

# United States Pony Clubs, Incorporated Horse Management Committee

## HM PROCEDURE 203

### SUBJECT: CHMJ DISCIPLINARY PROCEDURES

EFFECTIVE DATE: January 1, 2009

REVISED DATE:

NEXT SCHEDULED REVIEW DATE: June 2011

#### I PHILOSOPHY:

It is the expectation that all CHMJ's will conduct themselves according to generally accepted standards of conduct and performance as addressed in the Horse Management Handbook and Rules for Rallies. When CHMJ's do not meet these standards, it is the Horse Management Committee's responsibility to act in a timely manner and initiate a program of disciplinary steps to address the issue(s).

#### II PROCEDURE:

This procedure presents the basic principles and procedures of a system of progressive discipline which is intended to ensure that all CHMJ's are treated as consistently and fairly as possible. It is expected that discretion and confidentiality shall be observed by all parties involved.

The disciplinary program has four major purposes:

- A. To ensure that the CHMJ knows what the issues and organizational concerns are.
- B. To communicate what USPC's expectations are in order for the CHMJ to address the issue(s).
- C. To provide support and corrective action to help the CHMJ remedy the issue(s) and return to Active status.
- D. To provide a record of corrective action taken by the Horse Management Committee and USPC in such situations.

#### III. AMPLIFYING INSTRUCTIONS AND GUIDELINES:

Progressive Discipline is a formal process which includes several steps or levels of discipline, each of which provides the CHMJ with the opportunity to address the issues or concerns.

**A. Preliminary Actions.** Prior to moving to formal discipline the Chair of the Horse Management Committee should do the following:

1. Perform a thorough fact-finding which includes collection of all information and applicable records.
2. Issues MUST be in writing and supported by material from more than one source for each incident (if multiple).
  - a. Materials include letters, evaluation forms and all notes from conversations.
  - b. There may be issues that initially come to light in reading evaluations and illumination may be requested, verbally and in writing.
  - c. Action is NEVER to be based on hearsay (verbal) complaints.

3. Hold a discussion with the CHMJ. During the discussion the Chair(s) of the Horse Management Committee should state the organizational concerns clearly and allow the CHMJ to provide an initial response.
4. Decision for disciplinary action (and level of it) is made by the Chair(s) with notification given to the VP-Instruction. The CHMJ Coordinator, Chair(s) and/or both collect information. Issues that may require disciplinary action are not limited to competition issues. They may involve other instances including clinics, seminars and any other activity in which an individual plays a role as CHMJ.
5. A file, including all relevant paperwork, will be opened and maintained throughout the entire process by the CHMJ Coordinator with a copy of the file sent to the USPC office.
  - a. File will include any notes from any conversations with those who have come forward, any other relevant individuals and the Chief involved.
  - b. The file will also include any and all letters written to and from the Horse Management Committee and any relevant evaluations, if applicable.
  - c. If conversations are held on the issue, a request must be made for a written version from the individual spoken with and attached to any notes by the committee member.
  - d. Follow up with the CHMJ after the discussion and after all information has been gathered, to report the findings. It should be made clear to the CHMJ which level or step of the discipline process is being applied, if any.
  - e. Provide a follow-up letter as soon after the discussion as possible. The letter should include the date and time of the follow-up discussion, a brief statement of the issues, the Horse Management Committee expectations, and the conclusion reached in the meeting. The stage of discipline must be clearly noted and a statement made that lack of improvement will result in further discipline.

**B. Progressive Discipline.** There are three steps in the progressive discipline process. However, in cases of misconduct or repeated infractions, the process may be shortened and the Chair(s) of the HM Committee, in consultation with the VP Instruction, may move directly to a later step in the process, including termination.

All initial disciplinary action should be taken within a reasonable time frame. It is recommended that no more than two weeks elapse between the time the HM Committee learns or has knowledge of the offense and the action is taken.

1. **Peer Mentoring** - Chair(s) and, possibly, CHMJ Coordinator (at least two people) speak with individual to discuss concerns and possible remedies. Individual shall be told that they will be monitored through evaluations over a specific time-period of not less than a year or two rally minimum. Notes will be made of the meeting and a letter written as a follow-up. There will be no change in the CHMJ's status.
2. **Review** – Chair(s) and, possibly, CHMJ Coordinator (at least two people) will speak with individual to discuss concerns and a create Prescriptive Plan.

Prescriptive Plan: Chair(s) and CHMJ identify in what way the CHMJ is not meeting the expectations. It is noted in what ways and how the CHMJ is lacking. Goals and tasks selected to improve behavior and a progress and evaluation time-line is established.

When both parties decide that the goals are appropriate, the CHMJ is given time to work towards them. Evaluation starts part way through the process so that progress is monitored and adjustments may be made mid course. The evaluation period shall be not less than one year and/or two rally minimum. During the review period a Mentor CHMJ may be assigned by the Chair(s) to work with the Chief.

Status will be changed to CHMJ: Under Review. After the evaluation period the CHMJ may be reinstated if no further issues occur and they have demonstrated improvement.

Review will include a written warning. The written warning should:

- a. Be identified as a disciplinary warning;
- b. Describe as specifically as possible the situation which prompted the warning; including day, date, time, location, and what was observed or heard;
- c. Indicate why the behavior or performance is unacceptable;
- d. Review the decisions that were reached during the discussion regarding how the CHMJ should address the issues;
- e. State that if the behavior continues or other situations occur, additional corrective measures may be taken, which may result in suspension from the CHMJ program.
- f. Notification that at any point in this process the option to withdraw from the program is available, with a status change to 'Withdrawn'.
- g. An explanation of the appeal process

**C. Full Suspension** - This may be permanent or for a specific, extended, period of time, not to exceed twelve (12) months. It will involve total removal from involvement as a Chief.

- a. Issues will be discussed with CHMJ and their Regional Supervisor.
- b. Status will be changed to Suspended: Full.
- c. When disciplinary action is taken, the CHMJ and their RS and HMO will be notified in writing of the action taken and its duration.
- d. Copy of entire file to be sent to USPC Office
- e. Reinstatement will include period of Review (see above)-

**D. Termination** – Chief is removed from the program.

- a. CHMJ and their HMO and Regional Supervisor will be notified in writing of the decision.
- b. Status will be changed to 'Terminated'.
- c. Copy of entire disciplinary file to be sent to USPC Office.
- d. CHMJ file is closed.
- e. Any reapplications to the CHMJ program will be rejected.

#### **IV. DELEGATION OF AUTHORITY:**

- A. The Chair(s) of the Horse Management Committee shall have responsibility for this procedure.
- B. The Vice President of Instruction shall have oversight of this procedure.

#### **V. ENACTMENT:**

Established Date: June 2008