



RISK MANAGEMENT POLICY

1.0 RISK MANAGEMENT OVERVIEW

1.1 What is Risk Management?

Risk Management is a method for identifying risks in all areas, and developing and implementing a plan to protect an organization and prevent loss. An effective Risk Management program consists of these four basic steps:

- 1.1.1 Assess, identify, analyze, and prioritize potential risks.
- 1.1.2 Select methods to prevent loss.
- 1.1.3 Implement the best methods.
- 1.1.4 Monitor the results and revise as necessary.

1.2 Authority:

Section 2 of US Youth Soccer Bylaw 214 requires US Youth Soccer, Iowa Soccer Association and all of its other state associations to establish and monitor a Risk Management Program within its jurisdiction. That program must include, at a minimum:

- 1.2.1 The use of employment/disclosure statements for all volunteers, employees, coaches, and program administrators.
- 1.2.2 Identification of a Risk Management Coordinator and an alternate for the organization.
- 1.2.3 For purposes of this policy a member is defined as a properly registered individual who has passed the background check and, in so doing, is approved by the State Association for service with the ISA.

1.3 Iowa Soccer Association Risk Management Policy Statement:

Iowa Soccer Association is committed to protecting its human, financial, and goodwill assets and resources through the practice of effective Risk Management. The Iowa Soccer Association Board of Directors and staff are dedicated to safeguarding the safety and dignity of its paid and volunteer staff, its clients, and anyone who has contact with the organization. To this end, the board will insure that the Iowa Soccer Association has a Risk Management Plan for the organization that is reviewed and updated regularly.

1.4 Purpose of Iowa Soccer Association Risk Management Plan:

The purpose of the Iowa Soccer Association Risk Management Plan is to communicate methods of minimizing risk to players, volunteers, paid personnel, spectators, clubs and leagues. This Plan does not provide professional legal or tax advice and may not be relied upon for that purpose. Consult an attorney for legal advice or a tax professional for said information.

While this program may require time and effort, there is no higher priority than the protection of the soccer players and volunteers within our organization.

2.0 IOWA SOCCER ASSOCIATION RISK MANAGEMENT BACKGROUND CHECK PLAN FOR MEMBER ORGANIZATIONS

2.1 Local Club/Association President

- a) Designate a local Risk Management Coordinator (RMC) and an alternate to serve as a liaison to the ISA State Risk Management Administrator (SRMA).
- b) Insure all affected individuals comply with this policy.
- c) Insure complaints of abuse are investigated and reported to the SRMA or Executive Director.
- d) Insure online volunteer disclosure forms are completed.

2.2 Local Club/Association Risk Management Coordinator

- a) Serve as a liaison to the SRMA.
- b) Assist in investigating complaints of abuse and report findings to their Club/Association President and the SRMA through the State Office.
- c) Report any positive results from a background check to the SRMA and ensure that all information is held in confidence.
- d) Insure that Risk Management Checklists are used as prescribed and provide assistance with risk management prevention initiatives.

2.3 State Risk Management Administrator

- a) Be appointed by the Chairman of the Board of Directors for a two year term.
- b) Select a committee (SRMC) of two to assist with review and disqualification
- c) Along with the Executive Director, keep the ISA Board of Directors apprised of the progress of this policy.
- d) Periodically review and update this policy, as needed.

2.4 State Risk Management Committee

- a) Be appointed by the SRMA
- b) Regularly review this risk management policy
- c) Review and recommend action on positive background checks

2.5 Iowa Soccer Association Office

- a) Maintain a secured file of all disclosure forms and records.
- b) Appropriately dispose of disclosure forms as detailed in the Document Retention and Destruction Policy.

c) Perform functions as requested by the SRMA.

2.6 General Procedures for Reporting

- 2.6.1 State and Affiliate Board members and employees, volunteer coaches and assistants must complete a disclosure form upon initial appointment and every 2 year period on or before September 1 beginning September 1, 2002. Each of these individuals may be subject to a background check. Coach and assistant coach disclosure forms MUST accompany coach registrations during these periods before the registration is processed. All registered coaches and assistant coaches will be required to wear a coach's hard pass while participating in practices and matches visually verifying that they have cleared an ISA risk management background check.
- 2.6.2 Background checks will be made randomly for up to 100% of those required to complete a disclosure form on a biennial basis.
- 2.6.3 Where individuals indicate they have been convicted of a violent crime or crime against a person, a background check will be conducted.
- 2.6.4 If there is reason to believe an ISA or Affiliate volunteer or employee is engaged in conduct which may jeopardize the safety of a youth player, he/she will be subject to a thorough investigation including a background check.
- 2.6.5 All information provided to ISA on a disclosure form, complaint, investigation, or background check will be held confidential.
- 2.6.6 Background checks will be conducted:
- a) Biennially when individuals are randomly selected from the state-wide pool as noted in this policy under General Procedures #2.6.1.
 - b) A positive response ("yes") is indicated on the disclosure form.
 - c) A complaint is substantiated as noted in this policy under Abuse Complaint Procedures.
- 2.6.7 Background checks will include a criminal record check and a Sexual Offender Registry check.
- a) Criminal record checks and Sexual Offender Registry checks shall be conducted by the State Association. These same checks may be conducted by the local club/affiliate and any results, positive or negative, ~~positive results~~ MUST be kept confidential and reported to the SRMA by contacting the State office. International students who volunteer will be evaluated on a case-by-case basis but must submit at the minimum copies of their most recent, updated student visas and passports.
- 2.6.8 Employees, volunteers, and applicants who do not reside in Iowa, shall have similar background checks conducted, if called for under this policy, in their state of residence.

- 2.6.9 A conviction for any offenses listed in Appendix A shall be sufficient cause to permanently disqualify a person from service with ISA. Falsification of information on a disclosure form shall be sufficient cause to permanently disqualify a person from service with ISA.
 - 2.6.10 Other offenses found on a criminal record check and not listed in Appendix A, will be reviewed by the SRMA and committee and may result in disqualification from service.
 - 2.6.11 Individuals appearing on a county or state sexual offender registry shall be permanently disqualified from service with ISA.
 - 2.6.12 Where an individual is disqualified from service with ISA, the SRMA will notify the individual and local affiliate president and RMC in writing.
- 2.7 Procedures for reporting positive results
- 2.7.1 Upon receiving a positive background check result, the SRMA and committee will be notified and will determine whether or not the violation(s) qualifies as an automatic disqualifier, a disqualifier that falls outside Appendix A., one that warrants monitoring, or one that does not warrant any action. In every case the SRMC will err on the side of caution when making the decision.
 - 2.7.2 If disqualification is warranted, a letter will be sent to the individual informing the individual of the positive result and the disqualification. The letter will state the reason for the disqualification. If the individual is a member of the ISA, the individual will be informed of their right to appeal the decision.
 - 2.7.3 The club president will be notified of the decision but will not be informed of the reason for the disqualification to preserve confidentiality. The club president and the RMC, if appropriate, must keep the disqualification confidential until the individual being disqualified is properly notified.
 - 2.7.4 If the member decides to appeal the decision, the appeals process will be handled in accordance with the State Association's Hearings and Appeals Policy.
 - 2.7.5 All disqualification decisions including appeal decisions are final. There are no appeals beyond the State Association level.
- 2.8 Abuse Complaint Procedures:
- 2.8.1 Complaints are to be reported to the local Club/Association President and/or RMC. The local Club/Association President and/or RMC must report the complaint to the SRMA through the State office. A background check will be conducted and action taken as per this policy.
 - 2.8.2 If an abuse charge is formally lodged against a volunteer or staff person with the Police, a national criminal background check MAY also be conducted. In such a case, the said

individual will be suspended until the case is resolved (US Youth Soccer Bylaw 252). At this point, the SRMA must inform the individual of their status and rights, in writing.

3.0 HEARINGS, GRIEVANCES, DISPUTES, AND APPEALS

- 3.1 It is imperative in the proper administration of the Constitution, Bylaws and Rules of Iowa Soccer Association that certain procedural safeguards be used by Iowa Soccer Association and its members. The following Rules shall be used by Iowa Soccer Association and Affiliate Members. The Iowa Soccer Association Hearings and Appeals Policy will be followed in all cases.
- 3.2 Waiver of Hearing or Appeals:
- A party may waive any hearing or appeal affirmatively or by not requesting a hearing or appeal if a deadline is set forth in the notice to request a hearing or appeal.
- 3.3 Denial, Suspension, and Revocation of Privileges:
- 3.3.1 Subject to an appeal to the Iowa Soccer Association in the case of a member unless the offense is an automatic disqualifier or falsification of information, the SRMA has the authority to summarily deny or summarily suspend any applicant's privileges if it determines that the person is disqualified as a result of information gathered from a background check. An affected member has the right to appeal said action pursuant to the appeal and disciplinary procedures of Iowa Soccer Association. Said action shall remain in effect until otherwise rescinded through the appeal procedures.
- 3.3.2 An Affiliate of the Iowa Soccer Association may summarily suspend or deny a person if it determines that said person is disqualified pursuant to these rules by:
- a. Said suspension or denial shall be delivered to said person in writing within five (5) business days of said decision.
 - b. Said notice shall be delivered in a manner that requires a signature by only the person to whom it is sent.
 - c. Said method shall have plainly visible on the outside of said envelope a designation that says "Personal and Confidential" or words of similar import.
 - d. The notice shall also be sent to the Iowa Soccer Association at the same time in an envelope or method designated by the SRMA which may be changed from time to time.
- 3.3.3 If the background check determines that the person who completed the Disclosure Form is not the person convicted, then the SRMA or the Executive Director (ED) on his/her behalf shall notify the RMC and the person reviewed. If the background check indicates further information is necessary, then the person shall be required to provide such documentation as determined by the SRMA. Any person who refuses to provide the documentation when requested under these rules shall be suspended from all Iowa Soccer Association activities.

- 3.3.4 Upon the receipt of the disclosure forms, the ED or his/her designee shall cause to be performed a complete criminal history as such is allowed by law. The ED or designee shall immediately notify the SRMA and members of the State Risk Management Committee of any background checks that disclose any possible disqualifying information. If the SRMA and members of the State Risk Management Committee have reason to believe that the person should be disqualified, the SRMA-or his/her designee shall suspend that person immediately and notify all parties of said action.

4.0 ZERO TOLERANCE AND REPORTING ABUSE

4.1 Zero Tolerance Policy Against Abuse:

- 4.1.1 Each Club RMC shall insure that his/her organization adopt a Zero Tolerance Policy Against Abuse. This document should be publicized to all organization members.

4.2 Procedures for Reporting Abuse or Suspected Abuse

- 4.2.1 One of the most important aspects of creating an awareness program with regard to abuse is to establish set procedures and specific contact person(s) for reporting incidents of abuse or alleged abuse. Communicate these procedures to all participants in your organization so that they know who to turn to and how to report cases of abuse or alleged abuse. In particular, learning about these procedures should be part of each staff or volunteer's initial training or continuing education-type training. The following steps for reporting abuse or suspected abuse are taken from the book, *"For Their Sake: Recognizing, Reporting and Responding to Child Abuse"* by Becca Cowan Johnson. Most of these guidelines reference children as victims. However, persons of any age can be victims of abuse. These guidelines are equally applicable to adults as well as children. Taking the Initial Report:

- 4.2.1.1 **Assure privacy but not confidentiality.** A child may say to you that they have something to tell you but only if you promise not to tell anyone else. If you are a legally mandated reporter, you cannot make such a promise. You may tell the child, "Everything we talk about will be private. But if I think you are going to hurt yourself or someone else, or if someone is hurting you, then I may have to share our conversation with someone else who can help you."
- 4.2.1.2 **Be calm.** If your response to hearing about an abusive situation reflects shock, it will adversely affect the abused child. It is appropriate to share your feelings of concern with the individual. But getting upset about the situation may result in the child's feeling worse about it or worse about his/her role in it.
- 4.2.1.3 **Believe the child.** Do not ask "why" questions, as they may be accusatory. Many children think that adults will not believe them, especially if their abuser has reinforced such thinking by saying, "No one will believe you because you're just a kid." Therefore, it is important not to discount anything a child tells you that involves an abusive situation.
- 4.2.1.4 **Get the facts, but don't interrogate.** In making a report, it is necessary to have certain factual information. However, as mentioned, you do not have to interview the child to determine whether the abuse occurred or didn't occur. Leave that to the experts. Your responsibility is to present the child's story to the authorities.
- 4.2.1.5 **Reassure the child.** It may have taken quite a bit of courage for the child to finally tell his or her story. Assure the child that what happened was not his or her

fault. Use such statements as "I believe you," or "This happens to other kids, too," or "It's not your fault this happened." Tell the child that he or she was very brave and mature to tell you about the situation.

- 4.2.2 Reporting the Information to Authorities: After you have made a verbal report to the authorities, you will need to follow up with a written statement. Although the amount and type of information included on an abuse report may vary from state to state, the basic information required for either report usually includes the following (if available):
 - 4.2.2.1 Name, address and phone number of the victim
 - 4.2.2.2 The nature and extent of injury or abuse
 - 4.2.2.3 Name, address and phone number of the alleged abuser
 - 4.2.2.4 Your name, address, phone number and relationship to the victim (if you are not a mandated reporter, you may request anonymity)
- 4.2.3 It is also beneficial to know or have access to the following information, if possible:
 - 4.2.3.1 The gender, date of birth or estimated age of the victim.
 - 4.2.3.2 If the abuse is interfamilial, the names and ages of other children in the household.
 - 4.2.3.3 The names, addresses, phone numbers of the child's parents or guardians.
 - 4.2.3.4 Any indication of prior injuries, abuse or neglect.
 - 4.2.3.5 The circumstances under which you first became aware or were notified of the person's abuse, injuries or neglect.
 - 4.2.3.6 If the information was given to you by a third party, the identity of that person (unless anonymity was requested)
 - 4.2.3.7 A description of the incident(s) as reported by the victim.
 - 4.2.3.8 Physical indicators noted.
 - 4.2.3.9 Behavioral indicators noted.
- 4.2.4 General Reporting Procedures within Your Organization
 - 4.2.4.1 State that staff members, volunteers, parents and program participants have a duty to report any incidents of abuse or suspected abuse.
 - 4.2.4.2 Communicate the names of appointed persons within the organization to whom any incidents of abuse or suspected abuse should be reported. However, let every participant, particularly the youth participants, know that any abusive or suspected abusive situation may be reported to any person with whom they feel comfortable. That person will then have the duty to notify the appropriate person within the organization and report the situation to the local authorities.
 - 4.2.4.3 Express the organization's commitment to taking immediate steps to investigate and follow up on every complaint or report of abuse.
 - 4.2.4.4 Strongly communicate to all members of your organization the consequences of abuse. Every person should know that in the event of a complaint of abuse against them, they may be temporarily suspended from their duties while an investigation takes place. Once they are cleared of any charges, they may apply for reinstatement within the organization. However, there is no guarantee that they will be reinstated to their former position. Apply these procedures uniformly for all abusers and alleged abusers, regardless of position within the organization.
 - 4.2.4.5 Give clear authority to a specific individual (or committee) for monitoring the conduct and coaching style of coaches and other volunteers, to ensure that your organization's goals are being met.

4.2.4.6 Make a clear commitment to educating staff, volunteers, parents and children about abuse.

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RISK MANAGEMENT DISQUALIFYING CONVICTIONS

Any felony conviction
Any Aggravated Misdemeanor
Any Criminal charges of misconduct involving a child

This could include but is not limited to:

Assault
Assault Domestic Abuse
Burglary
Child Abuse
Child Neglect
Child Pornography
Contributing to the Delinquency of a Minor
Criminal Sexual Conduct
Drug Related Charges
Felony Assault
Felony OWI
Harassment
Indecent Exposure
Kidnapping
Murder/Manslaughter
Solicitation of a Minor to Engage in Sexual Conduct
Theft
Violation of Restraining Order
Weapons Charges