member to USDF staff should normally be through the staff liaison unless a previously established understanding is in place with the permission of the Executive Director.
26. Internal communications regarding Council or Committee business are not to be copied to organizations or individuals outside of USDF or to corporate sponsors without the approval of the President or Executive Director except as provided by these Policies and Procedures in Article II, Section E.
27. If a Committee or Council wishes to submit any material for publication, it must receive prior approval of the Executive Director. Websites or other publications (i.e. online forums, publications, listserves, newsletters) representing a Committee or Council must be done through or with prior approval by the USDF Executive Director or the EB except as provided by these Policies and Procedures in Article II, Section E.
28. When a staff member creates editorial material for placement in USDF Connection that reflects content material under the jurisdiction of a Council or Committee, that editorial must be approved by the Council or Committee Chair before it is submitted to the editorial staff.
29. When a Council or Committee Chair, or a staff member, acting on behalf of a Council or Committee, creates editorial material for placement in publications or websites outside of USDF that reflect content material under the umbrella of a USDF official communication, that material must first be approved by the Executive Director except as provided by these Policies and Procedures in Article II, Section E.
30. Written communication on Council or Committee business should clearly indicate who has originated the communication.
31. When a program, project or publication is budgeted for a particular Council or Committee, the Council or Committee must include support for the activity in their planned activities for the year.
32. Each Committee is required to have a mission statement, goals and annual objectives that fall within the parameters of the overall USDF mission. Any proposed changes to the mission and goals of the Committee MUST be approved in advance by the USDF EB and BOG (if such changes are requested at the convention). Annual objectives must be designed to include what the Committee can accomplish during the year, within the parameters of the approved budget for the Committee. The staff liaison cannot be expected to complete unfinished work that was not completed on schedule by the Committee.
33. If a Committee wishes to formulate a resolution concerning policy, it is directed to the EB or BOG for consideration and possible action. No policy resolution may be presented to the BOG without review of the EB and other affected Councils or Committees.
34. The Committee Chair is responsible for submitting a written report on the Committee's activities, concerns, problems or development to the USDF office for both the spring and fall Executive Board meetings by the deadline established by the EB. Program/project proposals or requests for changes must be submitted with these reports.
35. The EB directs all Committee Chairs to (1) prioritize funding requests, and (2) assure that the necessary support is available to accomplish the goals for the planned projects in the coming year.

V. GENERAL POLICIES AND PROCEDURES

1. Unless another procedure is in place for a particular program, all waivers for any USDF rule or requirement must be approved by the President.
2. No person or organization shall be permitted to use the USDF logo without written permission from the USDF Director of Marketing or Executive Director.
3. Any program or project proposal which comes before the EB or the BOG should have a business plan with revenues and expenses clearly included for implementation during the current budget process.
4. All proposed changes for USDF tests and score sheets must come before the Executive Board at its first meeting during the USDF annual convention in the third year of the test cycle. Once approved by the Executive Board, all USDF test and score sheet changes must be sent to the USEF Dressage Technical Committee for approval at their convention meeting following the USDF annual convention. Test sheets and score sheets must be submitted to the Executive Board for final approval at the USDF Spring Executive Board meeting in the final year of the test cycle. All proposed changes shall be presented in current format, showing all changes from the previous format.
5. Requests for food or beverages to be provided during meetings at the USDF convention first must be approved by the USDF Executive Director. Meals or items of clothing are not eligible as budgetary items for Councils and Committees.
6. People who hold USDF positions such as Council and Committee Chairs, “L” faculty members, instructor certification faculty, members and examiners who are certified instructors and “L” graduates, must be members in good standing, with no outstanding debt to USDF or they will no longer have the privileges of those USDF positions.
7. Material created by an individual or individuals specifically for use by USDF or a USDF Council or Committee becomes the property of USDF unless a written agreement is executed between USDF and the individual(s) involved, prior to initiating development or creation of the materials, stating that the rights to the property are to be retained by one or more of the individuals named in the agreement.
8. USDF Freestyle, Quadrille and Pas de Deux score sheet revisions will be a project of the Freestyle Committee in cooperation with the Judges Committee.
9. Fees, or changes in fees, for organizing or attending USDF programs or events require approval of the EB.
10. The USDF Website is the official website for all USDF Programs, Councils and Committees. No Council, Committee or other entity may establish another website for official communications regarding USDF Council or Committee or program information, except that USDF Regions may have their own websites.
11. Members of the USDF Executive Board may not chair a Council or standing Committee, with the exception of the Steering Committee, which shall be chaired by the Vice President, and the Councils, each of which shall be chaired by the respective At-Large Director. In addition, an individual who is a Committee Chair and is elected to the position of At-Large Director, may continue to serve as the Committee Chair. EB members may also Chair ad-hoc, special or implementation Committees, working groups, commissions, and task forces. EB members may serve as members of any Committee.
12. A member of the EB may attend any closed Council or Committee meeting.

VI. MAJOR COUNCIL AND COMMITTEE FUNCTIONS

1. Advise the EB and/or BOG on the relevant matters.
2. Present resolutions for action on policy and/or implementation of policy to the relevant Council or Committee, EB and/or BOG.
3. Recommend programs and projects to the EB and BOG within established policies and budget.
4. Assist the staff liaison in preparing an annual budget for the Committee, including identifying revenue sources and estimating expenses (including administrative expenses) for programs and projects planned for the next fiscal year.
5. In accordance with the USDF Bylaws and Policies, review proposed changes to programs and projects under the jurisdiction of the Committee, make recommendations for changes, and perform such other duties as may be specified by the Committee goals and objectives, or as may be directed by the EB.
6. Unless specifically stated in the USDF Bylaws and/or Policies, Councils or Committees may take no action to commit USDF to any business or contractual relationship, nor make policy. Council or Committee act in an advisory capacity to the EB and BOG.

VII. MEETINGS

1. Meetings will be held as necessary and at least once each year at the USDF Annual Convention. A quorum must be assured in order to conduct business and vote. Meeting notices may be sent by mail, fax and/or by email. The President and Executive Director must be notified of all meetings.
2. One-half of the voting members of a Committee or Council constitute a quorum for voting purposes.
3. All meetings will be conducted according to Robert's Rules of Order.
4. Except with EB permission, only one closed meeting may be held at the USDF annual convention. At least one open Committee meeting must be held at the convention.
5. At least ten days notice is required for a meeting unless a majority of members agree to a time for the meeting that is within ten days of the meeting scheduling request.
6. Meetings may be tape-recorded, at the request of the Chair, for assistance in preparation of the meetings.
7. Members of Councils or Committees may participate in any telephonic meeting of such Council or Committee by means of a teleconference call or other similar communications equipment by which all persons participating in the meeting can hear each other at the same time. Participating by telephonic means shall be subject to the provisions of the bylaws for notification of members of the Council or Committee of such meeting and shall constitute presence in person at the meeting. Written minutes of all actions taken at such meeting shall be circulated to all members of the Council or Committee. The minutes must reflect that a meeting was held electronically.
8. Minutes should be drafted by the staff liaison as soon as possible after the meeting and reviewed by the Chair prior to circulation. Ideally, this should occur within ten days of the meeting. After the Chair makes changes to the minutes, the approval draft is submitted to the members within 30 days. Minutes may be approved via email or at the next scheduled meeting. A copy of the final minutes should be sent to the department director.
9. Minutes will be prepared as an executive summary. Major points should be covered as well as dissenting views. Confidential or sensitive items may be recorded separately and circulated separately only with the approval of the Executive Director. Members and guests present will be listed first, along with those members absent. "Excused" may be used for a member whose absence is unavoidable. When actions and votes are taken, the minutes must be clear as to the action and the actual vote. For example: It was moved by ____ and seconded by ____ that [description of motion]. Motion carried (unanimously, 8-2) or Motion defeated (2-8), etc. The number of abstaining votes should also be listed. At the member's request, the names of any abstaining or opposing member should be listed.

10. It is most important that the Chair, with assistance of the staff liaison, develops a preliminary agenda that is circulated to all members as soon as possible before the meeting. Meetings that are not properly noticed to all members may be invalid, and become a source of controversy or confusion.
11. Emergency meetings may be held as long as all members are notified prior to the meeting, provided with an agenda, and given a chance to participate.
12. Council and Committee members are entitled to vote. Staff members, including the liaison, and staff advisors, may not vote. The Chair need not vote except to break or cause ties.
13. Voting members with a vested interest, or a conflict of interest, in an agenda item are expected to declare that interest, offer to abstain, and absent themselves from the vote.
14. Persons invited in a consultant or advisory capacity may not vote. Invited guests may speak only at the request of the Chair or Council or Committee member.
15. Alternates or proxy votes are not permitted in Council or Committee votes.
16. If a Committee wishes to formulate a resolution concerning policy, it is directed to the EB or BOG for consideration and possible action. No policy resolution may be presented to the BOG without review of the EB and other affected Committees.
17. Travel and member expenses attributable to service to USDF are tax-deductible to the extent permitted by law. Council or Committee members should consult their personal tax advisors.
18. A member of the EB may attend any closed Council or Committee meeting.

VIII. JOB DESCRIPTION FOR COMMITTEE CHAIRS

Early each year, the Chair of each Committee will receive a letter from the USDF Vice-President regarding the responsibilities associated with his/her particular Committee. Included in the letter will be (1) a generic job description for Committee Chairs, and (2) a list of specific projects approved by the Committee for work during the year.

Contact information for the Committee liaison is also provided, as well as a copy of the Committee report to the BOG during the last annual convention.

Following is a list of duties expected of Committee Chairs:

1. Guide the business of the Committee. Convene meetings as necessary; direct the process of Committee meetings and monitor activities of subcommittees.
2. Serve as Committee spokesperson to the EB and BOG, attend BOG meetings, and work with the staff liaison to ensure the Committee accomplishes its mission, goals and objectives.
3. Chairs of standing Committees are responsible for contacting prospective Committee members, and issuing the invitation to serve. While it may be advisable to request assistance from the staff liaison to determine, if the prospective member is a member in good standing of USDF, it is not normally the responsibility of staff members to issue an invitation to serve. For special or ad-hoc committees, or a task force, the invitation to serve may be issued by the President.
4. Communicate with your Regional Representatives (if applicable) or Committee members quarterly. Communications should include progress on the Committee's work during the year. Send a copy of all written communications to the USDF office liaison for transmission to the EB. Most communications can be informal in nature, and most Committees communicate often through email. However, the liaison should be copied on emails and other forms of written communication (faxes or letters), and members who do not have email should receive all important correspondence. If necessary, the liaison can arrange teleconference meetings during the year to discuss Committee business. If teleconferences are desired, the meetings must be properly noticed and arranged at a time most convenient to the majority of members. The Committee may be asked to vote on important issues via mail, email or faxed ballots, as well as during teleconference meetings.

5. Communicate (at least) monthly with your liaison in the USDF office. Seek input on all of the Committee's work from the liaison, and keep the liaison informed of all Committee work.
6. Send a written report on the Committee's activities, concerns, problems or development to the USDF office for both the spring and fall EB meetings (see timeline below). Your liaison can help with the reports and a template for the report is sent to the Chair (normally by e-mail) prior to the deadline for submission. The template for the spring and fall EB reports normally includes: name of Committee, name of Chair, name of liaison, current Committee members, mission, goals, current year's objectives, progress to date (for the spring meeting), current year's accomplishments (for the annual convention), proposed or approved goals for the next year, and an agenda for open/closed meetings (for the annual convention). Program/project proposals or requests for changes MUST be attached to reports.
7. The Chair is responsible for providing an agenda for all meetings, including the convention and teleconferences, and conducting the meetings. The liaison should be present in all meetings to take the official minutes.
8. The Chair is responsible for preparing a description of the Committee's planned activities and projects for the next fiscal year (April 1 – March 31) to assist the liaison in preparing budget requests for the budget that will be approved at the annual convention. Any items that are proposed must have received a vote of approval by a quorum of the Committee in a properly noticed meeting. During Committee meetings held at the convention, changes can be made to planned activity and project proposals. Please inform the liaison of any changes and plan to attend the council/committee budget meeting with the EB, where new plans will be discussed. Any changes to prior budget requests must be approved by the EB and BOG.
9. Chairs are responsible for preparing a short, standardized, written report of their Committee activities, including actions taken at the annual convention, for the BOG meeting. A short oral report may be required for the BOG.
10. Chairs should contact their staff liaisons after both the spring and fall EB meetings to discuss any issues that may affect the Committee, or questions regarding submitted reports.
11. Chairs or designated Committee members are expected to contribute articles to one or more issues of USDF Connection annually. Information on program requirements, successful programs organized by GMOs, etc., are appropriate to help the Committee promote its goals to the USDF members, and increase program participation. The liaison will assist in developing ideas for articles and keep the Chair informed as to assigned publication dates and submission deadlines.
12. Where applicable, Committee Chairs should communicate with Regional Directors regarding Regional Representative appointments. Committee chairs may request recommendations from Regional Directors or officers regarding appointments.
13. Chairs will not communicate USDF Committee business to organizations outside of USDF (such as USEF and The Dressage Foundation), without prior approval of the President. Chairs will not communicate USDF Council or Committee business to corporate sponsors without prior approval from the Executive Director.

The Committee Chair letter sent early each year will also contain specific information on Committee expenses and budgets. Budget and reimbursement policies include:

1. Reasonable expenses for telephone calls and postage related to work for Council or Committee may be reimbursed by USDF after submission of a written request, accompanied by receipts and documentation of expenses. Such requests must be approved, in advance, by the Executive Director. If you are uncertain as to what is reasonable, please contact the USDF office before incurring the expense.
2. Program or project budgets may not include reimbursement for travel or printing/copying expenses or fees for members of the Committee. Other than expenses for telephone calls or postage, as mentioned above, other reasonable expenses may only be reimbursed if approved, in advance, by the Executive Director or EB.

ANNUAL TIME LINE FOR COMMITTEE CHAIRS

1. Monthly: Communicate monthly with your liaison in the USDF office. Seek input on all of your Committee work from your liaison, and keep the liaison informed of all Committee work.
2. Quarterly: Communicate with your Regional Representatives (if applicable) or Committee members. Communications should include progress on the Committee work during the year. Send a copy of all appropriate written communications to the USDF office liaison for transmission to the EB.
3. Due January 1: Chairs finalize Committee roster recommendations. Notify liaisons of the proposed roster. (Rosters are subject to EB review)
4. Due March 1: Staff will start the annual budget process with Committee Chairs, thirteen months prior to its implementation date of April 1, of the following calendar year.
5. Due March 29: Send a written report on your Committee activities, concerns, problems, or developments since the last annual convention to your liaison at the USDF office for the USDF Spring Executive Board Meeting.
6. Due June 1: Consult with liaison of meeting room needs for the annual convention open meetings, and if the Committee plans on a closed meeting.
7. Due September 1 (in the last year of term): Send to your liaison a declaration of your wish to continue or discontinue as Committee Chair. These are forwarded to the President to be utilized in making appointments for the following year.
8. Due September 15: Inform USDF of any equipment needed for the annual convention – e.g., overhead, video equipment, etc.
9. Due September 15: Work with your liaison to complete a budget for the next fiscal year (April 1- March 31). All foreseeable Committee budget requests for the next fiscal year must be received by the USDF office by September 15.
10. Due October 15: Send a written report on your Committee activities, concerns, problems, or development to the USDF office for the annual convention. You will receive a standardized template from the office for this purpose.
11. Due November 1: Submit to your USDF office liaison an agenda for your Committee meeting(s) at the annual convention.

December at the Annual Convention:

12. December: Attend the Committee Chair orientation meeting.
13. December: Conduct your Council or Committee meeting(s) at the annual convention.
14. December: Attend the budget meeting with the EB and Committee Chairs. Present any budget revisions to the EB (prior to the BOG Meeting).
15. December: Prepare, with your liaison, a short, standardized, written report of your Committee activities, including actions taken at the annual convention and goals for the coming year, for the USDF Board of Governors (BOG) meeting. This report will be included in the handout that convention delegates receive before the first BOG session.
16. December: Written Committee reports to the BOG are approved collectively. An oral report to the BOG is only required on items that need BOG approval.

X. CONVENTION RESPONSIBILITIES AND BOG REPORTS

USDF will schedule a Committee Chair orientation session at the beginning of each year's convention. Chairs should plan to attend this meeting. This is an opportunity to ask questions and find out about important information needed to properly conduct Committee business at the convention.

Chairs bear the responsibility to proof and sign off on liaison printed reports (from both closed and open meetings). The Chair must meet with the staff liaison to determine when the report is to be typed and should be sensitive to the fact that

the liaison may be responsible for more than one Committee. Minutes are taken during all meetings, including motions that will go before the BOG.

*The approval process for proposals that require BOG approval is as follows:

First, items are voted upon in Committee meetings. They must have approval of the majority (i.e., a quorum) of voting members to go forward. After Committee approval, the same items go to the Chair of the Council the Committee falls under for review and approval before submitting to the BOG for approval.

All new programs, proposals and budget items (any program likely to involve expense, even if the exact monies have been determined in your meetings) must be presented to the EB in the “Committee Budget Requests and Motions to the BOG”. This is a closed meeting, and attendance of Chairs is required. If the Chair wishes, they may have an expert (Committee chair or member/regional representative) attend to help explain an issue. Check the convention schedule for the time and location of this meeting.

Note that some projects and proposals must have joint approval by other Committees prior to EB or BOG approval.

* See USDF Executive Board Policy on Committee proposals (Policies and Procedures, Section VII) for detailed requirements for program/project proposals, noting that such proposals MUST be presented in writing to both the EB and Council Chair and Committee members prior to BOG approval.

When addressing the BOG, the entire written report should not be read, as printed copies will be available for all in attendance. It is important to be efficient due to the large number of reports requiring approval. However, any new program items or changes to existing programs should be explained in sufficient detail for the delegates to understand what they are voting on. The Chair or his designee should be prepared to draw delegates’ attention to the written report and answer any questions. Each proposal or significant change to an existing program should be approved one at a time. After explanation and any discussion, the person giving the report should request a motion for approval, a second and then a vote (all in favor/any opposed). Finally, the entire report requires BOG approval. Conclude with a request for a motion for approval of the report (and again call for a second, vote: all in favor/any opposed).

Chairs are cautioned NOT to include any items not approved during their Committee meetings in either the written or verbal reports.

The template for BOG reports is as follows:

Name of Committee

Chair:

Liaison:

Committee members:

Mission:

Goals:

Approximate number in attendance at open and closed meetings:

Current year’s accomplishments:

Report from the open/closed meeting(s):

Next year’s objectives:

New budget requirements:

Motions to come before the BOG: Program/project proposals or requests for changes MUST be attached to the report. (See detailed description in Policies and Procedures, *Section IX*.)

XI. FORMAT AND CRITERIA FOR PLANNING GOALS AND WRITING REPORTS

Mission, Goals and Annual Objectives:

Each Committee is required to have a mission statement, goals and annual objectives that fall within the parameters of the overall USDF mission statement and the specific mission of the Committee. The mission and goals of a Committee are established and approved when the Committee is initially approved by USDF. The mission and goals should not change from year to year. However, the addition of new programs or functions could necessitate a change both to the mission and goals. Changes recommended to the EB or BOG must have the approval of a quorum of the Committee. Any proposed changes to the mission and goals of a Committee MUST be approved in advance by the USDF EB and then the BOG (if such changes are requested at the convention).

Annual objectives must be designed to include what the Committee can reasonably expect to accomplish during the year, within the parameters of the approved budget for the Committee. Objectives may change from year to year. However, if programs or projects are ongoing and require annual Committee involvement, objectives for those programs/projects may stay the same. Annual objectives MUST be listed for all work that is planned during the year, including ongoing programs and projects.

It is recommended that both goals and objectives be limited to reasonable and achievable numbers. Normally a Committee should have from three to six goals, and no more than six annual objectives, unless the Committee is very active and includes subcommittees who can take on more work. Each goal should be clearly written, easily understood and must directly relate to the mission of the Committee. Each annual objective not only should relate specifically to work planned during the year, but also to a specific goal of the Committee. Annual objectives should be recommended by the Chair and approved by the Committee.

Three reports are required from each Committee during the year and must be prepared or approved by the Chair. A reminder and a template for each report will be provided to you by your Committee liaison. Following is a list of the required reports, as well as the format and content for each:

Spring Executive Board Report

Name of Committee

Chair:

Liaison:

Committee Members: *List names with states in parenthesis*

Mission:

Goals:

Current Year's Committee Objectives:

Progress to Date: *List what your Committee has accomplished during the first part of the year. Also list any questions you have of the EB. Share concerns and plans for the rest of the year.*

*Proposals for new projects or programs must be attached if review or approval is requested. *If immediate approval is requested, a complete business plan should be attached.*

Fall Annual Convention Report

Name of Committee:

Chair:

Liaison:

Committee Members:

Mission:

Goals:

Current Year's Committee Objectives:

Current Year's Accomplishments: *This can be in paragraph, list or outline format. This is an important way to share your Committee accomplishments to the membership. This can be between one paragraph and a few pages.*

Next Year's Objectives: *Should include the work that is planned for the next year.*

Meeting Agenda: *May include separate agendas for open and closed meetings.*

*Proposals for new projects or programs must be attached if review or approval is requested. *If immediate approval is requested, a complete business plan should be attached.*

Board of Governors Report

Name of Committee:

Chair:

Liaison:

Committee Members:

Mission:

Goals: (optional for this report)

Next Year's Objectives: Should include the work that is tentatively planned for the next year, pending final approval by the Committee when it meets at the convention.

Number in attendance at open meeting:

Number in attendance at closed meeting: (if held)

Current Year's Accomplishments: Same or condensed version of fall report.

Items discussed at open meeting: Includes a summary of the discussion and any actions (votes) taken by the Committee. This summary serves as the official minutes of the meeting.

Items discussed at closed meeting: Includes a summary of the discussion and any actions (votes) taken by the Committee. This summary serves as the official minutes of the meeting.

Next Year's Objectives: Should include the work that is planned for the next year. This may be the same list as submitted with the fall report, or may be amended with approval of the Committee.

New Budget Requirements: Include requests that were NOT included on the treasurer's draft budget, prior to convention. However, new budget requests listed here MUST have been approved by the EB in its Committee Budget meeting held prior to the BOG.

Motions to come before the BOG: List separately each motion for program or project changes or new proposals that require EB approval. Each motion listed here MUST have had a vote of approval by a quorum of the Committee.

*Proposals for new projects or programs must be attached if review or approval is requested. If immediate approval is requested, a complete business plan should be attached.

XII. PROGRAMS AND PROJECTS

1. In principle, USDF programs should be structured to be financially self-supporting.
2. A Committee program, where projected expenses exceed revenue, should demonstrate that the benefits justify the costs and receive approval from the EB.
3. All programs should be designed to meet the mission of USDF and the mission and goals of the Committee and USDF. Be aware of a realistic timeline for the implementation of any new program. Remember that timeliness of distribution of information is crucial to the success of USDF programs.
4. Committees must work with their staff liaisons in preparation of an annual budget for their Committee. Revenue sources and expense estimates (including the administration expenses involving USDF staff or outside personnel) must be determined, and a timeline for completion of a project must be provided.
5. The EB directs all Committee Chairs to (1) prioritize funding requests, and (2) assure that the necessary support is available to accomplish the goals for the planned projects in the coming year.
6. Programs which have been approved and accepted by the BOG should be available for implementation in any Region by responsible USDF GMOs, or by members, with the approval of the Regional Director and the appropriate Regional Representative or Committee Chair.
7. There shall be an initial program registration fee for USDF programs held at a local level, which require USDF administrative assistance. Junior/Young Rider Team Championships are exempted.
8. Participating Membership (in good standing) of USDF is required for participation in several USDF programs, including:
 - Participants in Certification Instructor Workshops and Pre-certifications
 - Instructor Certification Testing Candidates
 - Certification Examiners

- Certified Instructors (non-renewal of membership will result in removal of Instructor’s name from all USDF lists for any period of lapsed membership.)
 - USDF Judge’s Forum participants (excluding those forums specifically required to maintain USEF Judge license)
 - “L” Education Program For Judge Training session and testing participants (excluding auditors)
 - Faculty for “L” Education program For Judge Training
 - Graduates of the “L” Education Program for Judge Training (non-renewal of membership will result in removal of graduate’s name from all USDF lists for any period of lapsed membership)
 - Dressage participants representing the U.S. in the North American Junior Championship (NAJC) or North American Young Riders Championship (NAYRC)
 - USDF/USEF Young Rider Graduate Program
9. Any individual in arrears on fees or dues to USDF, its regions, or Group Member Organizations may not participate in USDF programs. USDF must be notified if an individual is in arrears to a Region or GMO and will determine if the nature of the delinquency constitutes a violation of this policy.

10. USDF Sanctioned Programs:

- Permission to advertise a clinic, forum, competition or other dressage program as USDF “sanctioned” must be applied for in writing directly to USDF.
- The application should identify the sponsoring organization, principal organizer(s), and name, address, and telephone number of an authorized contact person. An outline of the proposed dressage program’s purpose, schedule and budget should accompany the application, along with any other pertinent information.
- A Group Member Organization (GMO), USDF Region, USDF Committee or other USDF-approved organization must be designated as the sponsoring organization of a USDF sanctioned program.
- All USDF sanctioned programs should be structured to be financially self-supporting. All individuals or organizations other than the sponsoring organization that may benefit financially (or in any other material way) from the proceeds of the event, must be identified in the application. A complete financial report is to be submitted to USDF within a designated time of the program’s end, for programs receiving direct financial support from USDF. Specific financial reporting requirements will be listed in the application criteria for each program.
- A nominal fee may be charged for USDF Sanctioned Program Organizer Guidelines that are available free of charge on the USDF Website.
- All USDF sanctioned programs and competitions are required to carry at least \$1 million insurance liability coverage, which sites USDF as an “additional insured.” Proof of insurance must be provided to USDF at least two weeks prior to the program, or as mandated by program guidelines and must include the competition name, date, and number. The fee for failure to submit to USDF a certificate of insurance for at least \$1,000,000 is \$100.

11. Committees should produce, and update as needed, guidelines for the conduct of USDF programs, including the following:

1. **USDF Administered Programs:**

- a. Awards
- b. FEI Junior/Young Rider Clinic Series
- c. USDF Adult Clinics
- d. Judge Seminars
- e. Trainers Conferences
- f. USDF National Symposium
- g. Qualifying and Selection Criteria for NAJC and NAYRC
- h. Dressage Technical Delegate Apprentice Program
- i. USDF Certified Instructor Testings
- j. Young Rider Graduate Program
- k. Youth Arts and Creativity Contest
- l. Youth Convention Scholarship Program

- m. Dover Medal Program
 - n. USDF nomination to the USEF Youth Sportsman's Award
 - o. USDF nomination to the USEF Young Equestrians Advisory Group
2. **USDF Competitions:**
 - a. USDF Regional Dressage Championships
 - b. USDFBC Series
 - c. USDF Youth Regional Team Competitions
 - d. USDF Adult Regional Team Competitions
 3. **USDF Sanctioned Programs hosted by Regions, GMOs or other organizations for which USDF provides guidelines:**
 - a. Sport Horse Seminars
 - b. Sport Horse Handler's Clinics
 - c. Instructor Workshops
 - d. Pre-Certification Clinics
 - e. "L" Education Program
 - f. USDF Continuing Education Program for Judges and USDF "L" Graduates
 - g. USDF University
 4. **USDF Programs, not-sanctioned, hosted by Regions, GMOs or other organizations for which USDF provides guidelines, but which are not USDF sanctioned:**
 - a. Shining Star Program
 - b. Adult/Youth Camps
 - c. High School Club Pin Program

XIII. USDF EXECUTIVE BOARD POLICY ON PROGRAM PROPOSALS

1. Committee programs or projects should be designed to meet the mission of USDF and the mission and goals of the respective Committee.
2. All Committee proposals for new projects or programs, or revisions to current programs, must have the input and recommendation of the Committee. Committee minutes must reflect approval by a quorum of the Committee, after review of the proposal and a draft budget.
3. All Committee proposals for new projects or programs, or revisions to current programs, must include a budget to identify revenue sources, estimated expenses (including administrative expenses), and a suggested time line for implementing the program or completing the project.
4. Committee programs and projects should be designed to utilize GMOs, if appropriate, and volunteers to the fullest extent possible.
5. All Committee proposals for new programs and projects, or revisions to current programs, must be submitted to the EB for approval through the respective Chair or staff coordinator/liaison for the Committee that will be responsible for the program or project.
6. Committee program and project proposals or revisions, where budgeted expenses may exceed revenues, should demonstrate that the benefits justify the cost, and must receive approval from the BOG.
7. New and revised programs and projects that are approved either by the BOG or EB will be reviewed by a working group appointed by the President, and approved by the EB, to determine an appropriate implementation plan. The implementation process for a new program or project may take up to one year after the program was initially approved. The working group should have from five to seven members, including members of the EB, the staff coordinator for the program/ project, and members of the Committee responsible for the program/project.

8. In cases where the working group determines that the program or project cannot be implemented in its original form, due to excessive costs or other factors, a revised format for the program or project must be recommended to and reviewed by the EB. Final approval of any changes to the originally approved format must be presented for approval to the Board (either EB or BOG) that originally approved the program.

XIV. UNITED STATES DRESSAGE FEDERATION, INC. CODE OF ETHICS AND CONFLICT OF INTEREST POLICY

ARTICLE I PURPOSE AND INTRODUCTION

Both the volunteers and the staff of the United States Dressage Federation (“USDF” or the “Corporation”) have an important responsibility to maintain a high standard of ethical behavior when conducting the affairs of the Corporation. A primary purpose of the conflict of interest policy is to protect the interest of the Corporation when it is contemplating entering into a transaction or arrangement that might benefit the private interest of a Director, voting delegate, Council or Committee member, or employee of the Corporation.

Furthermore, because the appearance of impropriety can be just as damaging as actual impropriety, conduct, which appears to be improper, also is unacceptable. (See definitions below.) Accordingly, volunteers, and staff are required to comply with the following USDF Code of Ethics when representing or participating in USDF activities or events:

1. Conduct all dealings with honesty and fairness.
2. Respect the rights of all employees to fair treatment and equal opportunity, free from discrimination or harassment of any type.
3. Know, understand and comply with the laws, regulations, and codes of conduct governing the conduct of USDF competitions and business.
4. Ensure that all transactions are handled honestly and recorded accurately.
5. Protect the confidentiality of information that belongs to the Corporation, our donors, sponsors, suppliers, fellow volunteers and staff.
6. Respect the confidentiality appropriate to issues of a sensitive nature.
7. Avoid conflicts of interest, both real and perceived.
8. Never use Corporation assets or information for personal gain.
9. Recognize that even the appearance of misconduct or impropriety can be very damaging to the reputation of the Corporation and act accordingly.

This policy is intended to supplement but not replace any applicable state laws governing conflicts of interest applicable to nonprofit and charitable corporations.

ARTICLE II DEFINITIONS

1. INTERESTED PERSON

Any Director, voting delegate, Council or Committee member, or staff member, who has a direct or indirect financial, material or personal interest, as defined below, is an interested person.

2. FAMILY

USDF defines “family” for these purposes as follows: spouse, parent, child or spouse of a child, brother, sister, spouse of a brother or sister, a cohabiting companion, or any other individual with a significant familial or familial-like relationship.

3. CONFLICT OF INTEREST

USDF defines a conflict of interest as any personal or financial (both direct and indirect) relationship including relationships of family members (see definition above) that could influence or be perceived to influence an interested

person's objectivity when representing or conducting business for, or on behalf of, USDF. USDF defines a substantial appearance of a conflict of interest as whenever others may reasonably infer from the circumstances that a conflict exists.

4. FINANCIAL INTEREST

A person has a financial interest if the person has, directly or indirectly, through business, investment or family:

- a. an ownership or investment interest in any entity with which the Corporation has a transaction or arrangement, or
- b. For staff: a compensation arrangement with any entity or individual with which the Corporation has a transaction or arrangement, or
- c. For volunteers: a compensation arrangement with the Corporation or with any entity or individual with which the Corporation has a transaction or arrangement, or
- d. 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 substantial in nature.

5. INAPPROPRIATE HOSPITALITY OR GIFT GIVING

USDF defines inappropriate hospitality as the offering or receiving of accommodations, event tickets, entertainment, meals or other similar personal benefits except as specifically provided for by applicable policies. Inappropriate hospitality or gift giving between individuals can also create a conflict of interest. Similarly, USDF prohibits the receipt or giving of personal gifts except for items of nominal value such as hats, pins, etc. unless specifically provided for by applicable policies.

ARTICLE III PROCEDURES

1. DUTY TO DISCLOSE

In connection with any actual or possible conflict of interest, an interested person must disclose the existence and nature of his or her financial or other interest to the appropriate USDF entity considering the proposed transaction or arrangement. Because the appearance of impropriety can be just as damaging as actual impropriety, conduct that appears to be improper must be disclosed so that the appropriate USDF entity may determine whether such substantial appearance of a conflict is deemed to be a prohibited conflict of interest.

2. DETERMINING WHETHER A CONFLICT OF INTEREST EXISTS

After disclosure of a financial or material interest, the interested person shall leave any Board, Council, Committee or staff meeting while the financial or material interest is discussed and voted upon. An interested party also must abstain from voting and from seeking to influence the vote on any matter related to the person or concern if the relationship is not approved. An individual must recuse himself/herself from participating in a USDF activity giving rise to a substantial appearance of a conflict of interest unless and until it is deemed by the appropriate

USDF entity that no conflict exists. In the case of volunteers, the remaining Board, Council or Committee members, or where appropriate, the EB, shall decide if a conflict of interest exists. In the case of staff, the Executive Director shall determine if a conflict of interest exists.

This code serves as a framework for ethical conduct but does not cover every situation. If you are unclear about the requirements of this code, please consult the President or Executive Director of the Corporation.

3. PROCEDURES FOR ADDRESSING A FINANCIAL CONFLICT OF INTEREST

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

- b. If a more advantageous transaction or arrangement is not reasonably attainable under circumstances that would not give rise to a conflict of interest, the Board, Council or Committee shall determine by a majority vote of the disinterested directors whether the transaction or arrangement is in the Corporation's best interest and for its own benefit and whether the transaction is fair and reasonable to the Corporation and shall make its decision as to whether to enter into the transaction or arrangement in conformity with such determination.

4. VIOLATIONS OF THE CODE OF ETHICS OR CONFLICT OF INTEREST POLICY

- a. Any person who violates or condones the violation of the Code of Ethics is subject to disciplinary measures, which may include termination of membership, employment, and expulsion from the Board, Council or Committee.
- b. If the Board, Council, Committee or staff director has reasonable cause to believe that a member or employee has failed to disclose an actual or possible conflict of interest, the appropriate entity shall inform the member or employee of the basis for such belief and afford the individual an opportunity to explain the alleged failure to disclose.
- c. If, after hearing the response of the member or employee and making such further investigation as may be warranted in the circumstances, the Board, Council, Committee or staff director determines that the member or employee has in fact failed to disclose an actual or possible conflict of interest, the appropriate entity shall take appropriate disciplinary and corrective action.

**ARTICLE IV
RECORDS OF PROCEEDINGS**

The minutes of the Executive Board and all Councils or Committees 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 Board's, Council's or Committee's decision as to whether a conflict of interest in fact existed, and
- 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 therewith.

**ARTICLE V
COMPENSATION COMMITTEES**

A voting member of any Council or 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 member's compensation.

**ARTICLE VI
ANNUAL STATEMENTS**

Each EB member, Audit Committee member, other Board-designated Council or Committee member, "L" Faculty and Certification Examiners, and staff who holds a director or liaison position, shall annually, at the time of the annual convention, sign a Disclosure and Affirmation Statement and a Conflict of Interest Disclosure Statement which affirms that such person:

- a. has received a copy of the Code of Ethics and Conflict of Interest policy,
- b. has read and understands the policy,
- c. has agreed to comply with the policy, and

- d. understands that the Corporation is a charitable organization and that in order to maintain its federal tax exemption it must engage primarily in activities which accomplish one or more of its tax-exempt purposes.
- e. Has disclosed financial, business or personal relationships, positions, or circumstances which may present an actual or perceived conflict of interest with the Corporation.

Other Council or Committee members and voting delegates of the Corporation are not required to complete a Disclosure and Affirmation Statement or a Conflict of Interest Disclosure Statement. However, all such individuals are required to read and otherwise comply with this Code of Ethics and Conflict of Interest policy, and to abstain from voting and from seeking to influence a vote or decision on any matter related to an actual or perceived conflict.

After acceptance of any volunteer or staff position with the Corporation, compliance with this Code of Ethics and Conflict of Interest policy is expected regardless of the timely filing of required affirmation or disclosure statements.

ARTICLE VII PERIODIC REVIEWS

To ensure that the Corporation operates in a manner consistent with its charitable purposes and that it does not engage in activities that would jeopardize its status as an organization exempt from federal income tax, periodic reviews shall be conducted. The periodic reviews shall, at a minimum, include the following subjects:

- a. Whether compensation arrangements and benefits are reasonable, and are the result of arm's-length bargaining.
- b. Whether agreements with employees and third party payers further the Corporation's charitable purposes and do not result in inurement or impermissible private benefit.

ARTICLE VIII USE OF OUTSIDE EXPERTS

In conducting the periodic reviews provided for in Article VII, the Corporation may, but need not, use outside advisors. If outside experts are used, their use shall not relieve the Board of its responsibility for ensuring that periodic reviews are conducted.

ARTICLE IX STAFF EMPLOYMENT OR VOLUNTEER SERVICES OUTSIDE OF USDF

In addition to the stipulations listed above which are pertinent to staff, staff members have additional responsibilities to the Corporation when contemplating entering into a paid or volunteer position associated with a USDF-recognized competition or activity, or USDF-related business. Employees must sign a USDF Employee Conflict of Interest Disclosure Statement yearly and abide by the conflict of interest guidelines described in the USDF Employee Handbook.

Notes

Notes



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