

# **TRIBORO YOUTH HOCKEY ASSOCIATION**

## **POLICY STATEMENTS**

**APPROVED:  
UPDATED:**

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## **1.0 Purpose**

**P.S. 1-88 9-88 2-94 2-02**

- 1.0.1 A Policy Statement as here in mentioned should be the clear statement of the Board of Directors of Triboro Youth Hockey to cover a particular situation or problem not covered in the By-Laws. Policy Statements are decisions related to matters of procedure that are expected to change from time to time during the life of the organization.
- 1.0.2 When it becomes clear that a unique situation or problem requires a written policy the Board shall direct the Policy, Information, Personnel and Discipline Committee to formulate an acceptable policy on the subject.
- 1.0.3 In the following statement and all subsequent statements a quorum of the Board of Directors will be defined as being at least 51% of the Board members being in attendance.
- 1.0.4 The written Policy Statement shall become policy only after review, discussion, and a majority vote transpires with a quorum of the Board of Directors in attendance.
- 1.0.5 An accepted Policy Statement shall then only be amended, altered, expanded, or deleted with a majority vote of a quorum of the Board of Directors in attendance.
- 1.0.6 All board members will be provided with a copy of all accepted Policy Statements.

## **2.0 Attendance By Board Members**

**P.S. 9-90 9-93 2-02**

- 2.0.1 Three (3) unexcused meetings and the board member is off the board for that board year (June – May).
- 2.0.2 Board members **MUST** call the Secretary if they need to be excused from the meeting.
- 2.0.3 Beginning with the first regular meeting in March, no board member may have more than a 40% absentee record, including excused absences by the August meeting. This only applies to regular monthly meetings. Special meetings will be handled on an individual basis.
- 2.0.4 If enough members call the secretary to ask to be excused from the upcoming meeting and a quorum cannot be reached, the Secretary will then notify the President, as an Executive meeting may become necessary to conduct business for that meeting.

### **3.0 Suspension And Expulsion Of Members**

**P.S. 1-92 2-94 2-02**

- 3.0.1 A committee of the President, Secretary, executive board, and Chairperson of the Policy, Information, Personnel and Discipline Committee along with two additional members named by the President shall have the power to suspend any member for conduct detrimental to hockey either on the ice or off the ice. This shall include abusive or threatening words or actions by or towards any officer, director or game official of the Association.
- 3.0.2 Any violation of the By-Laws or Policies of the Triboro Youth Hockey Association (TYHA) or conduct detrimental to the best interest of the Association shall render such member liable to suspension and ultimately with majority vote of the Board of Directors, from the Association.
- 3.0.2.0 If a player or team official is put out of a game for a Match or Gross Misconduct, further disciplinary action may be taken if a review of the violation warrants it. The player or team official who receives the Match or Gross Misconduct is suspended from ALL TYHA activity for the duration of their penalty.
- 3.0.2.1 All Match and Gross Misconduct suspensions are to be conducted. If a break in the TYHA activity occurs or if the season ends prior to the completion of the suspension, the remaining portion of the penalty will be served when the individual's TYHA activity resumes.
- 3.0.3 The first right of appeal is granted to any player or team official who is suspended as a result of any rule infraction or referee's report, which results in suspension of more than one game.
- 3.0.3.0 This appeal MUST be made in writing to the President within 48 hours of notification of the suspension.
- 3.0.3.1 If an appeal is requested, a hearing will be conducted within thirty (30) days of the receipt of the written request.
- 3.0.3.2 The "Appeal Review Board" appointed by the President will consist of not less than three (3) Directors. The decision of the "Appeal Review Board" is final.
- 3.0.4 In order to preserve, as far as possible, the purity of amateur hockey, any recourse to the courts or legal action by a member or individual before all the rights of the By-Laws and Policies of the TYHA shall have been exhausted, shall be grounds for immediate suspension and disqualification of any member or individual.

**4.0 Fund Raising P.S. 8-88 9-88 9-91 2-94 2-02**

4.0.1 The fund-raising season for the Triboro Youth Hockey Association shall be determined by the current Board of Directors.

**5.0 Billing P.S. 7-88 9-88 2-94 2-02**

5.0.1 The specific billing policy for TYHA will be reviewed on a yearly basis. This policy will be finalized during the annual Budget Committee meeting and approved by the Board of Directors. Every effort will be made to minimize the financial burden for Triboro participants. In particular, prepayment incentives and preseason payments may be made available in order to minimize payments during the holiday seasons.

5.0.2 Overdue accounts will be handled promptly. The Treasurer will be responsible for resolving overdue accounts in a timely and professional manner. If an overdue account cannot be satisfactorily resolved, the Treasurer shall notify the parent or guardian as well as the coach and appropriate association and league officials of the player's ineligibility for all TYHA activities.

5.0.3 Upon resolution of the account, the Treasurer will notify all parties involved of the players reinstated eligibility for all TYHA activities

**5.1 Calculation Of The Bills P.S. 9-88 9-90 2-94 2-02**

5.1.1 Bills will be calculated and the Board of Directors will establish terms of payment annually before the beginning of the hockey season.

**5.2 Billing Adjustments P.S. 8-88 2-94 2-02**

5.2.1 With the approval of the Board of Directors, the Treasurer is the only person authorized to deduct credits from a member's bill.

5.2.2 Families with three (3) or more players in the Mite division or above, and playing during the same year will have the lowest bill of the three (3) players discounted by 50%

5.2.3 In the event of a player suspension, the member is still responsible for the total bill.

**6.0 Players Ice Time P.S. 2-94 2-02**

6.0.1 All coaches will strive to provide players with approximately equal ice time during the entire season for all leagues and all games, in every age

classification.

- 6.0.2 If a team has more than one (1) goalie, ice time will be equally shared by the goalies. Each team may override this policy providing all parties involved agree on the policy modification.

## **7.0 Instructional Programs**

**P.S. 9-93 2-02**

- 7.0.1 The cost to take part in a TYHA Instructional Program (Learn to Skate / Learn to Play, Mosquito, and Intramural) will be kept to a minimum, at a figure to be determined on a yearly basis taking into consideration program expenses.
  - 7.0.1.0 All expenses associated with the instructional program **MUST** be determined and presented with the recommended recovery charges at a Board of Directors meeting prior to the announcement of the continuance of the instructional program.
  - 7.0.1.1 Each year the full content of the instructional program must be reviewed and modified to adjust to the deficiencies of the most recent instructional program.
- 7.0.2 Both the costs and content of the instructional program must be approved by a majority vote of a quorum of the Board of Directors.
- 7.0.3 Player movement from the instructional program to a competitive or non-competitive program must take into account the following considerations. Player movement cannot transpire without the Basic Instruction Committee and the Divisional Coordinator's approval of the receiving division reviewing the capabilities of the player to ensure significant disparity in skills does not exist.

## **8.0 Waivers**

**P.S. 4-88 9-88 2-94 2-02**

- 8.0.1 It shall be the policy of the TYHA to abide by and follow the rules and guidelines set forth by the state and national organizations in regard to waivers of players.
- 8.0.2 Application for waivers will be handled on an individual basis.
- 8.0.3 Triboro Youth Hockey Association reserves the right to protect all current and future Triboro players and deny waivers where the granting of the waiver would infringe upon another's right to participate or hurt Triboro Youth Hockey.

## **9.0 Divisional Coordinator**

**P.S. 2-88 9-88 2-94 1-96 2-02**

- 9.0.1 A divisional coordinator is a patched coach, selected by the Coaches Committee and approved by the Board of Directors (on or before the September monthly meeting), to oversee the smooth and successful operation of a given age classification.
- 9.0.2 Responsibilities include but are not limited to:
  - 9.0.2.0 Conduct post-evaluations for their respective age classification for player placement and present the results to the Coaches Committee for review at the next scheduled Board of Directors meeting to assure proper placement.
  - 9.0.2.1 Help design and implement structured and effective practice sessions for their respective age classifications.
  - 9.0.2.2 To participate with all divisional Coordinators to ensure a progressive learning approach across all age classifications.
  - 9.0.2.3 To assume the responsibility to resolve player, parent and coaching issues within their age classification.
  - 9.0.2.4 To attend all monthly schedule coaches meetings.

## **10.0 Coaches**

**P.S. 10-89 2-94 1-96 2-02**

- 10.0.1 All coaches are required to read and accept by signing the “Coaches Code of Conduct” before the season begins. Furthermore, the Coaching list must be submitted to the Board of Directors no later than the August Special Meeting.
  - 10.0.1.0 The Discipline Committee as approved by Board of Directors will reprimand any coach(es) who violate the “Coaches Code of Conduct” in the prescribed manor.
- 10.0.2 Each “Head Coach” will be given the appropriate USA Hockey Rule Book and Mass Hockey Rule Book.
  - 10.0.2.0 It is the responsibility of each “Head Coach” to ensure that all assistant coaches review both rulebooks.
  - 10.0.2.1 Under NO circumstances will ignorance of USA Hockey or Mass Hockey rules justify non-compliance to those rules.
- 10.0.3 At the start of the season, coaches will retrieve and be responsible for all equipment issued to them by the equipment manager.
  - 10.0.3.0 Under normal circumstances, shirts are not allowed to go home with players. It is the responsibility of the coach or a responsible adult to ensure the shirts are properly laundered.
- 10.0.4 Coaches who take their team out of state must have a travel permit. The coach needs to contact the TYHA District 8 Representative to

acquire/submit the proper paperwork.

- 10.0.5 Coaches are responsible to notify the Vice President of Operations, Coaches Committee and the Treasurer of players with prolonged absence.
- 10.0.6 Coaches are encouraged to have team meetings to distribute handouts with upcoming events, THYA information and tournament information. Each coach should take that opportunity to ensure all players and parents have an updated schedule.
- 10.0.7 Coaches should be aware of any medical problems a player may have and talk to the parents about it, if there are any questions as to insurance ramifications, notification to the Board of Directors would be warranted.
- 10.0.8 ALL coaches must be USA Hockey Patched to the appropriate level. If the coach is not listed in the USA Hockey Coaching registrar then they need to be patched no later than December 31<sup>st</sup> of that playing year.
  - 10.0.8.0 All newly patched coaches must submit a copy of their invoice for reimbursement and verification of completion to the Secretary.
  - 10.0.8.1 All new Mite level coaches must complete the Initiation Clinic during their first season of coaching.
- 10.0.9 TYHA must present itself in a positive way both on and off the ice. It is the responsibility of the coaches to ensure proper behavior in all TYHA activities. This includes, the rink, locker rooms before/after games and practices, on the bench, and all other Triboro team activities.
- 10.0.10 It is the responsibility of the coaches to address and resolve any and all disputes raised to them or if not resolvable by the coach then submit said dispute to the proper committee and Divisional Coordinator within five (5) business days from dispute submission. If said dispute cannot be resolved at this level, it shall be escalated to the Coaches Committee Chairman for final review and disposition. Dispute resolution will be communicated back to the originator of the dispute.
- 10.0.11 All coaches are required to be approved by the Board of Directors.

**11.0 Placement Evaluations – Players P.S. 3-88 9-88 9-90 9-93 1-96 2-02**

- 11.0.1 Placement evaluations must be held for each age group when more than one (1) team is participating in a given age group, Mite, Squirt, PeeWee, Bantam and Midget.



- 11.0.2 Only registered members in good standing with TYHA will be allowed to participate in the placement evaluation process. Players who do not register or participate in the scheduled placement evaluation process may not be guaranteed placement on a team. Any individuals who are not in good standing at the time of evaluations must rectify the situation prior to being allowed to participate in the placement evaluation process. In the event rectification occurs or a player registers to play after evaluations have been completed, said player will be evaluated, subject to the Board of Director's approval, at the next available Practice convenient for the divisional coordinator and player in question. In the event a player is being evaluated at an upper level practice, he or she may be placed on a lower level team if skill and / or skating ability are not equivalent to the level being evaluated. It is the responsibility of the Divisional Coordinator to conduct the post-evaluations and submit the results to the Registration Committee for retention. Any member whose account is not current will be considered not in good standing.
- 11.0.3 All pre-registered individuals, in good standing, must be notified twenty-one (21) days prior to the evaluations with schedule for evaluations.
- 11.0.4 The Ice Time Coordinator/Committee, Registration Committee and the coaches committee will work together to ensure adequate ice time is provided for all registered individuals for the sole purpose of the evaluations. Furthermore, it is also the responsibilities of the Coaches Committee to insure we do not over load the ice with too many players that proper determination of skills will be in jeopardy.
- 11.0.5 There will be a minimum of two (2) evaluation sessions for each age classification.
- 11.0.6 Notification to players of team assignments will occur after the conclusion of team formations and the Board of Directors has approved coaches. Coaches will then have one week to notify all players upon receipt of their team roster.
- 11.0.7 The Coaches Committee will be responsible to oversee the successful completion of the placement evaluation process.
- 11.0.8 If a dispute should arise from the placement evaluation process, the dispute must be submitted in writing, within two (2) weeks, to the Secretary of the Board.
- 11.0.9 The Coaches Committee is responsible to hold hearings with the proper committee and the originator of the said dispute in a timely manner from the dispute submission. Furthermore, the Coaches Committee will make

recommendations to the Board for final disposition.

- 11.0.10 The Policy, Information, Personnel and Discipline Committee will make the following publicly know to the membership via a summer newsletter, and / or Internet Access [www.triboro.org](http://www.triboro.org).
- 11.0.11 The prescribed proceedings are for placement evaluations and players should give their best effort.
- 11.0.12 Players should be fully prepared for evaluation at the specified time.
- 11.0.13 Players should refrain from displaying their last name anywhere on their equipment.

## **11.1 Placement Evaluation – Process**

**P.S. 9-93 1-96 2-02**

- 11.1.1 Players: (Upon arrival at the rink)
  - 11.1.1.0 All players will sign-in in the designated area. All required documents for player registration and / or forms are to be completed and turned in. Registration fee and any outstanding past due balance will be collected at this time.
  - 11.1.1.1 All players will be issued a numbered pullover jersey on a first come first serve basis. This, along with age classification will be the only means of identification.
  - 11.1.1.2 All players will be queried as to their intention of playing the position of Forward, Defense or Goalie during the registration process. All players interested in playing the Goalie position will be evaluated as to their skill levels in that position, independent of their abilities as a forward or defense.
- 11.1.2 Evaluators:
  - 11.1.2.0 Must be registered, insured and selected by the Coaches Committee.
  - 11.1.2.1 Will use pre-approved rating forms.
  - 11.1.2.2 Will rate players by displayed number, not name. In no situation will an evaluator rate their own child or influence the selection process during team formation as it pertains to the placement of their own child.
- 11.1.3 Process:
  - 11.1.3.0 The Coaches Committee shall choose evaluators for each age group. All evaluators will be required to attend a meeting with the Divisional Coordinator and the Coaches Committee to discuss the evaluation process prior to evaluations.

- 11.1.3.1 Have various skill drills, which players will rotate through for evaluation. Overall hockey ability will be evaluated.
  - 11.1.3.2 Players will be pooled by ability from which teams will be formed.
  - 11.1.3.3 A single copy of the evaluation process will be made available for review in a common area prior to the evaluations.
  - 11.1.3.4 It will be the responsibility of the Registrar to identify a conflict between the number of players anticipated and the number of players registered that will drive the number of players on a team above 15, thus leaving a potential for an incremental team in a division. The Registrar will immediately notify the Chairperson(s) of the Coaching Committee to insure the team formation process properly aligns players to the new team numbers.
- 11.1.4 Scoring System:
- 11.1.4.0 Players will be rated on each drill using a rating system that will correlate with the hockey abilities displayed at the evaluation.
- 11.1.5 Team Formation Process:
- 11.1.5.0 Under no circumstances will coach(s) be allowed to form or personally select a team for the purpose of regular season primary league play.
  - 11.1.5.1 The Evaluators using the evaluation process will form teams. Evaluators will be required to leave the team formation meeting at the time of discussion of their own child's placement. Coaches shall be responsible for providing a report card of their current players prior to evaluations. The report cards shall be used in conjunction with the evaluations to determine final placement of player(s).
  - 11.1.5.2 The Board of Directors will ensure the team formation process used by the Coaches Committee and / or Evaluators is fair and just for all players. Furthermore, a Board member will be present at the team formation meetings as an overseer of the process; the overseer will not participate in the selection process.
  - 11.1.5.3 Each player will be ranked in order of hockey evaluation criteria, the ranking will be kept on file by the Coaching Coordinator with only access is the Board of Directors and Coach Coordinator at that level until November 30<sup>th</sup> then kept on file with the President, and individual evaluation criteria will be made available to any parent however only

their specific child.

## 12.0 Player Movement

P.S. 9-88 9-93 2-94 2-02

The board will recognize only two forms of player movement:

- 12.0.1 Movement Within A Specific Division of Play
  - 12.0.1.0 The Divisional Coordinator of each division of play shall be responsible for all player movement within said division. He/she shall also be responsible to notify the Treasurer, the Registration Committee and the Secretary of **ALL** player movement. He/she shall make himself available to the Coaches Committee to answer all questions on any dispute of a player movement. We offer the parents the right to appeal to the Board of Directors. It is the responsibility of the Coaches Committee to notify the Board of Directors of **ALL** player movement so that the Secretary can make annotation of the movement in the meeting minutes.
  - 12.0.1.1 The Registration Committee will be responsible to ensure that amended Massachusetts Hockey rosters have been submitted through the District Representative.
  - 12.0.1.2 The District 8 Representative will ensure that the amended Massachusetts Hockey rosters have been submitted to the District Registrar.
  - 12.0.1.3 Allowance of player movement up and down as the season progresses until December 15<sup>th</sup>. Exceptions must have the Board of Directors approval and be in accordance of league policies.
- 12.0.2 Movement Outside Of A Division Of Play
  - 12.0.2.0 All Triboro Youth Hockey Players must play their proper age level. The only exception shall be when a unique situation is brought before the Board for discussion and review and is approved by a majority vote of the Board.
  - 12.0.2.1 Intentions of the player's parent(s) or coaches must be presented to the Board at a Board meeting. At least one parent or guardian must be present before the Board. **ALL PLAYER MOVEMENT OUTSIDE OF A DIVISION OF PLAY IS SUBJECT TO LEAGUE APPROVAL, MASSACHUSETTS HOCKEY, and USA HOCKEY.**
  - 12.0.2.2 **NO** player movement will transpire after December 15<sup>TH</sup> of that playing year. Exceptions must have the Board of Directors approval.

### 13.0 Board of Directors - Discounts

P.S. 10-06

It is recognized by the members of the organization that the Board of Directors spends a lot of time conducting business and attending meetings on behalf of the organization. For this effort, the Directors are granted the following discount(s):

- 13.0.1 President, Treasurer, Ice Scheduler, Information and Communications, Registrar
  - 13.0.1.0 Each of the 5 Directors listed above is allowed one child to skate in Triboro Youth Hockey with a 50% discount.
- 13.0.2 Fundraising, Budget & Policy / Personnel / Discipline, Basic Instruction, VP of Operations & Coaching Coordinator, Secretary, Tournaments, Equipment & Sponsorship, VP of Administration & District 8, National Youth Hockey League (NYHL) Representative, American Youth Hockey League (AYHL) Representative
  - 13.0.2.0 Each of the 10 Directors listed above is allowed one child to skate in Triboro Youth Hockey with a 25% discount.

### 14.0 Conflict of Interest Policy

P.S. 11-09

The purpose of the following policy and procedures is to complement Triboro Youth Hockey Association, Inc. bylaws to prevent the personal interest of staff members, board members, and volunteers from interfering with the performance of their duties to, or result in personal financial, professional, or political gain on the part of such persons at the expense of or its supporters.

**Definitions: Conflict of Interest** means conflict, or the appearance of a conflict, between the private interests and official responsibilities of a person in a position of trust. Persons in a position of trust include staff members, officers, and board members of Triboro Youth Hockey Association, Inc. **Board** means the Board of Directors. **Officer** means an officer of the Board of Directors. **Volunteer** means a person - other than a board member - who does not receive compensation for services and expertise provided to and retains a significant independent decision-making authority to commit resources of the organization. **Staff Member** means a person who receives all or part of his/her income from the payroll of Triboro Youth Hockey Association, Inc. **Supporter** means corporations, foundations, individuals, 501 ( c ) ( 3 ) nonprofits, and other nonprofit organizations who contribute to Triboro Youth Hockey Association, Inc.

- 14.0.1 Full disclosure, by notice in writing, shall be made by the interested parties to the full Board of Directors in all conflicts of interest, including but not limited to the following:
- 14.0.1.1 A board member is related to another board member or staff member by blood, marriage or domestic partnership.
  - 14.0.1.2 A staff member in a supervisory capacity is related to another staff member whom she/he supervises.
  - 14.0.1.3 A board member or their organization stands to benefit from a transaction or staff member of such organization receives payment from Triboro Youth Hockey Association, Inc. for any subcontract, goods, or services other than as part of her/his regular job responsibilities or as reimbursement for reasonable expenses incurred as provided in the bylaws and board policy.
  - 14.0.1.4 A board member's organization receives full grant funding from Triboro Youth Hockey Association, Inc.
  - 14.0.1.5 A board member or staff member is a member of the governing body of a contributor to Triboro Youth Hockey Association, Inc.
  - 14.0.1.6 A volunteer working on behalf of Triboro Youth Hockey Association, Inc. who meets any of the situations or criteria listed above.
- 14.0.2 Following full disclosure of a possible conflict of interest or any condition listed above, the Board of Directors shall determine whether a conflict of interest exists and, if so the Board shall vote to authorize or reject the transaction or take any other action deemed necessary to address the conflict and protect Triboro Youth Hockey Association, Inc. best interests. Both votes shall be by a majority vote without counting the vote of any interested director, even if the disinterested directors are less than a quorum that at least one consenting director is disinterested.
- 14.0.3 A Board member or Committee member who is formally considering employment with Triboro Youth Hockey Association, Inc. must take a temporary leave of absence until the position is filled. Such a leave will be taken within the Board member's elected term which will not be extended because of the leave. A Board member or Committee member who is formally considering employment with Triboro Youth Hockey Association, Inc. must submit a written request for a temporary leave of absence to the Secretary of the Board, c/o the office, indicating the time period of the leave. The Secretary will inform the Chair of the Board of

such a request. The Chair will bring the request to the Board for action. The request and any action taken shall be reflected in the official minutes of the Board meeting.

- 14.0.4 An interested Board member, officer, or staff member shall not participate in any discussion or debate of the Board of Directors, or of any committee or subcommittee thereof in which the subject of discussion is a contract, transaction, or situation in which there may be a perceived or actual conflict of interest. However, they may be present to provide clarifying information in such a discussion or debate unless objected to by any present board or committee member.
- 14.0.5 Anyone in a position to make decisions about spending resources (i.e., transactions such as purchases contracts) - who also stands to benefit from that decision - has a duty to disclose that conflict as soon as it arises (or becomes apparent); s/he should not participate in any final decisions.
- 14.0.6 A copy of this policy shall be given to all Board members, staff members, volunteers or Triboro Youth Hockey Association, Inc. or at the official adoption of stated policy. Each board member, officer, staff member, and volunteer shall sign and date the policy at the beginning of her/his term of service or employment and each year thereafter. Failure to sign does not nullify the policy.
- 14.0.7 This policy and disclosure form must be filed annually by all specified parties.

## **15.0 Whistleblower Policy**

**P.S. 11-09**

### Purpose

The Triboro Youth Hockey Association, Inc. is committed to high standards of ethical, moral and legal business conduct. In line with this commitment, and Triboro Youth Hockey Association, Inc. commitment to open communication, this policy aims to provide and avenue for employees to raise concerns and reassurance that they will be protected from reprisals or victimization for whistleblowing.

This whistle blowing policy is intended to cover protections for you if you raise concerns regarding Triboro Youth Hockey Association, Inc., such as concerns regarding:

- a. incorrect financial reporting;
- b. unlawful activity;
- c. activities that are not in line with Triboro Youth Hockey Association, Inc. policy; or

- d. activities, which otherwise amount to serious improper conduct.

### **15.0.1 Safeguards**

- 15.0.1.1 Harassment or Victimization - Harassment or victimization for reporting concerns under this policy will not be tolerated.
- 15.0.1.2 Confidentiality - Every effort will be made to treat the complainant's identity with appropriate regard for confidentiality.
- 15.0.1.3 Anonymous Allegations - This policy encourages employees to put their names to allegations because appropriate follow-up questions and investigation may not be possible unless the source of the information is identified. Concerns expressed anonymously will be explored appropriately, but consideration will be given to:
  - The seriousness of the issue raised:
  - The credibility of the concern; and
  - The likelihood of confirming the allegation from attributable sources.
- 15.0.1.4 Bad Faith Allegations - Allegations in bad faith may result in disciplinary action.

### **15.0.2 Process for Raising a Concern**

- 15.0.2.1 Reporting - The whistleblowing procedure is intended to be used for serious and sensitive issues. Such concerns, including those relating to financial reporting, unethical or illegal conduct, may be reported directly to your attorney.
- 15.0.2.2 Employment-related concerns should continue to be reported to your supervisor.
- 15.0.2.3 Timing - The earlier a concern is expressed, the easier it is to take action.
- 15.0.2.4 Evidence - Although the employee is not expected to prove the truth of an allegation, the employee should be able to demonstrate to the person contacted that the report is being made in good faith.



### **15.0.3 How the Report of Concern Will be Handled**

- 15.0.3.1 The action taken by Triboro Youth Hockey Association, Inc. in response to a report of concern under this policy will depend on the nature of the concern. Triboro Youth Hockey Association, Inc. Board of Directors shall receive information on each report of concern and follow-up information on actions taken.
- 15.0.3.2 Initial Inquiries - Initial inquiries will be made to determine whether an investigation is appropriate, and the form that it should take. Some concerns may be resolved without the need for investigation.
- 15.0.3.3 Further Information - The amount of contact between the complainant and the person or persons investigating the concern will depend on the nature of the issue and the clarity of information provided. Further information may be sought from or provided to the person reporting the concern.

## **16.0 Documentation Retention and Destruction Policy**

**P.S. 11-09**

### **Purpose**

In accordance with the Sarbanes-Oxley Act, which makes it a crime to alter, cover up, falsify, or destroy any document with the intent of impeding or obstructing any official proceeding, this policy provides for the systematic review, retention and destruction of documents received or created by Triboro Youth Hockey Association, Inc. in connection with the transaction of organization business. This policy covers all records and documents, regardless of physical form, contains guidelines for how long certain documents should be kept and how records should be destroyed. The policy is designed to ensure compliance with federal and state laws and regulations, to eliminate accidental or innocent destruction of records and to facilitate Triboro Youth Hockey Association, Inc. operations by promoting efficiency and freeing up valuable storage space.

### **16.0.1 Document Retention**

Triboro Youth Hockey Association, Inc. follows the document retention procedures outlined below. Documents that are not listed, but are substantially similar to those listed in the schedule will be retained for the appropriate length of time.

#### **16.0.1.1 Corporate Records**

Annual Reports to Secretary of State/Attorney General	Permanent
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Articles of Incorporation	Permanent
Board Meeting and Board Committee Minutes	Permanent
Board Policies/Resolutions	Permanent
By-laws	Permanent
Construction Documents	Permanent
Fixed Asset Records	Asset Life
IRS Application for Tax-Exempt Status (Form 1023)	Permanent
IRS Determination Letter	Permanent
State Sales Tax Exemption Letter	Permanent
Contracts (after expiration)	3 years
Correspondence (general)	3 years
<b>16.0.1.2 Accounting and Corporate Tax Records</b>	
Annual Audits and Financial Statements	Permanent
Depreciation Schedules	Permanent
General Ledgers	7 years
IRS 990 Tax Returns	Permanent
Business Expense Records	7 years
IRS 1099s	7 years
Journal Entries	7 years
Invoices	7 years
Sales Records (box office, concessions, gift shop)	5 years
Petty Cash Vouchers	3 years
Cash Receipts	3 years
Credit Card Receipts	3 years
<b>16.0.1.3 Bank Records</b>	
Check Registers	7 years
Bank Deposit Slips	7 years
Bank Statements and Reconciliation	7 years
Electronic Fund Transfer Documents	7 years
<b>16.0.1.4 Payroll and Employment Tax Records</b>	
Payroll Registers	7 years
State Unemployment Tax Records	7 years
Earnings Records	7 years
Garnishment Records	7 years
Payroll Tax Returns	7 years
W-2 Statements	7 years
<b>16.0.1.5 Employee Records</b>	
Employment and Termination Agreements	7 years
Retirement and Pension Plan Documents	Permanent
Records Relating to Promotion, Demotion or Discharge	3 years after termination
Accident Reports and Worker's Compensation Records	5 years
Salary Schedules	5 years
Employment Applications	3 years

I-9 Forms	3 years after termination
Time Cards	2 years
Donor Records and Acknowledgement Letters	7 years
Grant Applications and Contracts	3 years after completion

**16.0.1.6 Legal, Insurance and Safety Records**

Appraisals	Permanent
Copyright Registrations	Permanent
Environmental Studies	Permanent
Insurance Policies	Permanent
Real Estate Documents	Permanent
Stock and Bond Records	Permanent
Trademark Registrations	Permanent
Leases	3 years after expiration
OSHA Documents	5 years
General Contracts	3 years after termination

**16.0.2 Electronic Documents and Records**

Electronics documents will be retained as if they were paper documents. Therefore, any electronic files, including records of donations made online, that fall into one of the document types on the above schedule will be maintained for the appropriate amount of time. If a user has sufficient reason to keep an email message, the message should be printed in hard copy and kept in the appropriate file or moved to an "archive" computer file folder. Backup and recovery methods will be tested on a regular basis.

**16.0.3 Emergency Planning**

Triboro Youth Hockey Association, Inc. records will be stored in a safe, secure and accessible manner. Documents and financial files that are essential to keeping Triboro Youth Hockey Association, Inc. operating in an emergency will be maintained off site.

**16.0.4 Document Destruction**

Triboro Youth Hockey Association, Inc. chief financial officer is responsible for the ongoing process of identifying its records, which have met the required retention period and overseeing their destruction. Destruction of financial and personnel-related documents will be accomplished by shredding.

Document destruction will be suspended immediately, upon any indication of an official investigation or when a lawsuit is filed or appears imminent. Destruction will be reinstated upon conclusion of the investigation.

**16.0.5 Failure to Comply with Documentation Retention and Destruction Policy**

Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against Triboro Youth Hockey Association, Inc. and its employees and possible disciplinary action against responsible individuals. The chief financial officer

and finance committee chair will periodically review these procedures with legal counsel or the organization's certified public accountant to ensure that they are in compliance with new or revised regulations.