

## **POLICIES AND PROCEDURES**

### **USA HOCKEY SAFESPORT POLICIES**

USA Hockey and the LOEAHA are committed to creating a safe and positive environment for its participants' physical, emotional, and social development and to ensuring that it promotes an environment free from abuse and misconduct. As part of this program USA Hockey has implemented policies below addressing certain types of abuse and misconduct, and certain policies intended to reduce, monitor and govern the areas where potential abuse and misconduct can occur.

The Policies below address the following types of abuse and misconduct:

- Sexual Abuse
- Physical Abuse
- Emotional Abuse
- Bullying, Threats and Harassment
- Hazing

The above Policies set forth the boundaries for appropriate and inappropriate conduct.

The Policies below are implemented to reduce the risks of potential abuse:

- Locker Room Policy
- Social Media, Mobile and Electronic Communications Policy
- Travel Policy
- Billeting Policy

All USA Hockey members shall familiarize themselves with each form of misconduct and shall refrain from violating any of these policies.

In the event that any of USA Hockey's, LOEAHA's, or local program's employees or volunteers observe inappropriate behaviors (i.e., policy violations), suspected physical and sexual abuse, or any other type of abuse or misconduct, it is the personal responsibility of each such person to immediately report their observations to the appropriate person as described in Section IV of the USA Hockey SafeSport Handbook concerning Reporting.

In addition to reporting within USA Hockey, such persons must also consider reporting suspected child physical or sexual abuse to appropriate law enforcement authorities. Employees and volunteers should not attempt to evaluate the credibility or validity of child physical or sexual abuse allegations as a condition for reporting to appropriate law enforcement authorities.

USA Hockey has ZERO TOLERANCE for abuse and misconduct. How USA Hockey, its affiliates and local programs respond to an allegation of abuse or misconduct is described in Section V of this Handbook concerning Responding.

### **SEXUAL ABUSE**

It is the policy of USA Hockey that there shall be no sexual abuse of any minor participant involved in any of its sanctioned programs by an employee, volunteer, independent contractor or another participant. Sexual abuse of a minor participant occurs when an employee, volunteer, independent contractor, or other participant (including a minor participant) touches a minor participant for the purpose of causing the sexual arousal or gratification of either the minor participant or the employee,

volunteer, or independent contractor, or other participant. Sexual abuse of a minor participant also occurs when a minor participant touches an employee, volunteer, or independent contractor, or other participant for the sexual arousal or sexual gratification of either the minor participant or the employee, volunteer, independent contractor, or other participant, if the touching occurs at the request or with the consent of the employee, volunteer, or independent contractor, or other participant.

Neither consent of the minor participant to the sexual contact, mistake as to the participant's age, nor the fact that the sexual contact did not take place at a hockey function are defenses to a complaint of sexual abuse.

Sexual abuse may also occur between adults or to an adult. Sexual abuse includes sexual interactions that are nonconsensual or accomplished by force or threat of force, or coerced or manipulated, regardless of the age of the participants. Sexual contact between an older and a younger child also can be abusive if there is a significant disparity in age, development, or size, rendering the younger child incapable of giving informed consent. The sexually abusive acts may include sexual penetration, sexual touching, or non-contact sexual acts such as exposure or voyeurism.

Sexual abuse may also include non-touching offenses, such as sexually harassing behaviors; an adult discussing his/her sex life with a minor; an adult asking a minor about his/her sex life; an adult requesting or sending nude or partial dress photo to minor; exposing minors to pornographic material; sending minors sexually explicit electronic messages or photos (e.g. "sexting"); deliberately exposing a minor to sexual acts; or deliberately exposing a minor to inappropriate nudity.

Upon proof of violation of this policy, the violator may be subject to appropriate disciplinary action including but not limited to suspension, permanent suspension, and/or referral to law enforcement authorities.

## **PHYSICAL ABUSE**

It is the policy of USA Hockey that there shall be no physical abuse of any participant involved in any of its sanctioned programs by any employee, volunteer, or independent contractor, or other participant. Physical abuse means physical contact with a participant that intentionally causes or has the potential to cause the participant to sustain bodily harm or personal injury. Physical abuse also includes physical contact with a participant that intentionally creates a threat of immediate bodily harm or personal injury.

In addition to physical contact or the threat of physical contact with a participant, physical abuse also includes the providing of alcohol to a participant under the age of consent and the providing of illegal drugs or nonprescribed medications to any participant.

Physical abuse does not include physical contact that is reasonably designed to coach, teach or demonstrate a hockey skill. Permitted physical conduct may include, but is not necessarily limited to, shooting pucks at a goaltender, demonstrating checking and other hockey skills, and communicating with or directing participants, during the course of a game or practice, by touching them in a non-threatening, non-sexual manner.

Any USA Hockey member who engages in any act of physical abuse is subject to appropriate disciplinary action including but not limited to suspension, permanent suspension, and/or referral to law enforcement authorities.

## **EMOTIONAL ABUSE**

It is the policy of USA Hockey that there shall be no emotional abuse of any participant involved in any of its sanctioned programs by an employee, volunteer, independent contractor or another participant. Emotional Abuse involves a pattern of deliberate, non-contact behavior that has the potential to cause emotional or psychological harm to a participant. These behaviors may include verbal acts, physical acts or acts that deny attention or support.

Examples of emotional abuse prohibited by this Policy include, without limitation: a pattern of (a) verbal behaviors that (i) attack a participant personally by, e.g., calling them worthless, fat, or disgusting; or (ii) repeatedly and excessively yelling at a particular participant or participants in a manner that serves no productive motivational purpose; and (b) physically aggressive behaviors, such as (i) throwing sport equipment, water bottles, or chairs at participants; or (ii) punching walls, windows, or other objects.

Emotional abuse does not include generally-accepted and age appropriate coaching methods of skill enhancement, physical conditioning, motivation, team building, appropriate discipline, or improving athletic performance.

A USA Hockey member who engages in any act of emotional abuse is subject to appropriate disciplinary action including but not limited to suspension, permanent suspension, and/or referral to law enforcement authorities.

Note: Bullying, harassment, and hazing, defined below, often involve some form of emotional misconduct.

## **BULLYING , THREATS AND HARASSMENT**

USA Hockey supports an environment for participation in hockey conducive to the enjoyment of hockey that is free from threats, harassment, and any type of bullying behavior. The purpose of this policy is to promote consistency of approach and to help create a climate in which all types of bullying, harassing or threatening behavior are regarded as unacceptable.

### **Bullying**

Bullying is the use of coercion to obtain control over another person or to be habitually cruel to another person. Bullying involves an intentional, persistent or repeated pattern of committing or willfully tolerating physical and non-physical behaviors that are intended to cause fear, humiliation, or physical harm in an attempt to socially exclude, diminish, or isolate another person. Bullying can occur through written, verbal or electronically transmitted expression or by means of a physical act or gesture. Bullying behavior is prohibited in any manner in connection with any USA Hockey sanctioned activities or events.

Examples of bullying prohibited by this Policy include, without limitation physical behaviors, including punching, kicking or choking an athlete; and verbal and emotional behaviors, including, the use of electronic communications (i.e., "cyber bullying") to harass, frighten, intimidate, or humiliate.

While other team members are often the perpetrators of bullying, it is a violation of this Policy if a coach or other responsible adult knows or should know of the bullying behavior but takes no action to intervene on behalf of the participant(s) targeted.

A USA Hockey participant or parent of a participant who engages in any act of bullying is subject to appropriate disciplinary action including but not limited to suspension, expulsion and/or referral to law enforcement authorities. The severity and pattern, if any, of the bullying behavior shall be taken into consideration when disciplinary decisions are made.

## **Threats**

A threat to harm others is defined as any written, verbal, physical or electronically transmitted expression of intent to physically injure or harm someone else. A threat may be communicated directly to the intended victim or communicated to a third party. Threatening behavior is prohibited in any manner in connection with any USA Hockey sanctioned activities or events.

Any USA Hockey participant or parent of a participant who engages in any act of threatening harassing behavior is subject to appropriate disciplinary action including but not limited to suspension, expulsion and/ or referral to law enforcement authorities. The severity and pattern, if any, of the threatening behavior shall be taken into consideration when disciplinary decisions are made.

## **Harassment**

Harassment in sport includes any pattern of physical and/or non-physical behaviors that (a) are intended to cause fear, humiliation, or annoyance, (b) offend or degrade, (c) create a hostile environment, or (d) reflect discriminatory bias in an attempt to establish dominance, superiority, or power over an individual participant or group based on gender, race, ethnicity, culture, religion, sexual orientation, gender expression, or mental or physical disability.

Examples of harassment prohibited by this Policy include, without limitation such non-physical offenses as (a) making negative or disparaging comments about an athlete's sexual orientation, gender expression, disability, religion, skin color, or ethnic traits; (b) displaying offensive materials, gestures, or symbols; (c) withholding or reducing playing time to a participant based on his/her sexual orientation.

Sexual Harassment is a form of harassment prohibited by this Policy. It shall be a violation for any employee, volunteer, independent contractor, or other participant to harass a participant(s) through conduct or communications of a sexual nature or to retaliate against anyone that reports sexual harassment or participates in a harassment investigation. USA Hockey and/or its Affiliate organizations shall investigate all indications, informal reports and formal grievances of sexual harassment by any employee, volunteer, independent contractor, or other participant and appropriate corrective action shall be taken. Corrective action includes taking all reasonable steps to end the harassment, to prevent harassment from recurring and to prevent retaliation against anyone who reports sexual harassment or participates in a harassment investigation.

Unwelcome sexual advances, requests for sexual favors, or other verbal, nonverbal or physical conduct of a sexual nature may constitute sexual harassment, even if the harasser and the participant being harassed are the same sex and whether or not the participant resists or submits to the harasser, when:

1. Submission to such conduct is made either explicitly or implicitly a term or condition of a participant's participation in any activity; or
2. Submission to or rejection of such conduct by a participant is used as the basis for decisions affecting the participant; or
3. Such conduct is sufficiently severe, persistent or pervasive such that it limits a participant's ability to participate in or benefit from a hockey related program or activity or it creates a hostile or abusive environment.

Any conduct of a sexual nature directed by a minor participant toward an adult or by an adult to a minor participant is presumed to be unwelcome and shall constitute sexual harassment.

Acts of verbal or physical aggression, intimidation or hostility based on sex, but not involving conduct of a sexual nature may also constitute sexual harassment. Legitimate non-sexual touching or other non-sexual conduct is not sexual harassment.

While other team members are often the perpetrators of harassment or sexual harassment, it is a violation of this Policy if a coach or other responsible adult knows or should know of the harassment or sexual harassment but takes no action to intervene on behalf of the player(s) targeted.

A USA Hockey participant or parent of a participant who engages in any act of harassing or sexually harassing behavior is subject to appropriate disciplinary action including but not limited to suspension, expulsion and/or referral to law enforcement authorities. The severity and pattern, if any, of the harassing or sexually harassing behavior shall be taken into consideration when disciplinary decisions are made.

## **HAZING**

It is the policy of USA Hockey that there shall be no hazing of any participant involved in any of its sanctioned programs by any employee, volunteer, participant or independent contractor.

Hazing includes any conduct which is intimidating, humiliating, offensive, or physically harmful. The hazing conduct is typically an activity that serves as a condition for joining a group or being socially accepted by a group's members. Any player, team official, or administrator of a sanctioned team, club or association having been party to or having had knowledge of any degrading hazing, or initiation rite, without reporting it or taking action, shall be subject to suspension from playing or holding office with any team, club or association affiliated with USA Hockey.

Examples of hazing prohibited by this Policy include, without limitation, requiring or forcing the consumption of alcohol or illegal drugs; tying, taping, or physically restraining an athlete; sexual simulations or sexual acts of any nature; sleep deprivation, or the withholding of water and/or food; social actions (e.g. grossly inappropriate or provocative clothing) or public displays (e.g. public nudity) that are illegal or meant to draw ridicule; beating, paddling, or other forms of physical assault. The activity known as "Locker Boxing" (aka fighting with helmet and gloves) is a form of hazing that can produce head trauma in children and young adults and is prohibited in any USA Hockey sanctioned program.

Activities that fit the definition of hazing are considered to be hazing regardless of a person's willingness to cooperate or participate.

Hazing does not include group or team activities that are meant to establish normative team behaviors, or promote team cohesion, so long as such activities do not have reasonable potential to cause emotional or physical distress to any athlete. Examples of activities that do not constitute hazing include directing or allowing a younger player to pick up pucks or move nets after practice or bring or fill water bottles, or giving older players first preference in team assignments, responsibilities, accommodations, facilities, or equipment.

While other team members are often the perpetrators of hazing toward their teammates, it is a violation of this Policy if a coach or other responsible adult knows or should know of the hazing but takes no action to intervene on behalf of the player(s) targeted.

A USA Hockey participant or parent of a participant who violates this Hazing Policy is subject to appropriate disciplinary action including but not limited to suspension, expulsion and/or referral to law enforcement authorities.

## **LOCKER ROOM POLICY**

Youth players are particularly vulnerable in locker rooms, changing areas and restrooms due to various stages of dress/undress and because they are less supervised than at many other times. Athlete-to-athlete problems, such as sexual abuse and bullying, harassment, and hazing, often occur when coaches or employees are not in a position to observe – this is especially true in locker rooms.

Adherence to a locker room policy enhances privacy and reduces the likelihood of misconduct. Proper supervision of the locker room areas also helps ensure that players that may have suffered an injury during a game or practice have an adult present to confer with regarding such injury.

### **Locker Room Supervision**

USA Hockey is concerned with locker room activities between minor players; minor players and adult players; adults being alone with individual minor players in locker rooms; and with non-official or non-related adults having unsupervised access to minor participants at sanctioned team events.

It is the policy of USA Hockey that all Affiliates, Districts, leagues, and local hockey programs have at least one responsible adult present directly monitoring the locker room during all team events to assure that only participants (coaches and players), approved team personnel and family members are permitted in the locker room and to supervise the conduct in the locker room. Any individual meetings with a minor participant and a coach in a locker room shall require a responsible adult be with the coach. The responsible adult that monitors and supervises the locker room shall have been screened in compliance with Section III of this Handbook.

Further, responsible adults must personally monitor the locker room environment at all times while participants are present and also make sure the locker room is appropriately secured during times when minor participants are on the ice.

It shall be permissible for a local organization or team to prohibit parents from a locker room. However, in doing so the team shall ensure that properly screened individuals monitor and supervise the locker room as required above. With younger players it is generally appropriate to allow parents to assist the player with getting equipment on and off before and after games or practices and they should be allowed to do so.

Cell phones and other mobile devices with recording capabilities, including voice recording, still cameras, and video cameras increase the risk for different forms of abuse or misconduct. As a result, there will be no use of a mobile device's recording capabilities in the locker rooms of any USA Hockey sanctioned event, provided that it may be acceptable to take photographs or recordings in a locker room in such unique circumstances as a victory celebration, team party, etc., where all persons present in the locker room are either appropriately dressed and have been advised that photographs or recordings are being taken.

All local programs shall publish locker room policies to the parents/guardians of all minor players that are specific to the facilities they regularly use. The local program's policies shall include the program's (a) practices for supervising and monitoring locker rooms and changing areas; (b) permission or lack of permission for parents to be in the locker rooms; (c) prohibited conduct, including at least all forms of abuse and misconduct prohibited by USA Hockey; and (d) specific policies regarding the use of mobile electronic devices and phones and prohibiting the use of a device's recording capabilities, including voice recording, still cameras, and video cameras.

The coach and team administrators shall be responsible for compliance with the locker room supervision requirements of this Policy. A coach that fails to comply with ensuring the Locker Room Supervision Policy is adhered to, and any USA Hockey participant or parent of a participant who otherwise violates this Policy is subject to appropriate disciplinary action.

### **Co-Ed Locker Rooms**

As a team sport in which youth teams can often include both male and female players, special circumstances may exist that can increase the chance of abuse or misconduct. If the team consists of both male and female players, both female and male privacy rights must be given consideration and appropriate arrangements made. It is not acceptable under the USA Hockey Sexual Abuse Policy for members to be observing the opposite gender while they dress or undress. Where possible, the male and female players should undress/dress in separate locker rooms and then

convene in a single dressing room prior to the game or team meeting. Once the game is finished, the players may come to one locker room and then the male and female players proceed to their separate dressing rooms to undress and shower (separately), if available. If separate locker rooms are not available, then the genders may take turns using the locker room to change and then leave while the other gender changes. Where possible, when both male and female players are together in the locker room, there should be at least two adults in the locker room that have been properly screened in compliance with USA Hockey Screening Policy.

Please refer to USA Hockey's Co-Ed Locker Room Policy set forth in the USA Hockey Annual Guide.

### **SOCIAL MEDIA, MOBILE AND ELECTRONIC COMMUNICATIONS POLICY**

As part of USA Hockey's emphasis on athlete safety, communications involving our youth players should be appropriate, productive, and transparent. Effective communication concerning travel, practice or game schedules, and administrative issues among administrators, coaches, players and their families is critical. However, the use of mobile devices, web-based applications, social media, and other forms of electronic communications increases the possibility for improprieties and misunderstandings and also provides potential offenders with unsupervised and potentially inappropriate access to participants. The improper use of mobile and electronic communications can result in misconduct. Adherence to a policy for mobile and electronic communication reduces these risks. All electronic communication between coach and player must be for the purpose of communicating information about team activities. Coaches and players must follow common sense guidelines regarding the volume and time of day of any allowed electronic communication. Any content of an electronic communication should be readily available to share with the public or families of the player or coach. If the player is under the age of 18, any e-mail, electronic text, social media, or similar communication must copy or include the player's parents.

#### **Social Media (Facebook, Myspace, Blogs and Similar Sites)**

Online discussion boards, mass e-mails, Facebook, Twitter, and other social media make it easy to share ideas and experiences. USA Hockey recognizes, however, that social media, mobile and other electronic communications can be especially concerning where youth participants are involved. Coaches are prohibited from having players joined to their personal social media page. To facilitate communication, an official organization or team page may be set up and players and parents may join (i.e., "friend") the official organization or team page and coaches can communicate to players through the site. All posts, messages, text, or media of any kind between coach and player must be non-personal in nature and for the purpose of communicating information about team activities or for team oriented motivational purposes.

#### **E-Mail, Text Messaging and Similar Electronic Communications**

Coaches and players may use e-mail and text messaging to communicate. All e-mail and text message content between coach and player must be non-personal in nature and for the purpose of communicating information about team activities. E-Mails and text messages from a coach to any youth player must include a copy to parents. Where possible, a coach should be provided and use the organization web site e-mail center (the coach's return e-mail address will contain "@organization.com") for all communications with the team and players.

#### **Request To Discontinue All Electronic Communications or Imagery with Athlete**

Following any written request by the parents or legal guardians of a youth player that their child not be contacted by any form of electronic communication by coaches or other adults, the organization, team and coaches and administrators shall immediately comply with such request without any repercussions for such request.

Abuse and Misconduct

Social media and electronic communications can also be used to commit abuse and misconduct (e.g., emotional, sexual, bullying, harassment, and hazing). Such communications by coaches, volunteers, administrators, officials, parents or athletes will not be tolerated and are considered violations of USA Hockey's Participant Protection Program.

### **Reporting**

Infractions of USA Hockey's Mobile and Electronic Communications Policy should be reported to the appropriate person as described in Section IV of this Handbook concerning Reporting.

A USA Hockey participant or parent of a participant who violates this Mobile and Electronic Communications Policy is subject to appropriate disciplinary action including but not limited to suspension, expulsion and/or referral to law enforcement authorities.

### **TRAVEL POLICY**

A significant portion of USA Hockey participation involves overnight travel for teams to games and tournaments. Youth players are most vulnerable to abuse or misconduct during travel, particularly overnight stays. This includes a high risk of player to player misconduct. During travel, players may be away from their families and support networks, and the setting – new locker rooms, automobiles, and hotel rooms – is less structured and less familiar. A travel policy provides guidelines so that care is taken to minimize one-on-one interactions between youths and adults while traveling. Further, the policy directs how youth players will be supervised between and during travel to and from practice and competitions. Adherence to travel policies helps to reduce the opportunities for misconduct.

Each USA Hockey Member Program shall have a team travel policy that is published and provided to all players, parents, coaches and other adults that are travelling with the team. It is strongly recommended that a signature by each adult acknowledging receipt of and agreeing to the travel policy be obtained by the organization/ team. Some travel involves only local travel to and from local practices, games and events, while other travel involves overnight stays. Different policies should apply to these two types of travel. Elements of all travel policies must include:

#### **Local Travel**

- The local program or team or their administrators should avoid sponsoring, coordinating, or arranging for local travel, and the parents/guardians of a youth player should be responsible for making all local travel arrangements.
- The employees, coaches, and/or volunteers of a local organization or team, who are not also acting as a parent, should not drive alone with an unrelated player and should only drive with at least two other players or another adult at all times, unless otherwise agreed to in writing by the player's parent or guardian.
- Where an employee and/or volunteer is involved in the player's local travel, efforts should be made to ensure that staff and/or volunteers are not alone with an unrelated player, by, e.g., picking the players up in groups.
- Coaches, employees, and volunteers who are also a player's parent or guardian may provide shared transportation for any player(s) if they pick up their player first and drop off their player last in any shared or carpool travel arrangement.

#### **Organization/Team Travel**

- Regardless of gender, a coach shall not share a hotel room or other sleeping arrangement with a youth player (unless the coach is the parent, guardian or sibling of the player).
- Because of the greater distances, coaches, staff, volunteers, and chaperones will often travel with the players. No coach, employee, or volunteer will engage in team travel without

the proper safety requirements in place and on record, including valid drivers' licenses, proper insurance, well maintained vehicles, and compliance with all state laws. All chaperones shall have been screened in compliance with the USA Hockey Screening Policy and all team drivers shall have been screened and the screen shall include a check of appropriate Department of Motor Vehicle records.

- The local program or team shall provide adequate supervision through coaches and other adult chaperones (e.g., a recommended number would include at least one coach or adult chaperone for each five to eight players). If a team is composed of both male and female players, then if at all possible, chaperones shall be arranged of the same gender.
- Players should share rooms with other players of the same gender, with 2-4 players assigned per room depending on accommodations. Regular monitoring and curfew checks should be made of each room by at least two properly screened adults.
- The team personnel shall ask hotels to block adult pay per view channels.
- Individual meetings between a player and coach may not occur in hotel rooms.
- All players shall be permitted to make regular check in phone calls to parents. Team personnel shall allow for any unscheduled check in phone calls initiated by either the player or parents/guardians.
- Family members who wish to stay in the team hotel shall be permitted and encouraged to do so.
- The team shall comply with reasonable parental requests when a child is away from home without a parent/guardian.
- Specific travel itineraries will be distributed to parents when they are available and will include a detailed itinerary as well as contact information for all team personnel and chaperones.
- If disciplinary action against a player is required while the player is traveling without his/her parents, parents will be notified before taking any action.
- No coach or chaperone shall at any time be under the influence of alcohol or drugs while performing their coaching and/or chaperoning duties.
- In all cases involving travel, parents have the right to transport their youth player and have the youth player stay in their hotel room

### **CODE OF CONDUCT/ETHICS USING ELECTRONIC MAIL POLICY**

The Code of Conduct/Ethics Using Electronic Mail bylaw sets out the conventions, which should be followed so as to maximize the effectiveness of email as a medium of communication and to minimize the possible negative effects. Breaching this bylaw persistently or flagrantly may initiate disciplinary action against those individuals so charged.

**Forged Email:** No electronic mail may be sent so as to appear to originate from another person, with the intention of thereby deceiving the recipient or recipients.

**Email Flaming:** No electronic mail may be sent that is abusive, expressive of *extreme* [negative] emotion or opinion, or threatens the safety of a person or persons. The public airing of grievances by posting messages to lists is unacceptable as this practice is unprofessional, unacceptable, upsetting to the rest of the community, and negatively impacts motivation and work productivity.

**Harrassing Email:** No electronic mail may be sent such that a person or persons suffers harassment or in contravention of the Human Rights Act 1993. The charge of harassment may be based on the content of the electronic mail sent or its volume or both.

**Privacy of Email:** No person may access or attempt to access electronic mail sent to another user, without the permission of that user, except when necessary as part of that person's duties in respect to the operation of the electronic mailing system.

**Privacy Act:** No electronic mail may be sent that contravenes the rights of a person or persons under the Privacy Act 1993.

## **WHISTLEBLOWER POLICY**

This Whistleblower Policy of the LOEAHA: (1) encourages board members, staff and volunteers to come forward with credible information on illegal practices or serious violations of adopted policies of the Pacific District; (2) specifies that the Pacific District will protect the person from retaliation; and (3) identifies where such information can be reported.

- 1. Encouragement of reporting.** The LOEAHA encourages complaints, reports or inquiries about illegal practices or serious violations of the LOEAHA's policies, including illegal or improper conduct by the LOEAHA itself, by its leadership, or by others on its behalf. Appropriate subjects to raise under this policy would include financial improprieties, accounting or audit matters, ethical violations, or other similar illegal or improper practices or policies. Other subjects on which the LOEAHA has existing complaint mechanisms should be addressed under those mechanisms. This policy is not intended to provide a means of appeal from outcomes in those other mechanisms.
- 2. Protection from Retaliation.** The LOEAHA prohibits retaliation by or on behalf of the LOEAHA against board members, staff or volunteers for making good faith complaints, reports or inquiries under this policy or for participating in a review or investigation under this policy. This protection extends to those whose allegations are made in good faith but prove to be mistaken. The LOEAHA reserves the right to discipline persons who make bad faith, knowingly false, or vexatious complaints, reports or inquiries or who otherwise abuse this policy.

Insofar as possible, the confidentiality of the whistleblower will be maintained. However, identity may have to be disclosed to conduct a thorough investigation, to comply with the law and to provide accused individuals their legal right of defense.

- 4. Where to report.** Complaints, reports or inquiries may be made under this policy on a confidential or anonymous basis. They should describe in detail the specific facts demonstrating the basis of the complaints, reports or inquiries. They should be directed to the LOEAHA's Chair of the Board of Directors or Treasurer immediately; if both of those persons are implicated in the complaint, report or inquiry, it should be directed to the Secretary. The LOEAHA will conduct a prompt, discreet, and objective review or investigation. Directors, staff or volunteers must recognize that the LOEAHA may be unable to fully evaluate a vague or general complaint, report, or inquiry that is made anonymously.

## **CONFLICT OF INTEREST POLICY**

It is in the best interest of the LOEAHA to be aware of and properly manage all conflicts of interest. This Conflict of Interest Policy is designed to help board members, staff and volunteers of the LOEAHA identify situations that present possible conflicts of interest and to provide the LOEAHA with a procedure whereby such potential conflicts may be reviewed by an appropriate party when necessary. This policy is intended to supplement but not replace any applicable state and federal laws governing conflict of interest applicable to nonprofit and charitable organizations.

- 3. Conflicts of Interest Defined.** In this Policy, a person with a conflict of interest is referred to as an "Interested Person." For purposes of this Policy, the following circumstances shall be deemed to create a Conflict of Interest:
- a. A director, officer, staff or volunteer, including a board member (or family member of any of the foregoing) is a party to a contract, or involved in a transaction with the LOEAHA for goods or services.
  - b. A director, officer, staff or volunteer, (or a family member of any of the foregoing) has a material financial interest in a transaction between the LOEAHA and an entity in which the director, officer, staff or volunteer, or a family member of the foregoing, is a director, officer, agent, partner, associate, employee, trustee, personal representative, receiver, guardian, custodian, or other legal representative.
  - c. A director, officer, employee or volunteer, (or a family member of the foregoing) is engaged in some capacity or has a material financial interest in a business or enterprise that competes with the LOEAHA.

Other situations may create the appearance of a conflict, or present a duality of interests in connection with a person who has influence over the activities or finances of the LOEAHA. All such circumstances should be disclosed to the board or staff, as appropriate, and a decision made as to what course of action the organization or individuals should take so that the best interests of the LOEAHA are not compromised by the personal interests of stakeholders in the organization.

**Gifts, Gratuities and Entertainment.** Accepting gifts, entertainment or other favors from individuals or entities can also result in a conflict or duality of interest when the party providing the gift/entertainment/favor does so under circumstances where it might be inferred that such action was intended to influence or possibly would influence the interested person in the performance of his or her duties. This does not preclude the acceptance of items of nominal or insignificant value or entertainment of nominal or insignificant value that are not related to any particular transaction or activity of the LOEAHA.

## **5. Definitions.**

- a. A "Conflict of Interest" is any circumstance described in Part 1 of this Policy.
- b. An "Interested Person" is any person serving as an officer, member of the Board of Directors, staff or volunteer of the LOEAHA or a major donor to the LOEAHA or anyone else who is in a position of control over the LOEAHA who has a personal interest that is in conflict with the interests of the LOEAHA.
- c. A "Family Member" is a spouse, parent, child or spouse of a child, brother, sister, or spouse of a brother or sister, of an Interested Person.
- d. A "Material Financial Interest" in an entity is a financial interest of any kind, which, in view of all the circumstances, is substantial enough that it would, or reasonably could, affect an

Interested Person's or Family Member's judgment with respect to transactions to which the entity is a party.

- e. A "Contract or Transaction" is any agreement or relationship involving the sale or purchase of goods or services, the providing or receipt of a loan or grant, the establishment of any other type of financial relationship, or the exercise of control over another organization. The making of a gift to the LOEAHA is not a Contract or Transaction.

## **6. Procedures.**

- a. Prior to board or committee action on a Contract or Transaction involving a Conflict of Interest, a director or committee member having a Conflict of Interest and who is in attendance at the meeting shall disclose all facts material to the Conflict of Interest. Such disclosure shall be reflected in the minutes of the meeting. If board members are aware that staff or other volunteers have a conflict of interest, relevant facts should be disclosed by the board member or by the interested person him/herself if invited to the board meeting as a guest for purposes of disclosure.
- b. A director or committee member who plans not to attend a meeting at which he or she has reason to believe that the board or committee will act on a matter in which the person has a Conflict of Interest shall disclose to the chair of the meeting all facts material to the Conflict of Interest. The chair shall report the disclosure at the meeting and the disclosure shall be reflected in the minutes of the meeting.
- c. A person who has a Conflict of Interest shall not participate in or be permitted to hear the board's or committee's discussion of the matter except to disclose material facts and to respond to questions. Such person shall not attempt to exert his or her personal influence with respect to the matter, either at or outside the meeting.
- d. A person who has a Conflict of Interest with respect to a Contract or Transaction that will be voted on at a meeting shall not be counted in determining the presence of a quorum for purposes of the vote.
- e. The person having a conflict of interest may not vote on the Contract or Transaction and shall not be present in the meeting room when the vote is taken, unless the vote is by secret ballot. Such person's ineligibility to vote shall be reflected in the minutes of the meeting. For purposes of this paragraph, a member of the Board of Directors of the LOEAHA has a Conflict of Interest when he or she stands for election as an officer or for re-election as a member of the Board of Directors.
- f. Interested Persons who are not members of the Board of Directors of the LOEAHA, or who have a Conflict of Interest with respect to a Contract or Transaction that is not the subject of Board or committee action, shall disclose to the Chair, or the Chair's designee, any Conflict of Interest that such Interested Person has with respect to a Contract or Transaction. Such disclosure shall be made as soon as the Conflict of Interest is known to the Interested Person. The Interested Person shall refrain from any action that may affect the LOEAHA's participation in such Contract or Transaction.
- g. In the event it is not entirely clear that a Conflict of Interest exists, the individual with the potential conflict shall disclose the circumstances to the Chair or the Chair's designee, who shall determine whether full board discussion is warranted or whether there exists a Conflict of Interest that is subject to this policy.

- 7. **Confidentiality.** Each director, officer, employee and volunteer shall exercise care not to disclose confidential information acquired in connection with disclosures of conflicts of interest or potential conflicts, which might be adverse to the interests of [Name of Nonprofit].

Furthermore, directors, officers, employees and volunteers shall not disclose or use information relating to the business of [Name of Nonprofit] for their personal profit or advantage or the personal profit or advantage of their Family Member(s).

8. **Administration of Policy.** Each board member, staff and volunteer shall be provided with and asked to review a copy of this Policy and to acknowledge in writing that he or she has done so.
  - a. Annually each director, officer, employee and volunteer shall complete a disclosure form identifying any relationships, positions or circumstances in which he or she is involved that he or she believes could contribute to a Conflict of Interest.
  - b. This policy shall be reviewed annually by each member of the Board of Directors. Any changes to the policy shall be communicated to all staff and volunteers
9. **Acknowledgement of Conflict of Interest Policy.** The undersigned hereby acknowledges that he or she has read the LOEAHA Conflict of Interest Policy, has had an opportunity to ask any questions that he or she may have about the policy, and understands and agrees to comply with the policy.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Print Name: \_\_\_\_\_

Position: \_\_\_\_\_

## **RECORD RETENTION POLICY**

The LOEAHA shall retain records in an orderly fashion for time periods that comply with legal and government requirements.

**Record Retention Guidelines.** The following holding periods shall be used for the maintenance of the documents listed below:

### **1. Accounting Records**

a. Accounts Payable	7 Years
b. Accounts Receivable	7 Years
c. Audit Reports	Permanent
d. Chart of Accounts	Permanent
e. Depreciation Schedules	Permanent
f. Expense Reports	7 Years
g. Financial Statements (Annual)	Permanent
h. Fixed Asset Purchases	Permanent
i. General Ledger and General Journals	Permanent
j. Loan Payment Schedule	7 Years
k. Purchase Orders & Correspondence	7 Years
l. Purchase Requisitions	2 Years
m. Tax Returns and Working Papers	Permanent
n. Trial Balances (Annual)	Permanent

### **2. Bank Records**

a. Bank Reconciliations	3 Years
b. Bank Statements	7 Years
c. Canceled Checks	7 Years
d. Checks for Capital Purchase & Important Contracts	Permanent
e. Electronic Payment Records	7 Years
f. Petty Cash Vouchers	3 Years

### **3. Corporate Records**

a. Board Minutes	Permanent
b. Bylaws, Articles of Incorporation	Permanent
c. Business Licenses	Permanent
d. Contracts – Major	Permanent
e. Legal & Tax Correspondence	Permanent
f. Contracts – Minor	Life + 4 Years
g. Insurance Policies, Accident, Claims	Life + 4 Years

## **SCREENING POLICY**

The LOEAHA, in compliance with the Affiliate Agreement with USA Hockey, has instituted a policy to screen coaches, on-ice officials and volunteers who have contact with players, whether girls or boys, under the age of 18. This includes players and coaches who are over 18 playing or coaching on teams containing under 18 year old players, i.e. 19 & Under Women's teams.

The LOEAHA requires Association Board Members; LOE Executive Board Members; all referees; and all Association coaches, managers, and locker room attendants be screened.

## **PLAYER TRANSFER POLICY**

All USA Hockey-registered youth, girls/women, and adult players transferring or registering with a new association or team in New Mexico shall be required to provide an Authorization for Player Release from the registrar of the old association or team. This form is required as well if the player is registering with an additional association during the season (such as a high school or travel team that is rostered under a different association) or is registering with any association or team that has been notified that the player has outstanding financial obligations with another association or team. This Release will not be granted unless the player is in good financial standing with any association or team for which the player has played in the previous or current season.

Associations will be required to adhere to certain guidelines for notifying players of outstanding financial obligations and issuing Player Releases. There may be other rules (under the NMIIHL or NMRHL) that restrict transfers by players within New Mexico or additional restrictions imposed by LOEAHA, associations or teams regarding payment of financial obligations.

## **ICE SCHEDULING GUIDELINE**

It is strongly recommended that all youth hockey events should be coordinated through the local hockey association ice rink scheduler and in the event there are conflicting requests, events should be prioritized in the following order:

1. NMIIHL High School team games
2. Local Association Teams—practices and NMRHL games
3. Tier Teams—practices and games
4. Girls Recreational League—festivals/games
5. Youth—invitational tournaments
6. Referee and Coaching Clinics
7. Special Skills Clinics & Special Events
8. Non-local, Non-Tier "Tourney Travel" Teams
9. Other

Ice scheduling concerns shall first be dealt with by discussion with the local hockey association ice scheduler. If the concern is still not satisfactorily addressed, then the concern should be brought to the LOEAHA by contacting one of the Officers of the Board.

### **GAME PLAY VS PRACTICE GUIDELINE**

It is **strongly** recommended by the LOE BOD that game participation take precedence over practice participation. In addition, if a team tryout is scheduled at the same time that a game and/or tournament is scheduled, that the player be allowed to participate in the game play.

### **WEBSITE POLICY**

The official LOEAHA website is: [www.usahockey.com/loeaha](http://www.usahockey.com/loeaha). All official LOEAHA business and/or information shall be posted at *this* website and none other. The domain [www.newmexicohockey.org](http://www.newmexicohockey.org) shall point to the official LOEAHA website.