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# **POLICIES AND PROCEDURES**

## **I. GENERAL POLICIES AND PROCEDURES**

### **I. INFORMATION TECHNOLOGY**

1. The TVDCTA website is the official website for all TVDCTA programs, Councils and Committees. No Council, Committee or other entity may establish another website for official communications regarding TVDCTA Councils, Committees, or program information.
2. TVDCTA will maintain generic e-mail addresses for Board members to be forwarded to their personal accounts, in order to provide a greater degree of confidentiality for personal e-mail addresses and to ensure that TVDCTA-related e-mail is filtered through TVDCTA anti-virus and spam filtering programs.

### **II. WAIVER OF LIABILITY**

TVDCTA requires that a state-specific waiver of liability statement be included in all applications for a TVDCTA organized or sanctioned event.

### **III. TRANSPARENCY POLICY**

It is the policy of the TVDCTA that openness and transparency in the decision making process is to be followed by all its entities subject to the guidelines contained herein:

1. The Board
  - a) The President shall cause materials approved by the Board to be published on the TVDCTA website except:
    - i. Confidential personnel information;
    - ii. Confidential financial information;
  - b) Except as specified in (a) above, the President shall cause minutes of all meetings of the Board to be available to the membership no later than 45 days after the meeting.
  - c) With the President's approval, proposed Policies & Procedures edits will be posted on the web.
2. Committees and Councils
  - a) The Chair of each Committee or Council shall cause to be published on the TVDCTA website those materials listed in (b) below so that the Membership may fully understand the actions of the Committee or Council except:
    - i. Confidential personnel information;
    - ii. Confidential financial information;
    - iii. Material the Chair specifies not be published provided a majority of the members of the standing Committee or Council must ratify this decision no later than 30 days after the President's specification or the information shall be published.

## **II. FINANCIAL**

### **A. PRIVACY POLICY**

Non-public information collected by TVDCTA will be kept confidential. Access to all non-public information will be restricted to only those with a legitimate business purpose in order to perform their normal duties and/or to provide necessary services to members and those who conduct business with TVDCTA.

### **B. REFUNDS**

1. Membership/horse registration refunds: The membership chairman must fill out either a credit or check request form with back-up paperwork attached, supporting the reason for the refund.
2. Requested refunds are refund payments specifically requested by the member:
  - a. A duplicate payment for a membership (This is only done if membership has not been processed, and only on a case by case basis, otherwise the membership is extended, with no refund).
  - b. Multiple GMO members may request a refund, declaring one GMO as their primary GMO. The request form is online and refunds are available from April 1 to August 1.
  - c. Other refund requests are handled on a case by case basis
3. Refund policy for TVDCTA-organized educational programs:
  - a. For participants: All funds or payment to participate in a TVDCTA program or event must be paid in full at the required time and date as noted on the registration information. All requests for refunds must be submitted to TVDCTA in writing via mail, fax, or e-mail at least 24 hours prior to the program or event for which the participant is registered to attend. No request for refunds will be taken by phone. No refunds will be issued if requested after the program or event has occurred unless absence was due to a medical reason or emergency. TVDCTA may retain a processing fee from the original payment to ensure all costs associated with participant's registration are covered. Refunds take four to six weeks to be processed and issued.
  - b.

### **C. REIMBURSEMENT**

1. Reasonable expenses related to work for a Committee may be reimbursed by TVDCTA after submission of a written request, accompanied by receipts and documentation of expenses.
2. All work by TVDCTA members is on a volunteer basis and expenses will not be paid by TVDCTA except by permission of the Board. Duties that are within the normal volunteer function will not be paid. Only special cases over and above expected volunteer services will be covered on a case-by-case basis, except cases that may be specified elsewhere in TVDCTA Policies and Procedures.
3. Any request for reimbursement must be made within the same fiscal year that the expense occurred. It is preferred that the request be made within 30 days of the occurrence.

### **III. TVDVTA BOARD**

#### **A. DUTIES**

1. The TVDCTA Board (the Board) must establish Committees and oversee on an ongoing basis Committees that support the mission of TVDCTA. The Board 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 Board, except as described in the by-laws.
2. The Board 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 Board approval. Committee size may vary and can be smaller as appropriate.
3. The President must describe, upon appointment, the responsibilities for ad hoc, task forces, working groups, and commissions.
4. The President may designate, with the approval of the Board, an official "contact" for the organization in a specific area that does not require the direct involvement. Committee contact is responsible for providing information to TVDCTA on a particular subject.
5. The Board must approve the appointment of sponsor representatives to Committees for which the respective sponsor has previously or is currently providing sponsorship.
8. All consultant financial relationships must be approved in advance by the Board.
9. The Board must review budgets and expenditures in order to ensure sound fiscal management of TVDCTA assets and continued financial solvency of TVDCTA.

#### **B. GUIDELINES FOR EXECUTIVE BOARD MEMBERS**

1. The Board must make decisions to enhance TVDCTA's mission and for the benefit of the membership as a whole.
2. The Board must arrive at meetings prepared, having read supporting material, ready to engage in thoughtful discussion.
3. The Board must actively participate in discussion.
4. The Board must encourage and respect the input of all Board members.
5. The Board must promote Board unity and confidence.
6. An Board member must inform the Board if he/she feels that an issue presents a conflict of interest for any Board member. Board members should not participate in discussion where there is a conflict of interest.
7. The Board must recognize that the President is the official spokesperson for the Board.
8. The Board must keep sensitive Board information confidential. The need for confidentiality shall be as determined by a majority of the Board or as directed by the President.
9. The Board must enhance USDF's public image.
10. The Board must encourage membership in USDF.
11. The Board must respond promptly to TVDCTA-related correspondence and telephone calls.
12. The Board must identify members with leadership ability as future Board members or Council and Committee Chairs.

#### **C. MEETINGS AND COMMUNICATION**

1. Minutes should be drafted by the Secretary or assigned TVDCTA staff as soon as possible after the meeting and reviewed by the President and Secretary. Ideally, this should occur within ten days of the meeting. After any correction to the minutes, the draft is submitted to the members of the Board for approval. Minutes may be approved via e-mail or at the next

scheduled meeting. The approved minutes shall be published on the TVDCTA website within 45 days of the meeting.

2. Minutes will be prepared to include the following information and in the following format: 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 President. 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 name of any abstaining or opposing member should be listed.
3. Persons invited in a consultant or advisory capacity may not vote. Invited guests may speak only at the request of the President.
4. The minutes of any telephonic meeting must reflect that a meeting was held electronically.
5. Meetings may be tape-recorded, at the request of the Secretary, for assistance in preparation of the minutes.

## **IV. COMMITTEES**

### **A. DUTIES**

1. Advise the Board on the relevant matters.
2. Present resolutions for action on policy and/or implementation of policy to the relevant Committee, Board.
3. Recommend programs and projects to the Board within established policies and budget.
4. Prepare 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 TVDCTA 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 Board.

### **B. GENERAL COMMITTEE POLICIES**

1. The President shall establish all TVDCTA Committees subject to the approval of the Board.
2. A Committee is composed of a chairman and designated Committee members. Committee Chair terms are for one year. Committee members are one year appointments. There are no Committee Chair or Committee member term limits.
3. If a Committee chooses to appoint a Vice-Chairman to their Committee, the Committee's recommendation must receive approval by the TVDCTA Board.
4. Ad hoc committees, working groups, commissions, or task forces are special committees established and appointed by the President, and approved by the Board, 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 Board.
5. Working groups may be established from time to time by the Board for a specific purpose. Such a working group must be appointed to investigate and recommend procedures for implementing new TVDCTA 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 Committee Chairs, as needed, or may be appointed by the President, and approved by the Board. Working groups are accountable to the entity that made the appointment.

7. When a Committee creates a working group, the Chair of the Committee will appoint the working group Chair. The Board 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 GMs in good standing of TVDCTA. Ex-officio, honorary or advisory members are not required to be USDF members.

10. Resignations from a TVDCTA Committee, prior to the end of the year, should be submitted to the Chair. 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.

11. Chairs and Committee members are required to act in good faith and in accordance with what they believe to be in the best interest of TVDCTA. They should discharge their responsibilities in a timely fashion without delegating such responsibilities to other Committees.

12. Attendance and active participation in meetings by Committee members is expected.

## **V. AWARDS**

### **A. GENERAL INFORMATION**

The TVDCTA offers several yearend awards for eligible members. Division champion and reserve champions are awarded at each dressage, jumping and CT level for JR/YR, AA, and Open divisions. Riders must be current members and also must complete at least four volunteer hours in order to be eligible for yearend rider awards.

Rider and volunteer awards will be calculated at the end of the year by a TVDCTA officer. No rider report is needed; however, it is recommended that all riders keep their official test sheets in case a mistake is made in the recording of scores. Rider scores and volunteer hours are available for viewing on the [Current Award Standings](#) page. TVDCTA officers are automatically given four volunteer hours for their service to the club, but can earn more hours by volunteering at (or in preparation for) events.

### **B. DRESSAGE AWARDS**

Awards will be given to the eligible riders with the highest calculated score. Each rider's score will be calculated as the average of all their scores from TVDCTA shows for a given level plus one point for each test ridden. Please see below for an example score calculation. Riders must be current members at the time scores were earned. Scores earned before membership renewal will not be counted towards year end score calculations.

For Example:

Jane Doe's Year End Score Calculations

1st Show: Intro A — 65%, Intro B — 63%

2nd Show: Intro B — 65%, Intro C — 62%

3rd Show: Intro C — 67%, Training 1 — 60%

Intro Level Year End Score =  $[(65+63+65+62+67)/5]+5=69$ .

Training Level Year End Score =  $[(60)/1]+1=61$

### C. JUMPER AWARDS

Awards will be given to the eligible riders with the highest calculated score. Each rider's score will be calculated as the average of all their scores from TVDCTA shows for a given level plus one point for each test ridden. A points based score will be awarded after each class based on class standings as follows:

First Place: 6 points

Second Place: 5 points

Third Place: 4 points

Fourth Place: 3 points

Fifth Place: 2 points

Sixth Place: 1 point

Please see below for an example score calculation. Riders must be current members at the time scores were earned. Scores earned before membership renewal will not be counted towards year end score calculations.

Jane Doe's Year End Score Calculations

1st Show: Schooling Jumpers - First Place

2nd Show: Schooling Jumpers – Second Place

3rd Show: Green Jumpers - First Place

Schooling Jump Year End Score =  $[(6+5)/2]+2 = 7.5$  points

Green Jump Year End Score =  $(6/1)+1=7$  points

### D. CT AWARDS

Awards will be given to the eligible riders with the lowest calculated score. Each rider's score will be calculated as the average of all their scores from 2015 TVDCTA sanctioned shows for a given level subtract one point for each test ridden. Please see below for an example score calculation. Riders must be current members at the time scores were earned. Scores earned before membership renewal will not be counted towards year end score calculations.

Jane Doe's Year End Score Calculations

1st Show: BN — 35

2nd Show: BN — 30

3rd Show: N — 45

BN Year End Score =  $[(35+30)/2]-2=30.5$

N Year End Score =  $[(45)/1]-1=45$

**E. VOLUNTEER AWARDS**

Volunteer award certificates are given to members who volunteer for at least four hours each year. Members who complete four hours are given one drawing ticket for a year end prize. Each extra volunteer hour, over the original four hours, is good for one extra drawing ticket, and each volunteer can decide which prize for which they'd like to be entered to win. Please see below for an example of how drawing tickets will be given. Prizes to be announced.

Jane Doe's Year End Volunteer Hours - 6 Total Hours  
 Receives Volunteer Certificate and 1 drawing ticket for 4 hours  
 Receives 2 additional drawing tickets for the extra 2 hours of volunteer time

**VI. DOCUMENT DESTRUCTION**

<u>Type of Document</u>	<u>Minimum Requirement</u>
Accounts payable ledgers and schedules	7 years
Audit reports	Permanently
Bank reconciliations	2 years
Bank statements	3 years
Checks (for important payments and purchases)	Permanently
Correspondence (general)	2 years
Correspondence (legal and important matters)	Permanently
Correspondence (with customers and vendors)	2 years
Duplicate deposit slips	2 years
Expense analyses/expense distribution schedules	7 years
Year end financial statements	Permanently
Insurance Policies (expired)	3 years
Insurance records, current accident reports, claims, policies, etc_	Permanently
Internal audit reports	3 years
Inventories of products, materials and supplies	7 years
Invoices (to customers, from vendors)	7 years
Minute books, bylaws and charter	Permanently

This schedule has been adopted from the National Council of Nonprofit Associations in order to be in compliance with the Sarbanes-Oxley Act.

**VII. TVDCTA CODE OF ETHICS AND CONFLICT OF INTEREST POLICY**

**ARTICLE I**

**PURPOSE AND INTRODUCTION**

Both the volunteers and the staff of the TVDCTA have an important responsibility to maintain a high standard of ethical behavior when conducting the affairs of the Organization.

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 all volunteers are required to comply with the following TVDCTA Code of Ethics when representing or participating in TVDCTA 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**

TVDCTA 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**

TVDCTA 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 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.
- e. Compensation includes direct and indirect remuneration as well as gifts or favors that are substantial in nature.

### **5. INAPPROPRIATE HOSPITALITY OR GIFT GIVING**

TVDCTA 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 TVDCTA entity that no conflict exists. In the case of volunteers, the remaining Board or Committee members, or where appropriate, the Board, shall decide 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.

### 3. 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, and expulsion from the Board, or Committee.
- b. If the Board has reasonable cause to believe that a member has failed to disclose an actual or possible conflict of interest, the appropriate entity shall inform the member 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 and making such further investigation as may be warranted in the circumstances, the Board 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 Board and all 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 decision as to whether a conflict of interest in fact existed, including, if known, the final result of any appeal on such a decision taken pursuant to the TVDCTA Committee Grievance Process, 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 Committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the TVDCTA for services is precluded from voting on matters pertaining to member's compensation.

## ARTICLE VI

### ANNUAL STATEMENTS

Each Board member, other Board-designated Council or Committee member, shall annually 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,

After acceptance of any volunteer position compliance with this code of ethics and conflict of interest policy is expected regardless of the timely filing of required affirmation or disclosure statements.

### **VIII. TVDCTA STATEMENT ON ANIMAL WELFARE**

The TVDCTA supports the concept of ethical treatment of animals. Any person deemed to be using excessive force or cruelty witnessed by 3 Board members can be disqualified and asked to leave the show grounds.

Dressage is a classical method of training horses, based upon the horse's natural responses, as carried out in a gradual, planned program during which the horse's athletic abilities are improved in a systematic manner. As a result, the horse becomes capable, comfortable, and responsive in partnership with the rider without the use of force. Dressage competition at various levels of achievement is the ultimate test of the training program to determine whether the desired harmony between horse and rider has been achieved. The rules pertaining to dressage competition prohibit the use of artificial appliances, training aids, and drugs which would force the horse to submit. Instead, the emphasis is upon training and a cooperative partnership with the rider. Major competitions are carefully monitored to assure that there is no unnecessary force or harshness displayed. Unlike other horse sports in which horses enter training at a relatively immature state, dressage training is usually not seriously begun until the horse is three or four. The top levels of achievement require five or more years of progressive training and it is not unusual to see horses in international competition in their late teens. This, in itself, places a premium on good care and soundness throughout the horse's life.

### **IX. TVDCTA STATEMENT OF PRINCIPLE**

TVDCTA is committed to good sportsmanship and developing a high standard of knowledge and skill in dressage and combined training. TVDCTA members are encouraged to:

1. Conduct themselves in an ethical, fair and sportsmanlike manner, and take responsibility for their actions while training and showing.
2. Treat competitors, instructors, competition management, officials and employees with respect and dignity.
3. Respect the integrity and judgment of equine caregivers and horse owners.
4. Observe and respect the rules, regulations and authority of the sports organizations that sanction each activity and competition.
5. Promote the spirit as well as the letter of the rules.
6. Protect the welfare of the horse during competition and in training.
7. Demonstrate proper preparation, training and fitness of horse and rider for the level at which they are competing.
8. Observe the highest standard of nutrition, healthcare and safety in the care of horses.