



### **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.

#### 1.5 Iowa Soccer Association Risk Management Plan Components:



- 1.5.1 Background Checks
- 1.5.2 SafeSport Abuse Awareness Training
- 1.5.3 CDC Concussion Training

## **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. Ensure 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 All individuals defined as Mandatory Reporters under the SafeSport Act (See 4.0) must complete a disclosure form upon initial appointment and annually on or before September 1 beginning September 1, 2002. Each of these individuals will 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 conducted on all individuals defined as Mandatory Reporters under the SafeSport Act.

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 at least every second seasonal year.

2.6.6 Background checks will meet, at a minimum, the standards set forth by USYSA, US Soccer, or other governing bodies. If standards change, Iowa Soccer will comply with updated standards within two seasonal years.

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 SRMA 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 if the individual will be disqualified.

2.7.2 If disqualification is determined, 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 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 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 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 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 SafeSport Act and protecting young athletes from sexual and other types of abuse**

**4.1 As described in the SafeSport Act signed in to Federal law in 2017, any adult who is authorized by a national governing body (i.e. US Soccer) to interact with a minor or amateur athlete at a sports facility is now defined as a mandatory reporter**

**4.2 All mandatory reporters must have annual training from the SafeSport Institute**

**4.3 Mandatory reporters include, but are not limited to, employees, volunteer, coaches, boards of directors, and team managers.**

#### **5.0 Concussion Education and Training**

**5.1 All Mandatory reporters as defined under the SafeSport Act must also undergo annual Concussion Education and Training from the CDC online module.**

### **RISK MANAGEMENT REPORTABLE RECORDS**

1. Any Felony
2. Any misdemeanor within the last 5 years involving:
  - All sexual crimes, criminal offenses of a sexual nature to include, but not limited to; rape, child molestation, sexual battery, lewd conduct, possession and distribution of child pornography, and distribution of obscene material, prostitution, indecent exposure, public indecency, and any sex offender registrant
  - Any drug related offenses
  - Harm to a minor or vulnerable person, including, but not limited to, offenses such as child abandonment, child endangerment/neglect/abuse, contributing to the delinquency of a minor, and DUI with a minor
  - Violence against a person, force, or threat of force (including crimes involving deadly weapons and domestic violence)
  - Stalking, harassment, blackmail, violation of a protection order, and/or threats
  - Destruction of property, including arson, vandalism, and criminal mischief
  - Animal abuse, cruelty, or neglect



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