



### **RISK MANAGEMENT OVERVIEW**

#### 1.1 What is Risk Management?

Risk Management is a method for identifying risks, and developing and implementing a plan to protect an organization with the goal of preventing/minimizing 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:

US Youth Soccer Article VI, Section 2 requires US Youth Soccer, Iowa Soccer Association and all of its other state associations to establish and monitor a Risk Management Programs 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.

#### 1.3 Iowa Soccer Association Risk Management Policy Statement:

The 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/preventing 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. 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 (For purposes of this policy risk related complaints are defined in the disqualifying convictions listed in Appendix A of this Policy)**

### 2.1 Local Club/Association President

- a. Designate a local Risk Management Coordinator (RMC) and an alternate to serve as a liaison to the Iowa Soccer State Risk Management Administrator (SRMA).
- b. Insure all affected individuals comply with this policy.
- c. Insure risk related complaints 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. Assist in investigating risk related complaints and report findings to their Club/Association President and the SRMA through the State office.
- b. Report any positive results from a background check to the SRMA and ensure that all information is held in confidence.
- c. 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 Iowa Soccer Chairman of the Board of Director for a two year term.
- b. Select a committee (SRMC) of two to assist with review and disqualification.
- c. Along with the Executive Director (ED), keep the ISA Iowa Soccer Board of Directors apprised of the progress of this policy.
- d. Periodically review and update this policy, as needed.

### 2.4 Risk Management Committee

- a. Be appointed by the SRMA
- b. Regularly review this risk management policy
- c. Review and recommendation 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 annually on or before September 1 beginning September 1, 2002. Each of these individual must 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 coaches, both head and assistant coaches, must have a laminated, US Youth coach pass at every practice and match visibly available for verification and signifying that they are registered and have passed the required background check and completed the required risk management trainings.

2.6.2 Background checks will be made randomly for up to 100% of those required to complete a disclosure form.

2.6.3 If there is reason to believe an Iowa Soccer 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.

2.6.4 All information provided to Iowa Soccer on a disclosure form, complaint, investigation, or background check will be held confidential.

2.6.5 Background checks will be conducted annually when a risk related complaint is substantiated as noted in this policy under risk Related Complaint Procedures.

2.6.6 Background checks will include a criminal record check and a Sexual Offender Registry check.

2.6.7 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, 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/country of residence.

2.6.9 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.

2.6.10 A conviction for any offenses listed in Appendix A shall be sufficient cause to permanently disqualify a person from participation with Iowa Soccer. Falsification of



information on a disclosure form shall be sufficient cause to permanently disqualify a person from participation in Iowa Soccer.

2.6.11 Other offenses found on a criminal record check and not listed in Appendix A, will be reviewed by the SRMS and committee and may result in disqualification from service.

2.6.12 Any individual as defined in 6.2.1 along with any player appearing on a county or state sexual offender registry shall be permanently disqualified from participation with Iowa Soccer.

2.6.13 Where an individual is disqualified from participation with Iowa Soccer, the Executive Director will notify the individual and/or his/her parent or guardian, and the local affiliate president 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 Iowa Soccer, 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 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 (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 for participation with Iowa Soccer), the appeals process will be handled in accordance with the Iowa Soccer Association 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 Risk Related Compliant 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 complaints to the SRMA through the State office. A background check will be conducted and action taken as per this policy.



2.8.2 If a risk related 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, Article VII, Section 2A2). 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 Bylaws, Policies 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 Hearings 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 who it is sent.
- c. Said method shall have plainly visible on the outside of said envelope a designation that says "Personal and Confidential" or word 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, than the personal 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.

#### 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.

4.1.2 Each Club RMC is required to complete the Iowa Soccer prescribed Abuse Awareness Training.

##### 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 the 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 you 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 abuse 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 Ge the facts, but don’t interrogate.** In making a report, it is necessary to have certain actual 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 number 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 are 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 part, 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 who the 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.





**RISK MANAGEMENT  
DISQUALIFYING CONVICTIONS**

1. All sex offenses regardless of the amount of time since the offense.
2. All felony offenses within the past 15 years.
3. All misdemeanor violence offenses within the past 7 years.
4. All misdemeanor drug and alcohol offenses within the past 5 years or multiple offenses within the past 7 years.
5. Any other misdemeanor within the past 5 years that would be considered a potential danger to children or is directly related to the volunteer functions of the applicant.

**APPROVED BY BOARD OF DIRECTORS – SEPTEMBER 6, 2008**

**Revised 8-28-2010**

**Revised 8-20-2011**

**Revised 3-2-2013**

**Revised 3-7-2015**

**Revised 6-11-2018**