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# **POLICIES AND PROCEDURES**

## **I. GENERAL INFORMATION**

### **A. REGIONS**

1. The United States is comprised of nine United States Dressage Federation (USDF) regions.
  - a. Region 1  
Delaware, District of Columbia, Maryland, North Carolina, New Jersey, Pennsylvania, Virginia, Eastern West Virginia (Morgan, Berkeley, and Jefferson Counties)
  - b. Region 2  
Illinois, Indiana, Kentucky, Michigan, Ohio, West Virginia (except Morgan, Berkeley, and Jefferson Counties), Wisconsin
  - c. Region 3  
Alabama, Florida, Georgia, South Carolina, Tennessee
  - d. Region 4  
Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota, South Dakota
  - e. Region 5  
Arizona, Colorado, East Montana (zip codes of 59000 to 59399 and 59500 to 59599), New Mexico, West Texas (zip codes of 79800-99999), Utah, Wyoming
  - f. Region 6  
Alaska, Idaho, West Montana (zip codes of 00000 to 58999, 59400 to 59499, and 59600 to 59999), Oregon, Washington
  - g. Region 7  
California, Hawaii, Nevada
  - h. Region 8  
Connecticut, Maine, Massachusetts, New Hampshire, New York, Rhode Island, Vermont
  - i. Region 9  
Arkansas, Louisiana, Mississippi, Oklahoma, Texas (ex. West Texas) (zip codes of 80000 - 99999)

### **B. AFFILIATIONS AND MEMBERSHIPS**

1. USDF shall maintain an "Affiliated Association" membership with the United States Equestrian Federation, Inc., (USEF). USDF is recognized by USEF as the "International Discipline Association" or "FEI Affiliate" organization representing the disciplines of dressage and para dressage in the United States. The USDF Executive Board (EB) shall coordinate with USEF to ensure compliance by USDF with USEF rules and requirements for its FEI affiliates, including the following responsibilities:
  - a. Comply with and be bound by the USEF Bylaws and Rules, and decisions of USEF, including those of its Hearing Committee. (See USEF Bylaw 222, Section 1);
  - b. Pay annual fees and/or dues as provided in the USEF Federation's Rules;
  - c. Elect two USDF member representatives to the USEF International Disciplines Council no later than 60 days prior to the USDF Annual Meeting. USDF shall publish to its membership via its website, its election procedures for its representative(s) to the USEF International Disciplines Council, and provide the USEF with a link to those procedures. (See USEF Bylaw 311, Section 2);
    - i. USDF EB Management Committee will nominate individuals for election by the EB.
    - ii. USDF representatives will be elected by a majority vote of the organization's EB.

- iii. Only USDF Participating Members (PMs) in good standing are eligible for nomination.
  - iv. Nominees are not required to be members of the EB.
  - v. Representatives will not receive reimbursement for expenses related to attending USEF meetings.
  - vi. Representatives should agree to attend USEF meetings and conference calls.
  - vii. Representatives must communicate the position of the EB to USEF and report back to the Board.
  - viii. Representatives must have knowledge of and experience in equestrian sport, including competencies that enhance the mission of the USEF.
  - ix. One of the two USDF representatives must have knowledge and experience in para dressage.
  - x. Representatives will oversee the USEF national and international sport programs for the FEI disciplines.
  - xi. All International Discipline Council members must have both international experience, as defined by USEF Bylaw 331.2, and an understanding of the dynamics and diversity of the sport nationally.
  - xii. Nominees and representatives must disclose any potential conflict of interest as defined in both the USDF and USEF Conflict of Interest Policies with regard to any financial or other transaction involving either USEF or USDF.
  - xiii. In the event that a representative resigns or can no longer complete his term, the USDF President will recommend an eligible candidate for approval by the Management Committee and election by the EB to serve the remainder of the term.
- d. Appoint 33.3 percent of the USEF Dressage Committee, which is the Discipline Committee for Dressage, on the timetable established by USEF. (See USEF Bylaw 503, Section 1);
  - e. Appoint 33.3 percent of the USEF Para-Equestrian Sport Committee, which is the Discipline Committee for Para Dressage, on the timetable established by USEF (See USEF Bylaw 503, Section 1);
  - f. Submit to USEF copies, and updates as necessary, of USDF's organic governance documents;
  - g. Comply with any other USEF requirements for recognized FEI Affiliate organizations.
2. USDF, through the USDF Para Dressage Committee and when appropriate, will handle all duties of the USEF Para Dressage Affiliate.
  3. USDF shall maintain membership in the American Horse Council.
  4. USDF shall maintain membership in the Animal Welfare Council.
  5. All references to "Corporation" in this document refer solely to the United States Dressage Federation, unless noted to apply to other companies or USEF affiliate organizations.

## **II. GENERAL POLICIES AND PROCEDURES**

### **A. MISCELLANEOUS**

1. The USDF Conflict of Interest Disclosure Statement and Disclosure and Affirmation Statement must be submitted by every Executive Board (EB) member, Audit Committee member, staff member,

L Faculty, and Certification Examiners and Faculty annually. USDF L Faculty and Certification Examiners and Faculty must also annually submit a program specific Code of Conduct Statement. The designated entities shall provide any updates to USDF as often as necessary. Providing the information requested herein is prerequisite for participation by the designated entities. Refusal to provide the requested information or providing incomplete or inaccurate information may result in sanctions by USDF. (See Bylaws Art. V, Sections 1 and 8)

2. Unless another procedure is in place for a particular program, all waivers for any USDF rule or requirement must be approved by the President.
3. 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.
4. Formal proposals to outside organizations, such as USEF and The Dressage Foundation, must be approved by the USDF President. When such communication is necessary, the President must appoint someone to communicate on behalf of a committee or council with persons or organizations outside USDF (such as USEF, The Dressage Foundation). Members may express unofficial opinions as long as they are clearly identified as personal opinions rather than official statements made on behalf of USDF or its committees or councils. (For Sponsorship: See Ch. XI. Marketing, Section B)
5. USDF will not be held responsible for late, damaged or misdirected mail.
6. Editorial messages in regional newsletters should not be changed, by members of the EB or members of USDF staff, unless the Management Committee and the Executive Director believe there may be a legal issue with the content.
7. Agreements or contracts between USDF and clinicians or presenters, hired to conduct USDF programs or events, will include a standard code of conduct statement.
8. Editorial advisors for *USDF Connection* will be appointed and approved by the EB. It is the job of the editorial advisors to provide editorial direction.
9. Policy for submitting proposals to amend USDF Bylaws or USDF Policies:
  - a. The article, section and number of the section to be deleted, or proposed location of the text to be added, must be listed with each proposal.
  - b. Proposals should be shown in the order they appear in the document.
  - c. All proposed text to be deleted must be shown by “striking through” the words to be deleted.
  - d. All proposed text to be added must be shown in bold italics.
  - e. The reasons for proposed changes must be listed if not self-explanatory.
  - f. All proposed changes must be reported to the EB at its first meeting during the annual convention or during the USDF spring EB meeting.
  - g. All proposals must include the proposed effective date of the changes.
  - h. In order to assess the impact of proposals, the deadline to submit policy change proposals from staff and membership is 30 days prior to the first day of the annual convention or spring EB meeting. Bylaw change proposals should be submitted for review and formatting to both the Bylaws Committee and EB at least 60 days prior to the annual convention.

- i. Amendments to the proposed Bylaws changes must be given to the EB at least twelve hours prior to the USDF Board of Governors (BOG) meeting.
- j. ***Pursuant to Article XXV of the Bylaws, the Bylaws Committee shall “review and comment” on all proposed bylaw amendments submitted by any member.***
  - 1) ***The “review and comment” shall be limited to:***
    - a) ***Ensuring the form and format of the proposed amendment complies with the Policies and Procedures (see Section Art. II.A.9 Policies and Procedures);***
    - b) ***Ensuring the grammar and punctuation are appropriate for the intent of the amendment; and***
    - c) ***Ensuring the proposed amendment is submitted to the Executive Board for its “review and comment.”***
  - 2) ***In addition to the above, the Bylaws Committee may make comments, along with supporting reasons and justifications, to the proponent regarding the committee’s opinion as to:***
    - a) ***Whether the committee believes the proposed amendment will do what the proponent has intended; and***
    - b) ***Whether the committee believes the proposed amendment is appropriately written as a bylaw instead of a policy and procedure or other type of motion.***
    - c) ***Its possible impact on the organization.***

## **B. ANNUAL CONVENTION**

1. The BOG shall approve the minutes of the previous annual meeting of the BOG General Assembly as presented by the Secretary to the BOG at its annual meeting.
2. The annual meetings of the membership and BOG shall be held in Lexington, KY every two years, starting in 2025. When the meetings are not held in Lexington, KY, they will rotate between the Western United States (Pacific and Mountain Time Zones), the Eastern United States (Eastern Time Zone), and the Central United States (Central Time Zone). Sites may be up to 150 miles beyond each time zone border. The EB may, for cause, elect to deviate from this rotation schedule.
3. As close to the week after Thanksgiving as possible is the established date for the annual meeting.
4. To encourage a large attendance, the EB has established the following parameters for selecting convention sites. The site must:
  - i. be located within the continental United States,
  - ii. have a combined hotel and sales tax not to exceed fifteen percent,
  - iii. have at least 150 airline flight arrivals per day,
  - iv. have at least 900 members within 250 miles,
  - v. have a 45 minute or less drive from the airport to hotel,
  - vi. be close to restaurants and shopping,
5. USDF will not provide meeting space at the annual convention for any organization with which we do not have a direct affiliation nor shall any of those organizations’ meetings be part of USDF’s publicized agenda.
6. Delegates will have two opportunities each year at the annual convention to pick up their credentials for the BOG meeting, at which time they will be provided information on BOG protocol and the voting process.

7. The Adult Programs Committee will provide a list of potential speakers for the annual convention's featured education sessions, to be approved by the EB. Recommendations should be sent to the EB for approval at the prior USDF spring EB meeting for annual convention featured education sessions.
8. Only one closed educational activity for certified instructors trainers should be held during the annual meeting. If space or attendance is limited at any other meetings or activities for certified instructors trainers, Regional Directors (RDs) shall be afforded the option of extending invitations to participants from their respective regions.

### **C. INFORMATION TECHNOLOGY**

1. 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 councils, committees, or program information, except that USDF regions may have their own websites.
2. USDF will maintain generic e-mail addresses for EB 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 USDF-related e-mail is filtered through USDF anti-virus and spam filtering programs.

### **D. WAIVER OF LIABILITY**

With the exception of USEF-licensed/USDF-recognized competitions, USDF requires that a state-specific waiver of liability statement be included in all applications for a USDF organized or sanctioned event, as supplied in organizer guidelines or in applicable published forms. However, in states with no state-specific requirement, USDF requires that a standard waiver of liability statement be included.

### **E. TRANSPARENCY POLICY**

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

1. Executive Board (EB)
  - a) The President shall cause all materials submitted to the EB to be accessible to USDF delegates of record via a secure location. These materials will be published in a reasonable amount of time prior to any EB meeting except for:
    - i. Confidential personnel information;
    - ii. Confidential financial information;
    - iii. Privileged attorney work product or attorney client communications; or
    - iv. Material the President specifies not be published provided a majority of the EB must ratify this decision no later than 30 days of the President's specification or the information shall be published.
  - b) Except as specified in (a) above, the President shall cause minutes of all meetings of the EB to be published on the USDF website no later than 45 days of the meeting. Such minutes shall include votes on all motions and a summary of the arguments for and against the motions such that the membership may fully understand the actions of the EB.
  - c) With the President's approval, proposed Policies & Procedures edits will be posted on the website, and the USDF membership will be notified by e-mail of the posting no later than fourteen days prior to the spring and fall meetings.

2. Committees and Councils
  - a) The chair of each committee or council shall cause to be published on the USDF 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. Privileged attorney work product or attorney client communications; or
    - iv. 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 of the chair's specification or the information shall be published.
  - b) The following council and committee materials shall be published on the USDF website no later than seven days before the meetings as specified below:
    - i. Council and committee reports prepared for the spring EB meeting; and
    - ii. Council and committee reports prepared for the fall EB meeting;
  - c) The following council and committee materials shall be published on the USDF website no later than 45 days after the meetings as specified below:
    - i. Council and committee reports prepared for the annual BOG meeting.
3. In order to fulfill the transparency policy stated in Article II, Section 3 of the Bylaws, all members of the EB, councils, task forces, and committees may use their discretion to discuss items brought before such groups with the membership with guidance from the president or committee chair as applicable.

## **F. USDF NATIONAL ENDOWMENT RESOLUTION**

WHEREAS, members and friends of the United States Dressage Federation (hereafter referred to as "USDF") as well as corporations and foundations are willing and able to support the educational and other activities of the Federation through a variety of gift vehicles, including cash and securities and such deferred instruments as testamentary provisions, trusts, life insurance policies, real estate, and other property; and

WHEREAS, it is the desire of USDF, in accordance with its policies and consistent with its 501(c)(3) status, to encourage, receive, and administer these gifts in a manner faithful to the intentions of the donors; therefore be it

RESOLVED, that USDF, through action of its Executive Board ("EB"), confirms the establishment of a separate fund to be known as the USDF National Endowment ("the Endowment"); and be it further

RESOLVED, that the purpose of the Endowment is to enable USDF to more completely fulfill its educational opportunities and other programs and activities beyond what is normally possible through its annual operating budget, and that, therefore, distributions from the Endowment shall be limited to 1) its educational programs and activities; 2) seed funding for new educational programs and special one-time projects; 3) capital projects as may occur; and 4) such other purposes as are specifically designated by donors to USDF whose gifts are held in the Endowment, including the operating budget in the case of unrestricted or undesignated funds held in the Endowment ; and be it further

RESOLVED, that the Management Committee of the EB ("Management Committee") will establish, to the extent necessary, sub-accounts within the Endowment to accommodate named or restricted endowments given in support of specific USDF programs and activities, to include an account for funds that are unrestricted; and be it further

RESOLVED, that the Investment Working Group established by the EB will, in cooperation with the Management Committee, determine the proper financial custodian of the Endowment, which may be



the USDF itself, a bank or other financial institution, or a professional investment manager or firm; and be it further

RESOLVED, that the administration and management of the Endowment shall be governed by the three documents that are appended to this resolution and are integral components of this resolution, namely the Investment Guidelines, the Spending Policy, and the Gift Acceptance Policy; and be it further

RESOLVED, that, in the event the USDF ceases to exist, whether through merger, dissolution, or some other event, the disposition or transfer of the Endowment shall be at the discretion of the EB in conformity with the USDF constitution, by-laws and RESOLVED, that, in the event the USDF ceases to exist, whether through merger, dissolution, or some other event, the disposition or transfer of the Endowment shall be at the discretion of the EB in conformity with the USDF constitution, by-laws and all applicable restrictions on qualifying donees or recipients of Endowment assets or cash under federal tax laws and regulations, and the laws of Nebraska and Kentucky respecting non-profit entities.

The foregoing resolutions are hereby ADOPTED by the EB this 29<sup>th</sup> day of April, 2012.

## **G. SAFE SPORT**

USDF supports a dressage community where participants can learn, compete, and work in an atmosphere that is free of all forms of emotional, physical, and sexual misconduct. USDF encourages all those involved in dressage to become educated about Safe Sport best practices.

1. USDF will reciprocate all penalties issued by the US Center for Safe Sport regardless of sport designation of the individual found in violation.
2. USDF will work in partnership with USEF to promote Safe Sport Programs through the USDF website and other media avenues.
  - a. USDF will maintain a page on the website dedicated to Safe Sport.
3. The following individuals are required to complete the Safe Sport Training that is provided by the US Center for Safe Sport:
  - a. USDF Certified Instructors and Associate Instructors
    - i. It is required that the training be completed as part of the application process prior to a certification exam.
  - b. USDF L Graduates and Graduates with Distinction
    - i. It is required that all L Program candidates complete the training prior to taking a final exam.
  - c. Chairs and members of the following USDF committees:
    - i. National Youth Programs Committee
    - ii. FEI Youth Committee
    - iii. Instructor/Trainer Development Program Committee
    - iv. L Program Committee
    - v. Sport Horse Committee (this includes Youth Ambassadors)
  - d. Faculty members, instructors and examiners for the following programs:
    - i. Instructor/Trainer Program
    - ii. L Education Program
    - iii. Licensed Official Education and Pre-Requisite Programs
    - iv. Sport Horse Education Programs
  - e. Jr/YR and Youth Outreach Clinic Instructors

- f. Instructors for the Group Member Organization (GMO) Education Initiative Programs
  - g. Those interacting with athletes at NAYC, including:
    - i. Chef d'Equipes
    - ii. Coaches
      - 1. These are identified as having signed the USDF NAYC Liability Waiver
    - iii. Official Team Staff (this includes team coach, veterinarian, farrier or physio person)
    - iv. Any guest, groom or owner of an athlete requesting credentials
  - h. Licensed Official Training Program Applicants
  - i. USDF Staff
  - j. Members of the USDF EB
4. Any individual that is required by USDF to complete the Safe Sport Training that is provided by the US Center for Safe Sport who is not in compliance with this policy will not be able to continue in their designated role listed above.
5. Reporting allegations of misconduct will be handled as follows:
- a. Misconduct of a sexual nature must be reported to the US Center for Safe Sport and local authorities.
  - b. Misconduct of a non-sexual nature, including harassment, hazing, bullying, physical, or emotional misconduct, must be reported to the USEF Athlete Protection Team.
6. Once the initial Safe Sport Training is completed, the refresher course must be completed annually.
7. Any member or individual who is required by USDF to complete the Safe Sport Education & Training, and is a survivor/victim of abuse, may request an exception. Exemption requests will be considered on a case-by-case basis. Requests must be made in writing and submitted to [safesport@usdf.org](mailto:safesport@usdf.org).

### **III. FINANCIAL**

#### **A. GENERAL**

- 1. The fiscal year of USDF shall be April 1 to March 31.
- 2. At the annual convention, the Treasurer will present to the Board of Governors (BOG) an annual budget for operating expenses.
- 3. Contracts over \$7,500 must be approved, in advance, and signed by both the President and Executive Director. (See Ch. VII. Executive Board, Section B)
- 4. All payments for fees and services made to USDF must be in US Funds.
- 5. A finance charge of 1.5 percent per month will be assessed on open balances over 30 days.
- 6. Any member or non-member who has a past due financial obligation to USDF, according to the terms of USDF Policies and Procedures, and if such account has been sent to a collection agency for the collection of such fees, shall no longer be allowed to conduct business with USDF. Said person or organization will be allowed to resume the conduct of business with USDF upon the payment of all dues or any other financial obligations, including any and all applicable service charges and collection fees, and compliance with any other requirements necessitated by the

non-performance. Prepayment of fees may be required by USDF in order for said person or organization to conduct future business with USDF, at the discretion of USDF.

7. Fees charged by USDF for programs, services and penalties must be approved by the Executive Board (EB).
8. Any competition-related payment must be accompanied by the USDF Report of Fees document that is located on the USDF website and the Competition Manager's flash drive. USDF prefers debit or credit card payment for faxed or electronic submission of competition results at the time of submission, but, in all cases, payment must be submitted (postmarked, faxed or sent electronically) within ten days of the last day of the dressage or dressage sport horse breeding (DSHB) competition. Results for competitions held the last two weekends of September must be received in the USDF office by the third day following the last day of a single-competition or multi-competition event. A multi-competition event is defined as consecutive back-to-back competitions with more than one USEF/USDF competition number that are held at the same location with no non-recognized days between those competitions. Exception: for multi-competition events longer than six days, results must be received by the third day following each competition with a different competition number. Penalty fees will be assessed for late results and/or fees. (See Ch. VI. Competitions, Section H)
9. 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.
10. The USDF Investment Working Group provides guidance to the USDF investments account manager in the management of USDF investments. Approval by this working group is required for the transfer of funds. The USDF Investment Working Group is made up of the USDF Treasurer, President, Vice President, the Regional Director (RD) elected to serve on the Management Committee, the USDF Executive Director, and the Senior Director & CFO. Staff are non-voting members. (See VIII. Councils and Committees, Section D.5d)
11. The USDF investment representative will be present to provide an investment summary report at each EB meeting.
12. The Management Committee of the EB will manage the National Endowment Fund. (See Ch. VII. Executive Board, Section F.2)
13. Employees traveling on USDF business may request to carry a USDF credit card. The credit card may only be used for hotel room charges plus applicable hotel taxes, airfare, and transportation to and from the airports, car rental, meals and other pre-approved business expenses.
14. Travel and member expenses attributable to service to USDF are tax-deductible to the extent permitted by law. Members should consult their personal tax advisors.
15. Any individual in arrears on fees or dues to USDF, its regions, or Group Member Organizations (GMOs) 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. (See Ch. IX. Programs, Section A)

## **B. PRIVACY POLICY**

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

- USDF will take reasonable and appropriate measures to store non-public information, such as credit card information and social security numbers, in a secure and confidential environment.
- When no longer required, non-public information will be destroyed in a secure manner.

## **C. INVESTMENT FUND**

1. In the “unrestricted” portion of its investment portfolio, USDF shall maintain minimum equivalent of 25 percent or three months of the annual operating budget, and strive to build it to a 50 percent or six month level.
2. When the organization falls below the minimum three month/25 percent mark, active measures shall be taken to grow the fund back to the minimum three month/25 percent balance as quickly as possible, by including a cash contribution line item into the operating budget. The amount of that planned contribution is to be based on need and capability. The specific contribution amount is to be recommended by the Investment Working Group to the EB in concert with the budget planning process for the upcoming fiscal year/s.
3. To build the fund to a six month/50 percent reserve, the source of funding will come primarily from unrestricted fund investment returns, which will be reinvested into the fund. During years when the organization ends its fiscal year in the black, and has excess P&L cash, additional contributions may be made to the fund.
4. Cash contributions as outlined in point 3) will be made only after a separate cash operating account is established that will replace the operating bank line of credit. The balance of the cash operating account shall be built to a minimum of \$250,000. In essence, this will allow USDF to borrow from itself, rather than from the bank, to smooth out annual operational cash flow needs. It will also serve as a short term source of any rainy day funding before using funds from the unrestricted portion of the investment portfolio.
5. The investment fund discussed in points 1-3 will remain unrestricted and by definition can be used for any purpose, as approved by the EB.

## **D. REFUNDS**

1. Membership/horse registration refunds: The member services department coordinator must fill out either a credit or check request form with back-up paperwork attached, supporting the reason for the refund. Such requests require review and approval by the department director.
2. Automatic refunds are payments generated automatically by the USDF Member Services Department:
  - a. Lifetime Registration application submitted for a horse that is already Lifetime Registered to that owner.
  - b. Horse Identification Number (HID) application submitted for a horse that already has an HID to that owner.
  - c. Lifetime Registration application submitted for a horse that already has an HID to that owner (amount overpaid will be refunded).

- d. HID application is submitted for a horse that is already Lifetime Registered to that owner.
3. 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. An example of an exception would be a person who recently registered a horse and the horse suddenly died within days of the application. The department director must authorize such exceptions.
  4. Refund policy for USDF-organized educational programs:
    - a. For participants: All funds or payment to participate in a USDF 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 USDF 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. Prior to January 1, 2005, no refunds will be issued if requested after the program or event has occurred unless absence was due to a medical reason or emergency. No refunds will be issued if requested after the program or event has occurred. USDF will 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. For riders: Riders who cancel after confirming their participation and sending payment to ride in a USDF event or program will receive a refund, minus a \$25 processing fee, only in the event a replacement rider can be found by USDF. Riders who must cancel due to medical or veterinary reasons may receive a refund if USDF is properly notified in writing, via mail, e-mail or fax, including veterinarian or physician statement. If no replacement is available, the rider will not receive a refund.
    - c. Tickets for food functions and pre-arranged transportation tickets are non-refundable.
  5. Refund policy for USDF organized events:
    - a. For the USDF annual convention and USDF FEI Level Trainers Conferences: All requests for refunds must be received in the USDF office in writing no later than two weeks prior to the event. An administrative fee of \$25 will be deducted from the refund.
    - b. Tickets for food functions and pre-arranged transportation tickets are non-refundable.
  6. USDF does not refund USDF Competition Affidavit fees.
  7. For a Lifetime Registration application submitted for a horse that is already Lifetime Registered to another person, USDF instructs the new owner to complete the transfer process. When the transfer is completed the applicant is refunded the amount overpaid.
  8. For an HID application submitted for a horse that already has an HID with another person, USDF instructs new owner to complete the transfer process. When the transfer is completed the applicant is refunded the amount overpaid.
  9. For a Lifetime Registration application submitted for a horse that already has an HID with another person, USDF instructs the new owner to complete the transfer of the HID and then upgrade to a Lifetime Registration. Once the transfer is complete, the owner is refunded the amount overpaid.

10. USDF does not refund USDF regional championship qualifying fees to competitors for any reason.
11. USDF regional championship qualifying fees collected from competitors and submitted by competition management to USDF will not be refunded.
12. If a competition is cancelled for any reason, competition recognition fees will not be refunded; however, if USEF approval is not granted, USDF competition recognition fees will be refunded (including USDFBCS fees).
13. Once a competition has been licensed by USEF and recognized by USDF, there will be no refund of the USDFBCS application fee, even if USDFBCS classes are not held. Exceptions to this policy may be made in the event competitions applied to host USDFBCS qualifying classes prior to series final competition scheduling, with the intended qualifier occurring after the series final competition, or if a series final were to be awarded to a different location.
14. USDF does not refund USDF non-member fees collected at competitions.

## **E. REGIONS**

1. Each region shall maintain a regional account with the USDF office. Signatures of the RD, regional treasurer or program contact/coordinator and the Executive Director are required to withdraw funds. Funds in a regional account are interest-bearing.
2. In order to protect the tax deductibility to the donor, direct contributions to USDF to be used by the regions must be deposited to regional accounts.
3. Contributions from donors for specific regional purposes, such as regional championships, must also go directly into regional accounts and must be used as designated by the contributor within the IRS guidelines.
4. USDF activities sponsored by a region should have income and expenses funneled through the regional account, if at all possible.
5. It is recommended that regions develop a budget, long-term plan and goals for their regional accounts.

## **F. GRANTS AND PROGRAMS**

1. Fees or changes in fees for organizing or attending USDF programs or events require approval of the USDF EB.
2. 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.
3. There may be a program registration fee for USDF programs held at the local level, which require USDF administrative assistance. Youth Regional Team Competitions are exempted. (See Ch. IX. Programs, Section A)
4. Payment is required in advance for participation in any USDF program or event in accordance with established program guidelines.

5. USDF will charge a \$50 declaration fee to Juniors and Young Riders declaring their intent to try out for their Regional North American Youth Championships (NAYC) team during the initial application period. A declaration fee of \$100 will be charged to Juniors and Young Riders declaring their intent during the second application period. The final application period will charge a declaration fee of \$300 to Juniors and Young Riders declaring their intent after the posted second deadline, but before the final cutoff date that a declaration can be received in the USDF office.
6. USDF will oversee the Ruth Arvanette Memorial GMO Grant to help fund the attendance of Group Members (GMs) to the USDF Annual Convention. Criteria for the grant are published on the USDF website or may be requested from the USDF Member Services Department.
7. Grant money will be paid to the organizer of a regional championship, one-half before the competition, after a signed contract has been received in the USDF office, and the remaining one-half post-competition, after all results have been submitted, banners and other materials have been returned, and all provisions of the contract have been met.
8. USDF will supply USDF banners to USDF University sanctioned programs and certified instructor testings, only upon the request of the organizer. All banners must be returned by the organizer following the USDF sanctioned program. Failure to return all USDF banners within 30 days of the event will result in a \$100 replacement fee and the possible forfeiture of any available financial grant for that program.

## **G. REGIONAL CHAMPIONSHIPS**

1. USDF is required to pay prize money for USDF regional championships within 30 days after the last day of the show.
2. Prize money for USDF regional championships will be rounded to the nearest whole dollar.
3. The \$10 prize money portion from regional championship qualifying fees will be equally distributed among all the regions.
4. Based on the \$10 fees, each championship class offered will receive an equal amount of prize money for three championship divisions (Open, Amateur, Jr/YR).
5. USDF collected prize money not paid out, for whatever reason, shall be returned to the USDF prize money fund.
6. The amount of prize money to be paid out is calculated according to the following formula:
  - a. Total amount in qualified ride fees from December 1 of two years preceding to November 30 of year preceding the championships divided by two = X;
  - b. Unawarded prize money from previous year + X = Y;
  - c. Y divided by total number of regions = Z;
  - d. Z divided by the total number of classes and all divisions offered = prize money per class;
  - e. Champion receives 60 percent (rounded up to whole number) of prize money per class;
  - f. Reserve Champion receives 40 percent (rounded up to whole number) of prize money per class.
7. All prize money will be awarded to the recorded owner of the horse.

8. Grant money allocated to each regional championships will be distributed one-half in advance, upon receipt by the USDF office of the executed regional championship licensee's contract, and one-half after the competition, provided that all requirements to USDF have been met.
9. Staff, with input from the Regional Championships Committee chair or appointed committee representative, shall oversee the selection, style, and sizing of the championship prizes.
10. Regional championship qualifying ride fees will be allocated 20% to the US Dressage Finals, 50% to regional championship prize money, and 30% to regional championship administration.

#### **H. REIMBURSEMENT**

1. Reasonable expenses for telephone calls and postage related to work for a 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.
2. Program or project budgets may not include reimbursement for travel or printing/copying expenses or fees for members of the council or committee. Other than expenses for telephone calls or postage, other reasonable expenses may only be reimbursed if approved, in advance, by the Executive Director or EB.
3. All work by USDF members is on a volunteer basis and expenses will not be paid by USDF except by permission of the Executive Director. Duties that are within the normal volunteer function will not be paid for. 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 USDF Policies and Procedures.
4. 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.

#### **I. FEES COLLECTED AT USDF/USEF COMPETITIONS**

1. In order for a USDF GMO to impose a mandatory fee on competition entry forms for USEF-licensed/USDF-recognized competitions in their region, the following conditions must be met in order to comply with USEF GR1210.14 on Collection of a Mandatory Participation Fee.
  - a. USDF will provide USEF with its policy to send to USEF Alliance Partners that state they are USDF GMOs and submit applications to collect a Mandatory Participation Fee at USEF-licensed Dressage Competitions.
  - b. The GMO must be a current USEF "Alliance Partner" in good standing at the time of application through the end of the competition year.
  - c. The GMO must remain in good standing with USDF from the time of application through the end of the USDF membership year and USEF competition year.
  - d. The GMO must submit to USEF and USDF all information required in the "USDF Policy for Collection of a Mandatory Participation Fee by a USDF GMO" prior to consideration by USDF of the request.
  - e. USDF will not consider applications from licensees or organizations with any other category of membership with USDF, including Business Memberships.
  - f. USDF will not approve collection of fees for any other category of USEF competition including Regular Competitions holding Dressage.



- g. Only one fee per horse/rider/handler/owner combination may be collected at any competition and the fee may be no greater than \$5.00.
- h. USDF requires the following information prior to consideration of applications:
  - 1) Name of GMO and names of officers
  - 2) Geographical location
  - 3) Proposed use of funds collected. Funds must directly benefit participants (riders and owners) in licensed competitions where fees are collected and must have the potential to benefit all competitors regardless of USEF/USDF membership status, GMO, USDF region or nationality.
  - 4) Detailed budget for use of funds collected.
  - 5) Competition Licensee status. If USEF/USDF licensee, list name(s) of competitions and list which are USEF/USDF Dressage Competitions.
  - 6) List number of non-USEF/USDF licensed competitions organized by GMO.
  - 7) List names of all USEF/USDF licensed Dressage Competitions at which applicant proposes to collect fees. If GMO is not the licensee of any competition on the list, must provide a letter from licensee agreeing to collect a mandatory fee on behalf of GMO from all participants, if application is approved and submit amount to the GMO in compliance with GR1210.14.b.
  - 8) Tax status and name of signature on tax return
  - 9) List of any fees collected in previous year and listed on tax return as a separate schedule. (Disclose payment of those fees as a line item on the miscellaneous schedule of expenses on the Federal tax return.
- i. All licensees must agree to submit reports to USEF in compliance with GR1210.14.b.
- j. GMOs must certify to the USDF through a certification form to be provided by the USDF outside auditors that they assume any and all liability with regards to compliance and submission of funds and proper documents as required and hold the USDF harmless.
- k. GMOs must agree to provide USDF an annual accounting by the end of the USEF competition year (November 30) listing the total amount collected from each competition and an accounting of how the money was used. If not yet spent, must list date when report will be submitted.
- l. Must provide proof the previous year's funds were used as stated on previous year's application and must list amount collected vs. amount paid out previous year.

- 2. USDF will consider applications from USDF regions for collection of voluntary fees (donations) at USEF/USDF licensed Dressage Competitions. Applications must be submitted at least 90 days prior to the first competition where donations would be solicited. Application must be submitted and collected, if approved, in compliance with Policy III.I.1.f, g, h(3), h(4) and I. Regions must list names of all USEF/USDF licensed Dressage Competitions at which they propose to collect donations and must provide a letter from each licensee agreeing to collect donations on behalf of the region and submit them to the regional treasurer for deposit in the region's USDF account if application is approved. Regions must provide a complete accounting to the USDF office showing detailed receipts listing shows and amount of funds collected.

## **J. SOLICITATION OF FUNDS BY REGIONS, COUNCILS AND COMMITTEES**

- 1. Regions often host regional fundraising events or procure sponsors for regional events and programs. In order for these sponsors, donors, and funds to be correctly processed by USDF and to ensure all sponsors and donors are properly thanked and receive tax-deduction information, the following guidelines should be followed by regions when depositing these funds into the regional account.

2. For funds raised through events or programs as regional income, or for funds raised in the form of regional donations:
  - a. Funds generated by or for regional programs, events or competitions as income should be deposited into the region's USDF account. The following procedure should be followed when depositing funds raised as income into the regional account:
    - i. All profits or funds raised from regional programs, events or competition activities, or funds raised in the form of regional donations, must be sent to USDF by the RD or regional treasurer with a regional account deposit form, and must be clearly marked for deposit in the appropriate regional account. regional account categories include: Adult Education, FEI Junior/Young Rider, Championship, General Education, General Funds, Junior, other.
    - ii. The checks must be made payable to: "USDF Region #".
    - iii. If a donation, the check's memo field should read, "\_\_\_\_\_ donation" indicating the category in which the funds should be deposited. If not a donation, the memo field should indicate the event or program for which payment is made.
    - iv. The check should be accompanied by a regional account deposit form. Section A of deposit form should be completed to account for all funds.
    - v. The check will then be deposited in that region's bank account, with the amount designated for the appropriate regional account category as listed above.
  - b. Donations procured by regions are tax deductible. However, funds generated from sources other than donations are not tax deductible.
    - i. All donations should be entered in Section B of the regional deposit form.
    - ii. If requested on the regional deposit form, Section B, USDF will send acknowledgement to the donor. If the regional deposit form does not indicate USDF should send acknowledgement to the donor, no acknowledgement will be sent from the national office and the RD must ensure proper acknowledgement has been sent to the donor at the regional level, either by the RD, or a regional representative appointed by the RD.

## **IV. MEMBERSHIP**

### **A. GROUP MEMBER ORGANIZATIONS (GMOs) AND GROUP MEMBERS (GMs)**

[Also see Bylaws, Article V, Section 2]

1. Membership rosters and dues, and the name of the official USDF contact of each GMO, are due in the USDF office by December 1. Rosters must be faxed, e-mailed, submitted online via the USDF website, or USPS postmarked on or before December 1, along with dues, in order to avoid late penalties. Dues may be paid by credit card or check. Groups submitting delinquent membership rosters and corresponding dues will be fined based on the previous year's membership as follows: fewer than 75 members, \$25; from 75 to 174 members, \$50; from 175 to 499 members, \$100; and 500 or more members, \$500.
2. The Group Membership year will be from December 1 through November 30 and dues will be accepted through November 30. Memberships received after September 1 which are to be applied to the current membership year must be clearly marked with the year indicated. If the year is not indicated, the memberships will automatically be applied to the following membership year (membership will be effective December 1).
3. A GMO will pay an initial fee of \$25 and submit a roster of its dues-paying members. Group Member Organizations are not required to have 25 members at the time the initial roster is submitted, but must meet this requirement by September 1 of the current membership year. In

order to have voting rights at the annual convention for the current year, current membership rosters and dues of new GMOs shall be submitted to the USDF office prior to September 1 of each year, along with the minimum number of 25 members, as required in USDF Bylaws. (USDF Bylaws, Article V, Section 2)

4. A GMO shall pay annual dues to USDF of \$25 per member on the basis of per capita assessment of its dues-paying members as listed in the current roster. All members of the GMO shall be included on the roster and dues paid for each member. USDF offers a Family Membership category. A family is defined as individuals in an immediate family who either live at the same address or who have the same legal address. For each Family Membership submitted, one member must be designated as the Primary Family Member and all others will be considered Supporting Family Members and must be designated as such on the roster. A GMO shall pay annual dues to USDF of \$25 per Primary Family Member and \$12 for each Supporting Family Member. Corrections and addition to membership rosters shall be filed at least quarterly, monthly is recommended. Rosters received after September 1 of the current membership year must be clearly marked as to which year the memberships should apply. If a year is not indicated with the roster, the memberships will automatically be applied to the following membership year (membership will be effective December 1). GMOs will be notified of their credit/balance due and all current membership year balances must be paid no later than December 31 following the end of the membership year.
5. All USDF GMO Family Members are considered GMs of USDF, whether Primary or Supporting, and are counted toward the GMO's voting strength at the Board of Governors (BOG).
6. GMO rosters are sent out electronically each year along with instructions for updating and resubmitting. GMOs may request a hard copy of their roster by contacting the USDF office.
7. GMOs shall submit the GMO Affiliate Verification Form annually to the USDF office, signed by the GMO's President, prior to December 1. By submitting this form, the GMO agrees to participate as an affiliated club with USDF for the following membership year, as well as comply with USDF Bylaws and Policies and Procedures. If the GMO Affiliate Verification Form is not submitted by December 1, the GMO will be removed from the USDF website. The GMO's listing will be added to the USDF website once the form has been received in the USDF office with the appropriate signature.
8. USDF GMs belonging to more than one GMO and desiring a refund of the USDF portion of multiple GM dues should contact USDF in writing between April 1 and August 1 of the current year. (GMO Supporting Family Members are not eligible.) A primary GMO for voting purposes must be declared in writing at the same time. Dues for a primary GMO are non-refundable. GMs who have received refunds will not be counted in the number of members used to determine voting strength of a GMO in the BOG meeting at the annual convention.
9. GMs receive a GM card from USDF, unless they are also a Participating Member (PM) or unless their GMO has chosen to opt members out of GM cards printed by USDF.
10. GMs receive a subscription to the *USDF Connection* and the *USDF Member Guide*. For each Family Membership, only the Primary Family Member will receive a copy of the *USDF Connection* magazine and *USDF Member Guide* to the Primary Family Member's address.
11. GMs are eligible for USDF Rider Award Programs.
12. GMs are eligible to receive member discounts at USDF events.

13. GMs receive a discount on merchandise through the USDF store. (Some exclusions may apply.)
14. GMs are eligible to receive USDF University credits by attending USDF University accredited events.
15. GMOs shall print on the first page of each newsletter and on their membership application the following statement: [Name of organization] is a USDF GMO and all members are automatically USDF GMs. For USDF PM, members must apply directly to USDF.
16. A postage surcharge, according to current postal rates, for members outside of the United States will be assessed for members who wish to receive USDF mailings. (Currently \$15)

## **B. PARTICIPATING MEMBERS (PMs)**

[Also see Bylaws, Article V, Section 3]

1. Membership shall begin upon the date the application form and all correct fees are received by the USDF office, and shall expire on the following November 30, except as otherwise noted in classifications. The membership year for renewing members begins on December 1.
2. USDF will not be held responsible for late, damaged or misdirected mail.
3. Once the membership has been processed, no membership refunds will be given unless approved by the department director. If a current member pays for an additional membership, the membership term will be extended an additional year.
4. Classification of PMs
  - a. Life PM - \$2000
  - b. Five -Year PM - \$400
  - c. One -Year PM - \$100
  - d. One -Year Youth PM - \$80; Members who have not reached their 21<sup>st</sup> birthday by the first day of the membership year (December 1) for which they are applying.
5. One -Year Participating and One -Year Youth PMs will receive a USDF membership card every year, and Life and Five -Year PMs will receive one card, with unlimited replacement cards (limit one card per year) at no charge for the duration of their membership.
6. PMs are eligible to receive member discounts at USDF events.
7. PMs receive a discount on merchandise through the USDF store. (Some exclusions apply.)
8. PMs are eligible to receive USDF University credits by attending USDF University accredited events.
9. PMs are eligible to participate in all award programs and regional championship qualifying and championship classes.
10. PMs receive a subscription to *USDF Connection* and the *USDF Member Guide*.
11. Candidates for delegates to represent the PMs on the USDF BOG shall be nominated by sending the names of nominees to the Nominating Committee representative from the respective region, the Nominating Committee Chairman, or the Nominating Committee staff liaison by April 15 [Bylaws, Article V, Section 3f]. PM delegate nominees must accept their nomination no later than April 30 to appear on the voting ballot. A ballot shall be provided to each PM electronically (or by paper ballot upon request) by June 1 [Reference Bylaws, Article XII, section 6h]. The Executive Board (EB) may extend these deadlines.

12. A postage surcharge, according to current postal rates, for members outside of the United States will be assessed for members who wish to receive USDF mailings. (Currently \$15)

### **C. EDUCATION MEMBERS (EMs)**

- a. Membership shall begin upon the date the online application and correct fees are submitted and shall expire 12 months from the date on which the membership was applied.
- b. Education membership is an online only membership.
- c. Education members will not receive hard-copy materials mailed from the USDF office.
- d. Once the membership has been processed, no membership refunds will be given and dues paid for Education Membership will not be applied toward any other USDF membership type.
- e. Classification of EMs
  - i. Adult Education Membership - \$35
  - ii. Youth Education Membership - \$10. Members who have not reached their 21<sup>st</sup> birthday by the date of membership application.
- f. EMs are eligible to receive member discounts at USDF events.
- g. EMs are eligible to receive USDF University credits by attending USDF University accredited events.
- h. EMs receive a discount on merchandise through the USDF store. (Some exclusions apply.)
- i. EMs will have access to the online *USDF Connection*.
- j. EMs will have access to USDF's online educational materials.
- k. EMs will receive discounts through USDF's Member Perks Partners.
- l. Education Membership does not make one eligible to compete at USEF-licensed/USDF-recognized events. An EM must pay the USDF non-member fee in order to compete at a USEF-licensed/USDF-recognized competition, except in exempt classes.

### **D. BUSINESS MEMBERS (BMs)**

[Also see Bylaws, Article V, Section 4]

1. Membership shall begin upon the date the application form and all correct fees are received by the USDF office, and shall expire on the following November 30, except as otherwise noted in classifications. The membership year for renewing members begins on December 1.
2. One -Year Business Membership - \$280
3. BMs receive a USDF membership card, a subscription to the *USDF Connection*, the *USDF Member Guide*, a business listing on the USDF website, member discount rate for USDF events, discount on merchandise in the USDF store, trade show booth discount, advertising discount and eligibility to rent the USDF mailing list.
4. A postage surcharge, according to current postal rates, for members outside of the United States will be assessed for members who wish to receive USDF mailings. (Currently \$15)

### **E. INTERNATIONAL GROUP MEMBER ORGANIZATIONS (GMOs)**

[Also see Bylaws, Article V, Section 5]

1. Membership rosters and dues, and the name of the official USDF contact of each International GMO, are due in the USDF office by December 1. Rosters must be faxed, e-mailed, submitted online via the USDF website, or USPS postmarked on or before December 1, along with dues, in order to avoid late penalties. Dues may be paid by credit card or check. Groups submitting delinquent membership rosters and corresponding dues will be fined based on the previous year's

membership as follows: fewer than 75 members, \$25; from 75 to 174 members, \$50; from 175 to 499 members, \$100; and 500 or more members, \$500.

2. The International Group Membership year will be from December 1 through November 30 and dues will be accepted through November 30. Rosters received after September 1 of the current membership year must be clearly marked as to which year the memberships should apply. If a year is not submitted with the roster, the memberships will automatically be applied to the following membership year (membership will be effective December 1). An International GMO will pay an initial fee of \$25 US dollars and submit a roster of its dues-paying members. International GMOs are not required to have 25 members at the time the initial roster is submitted, but must meet this requirement by September 1 of the current membership year.
3. An International GMO shall pay annual dues to USDF of \$25 US dollars per member on the basis of per capita assessment of its dues-paying members as are listed in the current roster. All members of the International GMO shall be included on the roster and dues paid for each member. USDF offers a Family Membership Category. A family is defined as individuals in an immediate family who either live at the same address or who have the same legal address. For each family membership submitted, one member must be designated as the Primary Family Member and all others will be considered Supporting Family Members and must be designated as such on the roster. An International GMO shall pay annual dues to USDF of \$25 per Primary Family Member and \$12 for each Supporting Family Member. All USDF International GMO/GMO Family Members are considered GMs of USDF. Corrections and additions to membership rosters shall be filed at least quarterly, monthly is recommended. Rosters received after September 1 of the current membership year must be clearly marked as to which year the memberships should apply. If a year is not submitted with the roster, the memberships will automatically be applied to the following membership year (membership will be effective December 1). International GMOs will be notified of their credit/balance due and all balances must be paid no later than December 31 following the end of the membership year.
4. International GMO rosters are sent out electronically each year, along with instructions for updating and resubmitting. International GMOs may request a hard copy of their roster by contacting the USDF office.
5. USDF GMs belonging to more than one GMO or International GMO and desiring a refund of the USDF portion of multiple Group Membership dues should contact USDF in writing between April 1 and August 1 of the current year. (GMO/International GMO Supporting Family Members are not eligible.)
6. International GMs receive a subscription to the *USDF Connection* and the *USDF Member Guide*. For each Family Membership, only the Primary Family Member will receive a copy of the *USDF Connection* magazine and *USDF Member Guide* to the Primary Family Member's address.
7. International GMs are eligible for USDF Rider Award Programs.
8. International GMs receive a GM card from USDF, unless they are also a PM or unless their International GMO has chosen to opt members out of GM cards printed by USDF.
9. International GMs are eligible to receive member-discounts at USDF events.
10. International GMs are eligible to receive USDF University credits by attending USDF University accredited events.

11. International GMs receive a discount on merchandise through the USDF store. (Some exclusions apply.)
12. International GMOs shall print on the first page of each newsletter and on their membership application the following statement: [Name of organization] is a USDF International GMO and all members are automatically USDF GMs.
13. International GMOs shall not be entitled to voting representation on either the EB or the USDF BOG.
14. A postage surcharge, according to current postal rates, for members outside of the United States will be assessed for members who wish to receive USDF mailings. (Currently \$15)

## **F. MEMBERSHIP POLICIES**

1. The following must be current PMs of USDF in good standing:
  - a. EB members
  - b. Council and committee chairpersons
  - c. Audit Committee members
  - d. Participants in designated USDF programs (see Section IX. A)
  - e. PM delegates
  - f. USEF Dressage Judges, Dressage Sport Horse Breeding Judges, and Dressage Technical Delegates
  - g. USEF/USDF Dressage Judge, Dressage Sport Horse Breeding Judge, and Dressage Technical Delegate Training Program applicants
2. The following must be current GMs or PMs of USDF in good standing:
  - a. Committee members
  - b. Competition managers and secretaries of USDF recognized competitions. Exception: The Competition Manager of FEI-designated Championships is exempt from USDF membership requirements.
  - c. GMO delegates (must be GMs)
3. Group Member officials, (President, Vice President, Secretary, Treasurer, Roster Contact, Official Contact, Jr/YR Contact, and Education Contact) submitted to the USDF office must be current GMs of the GMO they represent and in good standing with USDF.
4. USDF will extend two complimentary tickets to the salute gala, for the year awarded, along with one hotel room for two nights at the host hotel, to USDF Hall of Fame (HOF) award recipients. Lifetime Achievement award recipients will receive two complimentary tickets to the salute gala, for the year awarded. USDF will also extend Lifetime PM status and complimentary lifetime registration to the USDF Annual Convention with full privileges to all living inductees into the USDF HOF and Lifetime Achievement award winners.
5. USDF will extend two complimentary tickets to the salute gala, for the year awarded, to the USDF Volunteer of the Year and Youth Volunteer of the Year award recipients. USDF will extend complimentary convention registration to the USDF Volunteer of the Year for the year in which they receive the award.
6. USDF will extend two complimentary tickets to the salute gala, for the year awarded, to the USDF Member of Distinction award recipient.

7. USDF will extend complimentary registration to the regional GMO Volunteers of the Year for the following year's convention.
8. Living riders who have been members of a U.S. Olympic or Paralympics dressage team will be made Lifetime PMs of USDF, and will receive a lifetime complimentary registration to the annual convention, with full privileges, and recognition in the USDF National Education Center. Effective with the 2004 Paralympic Games, members of a U.S. Paralympics dressage team will receive the same benefits as members of a U.S. Olympic dressage team.
9. Any individual or USDF member once known by USDF to be suspended by the United States Equestrian Federation, or while under sanction by the US Center for Safe Sport, will be considered not in good standing with USDF during the period of suspension or sanction. Any individual or member not in good standing shall not be entitled to rights and privileges afforded to those in good standing and will be ineligible to attend or participate in USDF programs, events, or activities. (See USDF Bylaws, Article V. Section 1. Member in Good Standing).
10. People who hold USDF positions such as council or committee chairs, delegates, L faculty members, instructor workshop 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.
11. Non-renewal of membership will result in removal of any USDF L graduate's name from any USDF publications listing L graduates, including the USDF website and for any period of lapsed membership.
12. Non-renewal of membership will result in omission of names of USEF-Licensed Officials from USDF publications listing licensed officials, including the USDF website.
13. Non-renewal of membership will result in omission of the USDF Certified Instructor's and USDF Associate Instructor's name from USDF publications listing USDF Certified Instructors and USDF Associate Instructor's, including the USDF website.
14. A notice should appear in the *USDF Connection* annually and a form placed on the USDF website that multiple GMO dues may be requested to be refunded.
15. The fee for replacing membership cards is \$10 for all categories, including Participating, Business, and Group Members. Members have 45 days, upon receipt of their membership card, to report any errors to USDF and receive a replacement card at no cost. After 45 days, the error will be corrected and the member can purchase a new card for \$10. Members have 60 days, from the date their renewal is received in the USDF office, to inform USDF that the card has not been received. If USDF has been notified within 60 days, a new card will be printed and mailed at no cost. After 60 days, the member may purchase a card for \$10.
16. Membership contact information is confidential and is only released under the following circumstances:
  - a. If the member is on an official published USDF list or serves in an official governance capacity.
  - b. As part of a mailing list for the purpose of hard copy mailings, per the list rental policy (See Ch. XI. Marketing, Section D).
  - c. E-mail lists are not made available for purposes other than communication between individuals serving in an official governance capacity.
  - d. With the exceptions outlined in a., b., and c. above, communications to members, using contact information in the USDF database, is to be facilitated only by the USDF office.



- e. Members who do not wish to have their contact information released per a. and b. above, must contact USDF and request that their name and contact information be removed from these lists.

17. Any participant in a USDF recognized competition must have at least a USDF Non-Member Identification Number and pay the USDF Non-Member fee, except a handler in DSHB classes, or riders and owners competing in classes which are exempt from USDF HID requirements. Non-member ID cards can be downloaded from the USDF website.

## **V. HORSE REGISTRATIONS**

1. Ownership of a horse will be recorded with USDF as it is submitted on required forms and/or documentation, as outlined in the USDF Policies and Procedures. Ownership of a horse, as recorded with USDF, is intended for USDF purposes only. The recording of an owner, or owners, of a horse with a USDF Horse Identification Number (HID) or USDF Lifetime Horse Registration does not assume or imply legal ownership of the horse. USDF will not become involved in ownership disputes.
2. USDF HID and USDF Lifetime Horse Registration are one-time identifying numbers issued by USDF.
3. It is the responsibility of the owner to ensure that a horse does not already have a USDF registration in place when applying for a USDF HID or USDF Lifetime Horse Registration. A new USDF number will not be assigned to a horse that has an existing USDF HID or USDF Lifetime Horse Registration. Refer to V. Horse Registrations, Section 16, for complete transfer of ownership instructions.
4. Horses entered in USEF-licensed/USDF-recognized competitions must have either a USDF Lifetime Registration or a USDF HID. Exception: Horses competing only in Individual Breed Classes (IBCs) at DSHB competitions, sires and dams of horses in DSHB group classes, where those sires or dams are not actually competing in the same competition, horses competing only in breed restricted dressage or DSHB classes at regular competitions (e.g. all Arabian, all Friesian, or all Morgan classes), or in USDF Introductory Level tests, pas de deux, or quadrille, are exempt from this requirement. Also exempt are horses ridden in leadline, exhibitions, games and races, classes for 4-H members, walk-trot, academy, and opportunity classes. For foreign-owned horses competing in a CDI, USDF accepts copies of the horse identification pages from an FEI passport in lieu of a USDF HID or Lifetime Registration Number.
5. Any horse participating in a regional championship qualifying or championship class, USDF Regional Adult Amateur Equitation Program, Horse Performance Certificate Program or USDF Year-End Award Program must be lifetime registered with USDF.
6. Both the HID and the Lifetime Horse Registration shall begin upon the date the application form and all correct fees are received at the USDF office.
7. Without breed registry papers on file with USDF, pedigree and breeder information is not official and will not be published. For current year foals only, a letter of verification from the breed registry will temporarily fulfill the breed registry papers requirement. Breed registry papers are not entered unless the horse has either a USDF HID or LHR.
8. Scores for horses with a USDF HID or Lifetime Registration shall be recorded providing the rider and owner/lessee have a USDF number, except in exempt classes.

9. Leased horses may be recorded with USDF in the name of the lessee. If a lease is recorded, the lessee will be recognized as the bona fide “owner” for the period of the lease for all USDF membership requirements and for USDF championship and award purposes.

- i. For qualifying scores to count for any USDF regional championships or year-end award program, the appropriate lease recording documentation and fees must be received by USDF on or before the first day of any competition where qualifying scores are earned or scores earned toward award programs.
- ii. A copy of the lease recording and appropriate fees must be submitted to USDF. The effective date of the lease recording form is the date that appropriate form and fees are received by USDF.
- iii. The lease recording form must be submitted and contain a start and end date, name and address of the lessee and the lessor, and include signatures of the lessee and lessor. If a lease agreement signed by both the lessee and lessor on file with USDF is submitted with the lease recording form, signatures of the lessee and lessor are not required on the form.
- iv. The lease recording fee of \$45 is paid for each lease recorded with USDF. If the horse is being registered at the same time, the \$45 lease recording fee is in addition to any registration fees for the horse.
- v. If there is no end date stated on the lease recording form, the recording will expire with USDF on November 30 of the current year.
- vi. If a lease is extended or terminated prior to the end date, a new lease recording form should be submitted to USDF, and must contain an end or termination date, as well as the signatures of the lessee and lessor.
- vii. A lease recording can be renewed free of charge if received by USDF prior to the lease expiration date, by submitting a recording form with updated information, signed by both the lessee and lessor. Otherwise, the recording fee of \$45 applies. The new effective date will be the date the updated recording form and fees are received.
- viii. USDF does not accept agent signatures on the lease recording form.

10. USDF allows a youth to be a recorded owner of a USDF registered horse.

11. Registration fees:

- a. Lifetime Registration of the horse - \$140
- b. Transfer or change of ownership of lifetime registered horse - \$45
- c. Printing of any duplicate certificate or card - \$10
- d. Change of life registered horse’s name - \$45 (In regard to foals, horses are allowed ONE name change, at no charge, within one year of their foaling date. Breed papers must be submitted to verify foaling date and name. The name change will only be completed, at no charge, if the name is being changed to match the breed registry name.)
- e. HID of the horse - \$45
- f. Transfer or change of ownership of horse with HID - \$20
- g. Change of name of HID horse - \$20 (In regard to foals, horses are allowed ONE name change, at no charge, within one year of their foaling date. Breed papers must be submitted to verify foaling date and name. The name change will only be completed, at no charge, if the name is being changed to match the breed registry name.)
- h. Upgrade from HID to Lifetime Registration - \$95
- i. Lease agreement or renewal- \$45
- j. A certificate/card can be downloaded from the USDF website at no charge.
- k. Errors on the part of USDF, and reported within 45 days of the registration date, are corrected in the database. The old certificate/card is immediately invalid once changes

are made. **ONLY** the updated certificate is valid for use at recognized competitions. A new certificate is sent free of charge.

- l. Errors on the owner's part and reported within 45 days of the registration date are corrected in the USDF database. The old certificate/card is immediately invalid once changes are made. **ONLY** the updated certificate is valid for use at recognized competitions. If a new certificate/card is requested the duplicate fee is charged.
  - m. If any changes are requested outside the 45 day period, the appropriate charges above will be applied. The old certificate/card is immediately invalid once changes are made. **ONLY** the updated certificate is valid for use at recognized competitions.
  - n. Owners have 60 days from the date the registration application is received in the USDF office to inform USDF that the certificate has not been received. If USDF has been notified within 60 days, a new certificate will be printed and mailed at no cost. After 60 days, a new certificate may be purchased for \$10.
  - o. All transactions are charged individually. For example, if requesting a name change and transfer both transactions are charged for. If doing a name change for a horse and an upgrade at the same time, the HID fee is charged for the name change and the upgrade fee is also charged.
12. Scores earned in competitions that are held prior to securing a USDF HID or USDF Lifetime Registration of the horse shall not be recorded.
13. USDF will not be held responsible for late, damaged or misdirected mail.
14. USDF accepts copies of the horse identification pages from an FEI passport of a foreign owned horse competing in a CDI, in lieu of a USDF HID or Lifetime Registration Number. Identification information must be submitted to USDF along with results. In lieu of pages from the FEI passport, the HID application can be completed, including passport number; however, no fees will be assessed. A certificate will be sent to these individuals upon payment of the appropriate fee.
15. The addition of another owner to a horse's record is considered a change of ownership. This applies to the addition of any family member (spouse, parent or child), co-owner or listing of a business as an additional owner. USDF requires a written statement along with the appropriate fee from the current owner on file requesting that the new owner is to be added. If a horse has multiple owners and one or more of the owners needs to be removed from the record, a transfer of ownership must be completed. Appropriate forms and fees are necessary to process any of the above. Please refer to 11, under V. Horse Registration for complete listing of fees.
16. Transfer of Ownership Instructions:
- a. The change of ownership fees are applied when there is a transfer of ownership from one individual to another. This applies to the transfer from one family member to another, transfer from an individual to the individual's business and vice versa, transferring from a single owner to adding additional owners, or transferring ownership when an owner is deceased.
  - b. Transfer of ownership is effective the date that form and fees are received into the USDF office.
  - c. The process of transferring ownership requires the signatures of the previous owner on file with USDF. If there is more than one previous owner, signatures from both parties are necessary.
  - d. The USDF registration certificate can be used to complete the transfer. The new owner needs to complete the ownership information on the back of the certificate and have the previous owner sign the certificate.

- e. If the USDF certificate is not available, the USDF office needs a document (i.e., bill of sale, breed papers, cancelled check) indicating both the previous and new owner(s). The transfer of ownership form needs to be completed and sent with the document.
  - f. USDF does not accept the signature of an agent on any transfer of ownership forms.
  - g. If no signature of the previous owner(s) can be acquired per d. and e. above, the Transfer of Ownership Form #2 must be completed, notarized and submitted to USDF with the appropriate fee.
  - h. In the case of transfer of ownership due to the death of an owner, only one fee will apply to multiple horses being transferred from the deceased owner to the same ownership entity. The fee will be based on the horses' USDF registration type (HID or Lifetime Horse Registration). The transfer of multiple horses, representing both types of USDF horse registrations will have one Lifetime Horse Registration transfer fee applied.
  - i. Upon acceptance by USDF of the transfer of ownership, the former horse registration certificate/card becomes invalid.
17. Changing USDF records to reflect special designation to a horse's name, i.e. the addition of farm initials to a horse's name or the addition of "/", "\*", St. PR. ST., etc., is done free of charge. An additional fee must be paid if a certificate is requested by mail; however, a new certificate can be downloaded from the website free of charge.
18. The person or legal entity listed as breeder on a horse's foal registry papers will be listed as breeder in the USDF database. A change in the name of the recorded breeder can only be authorized and performed as an official entry on the registration papers by the registry that issued the registry papers on file with USDF. A copy of the amended registration papers must be submitted to USDF prior to any changes being made in the USDF database.
19. USDF horse registration must be in the name of the current owner or lessee.
20. Horse must be exhibited in the name of the current USDF owner or lessee of record. If a lease is on file with USDF, the horse must be exhibited in the ownership of the lessee.

## **VI. COMPETITIONS**

### **A. USEF-LICENSING/USDF-RECOGNITION**

1. For a competition to be USDF recognized, it must first be licensed by USEF. All applications must be made on the appropriate form provided by USEF and can be obtained by contacting USEF, 4001 Wing Commander Way, Lexington, KY 40511; (859) 810-8733. USEF will administrate the processing of new and renewal USEF-license/USDF-recognition applications. The duration of USDF recognition will be for one year. The competition type, name, and dates submitted to USEF will be sent to USDF. For USEF regular or local competitions, USDF recognition is optional. Regular or local competitions applying for USDF recognition must first be licensed by USEF and indicate that they wish to be USDF-recognized on the appropriate form provided by USEF, at which time, USEF will initiate USDF recognition. If for any reason, the USEF license is revoked, USDF recognition is immediately withdrawn and fees will not be refunded.
2. The USDF administration fee of \$100 per competition, regardless of number of days of the competition will be paid directly to USEF annually, along with USEF license fees. A US competition hosting the NAYC, US Dressage Festival of Champions, or Special Competitions approved by USDF is exempt from the USDF administration fee. If a competition is cancelled,

competition recognition fees will not be refunded; however, if USEF approval is not granted, USDF competition recognition fees will be refunded (including USDFBCS fees).

3. All USEF-licensed/USDF - recognized competitions will be publicized in advance on the USDF website. See the USDF Competition Fee and Penalty Structure (Chapter VI, Section H).
4. The competition must advertise itself as USDF - recognized, and is required to use the *current* USDF recognition page in its prize list and program. The competition may not advertise itself as USDF recognized until USDF recognition has been granted. The USDF recognition page is printable from the USDF website and from the USDF Competition Managers flash drive. It is also available from the office upon request.
5. A copy of the prize list or omnibus pages must be sent to USDF at least 30 days prior to the competition, or as noted in USDFBCS or USDF regional championship contracts. One copy of the program must be sent to USDF for regional championships and USDFBCS finals. Failure to comply may result in refusal to recognize the competition the following year, or fines. See USDF Competition Fee and Penalty Structure (Chapter VI, Section H).
6. Any changes to the USEF license agreement/USDF competition recognition will require a written request to USEF. In addition to any USEF fees, a USDF fee is charged for each of the following changes if notified less than 30 days prior to the competition: date, location, or name. Exceptions: The addition or cancellation of a competition day included in or consecutive to the current USEF license agreement/USDF competition recognition will not be assessed a date change fee. The name change fee does not apply to USDF regional championships or USDFBCS finals. See USDF Competition Fee and Penalty Structure (Chapter VI, Section H).
7. All USDF recognized competitions are required to carry at least \$1 million insurance liability coverage which cites USDF as an "additional insured", and submit a copy of the insurance certificate to USDF at least 15 days prior to the competition. Failure to comply will result in a fine. (See Ch. VI, Section H).
8. A copy of the USDF Statement on Animal Welfare must be posted in prominent public view at USDF recognized competitions. The statement should also be printed in the prize list or program.
9. All USDF recognized competitions must use only the current competition recognition, membership and affidavit forms provided on the USDF website and Competition Management Flash Drive.

## **B. USEF- LICENSED /USDF RECOGNIZED COMPETITION REPORTING**

1. Within ten days after the final day of the USEF-licensed /USDF recognized competition, complete results for all competitors in all dressage or DSHB classes must be sent to USDF, electronically, formatted according to the USDF Electronic Results Submission Standard (ERSS) format (USEF Universal Spreadsheet Template) which is published on the USDF and USEF websites. A processing fee of \$100 per competition will be assessed when results are not submitted to the USDF in the USDF ERSS format and written results will not be accepted. Mail service with delivery verification is required, postmarked within ten days, for results which cannot be sent in USDF ERSS format and when sending post competition fees and paperwork. Exceptions: (1) Results for competitions held the last two weekends of September must be received in the USDF office by the third day following the last day of a single-competition or multi-competition event. A multi-competition event is defined as consecutive back-to-back competitions with more than one USEF/USDF competition number that are held at the same location with no non-recognized days between those competitions. Exception: for multi-competition events longer than six days, results must be received by the third day following each competition. (2) Competitions held two weeks prior to the regional championship closing date, in the region where the championships is held,

must submit the results, fees and paperwork so that they are received in the USDF office within seven days following the end of the competition. (3) Competitions held within the week immediately prior to the regional championship closing date, in the region where the championships is held, must submit the results, fees and paperwork so that they are received in the USDF office within four days following the end of the competition. "Incomplete" is defined as missing any of the items required on USDF Results, Fees and Paperwork Submission Guidelines. Refer to USDF Competition Fee and Penalty Structure.

2. Any competition-related payment must be accompanied by the USDF Report of Fees document that is located on the USDF website and the Competition Manager's flash drive. Payment must be submitted (postmarked, faxed, or online payment submission with transaction ID) within ten days of the last day of the dressage or DSHB competition (or received within five days of the last day of dressage or DSHB competition if the competition is held within the last two weeks of September, including the last two weekends). Penalty fees will be assessed for late results and/or fees. (See Ch. III. Financial, Section A and see USDF Competition Fee and Penalty Structure (Chapter VI, Section H.)
3. USDF regional championship qualifying fees submitted by competition management that have been collected by competition management from competitors will not be refunded.
4. Late or incomplete results will result in an assessment of fees and penalties per USDF Competition Fee and Penalty Structure (Chapter VI, Section H) which must be paid prior to future USDF recognition. The names of competitions not complying with this rule may be published. "Late" is defined as postmarked or electronically submitted more than ten days after the last day of dressage or DSHB competition.
5. USDF numbers must be reported for all horses/riders/owners. (For exceptions refer to VI. Competitions F. Membership Requirements for USDF Recognized Competitions.) Scores must be submitted for all horses whether or not USDF registration is indicated or numbers are included. Scores for all completed rides must be reported to USDF, whether or not the horse and rider placed in that class. In classes where horses are placed and no scores are given by the judges (i.e., Suitability classes or DSHB Championships), the placings (ranking of horses) must be reported to USDF.
6. For each class, the name of the class (i.e. First Level Open, First Level Novice, etc.), the level and test (i.e. First Level, Test 2), and the name(s) of the judge(s) must be given. The level of each freestyle ride must be included. The name of the rider and owner, and their USDF numbers must be included for each horse in each class. The level and test of any "test of choice" or "percentage" class must be reported for each horse entered. Additional information on the procedure for reporting other specialized classes for regional championship qualifiers and dressage sport horse breeding is available from the USDF Competitions Department or on the USDF website.
7. The owner's and rider's full name(s) and USDF number(s), along with horse's registered name (as on USDF records) and USDF Lifetime Horse Registration or HID must be reported for every ride or entry unless excepted per Ch VI., Section F. (Membership Requirements for USDF-Recognized Competitions).
8. The numerical score (total points) must be reported in addition to the percentage calculated to three decimal points (55.234 percent). Round up from five to determine the third decimal (60.0015 = 60.002 percent). For more than one judge, report the raw score for each judge and the average percentage of all judges, calculated to three places after the decimal point.

9. Mathematical computations and accuracy in recording scores are the responsibility of competition management. Competitors should be urged to check their test sheets, bringing any errors to the attention of competition management within one hour of the official posting of the scores from the last class of that competition day.
10. USDF regional championship qualifying scores must be indicated as such. A \$20 fee for each qualifying ride must be submitted to USDF with the Report of Fees document.
11. Competition managers that do not include full payment as detailed on the USDF Report of Fees form will be subject to the penalties detailed in the current USDF Competition Fee and Penalty Structure.
12. For all USDF-recognized competitions, competition management must remit to USDF with the Report of Fees document the required fees for use of USDF copyrighted dressage tests/scoresheets as specified on the Report of Fees document. The fee is 0.45 per ride for the following tests/scoresheets: Introductory and Training through Fourth Level freestyles.

### **C. USDF REGIONAL CHAMPIONSHIPS**

1. The following information about the USDF regional championships program is available from the USDF website:
  - a. Regional championship qualifying season for each of the nine USDF regions
  - b. Competition manager's guide to hosting regional championship qualifying classes
  - c. Regional championship program rules
  - d. Regional championship dates and locations
  - e. Regional championship host site application
  - f. Regional championship official prize list for each region
  - g. Regional championship FAQs
  - h. Form and information for competitors on declaring a change of region for the championships
  - i. Other related information specific to regional championships
2. The following documents about the USDF regional championships program are available only from the USDF office:
  - a. Regional championship licensee's contract
3. Competitions wishing to apply to host a USDF regional championship must complete a regional championship host site application, which if accepted serves as a tentative contract between the licensee, competition management, and USDF until a contract has been signed by the licensee, management, and the USDF Executive Director. Completed applications must be submitted to the USDF office. The USDF office will provide a copy to the Regional Director (RD). USDF regions cannot be USEF competition licensees.
4. Competition management must also follow the current published protocol, available on the USDF website and from the USDF Competitions Department, and comply with all standards and guidelines detailed in the licensee's contract, the regional championship program rules, and the regional championship manager's forms and documents.
5. Regional championship rules will be published by July 1 and will be available in the USDF Member Guide as well as on the USDF website for the following year's regional championships.
6. Prize money for USDF regional championships will be awarded to the recorded owner of the horse within 30 days of the last day of each championship.

7. Grant money will be paid to the organizer of a regional championship, one-half before the competition, upon receipt by the USDF office of the executed regional championship licensee's contract, and the remaining one-half post-competition, after all results have been submitted, banners and other materials have been returned, and all provisions of the contract have been met.
8. Guidelines for determining regional championship infractions and applicable penalties:
  - a. A thorough review and evaluation of the competition and alleged infractions will be conducted, and may include the following sources:
    - USDF staff representative evaluation or observances if attending
    - RD's evaluation
    - TD reports
    - Competitor evaluations
  - b. Only verifiable violations will be used to determine penalties. Isolated or unsubstantiated alleged violations or comments will not be considered. Consideration will be given when violations are corrected in a reasonable and timely manner during the competition.
  - c. An annually appointed Ad-Hoc Review Panel will be established that is populated with managers, judges, technical delegates, and competitors. Appointees shall not be limited solely to members of the USDF Regional Championships Committee. The review panel will be appointed by the President upon the recommendation of the Regional Championship Committee Chairman and with final approval of the Management Committee. From the members of the review panel, a group of five members will be selected to review any assessment of penalties that is recommended by staff. All meetings must be in person or via teleconference.
  - d. After the review process is complete, each regional championship competition licensee, competition manager and competition secretary will receive a standardized letter containing a general assessment of the competition and any grant money that is due. For licensees receiving fines or other penalties, a list of specific violations in each category (below), along with the amount of the fine, will be included.
  - e. If penalties are disputed by the competition licensee of any regional championship, an Appeal Committee will be selected from members of the review panel, to include the original five members who reviewed penalty assessments plus at least two additional members. Review panel members selected to review penalty assessments or serve on the Appeal Committee may not have a conflict of interest in the competition under review. One or two of the members of USDF staff will serve as non-voting advisors to the Appeal Committee.
  - f. Fines will be applied according to the following criteria:
    - Non-compliance with USDF contractual obligations regarding sponsorship requirements and recognition. Penalty : \$200-\$1000
    - Misrepresentation of information in host site application and/or non-fulfillment of related contractual obligation, including not providing facilities, personnel, etc. Penalty : \$200-\$1000
    - Non-compliance with USDF contractual obligations and/or USEF/USDF regional championship program rules, regarding show conduct and standards, except for those included in one or two above. Penalty : \$200-\$1000
    - Documented problems affecting the safety and welfare of the horses and riders: assess USDF penalties and mandatory reporting of alleged USEF rule violations and safety and welfare concerns to USEF. Penalty : \$100-\$500
    - Other USEF rule violations: assess USDF penalty and mandatory reporting of rule violations to USEF. Penalty : \$100-\$500
  - g. Penalties will be assessed separately for violations in each of the five categories named above. For multiple violations (i.e. multiple categories), a maximum fine of \$1500 per



competition will be assessed. Effective with the 2006 USEF/USDF regional championship season, violations will be tracked and fines may be increased for the following year for repeated violations. A competition that repeats violations, commits violations of a serious nature, or fails to sufficiently correct conditions may jeopardize future opportunities to host the USDF regional championship.

- h. The licensee may appeal any decision of USDF regarding violations and assessed penalties within 30 days of the receipt of notice (of violation and any associated fines). Appeals must be submitted to USDF in writing by the competition licensee and must include all information to be reviewed by the Appeal Committee when it considers if the fine was justified.
9. For each region, a regional site selection advisory committee must be established with a minimum of five individuals, representing competition management, licensed officials, competitors, an active Participating Member (PM) and Group Member (GM) delegate, and the RD. Members of the committee should be familiar with the facilities in their respective region, have regional championship experience within their region, and not have a paid or official position with the host site, licensee, or RD. Within this group, the breadth of the geographic region should be represented. The committee must review and evaluate regional championship host site applications and make a site recommendation for consideration by the USDF Regional Championship Site Selection Working Group, and ultimately the USDF Executive Board (EB), which makes the final decision.
    - a. The role of the RD, in the context of representing the member interests of the entire region fairly, is to appoint the committee and facilitate the process in an unbiased manner. The RD will be a non-voting facilitator and liaison to the USDF office in submitting the committee findings.
    - b. In the event the RD has a financial interest or other clear conflict related to one of the bids submitted, the RD will recuse themselves from the duties outlined in paragraph (a) and inform the USDF Director of Competitions. The committee will be appointed by the Activities Council At-Large Director (ALD). Should the ALD be conflicted, the appointment duties will fall to the Vice President. The PM delegate appointed, who shall not be conflicted, will assume the facilitation responsibilities of the RD.
    - c. If a region has a preferred alternative structure and/or process for evaluating host site applications and recommending a site, the region should submit that alternative to the EB for approval yearly at the first fall EB meeting during the convention.

#### **D. USDF BREEDERS CHAMPIONSHIP SERIES (USDFBCS)**

1. The following documents about the USDFBCS are available on the USDF website:
  - a. USDFBCS host site application and requirements
  - b. USDFBCS rules
  - c. USDFBCS page (for prize list and program)
  - d. USDFBCS qualifier competition application and requirements
2. Competitions wishing to apply for, and host, a USDFBCS qualifier or final must submit a separate application form to USDF, including a \$75 application fee if hosting a qualifier, or a \$100 fee if hosting both a qualifier and a final at the same competition. Competitions must comply with all standards and guidelines detailed in the manager's contract and the USDFBCS guidelines.
3. USDF permission is required for a change of date of a USDFBCS final once the date has been published by USDF.
4. USDF must be notified immediately if a USDFBCS final is cancelled.
5. Ties in USDFBCS finals classes will remain unbroken.

6. Unless a competition has received written confirmation from USDF of the Federation's approval to host a USDFBCS final competition, the competition cannot utilize any competition name or title that would include a USDFBCS final designation. Any failure on the part of the competition management to follow this protocol will result in a \$100 fine.
7. Competitions which submit an application to host a Breeders Championship qualifying competition must do so prior to 60 days to the start of the competition. Applications submitted past this date may be subject to a \$50 late fee and will be considered on a case-by-case basis.
8. Applications to host a Breeders Championship series final competition must be submitted to USDF by February 1 of the series final year. Applications submitted to USDF after February 1 of the series final year may be subject to a \$50 late fee and will be considered on a case-by-case basis.
9. Any competition which accepts an entry or entries into USDF Breeders Championship Series Final classes which are not in compliance with USDF membership/horse registration requirements for competition will be fined \$100 for each ineligible entry.

#### **E. SPECIAL USDF CLASSES, TESTS AND GUIDELINES**

1. Rules and guidelines for Freestyle, Pas de Deux and Quadrille classes are available from the USDF office and are printable from the USDF website. Procedures to hold Materiale Classes are available from the USDF office and printable from the USDF website.
2. Tests and guidelines for the conduct of the above classes are available from the USDF website. Abbreviated test sheets, for reference only, are also available in the *USDF Member Guide* and on the USDF website.

#### **F. MEMBERSHIP REQUIREMENTS FOR USDF- RECOGNIZED COMPETITIONS**

1. Owners or riders, including foreign riders and owners who are not residents of the US, wishing to participate in a USEF-licensed/USDF-recognized competition as a rider or owner/lessee, must be either a current USDF GM, a USDF PM, or have a USDF Non-Member Identification Number. (Note: Business Members can compete as horse owners, but cannot compete as riders unless they are also a USDF GM, PM, or have a USDF Non-Member Identification Number or unless riding in classes in which membership is not currently required by USDF rules.) Exception: Riders and owners/lessees competing only in classes which are exempt from USDF HID requirements are also exempt from USDF non-member ID requirements. For each USDF non-member owner/lessee and USDF non-member rider there will be a USDF non-member fee of \$35 per competition that must be collected by the show secretary, and submitted to USDF along with the USDF Report of Fees document. Owners/lessees or riders exempt from the non-member number requirements are also exempt from paying the USDF non-member fee. If all the owners of the horse are non-members, only one of the owners must pay the non-member fee. If the horse has at least one owner who is a current USDF member there is no non-member fee assessed. Competition management will be invoiced for all applicable USDF non-member fees not received with USDF post competition paperwork, along with a report listing all USDF non-members. Competition management is then required to submit the non-member fees within 30 days to USDF.
2. Trainers in USEF-licensed/USDF-recognized competitions are not required to be a USDF member or to have a USDF Non-Member Identification Number.

3. Handlers of horses competing in DSHB In-Hand or Group classes are not required to be a USDF member or to have a USDF Non-Member Identification Number.
4. Horses entered in USEF-licensed/USDF-recognized competitions must have either a USDF Lifetime Registration or a USDF HID. Exception: Horses competing only in Individual Breed Classes (IBC) at DSHB competitions, sires and dams of horses in DSHB group classes, where those sires or dams are not actually competing in the same competition, horses competing only in breed restricted dressage or DSHB classes at regular competitions (e.g. all Arabian, all Friesian, or all Morgan classes), or in USDF Introductory Level tests, pas de deux, or quadrille, are exempt from this requirement. Also exempt are horses ridden in leadline, exhibitions, games and races, classes for 4-H members, walk-trot, academy, and opportunity classes. For foreign-owned horses competing in a CDI, USDF accepts copies of the horse identification pages from an FEI passport in lieu of a USDF HID or Lifetime Registration Number. (See Ch V. Horse Registrations)
5. USDF person and horse membership requirements are waived for foreign competitors participating in FEI Championships and in CDI classes.
6. Scores will not be recorded for horses, riders, or owners when applicable non-member and/or HID fees are not paid to USDF.
7. Scores will not be recorded for classes that are exempt from membership or horse registration requirements.

## **G. AFFIDAVITS**

1. Riders and owners wishing to participate in a USEF-licensed/USDF-recognized competition, and not able to present either a USDF membership or non-member identification card or verification certificate, or a USDF Lifetime Horse Registration or HID card or verification certificate to the competition secretary, must complete a USDF Horse and Membership Affidavit form, and pay the \$5 affidavit filing fee, in order to participate. A copy of a completed affidavit form from another competition may also be used for verification purposes for up to 60 days. (Exception: Affidavits cannot be used at regional championships.)
2. USDF does not refund USDF Competition Affidavit fees.
3. A rider or owner may submit both their membership affidavit and their horse affidavit on the same form for one \$5 fee.

## **H. USDF COMPETITION FEE AND PENALTY STRUCTURE**

*(Note that this applies only to USEF/USDF recognized competitions)*

1. The USDF Competition Fee and Penalty Structure document details the official policy of USDF with respect to competition fees and penalties. Failure to comply with USDF rules and/or refusal to pay assessed fees may affect recognition of subsequent competitions. This document lists examples of violations for which fines may be assessed.
2. Fines may be assessed for changes in competition name, location and date; for late and/or incomplete results; for late competition recognition; for late or missing prize list; and for violations of USDF regulations and guidelines.
3. The USDF Competition Fee and Penalty document is available from the USDF office, the USDF website, and is located on the Competition Managers' flash drive.

4. It is USDF’s goal that all USDF recognized competitions are conducted in a manner that assures a fair, well run competition in full compliance with all USDF competition regulations and guidelines. However, in order to accomplish this goal, USDF must have the cooperation of competition management in receiving accurate, complete, and timely information, both prior to and after the event. If regulations and guidelines are not followed, or information is not supplied in an accurate or timely manner, a competitor may be unfairly penalized or USDF staff may have to spend an inordinate amount of time tracking down the missing information. To this end, USDF has instituted a fee and penalty structure. USDF does NOT want to assess fines, but must do so when necessary.
5. This USDF Competition Fee and Penalty Structure document shall serve as the official policy of USDF with respect to competition fees and penalties. Failure to comply with USDF rules and refusal to pay assessed fees may affect recognition of subsequent competitions.
6. USDF will not recognize competitions that have not paid dues or fees owed to USDF for any prior recognized competitions. In addition, USDF may recommend to USEF that administrative sanctions be imposed.
7. Once competition recognition has been granted, the following fees will be applied for changes less than 30 days prior to competition: (The addition or cancellation of a competition day included in or consecutive to the current USEF license agreement/USDF competition recognition will not be assessed a date change fee):

Change of location	\$75
Change in name of competition	\$50 (does not apply to USDF regional championships or USDFBCS Finals)
Change of date	\$75

8. Fee for late competition recognition:  
 USDF competition recognition must be made on the appropriate form provided by USEF. Application for competition recognition via USEF must be made at least 60 days in advance of a competition and must be accompanied by the appropriate fees. USDF will allow late competition recognition and charge the applicable late fee (listed below). The late fee is in addition to all normal fees required of a competition.

59-45 days prior to competition	\$ 50
44-30 days prior to competition	\$150
29-1 day prior to competition	\$250
Non-compliance with competition recognition	\$350

9. Fee for late, incomplete or missing prize list:  
 USDF must have in its possession a copy of the prize list for each recognized competition. It is required that the prize list be submitted to USDF at least 30 days prior to the competition unless otherwise noted in the licensee’s contract for the particular competition (i.e. USDFBCS finals or USDF regional championships). If the prize list is not received at least 30 days prior to the competition, a fee of up to \$250 will be assessed. It is strongly recommended that the prize list be forwarded by mail with proof of delivery or submitted via e-mail, with staff confirming receipt. If changes are made to the prize list, per USEF GR 904, after it is submitted, the USDF office must be notified of these changes, in writing, prior to the competition. Fees up to \$100 may also be assessed for incomplete prize lists (i.e. missing USDF recognition page, or other required USDF information). USDF is not responsible for lost, damaged or misdirected mail.

10. Fees for violation of results reporting requirements:

In order to adequately and precisely enter correct scores for each competition, USDF requires cooperation from each competition management to submit complete, accurate and timely results. Processing errors and delays may occur because of late, incomplete or incorrect results.

- a. "Late" is defined as postmarked or electronically submitted more than ten days the last day of dressage and/or DSHB competition. Exceptions: (1) Results for competitions held the last two weekends of September must be received in the USDF office by the third day following the last day of a single-competition or multi-competition event. A multi-competition event is defined as consecutive back-to-back competitions with more than one USEF/USDF competition number that are held at the same location with no non-recognized days between those competitions. Exception: for multi-competition events longer than six days, results must be received by the third day following each competition with a different competition number. (2) Competitions held two weeks prior to the regional championship closing date, in the region where the championships is held, must submit the results, fees and paperwork so that they are received in the USDF office within seven days following the end of the competition. (3) Competitions held within the week immediately prior to the regional championship closing date, in the region where the championships is held, must submit the results, fees and paperwork so that they are received in the USDF office within four days following the end of the competition.
- b. "Incomplete" is defined as missing any of the items listed on USDF Results, Fees, and Paperwork Submission Guidelines. Competitions missing only a small percentage of the required information may, upon review by staff, be excused from paying this fine.

Competition results must be submitted to USDF in either of the following formats: (1) mailed-in paper results, or (2) USDF ERSS. USDF will no longer accept electronic results in any format other than ERSS. A processing fee of \$100 per competition will be assessed when results are not submitted to the USDF in the USDF ERSS format.

11. The following fees will be assessed separately:

- a. Incomplete results and/or fees (per USDF Results, Fees, and Paperwork Submission Guidelines) for results submitted on time: \$50.
- b. Late results and/or fees: \$50 per day up to a maximum of \$1000.

12. Any competition-related payment must be accompanied by the USDF Report of Fees document. Payment must be submitted (postmarked, faxed or sent electronically) within ten days of the last day of the dressage or DSHB competition (or received within five days of the last day of dressage or DSHB competition if the competition is held within the last two weeks of September, including the last two weekends.) Any competition related payment sent to USDF must be accompanied with the report of fees form attached. Results will not be entered until payment is received.

13. Fees for other violations of USDF regulations and guidelines: To be determined, on a case by case review. Examples: overcharging USDF regional championships qualifying class fee; allowing two judges to collaborate on, and/or submit, one score instead of two independent scores at a USDFBCS final; and incorrectly formatting USDF qualifying rides.

14. The fee for failure to submit to USDF a certificate of insurance for at least \$1 million liability coverage which cites USDF as an "additional insured" is \$100. The certificate must include the competition name, date and number and must be postmarked at least two weeks prior to the competition.

15. If Competition Management disputes any competition fees or penalties imposed by USDF, they may appeal in writing to USDF within 30 days of the post-marked date of the competition-related invoice, specifying the reason for the appeal. The appeal is brought forward by the Executive

Director to the USDF Management Committee which will review the appeal and, upon finding good cause, may waive a part or all of the fee or penalty.

16. A fee will be assessed for accepting qualifying ride fees from competitors in classes that are not correctly listed as Great American/USDF qualifying classes in the prize list and/or when an updated prize list pertaining to those classes is not sent to USDF. The amount of the fee is two times the class fee, plus two times the office fee, plus two times the qualifying fee for each horse/rider combination in each affected class. Half of each horse/rider combination fee collected will be paid to the affected horse owner by USDF. The USDF portion of the fee will be a maximum of \$300 per competition.

## **I. AWARDS**

*[Also see the current USDF Member Guide sections on awards program or access the information from the USDF website.]*

1. The following guidelines apply to the adoption of the new award programs, the modification of existing award programs, or the review of previously suspended or terminated award programs under consideration for re-instatement or re-establishment:
  - a. When considering a new award, it must have the potential for widespread interest and high levels of participation. Official USDF statistics will be utilized in this evaluation.
  - b. Existing award programs must have widespread acceptance and interest by PMs and/or GMs, demonstrated by moderate to high levels of participation evaluated over a provisional three to five year time period showing that in fact, they are a viable and vital part of the awards program.
  - c. Notwithstanding a. and b. above, each new proposal will also be evaluated based upon the unique nature of that individual program.
  - d. Costs associated with the award, such as USDF staff time to initiate the programming, and the tracking of annual participation will be key components in the evaluation.
  - e. The IT department will be consulted to ensure compatibility within the existing database.
2. Errors/discrepancies in scores reported by competitions or competitors:
  - a. Notification must be e-mailed, faxed or mailed to the USDF office.
  - b. The case will be reviewed by the USDF Competitions Department and the competitor notified of the outcome. The decision of the competitions department is final.
3. Any changes in the awards system are to become effective as of the date established by the BOG.
4. For USDF official year-end results or award standings, no corrections will be accepted after 5:00 pm EST on October 15 of the award year. If USDF is notified, in writing, of errors prior to 5:00 pm EST on October 15 of the award year, the placings will be corrected. If USDF is not notified, in writing, of errors prior to 5:00 pm EST on October 15 of the award year, including those caused by the competitor, the competition, or USDF, no changes will be made. When documented ineligibility of horses or riders exists, corrections may be made and award standings may be revised after October 15, upon approval of the Executive Director.
5. Ties are not broken for year-end awards. However, contracts with award program sponsors should detail how cash or other prizes will be apportioned or augmented if there is a tie.
6. Competition results, show records, horse pedigree information and other horse records are available to the public on the USDF website, and may be disseminated by USDF through special reports or other forms of communication. Without breed registry papers on file with USDF, pedigree and breeder information is not official and will not be published. For current year foals

only, a letter of verification from the breed registry will temporarily fulfill the breed registry papers requirement. A fee may be charged for customized reports and services that are not automatically printable from the website. The fee structure or a quote for customized reports and services may be requested from the USDF office.

7. Scores reported to USDF may only be changed with written permission of competition management.
8. Except for the USDF Handler of the Year Award, the following must be true at the time scores are earned for scores to count towards USDF year-end awards:
  - a. The rider of the horse must be a USDF PM.
  - b. The primary owner of record of the horse **MUST** be a current USDF PM or Business Member. If there is a current lease recorded with USDF, the lessee is recognized as “owner” for all USDF membership requirements.
  - c. The horse must be USDF Lifetime Registered.
  - d. For the Breeder of the Year Award, the breeder must be a USDF PM or BM by September 30.
9. A horse is declared for All-Breeds awards based on the breed registry papers submitted to the USDF office. An All-Breeds Declaration Form and \$45 declaration fee must accompany the papers and must be received in the office by August 1 of the award year, indicating the All-Breeds Participating Organization that the owner is declaring the horse for, in order to be eligible for awards during the same year. The All-Breeds Declaration Form, \$45 declaration fee and breed registry papers will be accepted after August 1 and the horse will be eligible for awards during the same year if accompanied with an applicable late fee. The late fee will be \$100 if received between August 1 and August 31. The late fee will be \$300 if received between September 1 and September 30. No declarations may be made for the current year after September 30. For foals: All-Breeds Declaration Form must be on file with USDF by September 30 of the award year in order to be eligible for awards during the same year. There is no late fee. If breed papers have not yet been issued by the registry, a copy of a letter of verification from the registry to the owner will temporarily fulfill the breed registry papers requirement above until official breed registry papers are submitted. This letter must state that the foal is eligible for awards from that registry. All foals without official breed papers on file by December 31 will be removed from the declaration list. This rule does not preclude, eliminate, or interfere with members pursuing awards recognition, or multiple registrations, outside the USDF program. By declaring a horse for the All-Breeds Awards, USDF may share owners contact information with the applicable All-Breeds Awards Participating Organization to verify a horse’s award eligibility.
10. For the purposes of declaring Thoroughbreds for the USDF All-Breeds Awards Program with the North American Thoroughbred Society, USDF will accept the following documentation in lieu of official breed registry papers.
  - a. For Thoroughbreds foaled prior to 2001, when DNA matching was not available, USDF will accept:
    - A letter from a licensed veterinarian confirming the markings, physical characteristics and lip tattoo number of the horse and a letter from The Jockey Club, confirming through their research, a probable match. The Jockey Club Tattoo Research Form may be submitted in lieu of a letter from The Jockey Club.
  - b. For Thoroughbreds foaled after 2001, USDF will accept:
    - Letter provided by The Jockey Club identifying the horse through DNA match along with a five-generation pedigree report or a duplicate certificate of The Jockey Club registration papers.

11. An owner of record may change the declaration of his/her horse to another registry with which the horse has breed registry papers by submitting an All-Breeds Declaration Form, appropriate breed registry papers, and a \$50 declaration change fee to the USDF office by August 1 of the current competition year.
12. For Rider Performance Awards: Information on rider/owner/horse eligibility is available on the USDF website or in the USDF Member Guide. To be awarded a Rider Performance Award in the current competition year, applications are due by September 30 with a \$25 processing fee. Members who submit an application from October 1 through October 15, and have met all of the Rider Performance Award requirements in the previous competition year, will have the option to be awarded their Rider Performance Award in the previous competition year with payment of a \$75 late fee (this fee is in addition to the \$25 processing fee).
13. The USDF competition year ends September 30. This date will not be adjusted for any reason.
14. Current USDF Participating, Group and Business members may access reports for no charge on USDFScores.com. Non-members and USDF Education members may access USDFScores.com with payment of a \$30 fee per report.
15. The replacement cost for a rider award medal, rider award bar, or an All-Breeds medal is \$25. The replacement cost for any award certificate is \$10. The replacement cost for a rider award patch is \$10.
16. USDF is not responsible for lost, damaged or misdirected mail, e-mail or faxes. Competitors are responsible to follow up to ensure documents sent to USDF have been received by USDF.
17. A horse may only be eligible to be ranked in the final USDF year-end award standings for Dressage Horse of the Year, Musical Freestyle, Musical Freestyle Challenge, USEF Four-year-old, FEI Five-year-old, FEI Six-year-old and/or open divisions for All-Breeds Awards, at a maximum of two consecutive levels as defined per USEF DR119.2, within the same competition year. If a horse meets the criteria to be ranked in the final USDF year-end awards standings for Horse of the Year, Musical Freestyle, Musical Freestyle Challenge, USEF Four-year-old, FEI Five-year-old, FEI Six-year-old, and/or open divisions for the All-Breeds Awards, in more than two levels in the same competition year, the horse will only be ranked at the highest level, and if qualified, the next level consecutive to the highest level.
18. A horse/rider combination may only be eligible to be ranked in the final USDF year-end award standings for Adult Amateur, Adult Amateur Musical Freestyle, Junior/Young Rider and/or Vintage Cup divisions, and/or the respective divisions within All-Breeds Awards, at a maximum of two consecutive levels as defined per USEF DR119.2, within the same competition year. If a horse/rider combination meets the criteria to be ranked in the final USDF year-end awards standings for either the Adult Amateur, Adult Amateur Musical Freestyle, Junior/Young Rider, and/or Vintage Cup divisions and/or the respective divisions within the All-Breeds Awards, in more than two levels in the same competition year, the horse/rider combination will only be ranked at the highest level, and if qualified, the next level consecutive to the highest level.
19. If additions, deletions or changes occur to USDF, USEF, or FEI tests outside the normal test cycle, or if USEF changes the level a test is equivalent to, the USDF Awards Committee may recommend to the EB that changes to eligibility requirements for USDF awards programs be made.



20. Horse must be exhibited in the name of the current USDF owner or lessee of record. If a lease is on file with USDF, the horse must be exhibited in the ownership of the lessee. Scores earned by horses not exhibited in the name of the current USDF owner or lessee of record will not be eligible for any USDF awards nor will the scores be recorded on USDFScores.com .

## **VII. EXECUTIVE BOARD (EB)**

### **A. DUTIES**

1. The EB must establish committees and oversee on an ongoing basis both councils and committees (defined below) 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 under Section VIII B. 6-7.
2. 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, except as provided by these Policies and Procedures in Article VIII, Section D. 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 EB, an official “contact” for the organization in a specific area that does not require the direct involvement of a committee or council. The contact is responsible for providing information to USDF on a particular subject.
5. Members of the USDF EB may not chair a council or committee with the exception of the Steering Committee for Committee Complaints and Steering Committee for EB Complaints, which shall be chaired by the Vice President, and the councils, each of which shall be chaired by the respective At-Large Director (ALD). 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.
6. A member of the EB may attend any closed council or committee meeting, except that EB members may not attend meetings conducted pursuant to the USDF Committee Grievance Process unless specifically required or allowed to under USDF policy.
7. The EB 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 EB.
9. The EB must review budgets and expenditures in order to ensure sound fiscal management of USDF assets and continued financial solvency of USDF.
10. The EB must provide ongoing support to the Executive Director.
11. The EB must review reports submitted by the Management Committee.
12. Biannually, the EB must review each committee’s mission, goals, objectives, accomplishments, and actions.

13. The EB must develop and implement an EB policy on councils and committees, and biannually, review programs for compliance with this policy.
14. The EB will elect two EB members to serve on the Bylaws Committee.

## **B. PROPOSALS**

1. The EB must review and approve all proposals submitted to the EB. In particular, the Board must review and approve requests for significant actions, such as major capital expenditures (over \$7,500), major changes in programs/events and major membership services changes. Contracts over \$7,500 must be approved, in advance, and signed by both the President and Executive Director. (See Ch. III. Financial, Section A)
2. The EB must forward appropriate proposals (including those proposed by councils and committees) to the Board of Governors (BOG) as necessary, or as prescribed in USDF Bylaws.
3. An ad hoc committee appointed by the President, and approved by the EB, will review new and revised programs and projects that are approved by either the BOG or EB, in order to determine an appropriate implementation plan.
4. Prior to submitting proposals to the EB, suggestions and recommendations in regard to official names of programs and awards must receive prior approval from the Executive Director.

## **C. GUIDELINES FOR EXECUTIVE BOARD (EB) MEMBERS**

1. The EB must represent the interests of the BOG on the USDF EB.
2. The EB must make decisions to enhance USDF's mission and for the benefit of the membership as a whole.
3. The EB must attend all Board meetings and conference calls, and participate in electronic correspondence and voting.
4. The EB must arrive at meetings prepared, having read supporting material, ready to engage in thoughtful discussion.
5. The EB must actively participate in discussion.
6. The EB must encourage and respect the input of all Board members.
7. The EB must promote Board unity and confidence.
8. An EB 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.
9. The EB must recognize that the President is the official spokesperson for the EB.
10. The EB must keep sensitive EB information confidential. The need for confidentiality shall be as determined by a majority of the Board or as directed by the President.
11. The EB must enhance USDF's public image.
12. The EB must encourage membership in USDF.
13. The EB must respond promptly to USDF-related correspondence and telephone calls.

14. The EB must identify members with leadership ability as future Board members or council and committee chairs.

#### **D. MEETINGS AND COMMUNICATION**

1. The USDF spring EB meeting will be as close as possible to the first weekend in May.
2. Any written request for EB action must allow two weeks for the response from the postmark date, or seven days if sent by e-mail or fax. If the Executive Director or President sends a letter to the EB requesting a decision, and if two or more EB members object to the procedure, an extension must be granted for the Board to communicate and have ample time to respond. Results and comments from mail, e-mail or faxed ballots will be furnished to the EB.
3. Minutes should be drafted by the Secretary or assigned USDF 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 EB for approval. Minutes may be approved via e-mail or at the next scheduled meeting. The approved minutes shall be published on the USDF website within 45 days of the meeting.
4. 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. EB 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 name of any abstaining or opposing member should be listed.
5. Persons invited in a consultant or advisory capacity may not vote. Invited guests may speak only at the request of the President.
6. The minutes of any telephonic meeting must reflect that a meeting was held electronically.
7. Meetings may be recorded, at the request of the Secretary, for assistance in preparation of the minutes.

#### **E. REIMBURSEMENT**

1. Officers, Regional Directors (RDs) and ALDs attending the annual convention will be reimbursed USDF-related expenses as follows: USDF will pay for convention registration, coach airfare or driving reimbursement, hotel for the duration of the convention, and any submitted expenses not to exceed \$30 a day.
2. EB members attending the spring EB meeting will be reimbursed travel and hotel costs. USDF will pay travel and hotel costs to the spring EB meeting for the immediate past President for one year. An information and reservation form is provided for each Board member, which covers flight and hotel arrangements. The form addresses specific travel and hotel arrangements, and must be submitted to the USDF office prior to travel.

- a. Flight Arrangements: USDF will pay for a coach fare round trip airline ticket. If flight arrangements are made by Board members, it is recommended that flights are booked at least fourteen days in advance for a good rate.
  - b. Driving reimbursement: USDF will pay the applicable IRS business rate per mile for round trip mileage.
  - c. Hotel Arrangements: USDF will pay for all hotel room nights for the EB members during the spring EB meeting.
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.

## **F. MANAGEMENT COMMITTEE**

1. The USDF EB will have a Management Committee consisting of the four elected Officers and one RD who will be chosen by all of the RDs.
2. The purposes of the committee are:
  - a. Coordinate with the Executive Director to:
    - Encourage implementation of good human resources policies for USDF office staff.
    - Ensure that the financial operations of USDF are properly administered.
    - Establish the Executive Director's annual objectives for the USDF office.
  - b. Provide adequate supervision, ongoing support, and guidance to the Executive Director.
  - c. Conduct the annual performance appraisal of the Executive Director, using established evaluation criteria.
  - d. Determine the compensation of the Executive Director, which recognizes meeting or exceeding the performance goals and objectives set by the EB.
  - e. Consult with the President, if requested, pursuant to the USDF Committee Grievance Process.
  - f. Inform the EB of all actions of the Management Committee, except information that should be kept confidential under the USDF Committee Grievance Process and for which the EB does not have a "need to know."
  - g. Perform USDF work assigned by the EB.
  - h. The Management Committee of the EB will manage the National Endowment Fund. (See Ch. III. Financial, Section A.12)
3. The RD serving on the committee shall be chosen every two years by all RDs at the spring EB meeting.
4. No RD shall serve on the Management Committee for more than two consecutive two-year terms. In order to be selected, a director should receive a minimum of three votes. If this does not occur, the President will appoint a RD. If a director does not complete a full two-year term because he/she is no longer a RD or asks to be relieved for personal reasons, the President will appoint a RD to fill the term until the next spring EB meeting.

## **G. REGIONAL DIRECTORS (RDs)**

1. Regional representative appointments must be made as soon as possible after the convention and no later than the first week of January. Staff liaisons should be notified by the first week of January of representative appointments.
2. RD reports should be received by the USDF office 30 days prior to EB and BOG meetings.
3. RD phone, postage and duplicating expenses will be reimbursed for regional and EB business as appropriate, upon submission of documentation or receipts.

## **H. AT-LARGE DIRECTORS (ALDs)**

1. The ALD will serve on the 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 e-mail 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. (Article VII, Section E, 2.)
4. ALDs, as chairs of their respective council, are expected to chair, at a 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.

## **I. MISCELLANEOUS**

1. Staff activity reports and quarterly financial reports will be sent from the USDF office to the EB.

## **VIII. COUNCILS AND COMMITTEES**

### **A. DUTIES**

1. Advise the Executive Board (EB) and/or Board of Governors (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 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 USDF Bylaws and/or Policies, councils and committees may take no action to commit USDF to any business or contractual relationship, nor make policy. Councils and committees act in an advisory capacity to the EB and BOG.

## **B. GENERAL COUNCIL/COMMITTEE 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 as described under Section VIII D. below. If a committee consists of co-chairs, both are members of their respective council, but only one pre-declared chair sits on the council as a voting member.
3. A committee is composed of a chairman and designated committee members. Committee chairs are appointed for two-year terms. Committee members are appointed on an annual basis, from January 1 to December 31. There are no committee chair or committee member term limits.
4. If a committee chooses to appoint a vice chairman to their committee, the committee's recommendation must receive approval by the EB.
5. If appointed, a co-chair is considered equal to the appointed chair and shares the respective duties and responsibilities with exceptions related to voting within the respective USDF Council (see Ch. VIII, Councils and Committee, Section C.11). In the event a vice chair is appointed, the vice chair plays a supporting role to the chair and fulfills the chair's role and duties in their absence. Vice chair appointees are expected to learn alongside their respective chair for this purpose, as well as to establish a possible succession pipeline for the chair position.
6. 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.
7. 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.
8. 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.
9. 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.
10. Committee members must be either Group Members (GMs) or Participating Members (PMs), in good standing of USDF, except for Audit Committee members, who must be PMs. Council or committee chairs must be PMs in good standing. Ex-officio, honorary or advisory members are not required to be USDF members.
11. 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).

12. According to USDF policy, committee members can be removed by the chair with or without cause.
13. A regional representative must live or work in the region that he/she represents at least 50 percent of the year.
14. 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.
15. 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.
16. Committee chairs are responsible for appointing committee members and issuing the invitation to serve. Committee chairs must meet requirements and consider recommendations regarding representation on their committee as defined in section VIII. Councils and Committees, item D. USDF Council and Committee Structure, of these Policies and Procedures. Appointments for committee positions should be made with care and must be made as soon as possible after the convention, and no later than the first week of January. Staff liaisons should be notified by the first week of January of committee appointments.
17. Committees **MUST** have a wide, equitable, geographic distribution of members.
18. 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.
19. Para dressage representatives should possess para dressage expertise, competitively or otherwise, and experience in the field relevant to their assigned committee, in order to contribute to the committee's overall mission and objectives. Will also serve as a resource for, work in tandem with, and make themselves available to (as assigned or requested), all committees within their respective USDF Council to advocate for, promote, and further para dressage integration, interests, and education.
20. 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 BOG report from the last convention.
21. 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.

22. Chairs, committee members and appointees are required to comply with the USDF Code of Ethics and Conflict of Interest Policy in all USDF work. At the beginning of a meeting, or as soon thereafter as a conflict is discovered, they must disclose any actual or perceived conflict of interest as it relates to any item on the meeting agenda, and shall not vote on such committee matters. However, only the Audit Committee is required to annually sign and submit the USDF Conflict of Interest Disclosure Statement and Disclosure and Affirmation Statement 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.
23. 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.
24. Attendance and active participation by committee chairs and members in meetings, teleconferences, and communications throughout the year is expected. Additionally, committee chairs and members are expected to attend the USDF Annual Convention. If a committee chair is unable to attend the USDF Annual Convention or a scheduled meeting, the chair is responsible for notifying the USDF President and their At-Large Director (ALD), and for securing a committee member to serve as their proxy. In the event no committee member is available for a convention forum, the committee chair is responsible for notifying their ALD and requesting the ALD serve as their proxy. Committee staff liaisons cannot proxy for committee chairs at any meeting.
25. Convention registration is complimentary for USDF committee chairs and co-chairs.
26. 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.
27. 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.
28. 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.
29. 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.
30. 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.



31. 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.
32. 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.
33. Material created by an individual(s) in their USDF volunteer capacity, specifically for use by USDF, including its committees and programs, becomes the property of USDF and shall be maintained in the USDF office, unless a written agreement is executed between USDF and the individual(s) involved stating that the rights to the property and/or the stewardship of materials are to be retained by one or more of the individuals named in the agreement.
34. Written communication on council or committee business should clearly indicate who has originated the communication.
35. 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.
36. With the exception of the Audit Committee and Steering Committee for Committee Complaints, whose mission, goals and objectives are defined by either the USDF Bylaws (for the Audit Committee) or the USDF Committee Grievance Process (for the Steering Committee for Committee Complaints), 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.
37. If a council or 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.
38. 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 EB meetings by the deadline established by the EB. Program/project proposals or requests for changes must be submitted with these reports. These reports should not contain information about individuals that should be kept confidential under the USDF Committee Grievance Process, although information about final action may be reported on a "need to know" basis only.
39. 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.

### **C. 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 e-mail. The EB 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, councils and committees can hold no more than one closed meeting at the USDF Annual Convention. At least one open council forum will 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. The minutes of any teleconference must reflect that the meeting was held electronically.
7. Meetings may be recorded, at the request of the chair, for assistance in preparation of the meetings.
8. 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 ..... 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.
9. It is 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.
10. 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.
11. Council and committee members are entitled to vote. If a committee has co-chairs, both may attend council meetings, but only one pre-declared chair should sit on the council as a voting member, with one vote being carried by each committee that comprises a council. Staff members, including the liaison, and staff advisors, may not vote. The chair need not vote except to break or cause ties.
12. 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.
13. 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.
14. Alternates or proxy votes are not permitted in council or committee votes.
15. A member of the EB may attend any closed council or committee meeting, except that EB members may not attend meetings conducted pursuant to the USDF Committee Grievance Process unless specifically required or allowed to under USDF policy.

## D. USDF COUNCIL AND COMMITTEE STRUCTURE

1. ADMINISTRATIVE COUNCIL: Members consist of the chairs, including any co-chairs, of the four committees and one At-Large Director (ALD).
  - a. Group Member Organizations Committee
    - Required: para dressage representation (will also serve as the para dressage advisor to other committees within the Administrative Council, as needed)
    - Recommended: geographic and GMO size diversity
  - b. Historical Recognition Committee
  - c. Bylaws Committee (two EB appointments)
  - d. Nominating Committee (regional representation through consultation with RDs is required. Does not exclude additional appointments by chair with approval of the EB.)
  
2. TECHNICAL COUNCIL: Members consist of the chairs, including any co-chairs, of the six committees and one ALD.
  - a. Competition Management Committee
    - Required: para dressage representation with an understanding of competition management
    - Recommended: geographic diversity, competitor representation
  - b. Technical Delegate Committee
    - Required: inclusion of a technical delegate with para dressage experience
    - Recommended: geographic diversity
  - c. Instructor/Trainer Development Program Committee (para dressage representation recommended)
  - d. L Program Committee
  - e. Para Dressage Committee
  - f. Judges Committee
    - Required: para dressage representation
    - Recommended: freestyle and competitor representation
    - 1) Within the Judges Committee, two working groups exist; Freestyle and Test Writing. Members of the Freestyle and Test Writing Working Groups are selected from the committee membership and appointed by the chair of the Judges Committee. Non-voting expert advisors may also be appointed as needed by the chairs of the working groups.
      - a) Freestyle Working Group: Provides freestyle expertise input to Judges Committee and Test Writing Working Group activities.
      - b) Test Writing Working Group:
        - Oversees revisions of all national level tests and score sheets, including freestyle, sport horse, and dressage seat equitation patterns. Timelines are established for review, approval, and the timely release of revised tests and score sheets in accordance with the established test cycle.
        - Submits all national level tests and score sheets, including freestyle, sport horse, and dressage seat equitation test patterns for final approval.
        - Provides revisions for all national level tests.
        - Working and final drafts of all tests and score sheets are housed by the USDF office.
  
3. ACTIVITIES COUNCIL: Members consist of the chairs, including any co-chairs, of the six committees and one ALD.
  - a. Adult Programs Committee
    - Required: para dressage representation
    - Recommended: geographic diversity

- b. National Youth Programs Committee
  - Required: para dressage representation
  - Recommended: geographic diversity
- c. FEI Youth Committee
  - Required:
    - i. Regional representation through consultation with RDs. Does not exclude additional appointments by chair with approval of the EB.
    - ii. Para dressage representation
- d. Regional Championships Committee (regional representation through consultation with RDs is required. Does not exclude additional appointments by chair with approval of the EB.)
- e. Sport Horse Committee
- f. Awards Committee (para dressage representation recommended)

#### 4. INDEPENDENT COMMITTEES

- a. Audit Committee
  - See the USDF Bylaws (Article XI) for the duties and specific criteria one must meet to serve on the Audit Committee.
- b. Steering Committee for Committee Complaints (Chair is the USDF Vice President and members are Chairs of the Administrative Council, Technical Council, and Activities Council)
  - The Executive Director serves as the staff liaison to the Steering Committee for Committee Complaints.
  - See the USDF Committee Grievance Process for the duties, functions, and procedures specific to the Steering Committee for Committee Complaints.
- c. By nature of their function, the Audit Committee and Steering Committee for Committee Complaints should retain an independent and arms length status within the committee structure. In general, the membership, duties and functions of these independent committees are defined by specific provisions found either in the USDF Bylaws (for the Audit Committee) or the USDF Committee Grievance Process (for the Steering Committee for Committee Complaints), as well as provisions in the USDF Policies and Procedures specific to these committees. To the extent any of the above-referenced provisions specific to these committees conflict with other more general provisions regarding USDF committees, the specific provisions will control. Questions as to whether a general provision on committees applies to one of these independent committees shall be resolved by the EB.
- d. Steering Committee for Executive Board (EB) Complaints
  - The purpose of this committee is to evaluate official complaints lodged against a USDF Board member through actions in their capacity as a Board member or actions that compromise their effectiveness as a Board member or reflect poorly on USDF and/or the USDF EB. It is also within the committee's jurisdiction to initiate sanctions based on findings and in accordance with USDF bylaws and policies.
  - Structure: Chair is the USDF Vice President and members are the USDF Treasurer, Secretary, RD serving on the EB Management Committee, and Chairs of the Bylaws Committee and Audit Committee. If any of these individuals have a conflict related to the complaint lodged against the Board member(s), they will be recused, and the President will appoint a non-conflicted alternate. If the President has a conflict related to the complaint lodged against the Board member(s), the Vice President will appoint an alternate.
  - The Executive Director serves as the staff liaison to the Steering Committee for EB Complaints. The Executive Director will also serve as liaison to legal Counsel as needed.

#### 5. STANDING WORKING GROUPS

- a. Rules Advisory Working Group: appointed by the President and approved by the EB to a two-year term. Appointments are effective June 1.

1. To work in support with USDF staff and make recommendations to the EB regarding USEF rule change proposals originating within USDF or sent to USDF by USEF or the Dressage Sport Committee for review.
2. Gather input from all relevant USDF Committees on new and revised rule change proposals.
3. Structure representation: technical delegates (TDs), judges, and competition management.
- b. Licensed Official Education Working Group: appointed by the President and approved by the EB to a two-year term. Appointments are effective January 1.
  1. To advise USDF staff, as needed, on licensed official education activities and protocols.
  2. Structure representation: TDs, judges, sport horse and freestyle officials. Smaller working groups may be assigned as needed.
- c. Investment Working Group: members consist of the USDF Treasurer, President, Vice President, the Regional Director elected to serve on the Management Committee, the USDF Executive Director, and the Senior Director & CFO. Staff are non-voting members.
  1. To provide guidance to the USDF investments account manager in the management of USDF investments.
  2. To approve the transfer of funds.
- d. Regional Championship Site Selection Working Group: members consist of three appointees from the EB and three appointees from the Regional Championships Committee, appointed annually.
  1. To review host site application forms and provide a recommendation to the USDF EB for the location and date of each region's regional championship competition for the next year.
  2. Structure representation: Chair is the Chair of the Regional Championships Committee. Members will have a national awareness of regional championship venues.
  3. In the event a member has a financial interest or other clear conflict related to one of the host site applications submitted, that member will recuse themselves from their duties on the working group for that specific region.

## **IX. PROGRAMS**

### **A. PARTICIPATION**

1. There may be a program registration fee for USDF programs held at a local level, which require USDF administrative assistance. (See Ch. III. Financial, Section F)
2. Any individual in arrears on fees or dues to USDF, its regions, or Group Member Organizations (GMOs) 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. (See Ch. III. Financial, Section A)
3. Any individual or USDF member once known by USDF to be suspended by the United States Equestrian Federation, or while under sanction by the US Center for Safe Sport, will be considered not in good standing with USDF during the period of suspension or sanction. Any individual or member not in good standing shall not be entitled to rights and privileges afforded to those in good standing and will be ineligible to attend or participate in USDF programs, events, or activities. (See Bylaws Art. V., Section 1, Member in Good Standing)
4. Participating membership (in good standing) with USDF is required for participation in several USDF programs, including:
  - a. Candidates and participants in certification testings and professional development assessments
  - b. Certification examiners

- c. Certified instructors and associate instructors (non-renewal of membership will result in removal of instructor's name from all USDF lists for any period of lapsed membership.)
  - d. L Education Program – Part 2
  - e. Faculty for L Education Program
  - f. Dressage participants representing the US in the NAYC.
  - g. USDF/USEF Young Rider Graduate Program
  - h. Trainers Conference
  - i. FEI Youth Clinic participants (Riders)
  - j. USDF Honorary Instructors
  - k. Dressage Seat Medal Semi-Finals
  - l. Dressage Judge, Dressage Sport Horse Breeding Judge, and Dressage Technical Delegate Training Programs
  - m. USEF/USDF Licensed Officials Clinics, required to maintain license or receive designation
5. USDF Certified Instructors and USDF Associate Instructors are required to pay an annual fee and complete the program's continuing education requirement in order to be considered current USDF Certified Instructors and USDF Associate Instructors and receive program benefits. Failure to pay the annual fee and complete the program's continuing education requirement may result in omission of names of USDF Certified Instructors and USDF Associate Instructors from USDF publications listing USDF Certified Instructors and USDF Associate Instructors, including the USDF website.

## **B. REQUIREMENTS**

1. USDF sanctioned programs:
  - a. Permission to advertise a clinic, forum, competition or other dressage program as USDF "sanctioned" must be applied for in writing directly to USDF.
  - b. 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.
  - c. A GMO, USDF region, USDF council or committee or other USDF-approved organization must be designated as the sponsoring organization of a USDF sanctioned program.
  - d. 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.
  - e. A nominal fee may be charged for USDF sanctioned program organizer guidelines that are available free of charge on the USDF website.
  - f. All USDF sanctioned programs and competitions are required to carry at least \$1 million insurance liability coverage, which cites 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 the program guidelines.
2. Programs voted on and approved by the BOG will be reviewed by a working group of the Executive Board (EB) to determine an appropriate implementation plan. (See Ch. IX. Programs, Section D)
3. USDF sanctioned programs which have been approved and accepted by the BOG, and designed to be organized at the regional or local level, should be allowed to be undertaken in any region by USDF GMOs, or by members with the approval of the Regional Director (RD) and the appropriate

regional representative or committee chair. This policy does not apply to USDF administered national programs.

### C. LIST OF USDF PROGRAMS

1. Committees should produce, and update as needed, guidelines for the conduct of USDF programs. For information on USDF activities, projects or programs, see the current guidelines which are posted on the USDF website.
2. List of USDF programs as of September 1, 2024:
  - 1) Competition Awards (Rider, Horse Performance, Year-End, All Breeds)
  - 2) Recognition Awards (HOF, MOD, Volunteer, GMO)
  - 3) Annual Convention
  - 4) Regional Adult Amateur Equitation/Regional Final
  - 5) FEI Youth Clinic Series
  - 6) Qualifying and Selection Criteria for NAYC
  - 7) USDF nomination to the USEF Youth Sportsman's Award
  - 8) Shining Star
  - 9) Ravel Education Grant
  - 10) Youth Dressage Recognition Pin
  - 11) Youth Convention Scholarship
  - 12) Youth Outreach Clinics
  - 13) Young Rider Graduate
  - 14) Youth/Young Adult Dressage Sport Horse Breeder Seminar
  - 15) Youth/Young Adult Dressage Sport Horse Handler Seminar
  - 16) Arts Contest
  - 17) University Accredited Events\*
  - 18) GMO Education Initiative\*
  - 19) Instructor Certification Testings
  - 20) Dressage Development Seminars
  - 21) Professional Development Assessments
  - 22) FEI Level Trainers Conferences
  - 23) Sport Horse Seminars
  - 24) Sport Horse Prospect Development Forum
  - 25) Sport Horse Handlers Clinic
  - 26) Continuing Education in Dressage Judging\*
  - 27) L Education\*
  - 28) Licensed Officials (LO) Training
  - 29) LO Clinics (that meet USEF maintenance requirements)
  - 30) Dressage Technical Delegate Apprentice
  - 31) Dressage Seat Medal Semi-Finals
  - 32) Regional Dressage Championships
  - 33) US Dressage Finals
  - 34) Breeders Championship Series
  - 35) Adult/Youth Camps\*\*
  - 36) Adult and Youth Regional Team Competitions\*\*
  - 37) Dressage Spirit Award

\* USDF sanctioned programs hosted by regions, GMOs or other organization for which USDF provides guidelines and support to varying degrees.

\*\*USDF programs, not-sanctioned by USDF, hosted by regions, GMOs or other organizations for which USDF provides guidelines.

## **D. USDF EXECUTIVE BOARD (EB) 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 timeline 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 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, staff liaison for the program/ project, the committee chair responsible for the program/project, and the respective At-Large Director (ALD).
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.

## **X. NOMINATIONS AND ELECTIONS**

USDF has two Boards. The sixteen member Executive Board (EB) is made up of nine Regional Directors (RDs), four Officers, and three At-Large Directors (ALDs). The Officers and ALDs are elected by the delegates to the Board of Governors (BOG), and the RDs are elected by the delegates in their respective regions. The BOG consists of elected Participating Member (PM) delegates, as well as Group Member Organization (GMO) delegates.

### **A. NOMINATIONS**

[See Bylaws Article XII]

1. Nominations for PM delegates
  - a. All nominations for PM delegates to the BOG are to be submitted to the Nominating Committee staff liaison, or the Nominating Committee representative from the respective region, or the Nominating Committee Chairman by April 15.



- b. PM delegate nominees must accept their nomination no later than April 30 to appear on the voting ballot.
- c. The nominee must confirm that he/she understands that his/her expenses will not be paid by USDF funds.

## 2. Nomination of Officers and RDs

- a. The Nominating Committee **MUST** receive nominations from the membership and shall, when necessary, nominate individuals for office.
- b. The committee will prepare a list of candidates for each office.
- c. Nominations for Officers and RDs to the EB are to be submitted to the Nominating Committee staff liaison, or the appropriate Nominating Committee representative, or the Nominating Committee Chairman by June 1 to be listed on the slate of nominees before the annual convention. Candidates may be nominated from the floor of the BOG at the annual convention.
- d. In all cases, consent of the nominee must be obtained prior to submission of his/her name to the Nominating Committee.
- e. The Nominating Committee staff liaison will inform the membership, via e-mail or other means of communication, about USDF Officer and RD nominations at least 60 days in advance of voting by the BOG.
- f. No person may accept a nomination as a candidate for more than one office at the same time. The nominee must decide for which office he/she will run prior to publication of the proposed list. Publication of the list will occur at least 60 days in advance of voting by the BOG.
- g. The person submitting the nomination to the committee may include a brief biography, education, experience, and other general information on the proposed candidate.
- h. The biographies, a photograph, and the candidate's responses to questions (provided by the Nominating Committee) will be published in *USDF Connection* in conjunction with the proposed list of candidates.

## 3. Nomination of ALDs

- a. Nominations of Administrative, Technical, and Activities Council ALD are to be put forth only by the committees within their respective Council.
- b. All committee members, including chairs, are eligible to be nominated.
- c. In the event that one is a member of multiple committees within the same council, he/she may not be nominated more than once.
- d. Committee members may only nominate a candidate from within their own committee membership or committee members may choose to support the standing Council ALD as the nominee.
- e. Committees are not required to put forth a nomination, but if they choose to do so they may nominate no more than one candidate, which must be supported by the majority of the committee.
- f. Support of a candidate by the majority of a committee is determined by a confidential e-mail vote directed to the respective staff liaison. In the event that one person serves on multiple committees within the same council, he/she may not vote more than once.
- g. Once a single committee nomination is established and consent of the nominee obtained, the staff liaison will submit the official nomination to the Nominating Committee staff liaison by June 1.
- h. No person may accept a nomination as a candidate for more than one office at the same time. The nominee must decide for which office he/she will run prior to publication of the list of nominees. Publication of the list will occur at least 60 days in advance of voting by the BOG.
- i. The Nominating Committee staff liaison will inform the membership, via e-mail or other means of communication, about USDF ALD nominations at least 60 days in advance of voting by the BOG.

- j. The biographies, a photograph, and the candidate's responses to questions (provided by the Nominating Committee) will be published in *USDF Connection* in conjunction with the proposed list of candidates.

## **B. ELECTIONS**

[See Bylaws Article XIII]

1. Election of PM delegates
  - a. PM delegates shall be elected each year.
  - b. A ballot is mailed to each PM by June 1.
  - c. All ballots must be cast within 30 days of the mailing of said ballots (the return date).
  - d. Any ballots cast after the return date shall be discarded.
  - e. Paper ballots shall be counted by the Canvassing Committee within 30 days after the return date of the election. (See Bylaws, Art. XII for information on Canvassing Committee.)
  - f. All defaced ballots will be voided. Defaced ballots are those that are partially destroyed, illegible or otherwise unclear.
  - g. For the purposes of Section B.1., Election of PM delegates, the following definitions shall apply:
    1. Mail or Mailing – shall mean any form of distribution, physical or electronic.
    2. Return Date – shall mean the date by which votes must be received by the USDF in either physical or electronic form.
    3. Ballot – shall include a physical or electronic form.
    4. Cast – a ballot is cast when it is received by the USDF in either a physical or electronic form.
2. Election of Officers, ALDs, and RDs
  - a. Written notice of the nominees shall be submitted to the known delegates to the BOG at least 60 days prior to the applicable election date.
  - b. The Nominating Committee shall announce the slate of candidates each day of the BOG meeting and accept any nominations from the floor for Officers and RDs. Nominations for ALDs are to be put forth only by the committees within their respective council and are not accepted from the floor of the BOG.
  - c. A short campaign speech by each Officer (President, Vice President, Secretary, Treasurer) nominee who was nominated by June 1 or who accepts a nomination from the floor of the BOG shall be allowed during the first session of the BOG. When there is more than one nominee for any such office, the RDs shall allow each nominee up to five minutes to address their respective regional meeting. Only those Officer nominees nominated by June 1 are permitted to give a campaign speech at the regional meetings.
  - d. A short campaign speech by each ALD (Administrative Council, Technical Council, Activities Council) nominee shall be allowed during the first session of the BOG. When there is more than one nominee for any such office, the RDs shall allow each nominee up to five minutes to address their respective regional meeting. ALD nominees allowed to give a campaign speech at the BOG or regional meetings include those nominated by June 1, as ALD nominations are not accepted from the floor of the BOG.
  - e. Nominations received by June 1 (see Policies & Procedures, Section X, A, 2c) to the office of RD, and any person who intends to be nominated from the floor of the BOG to the office of RD, shall be allowed to give a short campaign speech during the nominees' respective regional meeting at the convention. No campaign speech by an RD nominee, whether nominated by June 1 or nominated from the floor of the BOG, will be allowed at the BOG General Assembly.
  - f. Voting for the offices of President, Vice President, Secretary, Treasurer, ALDs, and/or RDs will take place on the final day of the annual meeting of the BOG.

- g. The following procedures shall be used with confidential online voting (to be used in place of secret paper ballots):
- i. A print-out of the roll call will be available at check-in so that all delegates can see the number of votes available per region and per GMO.
  - ii. There will be a sign-in sheet when voting at the kiosks that delegates will personally sign.
  - iii. An appropriate number of computer voting kiosks will be available in the BOG meeting room.
  - iv. All voting delegates will receive a confidential voting PIN number prior to the start of the first BOG meeting.
  - v. Delegates will be instructed at the appropriate time to approach the voting kiosks and log in their vote(s).
  - vi. The software will be programmed to know each PM and GM delegate's appropriate voting rights based on the PIN number(s) assigned to them. The software will not allow any PIN number to be used more than one time per voting question.
  - vii. Each delegate will enter their PIN number in a login screen, which will either take them to the ballot or indicate if they have already placed their vote.
  - viii. Each delegate will select their choices from the ballot screen and click submit, at which point the program will record their vote into the database and will return to the PIN login screen for the next delegate.
- h. Any candidate running unopposed shall be elected by acclamation.
- i. Officers, ALDs and RDs shall be elected every third year on a rotating basis. [Bylaws, Article XIII, Sections 1 – 3]

### **C. GMO DELEGATES**

1. Each year after the USDF annual convention, the Nominating Committee will send a letter to all GMOs that did not respond to delegate assignment requests made prior to the convention, to inform them that they were not represented at the BOG meeting.

## **XI. MARKETING**

### **A. GENERAL**

1. No person or organization shall be permitted to use the USDF logo, word mark, title or signage without written permission from the USDF Marketing and Communications Director or Executive Director.
2. A press release announcing the USDF Grand Prix Horse of the Year winner will be sent out to the media and a link to all final year-end award standings will be posted out through USDF social media and web channels. Winners of the year-end award perpetual trophies will be highlighted through the annual Salute Gala and annual Awards Banquet wrap-up page on the USDF website.
3. A disclaimer will be placed on the USDF website Calendar of Events (USDF University Accredited Programs) to clarify that USDF grants USDF University status to programs for their educational content only, and that USDF has no control over the organization conducting the event.
4. USDF Participating Members (PMs), Group Members (GMs), Education Members (EMs), and Business Members (BMs) will be eligible to receive a discount on USDF merchandise by providing the member discount code through the online store, or proof of membership at checkout. (Some exclusions may apply.)

## **B. SPONSORSHIP**

1. Direct sponsorship solicitation by a council or committee or region, for a USDF program, must have prior approval of the USDF Marketing and Communications Director or Executive Director. (See. Ch. II. General, Section A)
2. Solicitation of sponsors at the regional level:
  - a. All correspondence concerning the potential sponsorship shall be communicated with the Regional Director (RD).
  - b. The RD shall contact the potential sponsor directly, or shall appoint a person to serve as a regional representative to contact the sponsor.
  - c. Sponsorship cannot conflict with strategic USDF Corporate Agreements. USDF Corporate Agreements are contracts with current USDF sponsors.
  - d. Approval from USDF Marketing and Communications Director or Executive Director must be obtained prior to final solicitation of a potential sponsorship in the name of a USDF region or program.
  - e. All sponsorship funds shall be recorded as a deposit in the USDF regional account in accordance with the USDF policy for solicitation of funds by regions, councils and committees. (See Ch. III. Financial, Section J)
3. Solicitation of sponsors at the council or committee level:
  - a. All correspondence with or about a potential sponsor shall be communicated with the chair of the council or committee.
  - b. The chair shall contact the USDF liaison and keep them informed of all communications with the potential sponsor.
  - c. Sponsorship cannot conflict with strategic USDF Corporate Agreements.
  - d. The liaison shall contact the USDF Marketing and Communications Director regarding the potential sponsorship.
  - e. The USDF Marketing and Communications Director will contact the potential sponsor directly for further discussions.
  - f. The USDF Marketing and Communications Director will keep council or committee chairs informed on all progress and communication with potential sponsor.
  - g. USDF staff will be responsible for developing strategies and benefit packages, negotiating agreements, and administrating contracts relating to sponsorship.
  - h. Formal proposals for sponsorship and sponsor benefit packages must be approved by the USDF Executive Director. The Executive Director may, at his/her discretion, appoint someone to communicate with corporate sponsors.

## **C. PUBLICATIONS**

1. The *USDF Connection* is the official publication of USDF.
2. The *USDF Member Guide* is an annual publication containing USEF tests, FEI tests, USDF Freestyle and Introductory tests, and complete USDF Awards information. A complimentary copy of the *USDF Member Guide* will be sent to all PMs, GMs and BMs. Additional copies will be available for purchase.
3. Other USDF communications include the USDF website, USDF eNews, GMO Officials eNews, USDF Publications e-mail, USDF: Your Dressage Connection, Youth Corner, and Competition Contact.
4. All USDF publications shall be monitored and regulated by the Executive Director.
5. The subscription to *USDF Connection* is based upon the effective date of an individual's

membership. The member will receive the first issue of *USDF Connection* approximately two months after the membership has been processed and will continue to receive *USDF Connection* two months after their membership has expired. If a member does not inform USDF of a change of address, USDF is not responsible for issues that the member does not receive.

#### **D. LIST RENTAL POLICY**

1. The USDF membership list is available for rent by USDF Business Members and GMOs.
2. Lists will be sent electronically to the client's designated mailing house.
3. USDF must receive a signed list rental contract, a copy of the piece to be mailed and prepayment before the list is sent out. Upon review of the piece, USDF has the right of refusal.
4. Each region may use the USDF member list one time each year, at no charge, with approval of the RD and the Executive Director.

#### **E. ADVERTISING POLICY**

[Also see the current Advertising Rate Card]

1. Advertisements are accepted for the *USDF Connection*, USDF Member Guide, USDF: Your Dressage Connection, and most other USDF publications.
2. A finance charge of 1.5 percent per month on credit balances over 30 days will be assessed and subsequent ads will not be run if previous ad is not paid within 60 days of invoice.
3. See the current USDF advertising rate card for contract, copy specifications, commissions and rates.

#### **F. COPYRIGHT PROCEDURES**

1. USDF materials shall be copyright protected. This includes all tests, pamphlets, brochures and educational content. If a GMO, region, retail business or other entity wishes to reproduce, digitally download, distribute as a digital link (including apps) and/or use any of this copyright protected material, permission must be first granted by USDF. The procedure for gaining permission is as follows:
  - a. Submit a request in writing to USDF. The request must include how the materials are to be used.
  - b. Retail sales product must include the price of the product, how the product will be marketed and how the product will be packaged.
  - c. Upon submission of a request, the GMO/regional contact will receive a USDF contract for signature, followed by the appropriate materials requested.
  - d. All GMO/regional contracts are valid through the end of the current calendar year and must be renewed each year.
  - e. If the product is for resale purposes, a contract will be created around the specific product. Generally there is a fee for the copyright usage and a royalty percentage based on the product.
  - f. Any foreign federation that wishes to use any of the copyrighted materials for educational or competitive purposes must seek approval from USDF. A contract will be created for the specific use of the materials. Approval may include a usage fee and/or a royalty percentage.
  - g. If a GMO, region, retail business or other entity wish to link to any of our copyright protected materials, they must link to the general page that contains the link, not directly to the PDF.
  - h. If a new product or type of use is created during the term of contract, permission must be requested for this new product or use.

**G. PROCEDURE FOR VIDEO/ELECTRONIC IMAGING PROJECTS**

1. The following procedures should be followed for all USDF video/electronic imaging projects, both for retail purposes and for USDF councils and committees or office use. The USDF Marketing Department can work with the committees to develop the proposal, budget and timeline. The department can also provide the committees with the appropriate forms and information necessary for the project.
  - a. All video/electronic imaging projects are to be coordinated with the USDF Marketing Department. Any video/electronic image that may be sold through the USDF store should work with the USDF Marketing Department for marketing and price information.
  - b. A proposal must be submitted to the USDF Marketing Department. This proposal should include an outline of the content and intended use of the video/electronic image and its targeted market.
  - c. A budget for the project, along with supporting documentation, must be presented to the USDF Finance and Accounting Department for evaluation. This budget should include initial duplication costs, jacket production and packaging for the first production run of the video/electronic image.
  - d. The project should include three bids from video/electronic image production companies.
  - e. Musical videos/electronic images must address musical rights prior to the start of the project. The USDF Marketing Department can assist in obtaining musical rights.
  - f. The proposed project budget and supporting documentation will then be presented to the Executive Board (EB) for approval.
  - g. Releases must be obtained from all riders and horse owners that are to be used in the project.
2. Imaging, video, or audio recording of USDF clinics, events and programs is only permitted for private or personal use by the riders actually participating in that USDF clinic, event or program. No image, video, or audio recording is permitted by the general audience. No image, video, or audio recording of USDF clinics, events and programs may be sold or distributed in any form by any entity or individual without prior express written consent of USDF.

**H. LICENSING AND BRANDING OF PRODUCTS**

1. USDF will not engage in the practice of licensing the use of its name, or logo for the purpose of branding products produced and distributed by entities other than USDF.
2. USDF will not directly endorse a product where that product is considered a dressage product, produced and distributed by entities other than USDF.
3. USDF will allow the use of its name and/or logo by sponsors and strategic partners in the context of a contractual relationship such as with an official sponsor or official supplier of USDF, or for a USDF program.
  - a. Examples of appropriate usage include: sponsor advertising, hang tag and product packaging.
  - b. All such usage and treatments must be approved by the USDF Marketing and Communications Director or the USDF Executive Director.

**XII. 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

Contracts, mortgages, notes and leases (expired)	7 years
Contracts still in effect	Permanently
Correspondence (general)	2 years
Correspondence (legal and important matters)	Permanently
Correspondence (with customers and vendors)	2 years
Deeds, mortgages, and bills of sale	Permanently
Depreciation schedules	Permanently
Duplicate deposit slips	2 years
Employment applications	3 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
Patents and related papers	Permanently
Payroll records and summaries	7 years
Personnel files (terminated employees)	7 years
Retirement and pension records	Permanently
Tax returns and worksheets	Permanently
Timesheets	7 years
Trademark registrations and copyrights	Permanently
Withholding tax statements	7 years

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

### **XIII. 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. In the furtherance of their official duties, all federation representatives, including staff, licensed officials, and volunteers, shall be treated with courtesy and respect and no person shall direct abusive or threatening conduct toward them.
4. Know, understand and comply with the laws, regulations, and codes of conduct governing the conduct of USDF competitions and business.
5. Ensure that all transactions are handled honestly and recorded accurately.
6. Protect the confidentiality of information that belongs to the Corporation, our donors, sponsors, suppliers, fellow volunteers and staff.
7. Respect the confidentiality appropriate to issues of a sensitive nature.
8. Avoid conflicts of interest, both real and perceived.
9. Never use Corporation assets or information for personal gain.
10. 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. **DRESSAGE**  
The term “dressage” as stated in these Policies and Procedures denotes both able-bodied and para dressage.
2. **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.
3. **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.
4. **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.
5. **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.



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

6. **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 Executive Board, 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 or members 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 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, including, if known, the final result of any appeal on such a decision taken pursuant to the USDF 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 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 Executive Board member, Audit Committee member, staff member, L Faculty, and Certification Examiners and Faculty shall annually sign and submit 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,
- 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, and
- 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 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.

## **XIV. USDF STATEMENT ON ANIMAL WELFARE**

The United States Dressage Federation, Inc. (USDF), a federation of individual members and over 100 independent organizations throughout the United States, supports the concept of ethical treatment of animals.

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.

While supporting the concept of animal welfare in its broadest form, USDF also recognizes that it is unrealistic to ascribe human emotions and responses to the horse which in its wild state is a creature of flight, living a hard and precarious existence. Under domestication, the horse is assured of ample food, water, and shelter, as well as protection against infectious diseases and damaging parasites, thus leading a longer and healthier life with a high rate of survival.

As an educational organization, USDF has numerous programs, which teach people how to pursue the accepted, humane training methods. A program of certifying instructors also emphasizes protecting the horse's welfare in pursuit of dressage training. (See Ch. VI. Competitions, Section A)

## **XV. USDF STATEMENT OF PRINCIPLE**

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

1. Conduct themselves in an ethical, fair and sportsmanlike manner, and take responsibility for their actions while training and competing.
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.
9. Comply with the Safe Sport Code.