NORTH CAROLINA SWIMMING
POLICY MANUAL

PURPOSE

The purpose of the North Carolina Swimming "Policy Manual" is to provide a repository for the usual and customary, practices and procedures to be followed during conducting the various aspects of competitive swimming as determined and adopted by North Carolina Swimming's Board of Directors (Board).

The policies contained herein have been determined to be "standard procedure" and "customary practice" and are so adopted. They are not codified under the "By-Laws or Rules and Regulations of North Carolina Swimming" and are not to be construed as such.

By collecting the various practices and procedures in this Policy Manual, the LSC has a convenient source of reference for Standard Operating Procedures. Those activities and procedures that may need to be adopted modified or abandoned in the usual course of conducting the business of NC Swimming meets and activities may be reviewed, considered and confirmed by a majority vote of the Board of Directors.

In case of conflict between the policies and procedures in this manual and the By-Laws or Rules and Regulations, the By-Laws and/or Rules and Regulations shall take precedence.

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1 GENERAL POLICIES

1.1 Mission and Vision Statement

1.1.1 Purpose

The purpose of this policy is to establish the North Carolina Swimming's Mission and Vision Statements and how they should be communicated.

1.1.2 Statements

Mission Statement: Promoting Excellence by Providing Resources to Support and Empower the North Carolina Swimming Community.

Vision Statement: Leading the Nation in Achievement, Development, Diversity, and Citizenship.

1.1.3 Communication

The mission and vision statement should be prominently displayed on the front page of the LSC website, all official LSC correspondence and meeting minutes.

1.2 Conflict of Interest

1.2.1 Those who choose to serve North Carolina Swimming, whether as volunteers or paid professionals, are held to a high standard of conduct. Those who serve must do so without personal gain to avoid any institutional loss or embarrassment and to behave in such a way that the organization's trust and public confidence are enhanced. It is important to avoid any real conflict of interest.

1.2.2 While no set of guidelines can guarantee acceptable behavior, the principles that guide behavior in this area are disclosure, non-participation in the decision-making process where personal or family gain is a possibility, and a commitment to honor the confidentiality of organizational information. All conduct is founded on the individual's own sense of integrity. Any individual accepting the honor of serving North Carolina Swimming must accept the burdens of public disclosure and public scrutiny.

1.2.3 In our complex society, the intermix of volunteer work, business interests, governmental activity, and family relationships often creates potentially conflicting interests. What is required is disclosure of conflicting interests when they arise, and strict nonparticipation in any evaluation process relating to the matter in question.

1.2.4 The following guidelines are not a precise road map to acceptable conduct. They are signposts. Everyone must find his or her own way.

- The business of North Carolina Swimming is to be conducted in observance of both the spirit and letter of applicable federal and state laws.
- North Carolina Swimming properties, services, opportunities, authority and influence are not to be used for private benefit.

- All individuals who participate with North Carolina Swimming will disclose the nature and extent of an actual or potential conflict of interest when it occurs in the evaluation of an issue and will avoid evaluating or voting on the matter involved. This includes the award of contracts, the purchase of goods and services, the award of contracts for professional services, and the allocation of North Carolina Swimming resources for individual use.
- Gifts, cash, travel, hotel accommodations, entertainment, or favors are neither to be given nor received, except those of nominal value exchanged in the normal course of business. Gifts and favors of more than one hundred dollars ($100.00) value should not ordinarily be accepted. If circumstances render it awkward to refuse such a gift, the donor should be thanked and told the gift is being accepted on behalf of and will be delivered to North Carolina Swimming.
- Expenses incurred in the furtherance of North Carolina Swimming business are to be reasonable, necessary and (if twenty-five dollars or more) substantiated.
- All are expected to exhibit honesty, loyalty, candor and professional competence in their relationships with North Carolina Swimming and with each other.
- Everyone has the responsibility to maintain the confidentiality of the organization. This includes both proprietary and sensitive information.

1.2.5 All Board and Committee members will be required to sign this statement annually to participate

1.3 Board of Directors Guide

Most information Board members should require is located on the North Carolina Swimming website. Links are provided below.

1.3.1 Organization

- USA Swimming
  - 4 Zones – Eastern, Southern, Central, and Western Zones are divided into Sections
  - Southern Zone has the Southern, Eastern and Western sections
  - Each Section is made up of Local Swimming Committees (LSCs) – North Carolina Swimming

Each LSC operates as an administrative arm under USA Swimming and is responsible for administering USA Swimming activities in a defined geographical area. Each LSC has its own bylaws under which it operates. These By-Laws must be approved by USA Swimming.

A House of Delegates with representation from each club and the Board of Directors are responsible for managing the business affairs of the LSC.

The Board of Directors has the right/responsibility to act on behalf of the House of Delegates between meetings of the House of Delegates.

1.3.2 Legal Requirements for Board of Director Members

- Duty of Care
- Reasonably informed
- Participate in collective decisions
- Good faith and care of ordinary person
- Duty of Loyalty
- Exercise power in the interest of the organization. You represent the whole of North Carolina Swimming, not just your club.
- Duty of Obedience
- Ensure organization functions within the law
- Support Board decisions (even if you were in the minority)

1.3.3 Board of Director Meetings

Board meetings are generally held every other month. Except for meetings at the House of Delegates and the planning retreat, meetings are held via teleconference. Meetings are generally held Wednesday evenings and last approximately an hour. A meeting notice, agenda and materials for the meeting are emailed prior to the meeting.

If you have any items for action, please provide the material to the secretary when the Request for Agenda items is sent. Any document for approval should be provided in Microsoft Word format. Any motions should be provided in written form to the secretary in response to the Request for Agenda items.

It is each Board member's responsibility to read the materials prior to the meeting and attend the meeting. If you have a question on any material, ask the author. Please do not ask questions to a large group (i.e. - no blast emails.) If someone sends an email to a group, please reply only to the individual. Do not "Reply to All". Emails are a poor method for discussions. They are good for sending out information.

1.3.4 NC Swimming Structure

The structure of the LSC, its Board of Directors and Committee members including their contact information is located on the NC Swimming website.

LSC Structure: LSC Structure
Board: NCS Board of Directors
Committees: NCS Committees

1.3.5 Information

All available past minutes and the current budget are located on the NC Swimming website.

Minutes: NCS Minutes
Budget: NCS Quad Plan

1.3.6 Governance Documents

Current governance documents are located on the NC Swimming website.

By-Laws: By-Law changes can only be amended by USA Swimming or the House of Delegates with the approval of USA Swimming. With proper notice changes require the approval of at least 2/3 of the House of Delegates. http://www.ncswim.org/bylaws/

Rules and Regs: Rules and Regulations can only be amended by the House of Delegates. With proper notice changes require the approval of the majority of the House of Delegates.
http://www.ncswim.org/bylaws/

Policies: Policies are a repository for the usual and customary, practices and procedures to be followed in the course of conducting the various aspects of competitive swimming as determined and adopted by North Carolina Swimming's Board of Directors (Board). In case of conflict between the policies and procedures in this manual and the By-Laws or Rules and Regulations, the By-Laws and/or Rules and Regulations shall take precedence.

http://www.ncswim.org/bylaws/

1.4 Crisis Management

This policy shall be implemented when any incident requires communication with the public on the behalf of North Carolina Swimming. Only the individuals listed in this policy and acting within the scope and procedure below are authorized to make any statements. All other individuals shall refer the media to the General Chair.

1.4.1 Crisis Communication Team

- 1st Team:
  - Information Officer and spokesperson *(Public Relations Chair)*,
  - General Chair
  - Legal Counsel
  - USA Swimming
- Back-ups:
  - Information Officer and spokesperson
  - Administrative Vice-Chair / Senior Chair / Age Group Chair
  - *Back up* Legal Counsel
- Situational – *Information Officer may include other individuals/specialists as appropriate for given situation*

1.4.2 Stakeholders:

- Board of Directors – emails and phone numbers are in Information Officer's possession
- Clubs – contact emails and phone numbers through registrar/website Coaches – network emails through registrar; use web site as well
- NCS Membership – use NCS website

- Media/Public – contact local newspaper and television networks as appropriate

1.4.3 Process

- Information Officer gathers and confirms all the information from relevant sources (Depending on situation, Information Officer will involve others as appropriate)
  a. Determine what happened, when and where
  b. Determine who is affected
  c. Identify cause
  d. Determine reaction to incident and possible repercussions
  e. Determine when there will be more information/update
  f. Information Officer convenes Crisis Communication Team via conference. Team will be alerted by phone call to home number, work number, cell number, all of which are in possession of Information Officer
- Team determines appropriate response to crisis and develops plan and timetable
  a. Determine what needs to be done and when it needs to be done
  b. Determine what to say, who will say it, to whom it will be said, when it will be said, and by what means it will be said, as well as determining whether to take a proactive or reactive approach
- Information Officer informs appropriate stakeholders of situation and response
  a. Description/background of situation and the response are communicated to stakeholders by established timetable
  b. Stakeholders are given contact information for Information Officer as well as other contact information that may apply in the situation
- Spokesperson, under direction of Information Officer, makes any necessary public statements to news media, direct meetings of membership, or others as appropriate
- Team monitors situation and reacts accordingly

1.4.4 Maintenance of Crisis Team List

- Following Fall HOD, the Executive Administrator shall verify the contact information of the Crisis team members including the availability of legal counsel.
- The contact list will be updated and distributed to the Crisis Team members.

1.5 Investment

1.5.1 Purpose

The purpose of this investment Policy Statement (IPS) is to assist the Investment Committee (Committee) in effectively supervising, monitoring and evaluating the management of the Investment Portfolio (Portfolio). The Foundation's investment program is defined in the various sections of this IPS by:

1. Stating in a written document the Committee's attitudes, expectations, objectives and guidelines for the investment all assets.
2. Encouraging effective communications between the Committee and all parties involved with the investment management decisions.
3. Establishing formal criteria to select, monitor, evaluate and compare the performance results achieved by each investment option on a regular basis.

1.5.2 Executive Summary

Type of Client:	Non-Profit
Foundation / Endowment Name:	North Carolina Swimming
State of Domicile:	North Carolina
Tax Id:	
Current Assets:	$750,000
Time Horizon:	Long – more than 5 years
Modeled Return:	6.9%
1 -Yr Loss Limit:	-5.7%

Asset Allocation - Allocation Range Legend

Broad Asset Class	Peer Group	LL	SA	UL
Fixed Income - Broad Fixed	Income Multi-sector Bond	5.0	10.0	30.0
Fixed Income - Global Fixed Income	World Bond	5.0	10.0	15.0
Fixed Income - Intermediate Fixed Income	Intermediate-Term Bond	15.0	30.0	45.0
International Equity - Diversified Foreign	Large Blend	5.0	10.0	20.0
Large Cap Equity	Large Blend	10.0	20.0	30.0
Mid Cap Equity	Mid-Cap Blend	10.0	15.0	20.0
Small Cap Equity	Small-Cap Blend	2.0	5.0	10.0
Other	Specialty-Real Estate	2.0	5.0	10.0

1.5.3 Statement of Objectives

1.5.3.1 Background

North Carolina Swimming portfolio was established with the following purpose and mission: To provide the funds necessary to support and maintain North Carolina Swimming without breaching the principal value of the portfolio. This IPS has been arrived at upon consideration by the Committee of a wide range of policies, and describes the prudent investment process the Committee deems appropriate. This process includes offering various asset classes and investment management styles that, in total, are expected to offer the opportunity to diversify the portfolio in a manner consistent with the specified risk and return requirements of the portfolio.

The objectives of the portfolio are:

1. Maintain the purchasing power of the current assets and all future contributions. The objective is to maintain the level of services and programs in relation to inflation.

2. Maintain the level of programs and services currently provided. This can only be accomplished if sufficient total return is reinvested and new funds added to keep pace with cost increases and program expansions.
3. Maximize return within reasonable and prudent levels of risk.
4. Maintain an appropriate asset allocation based on a total return policy that is compatible with a flexible spending policy, while still having the potential to produce positive real returns.
5. Investment managers are instructed to evaluate all investment options according to objective economic criteria established by the manager and if there are equally attractive investments, social factors may be considered.

1.5.3.2 Time Horizon

The investment guidelines are based upon an investment horizon of greater than five years. The Portfolio's strategic asset allocation is also based on this long-term perspective. Short-term liquidity requirements are anticipated to be non-existent, or at least should be covered by cash inflows.

1.5.3.3 Risk Tolerances

The Committee recognizes and acknowledges some risk must be assumed in order to achieve the investment objectives of the Portfolio, and that there are uncertainties and complexities associated with contemporary investment markets. In establishing the risk tolerances for this IPS, the Foundation's ability to withstand short- and intermediate-term variability was considered. A l-yr loss limit of -5.7% has been calculated for the portfolio. Statistically speaking, there is a 5% chance (one in every twenty years) that the l-year return will actually be lower than -5.7%. The long-time horizon, current financial condition and several other factors suggest collectively some interim fluctuations in market value and rates of return may be tolerated to achieve the longer-term objectives.

1.5.3.4 Performance Expectations

In general, the Committee would like the Portfolio to earn at least a targeted return of 6.9%. It is understood an average return of 6.9% will require superior manager performance to (1) retain principal value; and (2) purchasing power.

1.5.4 Duties and Responsibilities

1.5.4.1 Investment Committee

As fiduciaries under North Carolina Swimming, the primary responsibilities of the Committee are:

1. Prepare and maintain this investment policy statement.
2. Prudently diversify the assets to meet an agreed upon risk return profile.
3. Prudently select investment options.
4. Control and account for all investment, record keeping and administrative expenses associated with the Portfolio.
5. Monitor and supervise all service vendors and investment options.
6. Avoid prohibited transactions and conflicts of interest.

1.5.4.2 Custodian

Custodians are responsible for the safekeeping of the assets. The specific duties and responsibilities of the custodian are:

1. Value the holdings.
2. Collect all income and dividends owed to North Carolina Swimming.
3. Settle all transactions (buy-sell orders).
4. Provide reports that detail transactions, cash flows, securities held and their current value, and change in value of each security and the overall Portfolio since the previous report.

1.5.4.3 Investment Advisor

The Investment Advisor serves as an objective, third-party professional retained to assist the Committee in managing the overall investment process. The Advisor is responsible for guiding the Committee through a disciplined and rigorous investment process to enable the Committee to meet the fiduciary responsibilities outlined above.

1.5.4.4 Separate Account Managers

1. Manage the assets under their supervision in accordance with the guidelines and objectives outlined in their respective Service Agreements, Prospectus or Trust Agreement.
2. Exercise full investment discretion with regards to buying, managing, and selling assets held in the Portfolio.
3. Seek approval from the Committee prior to purchasing and/or implementing the following securities and transactions:
   a. Letter stock and other unregistered securities; commodities or other commodity contracts; and short sales or margin transactions.
   b. Securities lending; pledging or hypothecating securities.
   c. Investments in the equity securities of any company with a record of less than three years continuous operation, including the operation of any predecessor.
4. Vote promptly all proxies and related actions in a manner consistent with the long-term interest and objectives of the Portfolio as described in this IPS. Each investment manager shall keep detailed records of the voting of proxies and related actions and will comply with all applicable regulatory obligations.
5. Communicate to the Committee all significant changes pertaining to the fund it manages or the firm itself. Changes in ownership, organizational structure, financial condition, and professional staff are examples of changes to the firm in which the Foundation is interested.
6. Effect all transactions for the Portfolio subject "to best price and execution." If a manager utilizes brokerage from the Portfolio assets to effect "soft dollar" transactions, detailed records will be kept and communicated to the Foundation.
7. Use the same care, skill, prudence, and due diligence under the circumstances then prevailing that experienced investment professionals, acting in a like capacity and fully familiar with such matters, would use in like activities for like Portfolios with like aims in accordance and compliance with all applicable laws, rules, and regulations.
8. Take in to consideration in Mission-based1 Socially Responsible Investment (SRI) preferences. It has become a generally accepted practice to permit the inclusion of an SRI strategy as a secondary screen to a normal (unrestricted) investment process. If there are equally attractive investment options, then social factors may be considered.

1.5.5 Asset Class Guidelines

The Committee believes long-term investment performance, in large part, is primarily a function of asset class mix. The Committee has reviewed the long-term performance characteristics of the broad asset classes, focusing on balancing the risks and rewards. Historically while interest-generating investments, such as bonds, have the advantage of relative stability of principal value, they provide little opportunity for real long-term capital growth due to their susceptibility to inflation. On the other hand, equity investments, such as common stocks, clearly have a significantly higher expected return but have the disadvantage of much greater year-by-year variability of return. From an investment decision-making point of view, this year-by-year variability may be worth accepting given the Foundation's long-time horizon.

The following asset classes were selected and ranked in ascending order of "risk (least to most) according to the most recent quarter's median 3-year Standard Deviation values.

- Intermediate-Term Bond
- Multisector Bond
- World Bond
- Large Blend
- Foreign Large Blend
- Mid-Cap Blend
- Specialty-Real Estate

1.5.6 Rebalancing of Strategic Allocation

The percentage allocation to each asset class may vary depending upon market conditions. Please reference the allocation table in the Executive Summary for the lower and upper limits for each asset class. When necessary and/or available, cash inflows/outflows will be deployed in a manner consistent with the strategic asset allocation and allocation ranges of the Portfolio. If there are no cash flows, the allocation of the Portfolio will be reviewed quarterly. If the Committee judges cash flows to be insufficient to bring the Portfolio within the target allocation ranges, the Committee shall decide whether to effect transactions to bring the allocation of Portfolio assets within the threshold ranges.

1.5.7 Implementation

The Committee will apply the following due diligence criteria in selecting each money manager or mutual fund.

1. Regulatory oversight: Each investment option should be managed by: (i) a bank; (ii) insurance company; (iii) a registered investment company (mutual fund); or, (iv) a registered investment adviser.
2. Correlation to style or peer group: The investment option should be highly correlated to the asset class being implemented. This is one of the most critical parts of the analysis since most of the remaining due diligence involves comparisons of the investment option to the appropriate peer group.
3. Performance relative to a peer group: The investment option's performance should be evaluated against the peer group's median manager return, for I, 3 and 5-year cumulative

periods. [Suggested threshold: Performance should be above the peer group median for I-3,-, and 5-year periods.]

4. Performance relative to assumed risk: The investment option's risk-adjusted performance (Alpha and/or Sharpe Ratio) should be evaluated against the peer group's median manager's risk-adjusted performance. [Suggested threshold: Risk-adjusted performance should be above the peer group median.]
5. Minimum track record: The investment option should have sufficient history so that performance statistics can be properly calculated. [Suggested threshold: Inception date should be 3-years or more.]
6. Assets in the product: The investment option should have sufficient assets so that the portfolio manager can properly trade the account. [Suggested threshold: The investment option should have at least $75 million under management (can include assets in related share classes).]
7. Holdings consistent with style: The underlying securities of the investment option should be consistent with the associated broad asset class. [Suggested threshold: At least 80% of the underlying securities should be consistent with the broad asset class. For example, a Large-Cap Growth product should not hold more than 20% in cash, fixed income and/or international securities.]
8. Expense ratios/fees: The investment option's fees should be fair and reasonable. [Suggested threshold: Fees should not be in the bottom quartile (most expensive) of the peer group.]
9. Stability of the organization: There should be no perceived organizational problems. [Suggested threshold: The same Plan management team should be in place for at least two years.]

1.5.8 Monitoring

1.5.8.1 Performance Objectives

The Committee acknowledges fluctuating rates of return characterize the securities markets, particularly during short-term time periods. Recognizing that short-term fluctuations may cause variations in performance; the Committee intends to evaluate investment performance from a long-term perspective. The Committee is aware the ongoing review and analysis of the investment options is just as important as the due diligence process. The performance of the investment options will be monitored on an ongoing basis and it is at the Committee's discretion to take corrective action by replacing a manager if they deem it appropriate at any time. On a timely basis, but not less than quarterly, the Committee will meet to review whether each investment option continues to conform to the search criteria outlined in the Implementation section; specifically:

1. The investment option's adherence to the due diligence criteria;
2. Material changes in the investment option's organization, investment philosophy and/or personnel; and,
3. Any legal, SEC and/or other regulatory agency proceedings affecting *the investment option's organization.

1.5.8.2 Benchmarks

The Client has determined that performance objectives be established for each investment option. Manager performance will be evaluated in terms of an appropriate market index (e.g. the S&P 500 stock index for large-cap domestic equity manager) and the relevant peer group (e.g. the large-cap growth mutual fund universe for a large-cap growth mutual fund).

- Foreign Large Blend — MSCI World Ex US NR USD
- Intermediate-Term Bond — LB US Govt/Credit 5-10 Yr
- Large Blend — S&P 500 TR
- Mid-Cap Blend — S&P MidCap 400 TR
- Multi-sector Bond — LB US Universal
- Specialty-Real Estate — DJ Wilshire REIT
- World Bond — Citi WGBI NonUSD USD

1.5.9 Watch List Criteria

An investment option may be placed on a Watch List and a thorough review and analysis of the investment option may be conducted, when:

1. An investment option performs below median for their peer group over a I-, 3- and/or 5-year cumulative period.
2. An investment option's 3-year risk adjusted return (Alpha and/or Sharpe) falls below the peer group's median risk adjusted return.
3. There is a change in the professionals managing the investment option.
4. There is a significant decrease or increase in the investment option's assets.
5. There is an indication the investment option is deviating from the stated style and/or strategy.
6. There is an increase in the investment option's fees and expenses.
7. Any extraordinary event occurs that may interfere with the investment option's ability to prudently manage investment assets. The decision to retain or terminate an investment option cannot be made by a formula. It is the Committee's confidence in the investment option's ability to perform in the future that ultimately determines the retention of an investment option.

1.5.10 Measuring Costs

The Committee will review at least annually all costs associated with the management of the Portfolio, including:

1. Expense ratios of each mutual fund against the appropriate peer group.
2. Administrative Fees; costs to administer the Portfolio, including record keeping, custody and trust services.
3. The proper identification and accounting of all parties receiving soft dollars and/or 12b-1 fees generated by the Portfolio.

1.5.11 Investment Policy Review

The Committee will review this IPS at least annually to determine whether stated investment objectives are still relevant and the continued feasibility of achieving the same. It is not expected that the IPS will change frequently. In particular, short-term changes in the financial markets should not require adjustments to the IPS.

1.6 HOD Bidding

1.6.1 Group Members of North Carolina Swimming are invited to bid for hosting House of Delegate (HOD) Meetings. North Carolina Swimming will pay for the rooms and any other services requested.

1.6.2 Bids must meet the following requirements:

1. For the day prior to HOD two (2) rooms, each with seating for up to 35 people in a classroom or conference style (U shaped) setting from 8:30 AM to 5:00 PM.
2. For the day of HOD,
   a. Two (2) rooms for seating up to 35 people in a classroom or conference style (U shaped) setting from 9:00 AM – 12:00 PM.
   b. One room for seating up to 100 people in a classroom setting from 12:30 PM to 5:00 PM
3. The rooms indicated in one and two above shall be in the same location.
4. A block of 10 hotel rooms shall be arranged. The hotel shall be within 10 miles of the location of the rooms. The block shall be available until at least 10 days prior to HOD
5. Fall HOD – For the Fall HOD the following two additional items are required
   a. Saturday Afternoon (4 hours) – 6 lane pool for All Star Clinic
   b. Saturday Evening - A/V equipped banquet facility with a capacity of at least 300 people

1.6.3 Bids for HODs shall be submitted two (2) weeks prior to the House of Delegates one year prior to the planned HOD or at a time designated by the General Chair.

The bids shall include the following:

1. Facility
   a. Address of facility
   b. Name of facility (and building if more than one building at location)
   c. Name/numbers of rooms (identifying information)
2. Hotels
   a. Name
   b. Address
   c. Rate
   d. Name block will be held under
3. Banquet Facility (Fall HOD)
   a. Name of Facility
   b. Contact for Banquet Arrangements
   c. Cost
4. Pool ()
   a. Name of Pool
   b. Contact for arranging Select Camp
   c. Cost

1.6.4 The House of Delegates shall choose from among the bids received that meet the criteria.

1.6.5 If no acceptable bids are received, the General Chair shall choose the location and arrange the rooms.

1.6.6 If circumstances require action prior to the HOD, the Board of Directors may choose the location for HOD.

1.7 Convention Reimbursement

1.7.1 NC Swimming shall reimburse NSC members for travel to the USAS convention in accordance with the NCS Expense Reimbursement policy for the following:

- Any NCS member with a USA swimming House of Delegates vote
- Any NCS member who is a member of a USA Swimming national committee whose committee has a meeting at convention which is listed on the USA Swimming Convention Schedule
- NCS Registrar
- NCS Executive Assistant
- Junior Athlete Representative or alternate
- Diversity Chair
- Treasurer
- Official's Chair
- Operational Risk Coordinator
- Disability Chair
- Finance Chair
- Other NCS members who have business at the convention as determined by the NCS Board of Directors

1.7.2 In addition, NC Swimming shall reimburse any NCS member in good standing, the cost of Early Bird registration if they register and attend the USAS Convention. Any other expenses shall be the member's responsibility.

1.8 Expense Reimbursement

1.8.1 This policy covers reimbursement for expenses while on NC Swimming business.

1.8.2 To be considered for reimbursement the following must apply:

1. The activity has been approved by the NC Swimming Board of Directors or its policies. Note: NC Swimming House of Delegates are not included
2. The individual(s) has been approved for travel by the Board of Directors or its policies.

1.8.3 Items to be reimbursed

- Shared hotel, if practical, if lodging is not provided
- Transportation or $0.50/mile if driving (whichever is less)
  Note: airfare is limited to plan ahead economy class airfare
- Registration Fees, if applicable

- Daily per diem per GSA, if meals are not provided
- Actual cost of parking up to $10.00/day at the home airport
- Parking reimbursement at the hotel, if applicable.

1.8.4 A day will be considered any part of a day and includes travel days. A request must be made to the NC swimming treasurer within 30 days of the event.

1.8.5 Documentation must include:
- Expense Account form as required by NC Swimming

1.8.6 Exception: There is no travel reimbursement for NC Swimming House of Delegates

1.9 Requests for Funds

1.9.1 All requests for funds (payment of invoices, down payments, etc.) shall be directed to the NC LSC Treasurer by phone call or email from individuals who are authorized to make such requests.

1.9.2 All requests for funds shall include a short description as to why the funds are needed and a telephone number that the Treasurer can utilize to verify the request.

1.9.3 Funds for payment should be based on approved NC LSC budgeted line items or as approved by the NCS Board of Directors.

1.9.4 When appropriate, requests for funds shall be verified by a call-back confirming the requester's identity and authorization to request the funds for payment.

1.10 Seminar/Workshop Reimbursement

1.10.1 NC Swimming shall reimburse NSC members for travel to the USA Swimming seminars, workshops, clinics and meetings. Invited members shall be determined by committee chairs and do not need Board of Director Approval to attend.

1.10.2 Attendance is limited to two people or the number of people provided hotel and meals by USA Swimming (whichever is less) unless the Board determines at least 30 days in advance that no representatives will be sent.

1.10.3 Reimbursement is limited to travel in accordance with the expense reimbursement policy unless otherwise approved by the board of Directors.

1.11 Website Privacy – COPPA

1.11.1 Privacy
- North Carolina Swimming is a general audience website. We may provide interactive features and we may collect certain personal information which is more fully outlined below.

- While we encourage children to engage in our interactive website, we also wish to educate parents and children about issues of privacy when visiting our site.
- As a result, we are committed to full compliance with the Children's Online Privacy Protection Act of 1998 ("COPPA"). We collect from children only that information which is necessary for participation. In addition, we have provided parents and guardians with the ability to review the type of personal information currently collected about their children, to have that information deleted, and to request that no further personal information be collected by North Carolina Swimming.
- North Carolina Swimming respects and protects the privacy of all our users. We encourage parents and guardians and kids to use and enjoy our web site. Our privacy policy as described below is spelled out with the intention of educating parents and guardians and kids about how to safeguard their privacy when surfing on the web. We urge parents and guardians to discuss with their children the importance of protecting the confidentiality of personally identifiable information.

1.11.2 What Information is Collected and How We Collect It

To enable visitors to participate in some of our online activities, we may ask them to provide personal information including name, e-mail address, telephone number and date of birth. Here are some of the ways we may collect personally identifying information from our visitors:

- contest registrations
- online surveys
- online purchasing
- forums registration

1.11.3 How We Use the Information

This information may be used for internal marketing purposes and helps us determine how to continually improve our site. We do not sell, distribute, trade or otherwise transfer personally identifiable information obtained from a user to any third party, either within our own organization or outside it, unless the user has provided his or her consent. We never share children's personal information with third parties.

1.11.4 Third-Party Sites and Sponsors

Our site contains links to other sites whose information practices may be different from ours. Visitors should consult the other sites' privacy notices, which may differ from ours.

1.11.5 Cookies and How We Use Them

- Cookies are used to gather basic tracking information and to monitor the presentation of advertisements and are placed on your hard drive by many major websites. They are especially necessary when ordering a product online. Cookies allow websites to determine the type of computer operating system and browser that you and other viewers are using, which enables websites to improve access to content.
- We do not link the information collected through cookies to personally identifiable information provided by users from participating in our activities. Cookies do not contain any information that is, in itself, personally identifying.

1.11.6 Terms of Use

- All "Content" found on this website, including, but not limited to, photographs, graphics, editorial content, results, database information and any other text is the sole property of North Carolina Swimming or its partners, and all rights are reserved. The logos appearing on the Site which identify North Carolina Swimming and/or its products and services are proprietary marks.
- The Contents of this website are for your personal or informational use only. Commercial usage of any Content or the re-purpose of such Content is strictly prohibited.

1.11.7 For questions about these policies, please contact webmaster@NCSwim.org

1.12 Team Travel

As part of USA Swimming's enhanced athlete protection efforts, USA Swimming require clubs and Local Swimming Committees (LSCs) to have published policies for team travel. For athletes to participate on LSC sponsored trips, the parents and athletes shall sign the LSC Team Travel Policy. In addition, the parents shall sign the Motor Vehicle Permission Form. All coaches and chaperones shall also sign a the LSC Team Travel Policy

1.13 Sponsorships

1.13.1 Purpose - This policy lays out the guidelines for third party sponsorship opportunities related to North Carolina Swimming, Inc. (NCS). Sponsorships that fall within the guidelines of this policy may be executed by the NCS Executive Administrator without further approval. North Carolina Swimming retains naming rights to all NCS championship meets. Sponsorships that are not covered by this policy should be brought to the Board of Directors for approval prior to execution.

1.13.2 Guidelines - Business Website Ads on the North Carolina Swimming, Inc. website are non-exclusive.

1.13.3 Payment for website advertising may be in cash, credit cards, or in-kind goods or services. The NCS Executive Administrator for North Carolina will the value of in-kind offers.

1.13.4 The following sponsorship levels/costs will be offered:

Level	12 mo	24 mo
Business Website Advertising	$500.00	$750.00
Bronze Level Sponsorship	$1000 - $1,999	
Silver Level Sponsorship	$2,000 - $2,999	
Gold Level Sponsorship	$3,000 and above	

Benefit	Business Website Advertising	Bronze	Silver	Gold
Display sponsor's logo/ad in a 4-wide x 1 high configuration on the North Carolina Swimming website homepage	X	X	X	X
Display sponsor's large ad on the SUPPORTER Page of the website		X	X	X
Recognition for new sponsors in a posted announcement on the NCS website		X	X	X
Full page ad in the heat sheet of two NCS State Championship Meets.		X		
Full page ad in the heat sheet of four NCS State Championship Meets.			X	X
Availability to display materials and distribute product information/samples at all NCS state championship meets subject to booth and table space and venue restrictions.				X

1.14 Safety Program

1.14.1 Purpose

The purpose of this policy is to establish the North Carolina safety Program and when it shall be utilized.

1.14.2 Application

The North Carolina Safety Program (See NCS Safety Program on website), shall be utilized for all meets* and events* sanctioned or approved by North Carolina Swimming. It shall also apply to all practices* for USA Swimming member clubs practicing within the North Carolina LSC.

*The program does not apply to Open Water events. Those events are governed by USA Swimming.

2 ATHLETE POLICIES

2.1 Disability Inclusion

2.1.1 USA Swimming Standards

2.1.1.1 In compliance with the USA Swimming Rules and Regulations, NCS wishes to accommodate swimmers with a disability as defined by USA Swimming.

2.1.2 NCS Special Administrative Standards

2.1.2.1 NCS welcomes all swimmers with a disability who wish to participate in USA Swimming/NCS as described in the USA Swimming Rules & Regulations, Article 105.

2.1.2.2 All NCS member clubs are encouraged to include swimmers with a disability. The facilities in the pool where the team practices should have the equipment necessary to accommodate these swimmers and the swimmers should be allowed helpers during their practice.

2.1.2.3 Accommodations during practices should be up to the discretion of the head coach. Examples of such accommodations are:

- Include the swimmer with a disability in practices by the swimmer's ability rather than age.
- The coach of the practice group should have the same expectations of the swimmer with a disability as the other swimmers in that group with respect to effort, attendance, and other aspects of work ethic.
- The same principles of training/conditioning, bio-mechanics, and sport psychology apply to the swimmers with a disability as the other athletes.

2.1.2.4 Inclusion of swimmers with a disability in NCS sanctioned meets.

- This policy shall apply only to swimmers with disabilities as defined by USA Swimming as "a permanent physical or cognitive impairment that substantially limits one or more major life activities."
- In the regular season meets, swimmers with a disability need not have achieved the qualifying time standards. The meet director shall have the authority to accommodate the swimmer without substantial negative impact on meet time line. Examples of such accommodations are:
  - Allow the swimmer with a disability to compete at a shorter distance, e.g. a 50-yard distance within a 100 yard event.
  - Seed the swimmer with a disability by time rather than age, e.g. an 18-year-old swimmer with a disability could be seeded in the 11 - 12 age group of the same event.
- Places and awards for swimmers with a disability can only be earned in the swimmer's actual event and/or age group. At the discretion of the meet host special awards may be given to swimmers with a disability.

2.1.2.5 It is required that the following statement be included in all meet invitations:

> <Host Team> welcomes all swimmers with disabilities as described in the USA Swimming Rules & Regulations, Article 105, to participate in our meets. Coaches entering swimmers with disabilities that require any accommodations are required to provide advance notice in writing to the Meet Director by the entry deadline accompanying their meet entry file, including the need for any personal assistants required and/or registered service animals. Failure to provide advance notice may limit <Host Team>'s ability to accommodate all requests.

2.2 Outreach Membership Program

2.2.1 USA Swimming and North Carolina Swimming offer a membership program to help and encourage the economically disadvantaged youth who are unable to afford the USA Swimming membership fees. The program offers qualified athletes the opportunity to become USA Swimming members for $5.00.

2.2.2 The goal of the Outreach Program is to promote the identification, recruitment, training and retention of any of America's minority and disadvantaged youth that shows an interest in

swimming and is unable to afford joining a local USA Swimming club.

2.2.3 North Carolina Swimming, Inc. will waive the $2.00 LSC fee on the Outreach memberships, so the cost remains at $5.00 per athlete. The membership is a year-round membership. Confidentiality of members will be maintained. The athlete will receive a year-round athlete membership card as with any other year-round athlete and they will be on the year round athlete list.

2.2.4 Proof of qualification for Outreach Membership can be shown by meeting criteria listed in the NCS rules.

2.2.4.1 To apply for Outreach Membership:

- Complete the NCS Registration forms.
- Submit all registration forms, $5.00 registration fee and proof of qualification to the NCS Registrar.

2.2.4.2 Please contact the LSC Registrar or the LSC Outreach Chairman if you have any questions.

2.3 Outreach Benefit

2.3.1 Purpose - To encourage the participation of Outreach Athletes in meets sanctioned by North Carolina Swimming that are open to the general membership of North Carolina Swimming (including those meets for which specific teams have been assigned by the technical Committee for purposes of balance), North Carolina Swimming will reimburse a club for meet entry fees paid by the club for swimmers classified as outreach athletes.

2.3.2 To this end, North Carolina Swimming will reimburse event entry fees:

- For event fees that have been paid for sanctioned “open” meets within the North Carolina LSC
- For those events that the swimmer completes.

2.3.3 Under this program, North Carolina Swimming will not reimburse: Entry fees for events where

- “No Swim” is recorded.
- Entry fees for dual meets or closed invitationals
- Non-entry “meet fees” or “per swimmer” fees
- Travel, meals or other meet expenses
- Fees for USA Swimming sanctioned meets held outside of the LSC.

2.3.4 The LSC provides funds to cover expenses for certain championships held outside of the LSC. Fees for Championship meets held outside of the LSC are properly handled through those incentive programs.

2.3.5 Reimbursement Procedure

1. The Registration Chair will advise the Treasurer of the names and club affiliation of all registered Outreach Athletes.
2. Teams should register and pay for all entries following regular procedures as posted in the meet notice.
3. Following the meet, the team should submit to the Treasurer the following

documentation:

a. The Meet Entry Fee report, with outreach swimmers highlighted (or circled). A copy of the results, with the corresponding results for each swimmer showing that the swimmer was present and completed the event. (Entries which result in a "No Swim" will not be reimbursed.)
b. The "Outreach Entry Fee Reimbursement" form provided by the LSC. For reimbursement, the club must provide
    i. the athlete's name,
    ii. the date and location of the meet, and
    iii. the individual events for which entry fees were paid for the athlete.

4. The reimbursement will be paid for all individual event entry fees paid by the club for the athlete.
5. The club must file for the entry fee reimbursement within 60 days of the conclusion of the meet.
6. The Diversity Committee will provide an Outreach Entry Fee Reimbursement Request Form on the North Carolina swimming website.
7. The Treasurer will confirm the entry information from the published meet results
8. The reimbursement check will be made payable to the club and forwarded to the address provided on the reimbursement request. It is intended that these funds be used to reimburse "out-of-pocket" expenses for meet fees incurred by the outreach athlete. (i.e., if the athlete has paid for the meet entry fees, the team receiving the reimbursement should take all reasonable steps to return the funds to the athlete/ athlete's family as quickly as possible).

2.4 Camp Selection Policy (Future)

2.5 National/Zone Camp Reimbursement

2.5.1 NC Swimming shall reimburse NSC athlete members invited to USA Swimming sponsored National and Zone Camps in accordance with the schedule below. Invited members do not need Board of Director Approval to attend.

2.5.2 Athletes must be registered with North Carolina Swimming at the time of selection and at the time of the camp. Athletes/teams must notify the executive administrator of selection and attendance. Reimbursement will be made at the completion of the camp in accordance with travel fund reimbursement policy.

2.5.3 Reimbursement Schedule:
National Select Camp ($200)
National Open Water Select Camp ($200)
Diversity Select Camp ($200)
Zone Select Camp ($100)
Note: Reimbursements will come from the general fund.

2.6 Non-USA Swim Meets Travel Funding

2.6.1 NC Swimming will consider funding for athletes to non-USA Swimming national qualifying events when the events lead to a USOC-recognized international competition in which participants represent their countries.

2.6.2 All other relevant procedures in the Travel Fund will apply in order for a swimmer to be eligible for funding. A final review of a written request shall be considered by the NCS Travel Fund Committee and the NCS Travel Fund Committee has the right to accept or reject the request based on the merit of the event and its relevance to international competition within the Disability agenda.

2.6.3 The swimmer must be USA Swimming registered, NCS LSC registered, competing in meets in the NCS LSC and must have obtained Paralympic classification.

2.6.4 Athlete funding amount shall be determined by the Travel Fund Committee using the same guidelines for able bodied athletes attending equal level events.

2.7 Zone Team Selection

2.7.1 Team Size

North Carolina Swimming will select the following number of swimmers for the NC Zone Team.

15-18 Boys	8 swimmers selected
15-18 Girls	8 swimmers selected
13-14 Boys	8 swimmers selected
13-14 Girls	8 swimmers selected
11-12 Boys	8 swimmers selected
11-12 Girls	8 swimmers selected
Disability athletes	(See Zone Team Disability Selection Policy)

2.7.2 Selection Process
Eligibility: Swimmer must be a currently registered NC Swimming year-round athlete. Swimmers will apply for the appropriate age group based on his/her age as of the first day of the Southern Zone Age Group Meet. Swimmers must be eligible to compete in the Southern Zone Age Group Championships based on the meet entry criteria.

2.7.3 Selection Meets

- 11-12 and 13-14 Swimmers may use any long course meters' time achieved from March 1 of the current year through the end of Sunday's finals at the NCS Long Course Age Group Championships.
- 15 – 18 Swimmers may use any long course meters' time achieved from March 1 of the current year through the end of Sunday's finals at the NCS Long Course Senior Championships.

2.7.4 Selection Procedure

- Swimmers may use any long course meters time, for an eligible event, achieved from March 1 of the current swim season through the end of Sunday finals at the NCS Long Course Age Group Championships for 11 – 14 year old's and the NCS Senior Championships for 15 – 18 year old's. All swims prior to the respective Championships must be listed in the USA Swimming SWIM'S Database. Adding together the swimmer's six highest scoring, zone meet eligible events, will produce the "total ZONE POINTS" score for each athlete.
- The number of ZONE POINTS awarded per eligible event swum will be based on the proximity of the time swum to the Zone Meet prelims rolling average 8th place time for each eligible event.
- The top five 11-12 Girls, 11-12 Boys, 13-14 Girls, 13-14 Boys, 15 – 18 Girls, and 15 – 18 Boys total zone point scorers will be extended an invitation to join that years NC Zone Team.
- An additional three 11-12 Girls, 11-12 Boys, 13-14 Girls, 13-14 Boys, 15 – 18 Girls, and 15 – 18 Boys will be selected on an "at-large" basis by the Zone Coaching Staff in consultation with the Zone Head Coach. Selection of "at-large" team members will be based on likely scoring contribution to the team.

2.7.5 Calculating Zone Points

2.7.5.1 Summary

1. The total zone points will be calculated by the team managers and coaching staff and used to determine automatic Zone Team selections. The top-5 swimmers in the 11-12, 13-14, 15 - 18 age groups, both boys and girls, by total Zone points will be selected to the Zone Team. Three additional 11-12, 13-14, 15 - 18 swimmers in both the girls and boys will be selected by the NCS Zone coaching staff based on the ability of each athlete to potentially score points at the meet.
2. If the total Zone points for two or more swimmer's results in a tie, the swimmer(s) with the highest ranked score in any event will make the team. If there is still a tie, the second highest score will be used to break the tie.
3. The Zone application on the NCS website is due to the Zone Coaching Staff no later than 15 minutes following the conclusion of the applicant's final session at NC Long Course Age Group Championships for 11-14 year-old swimmers or NC Long Course Senior Championships for 15-18-year-old swimmers. Deadlines completing applications will be found each year on the NCS website.

2.7.5.2 Zone Points Formula

The following formula will be used to calculate Zone Points for each event eligible to be scored

- ZP = BP * (BT / T)^3
- Where
  - BP = 1000

- T = Swimmer's time in seconds
- BT = 3 year rolling average of the event's prelims 8th place time

- Example Zone Points calculation: 11-12 Boys swim the 100m Back in 1:10.51
  - Convert the time to seconds. [1:10.51 = 60 + 10.51 = 70.51 sec]
  - Divide the average prelims 8th place time in seconds for 11-12 boys 100m back by the swimmer's time in seconds [68.84 / 70.51 = .9763]
  - Cube the result [(.9763)^3 = .9306]
  - Multiply the result by 1000 and round to the nearest whole number to arrive at your Zone Point value [1000 * .9306 = 930.6 = 931 points]

2.7.5.3 Events Eligible for Zone Points

- 11-12 Girls and Boys
  - 50m Free, 100m Free, 200m Free, 400m Free
  - 50m Back, 100m Back
  - 50m Breast, 100m Breast
  - 50m Fly, 100m Fly
  - 200m IM
- 13-14 and 15-18 **Girls**
  - 50m Free, 100m Free, 200m Free, 400m Free, 800m Free
  - 100m Back, 200m Back
  - 100m Breast, 200m Breast
  - 100m Fly, 200m Fly
  - 200m IM, 400m IM
- 13-14 and 15-18 **Boys**
  - 50m Free, 100m Free, 200m Free, 400m Free, 1500m Free
  - 100m Back, 200m Back
  - 100m Breast, 200m Breast
  - 100m Fly, 200m Fly
  - 200m IM, 400m IM

2.8 Zone Team Disability Selection

2.8.1 Purpose - To determine a selection process for inclusion of swimmers with a disability at the Southern Zone Age Group Meet, in compliance with the directive for inclusion by USA Swimming.

2.8.2 Eligibility - Eligible swimmers with a disability must compete in a minimum of three (3) NCS sanctioned meets during the previous twelve (12) month period before the Southern Zone Age Group meet, and MUST compete in at least one (1) of the two (2) NCS LSC Championship meets, or a USA Swimming Grand Prix Meet during the same period. Applicants must be between the ages of 11 and 18 as of the first day of the Southern Zone Age Group Meet to be considered. Type or manner of disability will not be a deciding factor in the selection process.

A MAXIMUM of 3 male and 3 female swimmers with a disability will be selected for any one NCS Zone team.

2.8.3 Accommodation - Swimmers applying for the NCS Zone Team requiring a personal assistant as deemed necessary by either the NCS Zone Team Coaching Staff and/or the swimmer's legal guardian will be funded at the same level as non-disabled swimmers.

2.8.4 Personal Assistants

- Must be a USA Swimming Member
- Must pass a Level II background check
- Travel and lodging will not be funded by NCS (travel at their own expense)
- Must travel with the NCS Zone team; however, travel arrangements will be made on their behalf by the NCS Zone Team Manager.
- Meals will be provided for Personal Assistants by the NCS Zone team at no additional expense to the Personal Assistants.
- Personal Assistants MUST either be an immediate family member, or a professional care giver employed by the swimmer's legal guardian to provide care for the swimmer. A waiver will be mandatory if the personal assistant is not traveling with a family member.

2.8.5 Application Deadline - Applicants using any long course meter times achieved from March 1 and prior to the NCS Age Group Long Course Championships, should mail this worksheet with their application postmarked no later than the deadline on the NCS Zone Team application posted on the website. Applicants attending the NCS Age Group Long Course Championships should return this worksheet to a Zone Coaching staff member at the NC Swimming Splash Zone within 15 minutes of the Age Group Meet conclusion of Sunday's finals (11-14 year olds).

2.8.6 Application (See NCS website)

2.9 Open Water Swimmer of the Year and All-Star Selection

2.9.1 NCS OPEN WATER SWIMMER OF THE YEAR SELECTION CRITERIA - Listed in order of precedence:

- Top Male and Female Finisher in USA Swimming's Open Water 10K National Championship.
- If there are no swimmers in the 10K event, the selection will be made from the top finisher in USA Swimming's Open Water 5K National Championship.

2.9.2 NC OPEN WATER ALL-STAR SELECTION CRITERIA - There will be 3 Male and 3 Female All-Stars selected from each of the following age groups:

- 10 & Under
- 11 - 12
- 13 – 14
- 15 – 16
- 17 – 18

2.9.3 The criteria in order of preference is listed below:

- The Top 3 finishers from North Carolina Swimming at the Open Water Zone Championships who also finish in the Top 16 of the event for their age group.
- If there are no Top 16 finishers at Open Water Zone Championships, the All-Star selection will be as follows:
  - Top NCS Finisher at NC Open Water Championships
  - Top NCS Finisher at Zone Open Water Championships c. 2nd Top NCS Finisher at NC Open Water Championships
- For age groups that do not compete at the Open Water Zone Championships, the All-star selection in that age group will be as follows:
  - Top NCS Finisher at NC Open Water Championship
  - 2nd Top NCS Finisher at NC Open Water Championship
  - 3rd Top NCS Finisher at NC Open Water Championship

2.9.4 Additionally, any swimmer who qualifies and competes in either the 5K or 10K Open Water National Championship races will automatically be selected as an Open Water All-Star.

2.10 Age Group Motivational Time Standards

2.10.1 Purpose - This policy documents when NC Swimming will implement the Age Group Motivational Standards approved by USA Swimming. This policy is maintained by the Technical Planning Committee.

2.10.2 Policy - The USA Swimming Age Group Motivational standards will go into effect for North Carolina Swimming sanctioned meets or other activities immediately after approval by USA Swimming.

3 CLUB POLICIES

3.1 Club Development Program

3.1.1 Purpose - This policy defines the eligibility, participation requirements, funding of the North Carolina Swimming, Inc. (NCS) Club Development Program ("Program").

3.1.2 Eligibility - Any team registered with NCS and currently (submitted and approved) at Level 1 in accordance with the USA Swimming Club Recognition Program during the same annual Program period is eligible to participate.

3.1.3 Guidelines:

- The annual Program period will be from September 1st to August 31st.
- All participation submittals shall be received by the NCS Executive Administrator no later than September 15th.
- All Program submittals must be received with the completed Program Evaluation Form (See NCS Website).

- Annual funding amounts will be as approved by the NCS Board of Directors (BOD) meeting that is held in conjunction with the Fall (September) NCS House of Delegates (HOD) meeting.
- Program criteria shall be reviewed, revised if necessary, by the NCS BOD on an annual basis during the Fall (September) NCS BOD meeting.
- An annual Program summary report shall be prepared by the NCS Executive Administrator and submitted to the NCS BOD for approval. Funds will be distributed upon approval.

4 COACH POLICIES

4.1 Coach Education Award

4.1.1 Purpose - Provide NCS coaches with a coach education award to offset the cost to attend a clinic that furthers the ability of the coaches to fulfill their coaching duties, encourage attendance at LSC meetings and improve the level of coaching knowledge within the LSC.

4.1.2 Eligibility
- Be a currently registered NCS coach member of USA Swimming,
- Have actively coached a club in the LSC for at least two years,
- Coach at an NCS club in good financial standing with the LSC,
- Have attended a required number of LSC meetings on a weekend designated by the NCS Coach Representatives
- Not have won the award during the previous year.
- Have an athlete representative at HOD

4.1.3 Procedure
- There will be four (4) Coach Education Awards presented annually. Two at the Fall and two (2) at the Spring HOD.
- At each HOD, One (1) $250 award will be presented to a coach who primarily coaches 12 and under athletes and one (1) $250 award will be presented to a coach who primarily coaches 13 and older athletes such that four (4) Awards of $250 each will be presented to four (4) unique individuals over the two (2) HODs.
- The winners of the Coach Education Awards will be drawn in a blind drawing from a bowl containing the names of all eligible coaches using the criteria above.
- Winners will receive their awards following attendance at a recognized swim coach clinic or an educational opportunity approved by the NCS Board of Directors and after appropriate documentation of attendance has been provided to the Coach Representatives.
- Winners must request their Coach Education Award within one year of winning the award or the winner may petition the NCS Board for permission to use the award to offset costs of attending the U.S. Olympic Trials or other similar event of like stature.

4.2 Financial Assistance to Clinics

4.2.1 Purpose - In order to promote continuing educational opportunities for coaches, North Carolina Swimming shall reimburse any NSC coach member in good standing for early bird registration fees for the following clinics. All other expenses shall be the member's responsibility.

- USA Swimming Regional Coach's Clinic

4.2.2 The participant shall request reimbursement from the Treasurer after the clinic by providing proof of attendance.

4.3 North Carolina Swimming Coach of the Year (COTY) Award

4.3.1 Purpose - North Carolina Swimming recognizes its top Senior and Age Group coach each year with an award nominated and voted on by its member coaches.

4.3.2 Requirements

- Current coach member of North Carolina Swimming for at least the past two years
- Nomination is based on the previous SC and LC seasons.

4.3.3 Process

- The COY Committee will be comprised of the AG Chair, SR Chair, SR Coach and JR Coach Representative. In addition, the General Chairman will name a YMCA Coach and Athlete Rep to the committee.
- The COY Committee will nominate Coaches for the AG and SR Coach of the Year Awards. A North Carolina Swimming coach member may also submit one nomination for the Senior Coach of the Year and one nomination for the Age Group Coach of the Year. Self-nomination is not allowed.
- The nomination form will be posted on the North Carolina Website by July 1.
- Nominations must be submitted via email to NCSCoachoftheyear@ncswim.org by August 15th to be considered.
- The Senior and Junior Coach Representatives will generate the approved list of nominees.
- At the request of the Senior Coach Representative, the registrar/NCS office will distribute the nominations to all NCS coaches via email during by September 1st.
- Voting will take place via email from September 1st – September 10th.
- Each team will receive one vote for the Senior Coach of the Year and one vote for the Age Group Coach of the Year. If more than one vote is received, the last vote from the team's head coach will be used.
- Awards will be announced and presented at the NC Swimming Banquet.

4.4 Zone Team Coaches and Team Manager Selection

4.4.1 Purpose - This process shall be used by North Carolina Swimming to select the Zone Team Head Coach, Team Manager and assistance Zone coaches each fall.

4.4.2 Process

4.4.2.1 The NC Zone Team Head Coach and Team Manager shall be nominated by a committee consisting of the NC Senior Chair, Age Group Chair, Senior Coaches' Representative and Junior Coaches' Representative. The Committee shall present their nominees for Zone Team Head Coach and Team Manager to the Board of Directors at the BOD meeting prior to the Fall House of Delegates Meeting.

4.4.2.2 Assistant coaches will be selected by the Zone Team Head Coach and Team Manager in consultation with the Senior Chair, Age Group Chair, Senior and Junior Coach Representatives from an available pool of applicants who have indicated their intent by submitting an application approved by the Board of Directors. Applications shall be submitted by October 31. All assistant coaches shall be approved by the Board of Directors at the earliest possible meeting of the Board following nomination by the Committee.

4.4.2.3 Should the committee receive an insufficient number of applications, or applicants lacking credentials for the duties required, the committee may solicit and approve candidates using criteria and information available to them, at their sole discretion.

4.4.3 Zone Team Coaching Staff Application (See website)

4.5 Camp and Zone Team Planning

4.5.1 Purpose: The following policies are meant to provide guidance and continuity for coaches and NCS personnel in planning and managing various NCS-sponsored camps and zone teams.

4.5.2 Budget Guidelines: The table below includes budget guidelines for managing NCS camps and zone teams. Athlete fees may vary from year to year based on location, transportation expenses and other variables. Weekend camps are generally self-funding and rely primarily on athlete fees to cover most expenses. Zone meets often involve air or bus travel and week-long hotel expenses. Funding for zone meets is provided by athlete fees, the NCS travel fund reimbursement, and additional funds from NCS as needed.

	Athlete Fee	# of Athletes	# of Coaches[1]	# of Chaperones[2]	Staff Stipend[3]	Travel Fund Reimbursement[4]	Outfitting Budget[5]
IMX Camp	$100	120-130	8	4-6	$300/$175 $1650	-	$50
Select Camp	$100	120-140	8	4-6	$300/$175 $1650	-	$50
Zone Team	$525	48-54*	8*	4-6	$400/$250 $2300	$200	$90
OW Select Camp	$260	24	4	2-4	$300/$175 $900	-	$50
OW Zone Team	$500	32	6	2-4	$300/$175 $1300	$150	$70

Notes: * Zone team may add up to six disability athletes which may necessitate an additional coach with disability experience.
1- Includes Head Coach and Manager
2-Must be USA Swimming Members
3-Head Coach & Manager/Staff Total
4-Zone Teams receive a reimbursement from the travel fund that goes directly to the team budget (not to the athlete or the athlete's club).

5-Outfitting budget includes all apparel, swim caps, bags and accessory items that are purchased. It does not include free goods provided by sponsor.

4.5.3 The Staff: The table includes the number of coaches and chaperones for each event. The coaching staff is selected by the Head Coach and Manager of each event. All coaches must be NCS member coaches. Adult chaperones may also be selected by the Head Coach and Manager. Chaperones are unpaid volunteers but are required to be members of USA Swimming. Chaperones are not paid a stipend or mileage expenses but as members of the NCS camp of zone team staff are provided with lodging, team transportation, and team meals.

4.5.4 As members of the NCS camp or zone team staff, coaches are provided with lodging, team transportation, and team meals. In addition, in lieu of mileage or other personal expenses, a coaching stipend will be paid by NCS to camp and zone team coaching staffs according to the above schedule.

4.5.5 Team Outfitting: Team outfitting is an important part of the camp and zone team experience. It not only builds unity and camaraderie but helps identify and control large groups of young athletes. Team apparel, swim caps, bags, hats and other accessory items are sometimes purchased or may be provided by sponsors. Spending limits on team outfitting are based on historical spending and do not include free goods provided by sponsors.

4.5.6 Safe Sport: Safety is a primary and ongoing concern during the camp or zone team experience. Each athlete and parent must read and sign the NCS Team Travel Policy as part of the registration process. NCS camps and teams may require the completion of other Code of Conduct forms, Medical Forms, Insurance Forms, and Dietary Forms to ensure the safety of all team members. In addition, an athlete's club or event host may also require signed agreements/waivers/release statements, unrelated to NC Swimming, as a condition of participation.

5 OFFICIALS POLICIES

5.1 Stroke and Turn Certification

5.1.1 Purpose - Establish the requirements and guidelines for becoming and recertifying as a North Carolina Swimming Stroke and Turn Judge. This policy and the requirements are maintained by the North Carolina Swimming Official's Committee.

5.1.2 Requirements

- Prerequisite
  - Be at least 18 years of age
  - Register with USA Swimming as a non-athlete member within 60 days of your clinic date. (USA membership is a requirement to officiate On-Deck)
  - Complete a Level II background within 60 days of your clinic date.
  - Complete the Athlete Protection Training Course within 60 days of your clinic date.
- Education

- Attend a North Carolina Swimming stroke and turn judge clinic. Current scheduled clinics are posted on the North Carolina Swimming website.
- Satisfactorily complete the USA Swimming Stroke & Turn/Timer certification test (not the Re-certification) with a score of 80% or better, prior to completing the apprenticeship.

- Training
  - ALL CERTIFICATIONS MUST BE COMPLETED WITHIN ONE YEAR (12 MONTHS) OF THE CLINIC DATE.
  - Work a minimum of 6 sessions at no less than 2 USA sanctioned or approved swim meets with at least 2 different mentors assigned by the Meet Referee. Each session shall include each of the strokes; relay events if applicable.
  - After each session, the meet referee and/or mentor shall conduct a review of the session with the apprentice and discuss the ratings and/or comments provided on the On-Deck Apprenticeship Record (provided at clinic).
  - Each session must be documented on the On-Deck Apprenticeship Record and signed by the mentor and meet referee.
  - After all 6 sessions in the apprenticeship are completed; the apprentice will email a copy of their On-Deck Apprenticeship Record(s) to trainingcoordinator@ncswim.org.
  - Once the NCS training coordinator verifies that the apprentice has met all requirements satisfactorily, including the reviews, he/she will enter the official into OTS as a certified S&T judge. The NCS certification card will be available at www.usaswimming.org.
  - The NCS Training coordinator will notify the apprentice that he/she has completed the apprenticeship and is certified and will order a name badge for the new official.

5.1.3 Recertification Requirements - To recertify as a North Carolina Swimming Stroke and Turn Judge, the official must complete the following:

- Annually (calendar year)
  - Officiate at a minimum of 6 sessions at USA sanctioned or approved meets
    - Sessions completed during a calendar year as an apprentice will count towards the minimum requirement of sessions for that year.
    - If you are also an Administrative Official, 1 of your 6 sessions must be at the Administrative Official level.
  - Renew their USA Swimming registration as a non-athlete member.
  - Maintain a current Level II background check
  - Maintain current athlete protection education requirements
- **Tri-annually (every 3 years)**
  - Along with the annual requirements, satisfactorily complete the USA Swimming Stroke & Turn/Timer re-certification test with a score of 80% or better
  - In lieu of the on-line re-certification test, the Officials Committee may offer refresher clinics to satisfy the requirement
  - Apprentices completing their initial certification test in a testing year will be exempt from taking the re-certification test in that year.

5.2 Administrative Official Certification

5.2.1 Purpose - Establish the requirements and guidelines for becoming and recertifying as a North Carolina Swimming Administrative Official. This policy and the requirements are maintained by the North Carolina Swimming Official's Committee.

5.2.2 Requirements

- Prerequisite
  - Be at least 18 years of age
  - Register with USA Swimming as a non-athlete member within 60 days of your clinic date. (USA membership is a requirement to officiate On-Deck)
  - Complete a Level II background check within 60 days of your clinic date.
  - Complete the Athlete Protection Training Course within 60 days of your clinic date.
- Education
  - Attend a North Carolina Swimming administrative official clinic. Current scheduled clinics are posted on the North Carolina Swimming website.
  - It is highly recommended that the apprentice also attends a Meet Manager clinic.
  - Satisfactorily complete the USA Swimming Administrative Official certification test (not the Re-certification) with a score of 80% or better, prior to completing the apprenticeship.
- Training
  - ALL CERTIFICATIONS MUST BE COMPLETED WITHIN 12 MONTHS OF THE CLINIC DATE.
  - Work a minimum of 4 sessions with a mentor assigned by the Meet Referee; the mentor must be a referee or current administrative official with a minimum of one year of experience (at least 6 sessions worked).
  - After each session, the meet referee and/or mentor shall conduct a review of the session with the apprentice and discuss the ratings and/or comments provided on the On-Deck Apprenticeship Record (provided at clinic).
  - Each session must be documented on the On-Deck Apprenticeship Record and signed by the mentor and meet referee.
  - After all 4 sessions in the apprenticeship are completed; the apprentice will email a copy of their On-Deck Apprenticeship Record(s) to trainingcoordinator@ncswim.org.
  - Once the NCS Training coordinator verifies that the apprentice has met all requirements satisfactorily, including the reviews, he/she will enter the official into OTS as a certified administrative official. The NCS certification card will be available at www.usaswimming.org.
  - The NCS Training coordinator will notify the apprentice that he/she has completed the apprenticeship and is certified and will order a name badge for the new official.

5.2.3 Recertification Requirements - To recertify as a North Carolina Swimming Administrative Official, the official must complete the following:

- Annually (calendar year)
  - Officiate at a minimum of 6 sessions at USA sanctioned or approved meets.
    - Sessions completed during a calendar year as an apprentice will count towards the minimum requirement of sessions for that year.

        - For officials who are also a stroke and turn and/or starter, 1 of your 6 sessions must be at this level.
    - Renew their USA Swimming registration as a non-athlete member.
    - Maintain a current Level II background check
    - Maintain current athlete protection education requirements
- Tri-annually (every 3 years)
    - Along with the annual requirements, satisfactorily complete the USA Swimming Administrative Official re-certification tests with a score of 80% or better.
    - In lieu of the on-line re-certification test, the Officials Committee may offer refresher clinics to satisfy the requirement
    -
        - Apprentices completing their initial certification test in a testing year will be exempt from taking the re-certification test in that year.

5.3 Chief Judge Certification

5.3.1 **Requirements:**

- Current Stroke & Turn Official in good standing

5.3.1..1 Attend NCS CJ Clinic

5.3.1..2 Minimum 25 sessions (Min 6 of the 25) at a Prelim/Final Meet) as a Certified S&T Judge

5.3.2 **Process for Certification**

5.3.2..1 Minimum 5 Sessions as an Apprentice CJ (XC)

5.3.2..2 Evaluations – 2 Required

5.3.2..2.1 Satisfactory Initial and Final XC Evaluation

Initial Evaluation – after 4th or subsequent session

Final Evaluation – After 5th or subsequent session

Final Evaluation completed by NCS Referee who is an N2 CJ

Pass NCS Swimming Written Test with 90%

Take prior to final evaluation

The evaluation sessions must be scheduled at an approved OQM, LSC Championship meet or meet approved by Officials Committee all where radios must be in use.

Grandfather:

All Current and apprenticing Referees at time of policy approval will receive CJ Certified for LS

All Current N2 and N3 CJ certifications will receive CJ certified for LSC

5.4 Starter Certification

5.4.1 Purpose - Establish the requirements and guidelines for becoming and recertifying as a North Carolina Starter. This policy and the requirements are maintained by the North Carolina Swimming Official's Committee.

5.4.2 Requirements:

- Prerequisite
    - Be at least 19 years of age
    - Must be a USA certified Stroke & Turn Judge for a minimum of 1 year and have worked a minimum of 18 sessions at a USA Swimming sanctioned or approved meet.

- Recommendation letter from a NCS starter or referee in good standing.
- Once the Clinician and starter training coordinator has verified the individual has met all requirements satisfactorily, approval to enter the starter apprenticeship program will be given. The starter coordinator along with the apprentice will select a mentor who will assist the apprentice during the apprenticeship process and must be assigned prior to or at the clinic.

- Education
  - Attend a North Carolina Swimming starter clinic. Currently scheduled clinics are posted on the North Carolina Swimming website.
  - Satisfactorily complete the USA Swimming Starter certification test (not the Re-certification) with a score of 80% or better, prior to beginning the On-Deck training.
- Training
  - On-Deck, apprenticing cannot begin until all prerequisites are met and the NCS LSC card is updated to indicate Starter status as XS.
  - ALL CERTIFICATIONS MUST BE COMPLETED WITHIN 12 MONTHS OF THE CLINIC DATE.
  - Work a minimum of 6 sessions at no less than 3 USA sanctioned or approved swim meets with at least 2 different mentors (assigned by the Meet Referee). Each session shall include a minimum of 30 starts.
    - Of the 6 sessions, a minimum of 2 sessions must be at a novice or developmental meet.
    - The 6th session will be an evaluation session that the apprentice and NCS starter training coordinator will arrange with a NCS starter training coordinator or designee. The apprentice must receive a satisfactory observation prior to completing the apprenticeship. Those individuals not receiving a satisfactory evaluation may need to have additional mentoring as determined by the NCS starter training coordinator.
      - Final Starter Evaluators are designated by the Officials Committee via nomination and indicated on the NCS LSC card as "EV"
  - After each session, the meet referee and/or mentor shall conduct a review of the session with the apprentice and discuss the ratings and/or comments provided on the On-Deck Apprenticeship Record (provided at clinic).
  - Each session must be documented on the On-Deck Apprenticeship Record and signed by the mentor and meet referee.
  - After all apprentice sessions and the satisfactory evaluation is completed, the apprentice will email a copy of their On-Deck Apprenticeship Record(s) to startertrainingcoordinator@ncswim.org.
  - Once the NCS starter training coordinator verifies that the apprentice has met all requirements satisfactorily, including the reviews and evaluation, he/she will enter the official into OTS as a certified starter. The NCS certification card will be available at www.usaswimming.org.
  - The NCS Starter Training coordinator will notify the apprentice that he/she has completed the apprenticeship and is certified.

5.4.3 Recertification Requirements - To recertify as a North Carolina Swimming Starter, the official must complete the following:

- Annually (calendar year)

- Officiate at a minimum of 6 sessions at USA sanctioned, approved, or observed meets (see bullet below for further clarification on observed meets that qualify). At least 3 of these sessions shall be as a starter.
    - Sessions completed during a calendar year as an apprentice will count towards the minimum requirement of sessions for that year.
    - If you are also an Administrative Official, 1 of the 6 sessions must be at the Administrative Official level.
  - Annual renewal of USA Swimming registration as a non-athlete member.
  - Maintain a current Level II background check
  - Maintain current athlete protection education requirements
- Tri-annually (every 3 years)
  - Along with the annual requirements, satisfactorily complete the USA Swimming Starter re-certification test with a score of 80% or better.
  - In lieu of the on-line re-certification test, the Officials Committee may offer refresher clinics to satisfy the requirement
  - Apprentices completing their initial certification test in a testing year will be exempt from taking the re-certification test in that year.

5.4.4 Forms (See website)

- NCS Starter Apprentice Application

5.5 Referee Certification

5.5.1 Purpose- Establish the requirements and guidelines for becoming and recertifying as a North Carolina Referee. This policy and the requirements are maintained by the North Carolina Swimming Official's Committee.

5.5.2 Requirements

- Prerequisite
  - Be at least 21 years of age
  - Must be a USA certified Starter with a minimum of 40 sessions worked as a starter, CJ, or AO. At least 10 of these sessions must be at a prelim/final meet where both prelims and finals were as a Starter.
  - Certified Administrative Official
  - Submit a letter for consideration to enter the NCS referee apprentice program to the Officials Chair. The candidate will be reviewed by the Officials Committee and upon majority agreement will be granted entrance into the program assuming all other prerequisites are met.
  - . One approval has been granted, the Officials Chair along with the apprentice will select a mentor who will assist the apprentice during the apprenticeship process.
- Education
  - Attend a North Carolina Swimming referee clinic. Currently scheduled clinics are posted on the North Carolina Swimming website.
  - Satisfactorily complete the USA Swimming Referee and Administrative Referee certification test (not the Re-certification) with a score of 80% or better, before apprenticing On-Deck.

- Training
  - ALL CERTIFICATIONS MUST BE COMPLETED WITHIN ONE YEAR (12 MONTHS) OF THE CLINIC DATE.
  - Work a minimum of 15 sessions at no less than 4 USA sanctioned or approved swim meets with at least 3 different mentors (assigned by the Meet Referee; the mentor must be a referee for a minimum of 2 years).
    - Of the 15 sessions, a minimum of 4 sessions must be a prelims/final meet as an admin referee apprentice. (working prelims and finals on the same day).
    - Of the 15 sessions, a minimum of 2 sessions must be at a novice or developmental meet
  - After each session, the meet referee and/or mentor shall conduct a review of the session with the apprentice and discuss the ratings and/or comments provided on the On-Deck Apprenticeship Record (provided at clinic).
  - Each session must be documented on the On-Deck Apprenticeship Record and signed by the mentor and meet referee.
  - After all 15 sessions in the apprenticeship are completed; the apprentice will email a copy of their On-Deck Apprenticeship Record(s) to trainingcoordinator@ncswim.org.
  - Once the training coordinator reviews the apprenticeship record and verifies that the apprentice has met all requirements satisfactorily, including the reviews, he/she will enter the official into OTS as a Level 1 certified referee which allows the individual to officiate as a deck referee, administrative referee, and timed final meet referee. The NCS certification card will be available at usaswimming.org.
  - The training coordinator will notify the apprentice that he/she has completed the apprenticeship and is certified as a Level 1 Referee.

5.5.3 Additional Requirements to advance to a Level 2 Referee:

- Level 2 qualifies the Referee to be the Meet Referee for a prelim/final's format meet.

The level 1 referee will notify the NCS Officials Chair that he/she would like to be considered as a level 2 referee. The NCS Officials chair or his/her designee will determine if the Level 1 referee is eligible for the Level 2 program. Consideration will be based on the following criteria:

- Worked all sessions as an assistant or admin referee at a prelim/final meet before requesting L2 review.
- The number and scope of TF meets that the candidate has served as meet referee within the last 24 months
- The number of L2 level meets worked.
- Attendance at HOD meetings (at least one is recommended in the last 12 months)
- Recommendation by an L2 level referee

Upon acceptance, the Level 1 referee will be assigned a mentor by the NCS Officials Chair, or his/her designee.

The level 1 referee must work all sessions of a minimum of 3 prelim/final meets. The first two meets will be in a learning capacity with duties determined by the mentor referee. One of the two meets must be as assistant AR or AR for all of the Prelim final sessions. A review will be conducted after the meet by the mentor. For the third meet, the level 1 referee will be sanctioned as the meet referee for the prelim/final meet. The mentor must be present to evaluate the performance.

Upon completion of the third meet, the mentor shall conduct a review of the meet with the Level 1 referee. The mentor referee will then provide a written report with details summarizing that the meet was satisfactorily completed, and that the candidate referee is knowledgeable about the applicable rules for a prelim/final meet. The mentor referee will also provide a recommendation of advancement to level 2 status, or specific areas that need to be addressed before the Level 1 referee is recommended for advancement.
The review will be copied to the candidate and sent to the NCS Officials Chair. Upon receipt and approval by the NCS Officials chair, the candidate will be notified, and their certification level will be update to Level 2.

-
- The Level 1 Referee must be mentored at his/her first prelim/final meet by a Level 2 Referee approved by the NCS Official Chair.
- Upon completing the meet, the mentor shall conduct a review of the meet with the Level 1 Referee.
    - The review shall be in a written report with details summarizing that the meet was satisfactorily completed, and that the candidate referee is knowledgeable of the applicable rules of the meet along with a recommendation of advancement.
    - The review shall be copied to the candidate and forwarded to the NCS Official Chair.
- Upon receipt and acceptance of the recommendation, the NCS Official Chair shall notify the referee of their advancement to Level 2 Referee and have the certification level changed.

5.5.4 Recertification Requirements - To recertify as a North Carolina Swimming Referee, the official must complete the following:

- Annually (calendar year)
    - Officiate at a minimum of 10 sessions at USA sanctioned, approved, or observed meets (see bullet below for further clarification on observed meets that qualify). A minimum of 6 of these sessions shall be as a Meet Referee, Deck Referee, or Administrative Referee.
        - Sessions completed during a calendar year as an apprentice will count towards the minimum requirement of sessions for that year.
    - Renew their USA Swimming registration as a non-athlete member.
    - Maintain their Level II background check current
    - Maintain their athlete protection education requirements current
- Tri-annually (every 3 years)
    - Along with the annual requirements, satisfactorily complete the USA Swimming Referee re-certification test with a score of 80% or better.
        - Apprentices completing their initial certification test in a testing year will be exempt from taking the re-certification test in that year.
        - Referee recertification clinics approved by the Officials Committee may be utilized in lieu of on-line testing

5.6 Open Water Official Certification

5.6.1 Purpose - This policy lays out the requirements and procedure for maintaining the North Carolina Swimming Open Water official certification program. This policy and the requirements are maintained by the North Carolina Swimming Official's Committee.

5.6.2 Requirements

- Prerequisites
    - Open Water Judge:
        - Successful completion of USA Swimming Open Water Judge test with a score of 80% or better prior to attending an Open Water Clinic
        - If not a current LSC certified official, must complete the registration requirements, which include:
            - Annual USA Swimming non-athlete registration
            - Current level 2 background check
            - Current Athlete protection training
    - Open Water Starter & Referee
        - Successful completion of USA Swimming Open water judge and referee test with a score of 80% or better
        - Officials holding ST, SR, and/DR certifications within NCS:
            - Attend 1 OW event as a judge in previous 12 months
        - Open Water Judge Officials (only):
            - Attendance at 5 sanctioned OW events in previous 3 years
    - Open Water Starter – Current NCS Stroke & Turn judge, Starter, or Referee
    - Open Water Referee – Currently certified as a NCS Referee
- OW Judge Apprenticeship Process:
    - Attend an NCS Open Water Clinic.
    - Not a currently certified S&T, SR, or DR for NCS
        - Participate in two meets each of a USA Swimming sanctioned open water event in the role as an observed apprentice for Open Water Judge
    - Current NCS S&T, SR, or DR for NCS
        - Participate in one meet of a USA Swimming sanctioned open water event in the role as an observed apprentice for Open Water Judge
    - OW Meet Referee to notify Officials Chair or designee of successful completion of requirements after OW event.
    - Upon granting certification, the Officials Chair or their designee will notify the candidate, update the LSC certification in OTS
- OW Starter/Referee Apprenticeship Process
    - Send request to OW Meet Ref to apprentice as Starter at OW Event
    - At completion of event, OW Meet Ref to inform Officials Chair of understanding of responsibilities of Starter or Referee
    - Officials Chair or designee will update LSC certification card in OTS

5.6.3 Certification Period - Three-year term coincided with NC Swimming official certification.

5.6.4 Recertification Requirements

- Participate in at least 1 open water meet as an OW Judge or 2 open water meets as a Starter or Referee (as applicable)
- Maintain certification as an USA Swimming official at the appropriate level.
- Pass the appropriate on-line USA Swimming Open Water Test

5.6.5 References:

- USA Swimming Handbook, Part 7 "Open Water"
- NC Swimming Open Water Clinic Presentation

5.7 Transfers

5.7.1 Purpose - This policy lays out the requirements for officials joining and leaving North Carolina Swimming.

5.7.2 Transferring to North Carolina Swimming

- General Requirements
  - The Transferring Official (TO) must become a member of North Carolina Swimming.
  - Name, phone number and email address
  - The Transferring Official must present to the Officials' Chair: current level(s) and expiration date(s) of certification within their previous LSC and the number of sessions worked (at each level, if applicable) during the current and previous year. (information that may be available in OTS)
  - Letter (or email) of standing from previous LSC Officials' Chairperson stating that the TO had departed in good standing.
  - Background Screening and Safe Swim Education-The TO must have a current approved Level II Background Check and is current and/or have passed an Safe Swim (Athlete Protection) education training course as required by USA Swimming before being assigned or working at any NCS sanctioned meets.
- Certification Procedures:
  - After successful completion of the requirements, NCS Officials' Chair will arrange for the TO have an on-deck meeting and observation at a swim meet(s) agreeable to both parties.
  - Stroke & Turn Judges/Starters: The TO must be observed for a minimum of one (1)) on-deck session by the NCS Officials' Chair or his/her designee in their current certification as documented from their previous LSC. The TO will maintain their current certification(s) if they meet NCS minimum session requirements as arranged for the TO by the NCS Officials' Chair or his/her designee. Those not meeting the minimum arranged session requirements may need to attend a clinic or have additional mentoring, as determined by the NCS Officials' Chair.
  - Referees: The NCS Officials' Chair will arrange for the TO have an initial on-deck meeting and must be observed for a minimum of two (2) sessions by two (2) different NCS Officials' Chair Referees designees with at least two (2) years' experience. With satisfactory on-deck observations the TO will maintain their current certification(s). Those not receiving

satisfactory on-deck observations may need to have additional mentoring, as determined by the NCS Officials' Chair.

- The on-deck observations will be documented with the appropriate NCS minimum requirements for each certification(s). Upon review and approval of the on-deck observations by the NCS Officials' Chair or his/her designee, the TO will be entered in the NCS official's database and credentials issued by the NCS Officials' Chair.
- The NCS Officials' Chair reserves the right to waive any or all of the on-deck observations with prior experience and personal knowledge of a Transferring Official.
  The NCS Officials' Chair reserves the right to waive any or all of the on-deck observations with prior experience and personal knowledge of a Transferring Official.

5.7.3 Leaving North Carolina Swimming

- Provide the NCS Officials' Chair with the following information:
- Name, phone number and e-mail address
- The name of the USA Swimming Local Swim Committee(LSC) to which the Official is transferring with the address (or e-mail) of the new LSC's Officials' Chair to whom the Letter of Standing should be sent.
- Date of Departure from NCS.

5.8 Re-Entry Policy

5.8.1 Purpose - This policy defines the requirements and procedures for a previously certified North Carolina Swimming (NCS) official requesting to re-join NCS and USA Swimming as a certified official. This policy is maintained by the NCS Officials' Committee.

5.8.2 General Requirements

- An individual, who has not been certified as a NCS or USA Swimming official for eighteen (18) months or less, may be able to re-enter at their previous NCS certification(s) after completing the steps outlined in this policy.
- An individual, who has not been certified as a NCS or USA Swimming official for greater than eighteen (18) months, must re-enter at the Stroke and Turn apprentice level and must follow the current policy and procedures outlined in the NCS Certification and Advancement program.

5.8.3 Certification Procedures:

- An individual shall obtain a written recommendation from a current NCS certified referee who has at least two (2) years' experience and is in good standing with NCS. This recommendation shall be emailed to the NCS Officials Chair and should include a statement of their personal experience of the individuals' existing officiating skills at the certification level being requested.
  - Upon receipt of the recommendation, the NCS Officials Chair and Committee will review the request. The NCS Officials Chair (or designee) will send an email to the individual confirming receipt, approval to begin the recertification process, and specify the requirements necessary to complete the process.
- The individual, upon notification to proceed with the recertification process, shall:

- Register with USA Swimming as a non-athlete member.
- Complete the required Level 2 background check through USA Swimming.
- Complete the athlete protection/safe sport education through USA Swimming.
- Complete the appropriate USA Swimming on-line test with a score of 80% or better for their requested certification level(s) as listed:
  - Stroke and Turn
    - Recertification-Stroke & Turn/Timer
  - Administrative Official
    - Recertification-Clerk
    - Recertification-Timing Judge
    - Recertification-Timer
  - Starter
    - Recertification-Starter
  - Referee
    - Recertification-Referee

- Upon completion of the previous steps, the individual shall send an email to the NCS Officials Chair (or designee) indicating the steps are complete. The NCS Officials Chair (or designee) will set up the individual as an apprentice for the appropriate certification level and will receive an official's certification card from USA Swimming. The individual is not permitted to work On-Deck until these steps have been completed.
- The NCS Officials Chair (or designee) will arrange for the individual to complete the applicable on-deck evaluation(s) as indicated below with an evaluator. The evaluation session must include each of the strokes competed and at least one relay event. A written recommendation by the evaluator, signed by the evaluator and meet referee, shall be emailed to the NCS Officials Chair (or designee). Negative feedback from the evaluations may require additional and positive evaluation(s).
  - Stroke and Turn – One evaluation session
  - Administrative Official – One evaluation session
  - Starter – Two evaluation sessions:
    - One evaluation as a stroke and turn judge
    - One evaluation as a starter. The individual shall conduct the timer's meeting, be the primary starter for the session, and have no less than 50 starts.
  - Referee – Four evaluation sessions:
    - One session as an administrative official
    - One evaluation as a stroke and turn judge
    - One evaluation as a starter. The individual shall conduct the timer's meeting, be the primary starter for the session, and have no less than 50 starts.
    - One evaluation as a deck referee. This session may include specific activities as directed by the NCS Officials Chair (or designee). As a minimum, the individual shall complete the official assignments and conduct the stroke briefing.
- Once all the evaluations are completed satisfactorily and received by the NCS Officials Chair, the chair (or designee) will update the individual from apprentice to certified status. The individual will receive an email for the NCS Officials Chair (or designee) stating that the process is complete and will receive an official's certification card from USA Swimming.

5.9 YMCA Reciprocity

5.9.1 Purpose: This policy defines the requirements and guidelines for YMCA officials seeking USA Swimming's certification with North Carolina. This policy is maintained by the North Carolina Swimming Official's Committee.

5.9.2 YMCA Certified Official seeking USA Swimming Official's certification

- Prerequisite
  - The YMCA Official (YO) must register as a non-athlete member of USA Swimming/North Carolina Swimming.
  - Obtain a Level II Background Check with USA Swimming.
  - Complete the online Athlete Protection Training with USA Swimming.
  - The YMCA Official must present to the NCS Official's Chair or his/her designee: current level(s) and expiration date(s) of certification within the YMCA and the number of sessions worked (at each level, if applicable) during the current and previous year.
  - Letter (or email) of standing from the YMCA Officials' Chairperson or their designee, that the YO is in good standing.
  - Attend an approved North Carolina Swimming clinic for their appropriate level. (Level I YO – Stroke & Turn Judge clinic, Level II YO – Starter clinic).
  - Satisfactorily complete the USA Swimming re-certification test for their appropriate level (Level I YO – Stroke & Turn Judge re-cert test, Level II YO – Starter re-cert test) with a score of 80% or better, prior to completing the evaluation process.
- Evaluation Process:
  - After successful completion of the prerequisite requirements, NCS Officials' Chair will arrange for the YO to have an on-deck meeting and observation at a swim meet(s) agreeable to both parties.
  - Stroke & Turn Judges/Starters: The YO must be observed for a minimum of one (1) on-deck session by the NCS Officials' Chair or his/her designee for each of their current certification(s). (Level I YO – one (1) session as a Stroke & Turn Judge, Level II YO one (1) session as a Stroke & Turn Judge and one (1) session as a Starter). With a satisfactory on-deck observation(s) the YO will receive current NCS certification(s) for the appropriate level(s). (Level I YO – Stroke & Turn Judge; Level II YO – both Stroke & Turn Judge and Starter certifications.)
  - Those not meeting the minimum arranged session(s) requirements or not receiving a satisfactory on-deck observation may need to have additional mentoring, determined by the NCS Officials' Chair.
  - The on-deck observations will be documented with the appropriate NCS minimum requirements for each certification(s). Upon review the approval of the on-deck observations by the NCS Officials' Chair or his/her designee, the YO will be entered in the NCS officials' database and credentials issued by the NCS Officials Chair.
  - Successfully receiving reciprocity, the YMCA Official agrees to maintain all annual and tri-annual requirements for recertification with NCS.
  - The NCS Officials' Chair reserves the right to waive any or all of the on-deck observations with prior experience and personal knowledge of a YMCA Official seeking USA Swimming Official's certification within NCS.

5.9.3 Additional Policy & Procedures and Information:

- The highest level of LSC certification for a YMCA Official seeking reciprocity with USA-S in North Carolina Swimming is Starter/Stroke & Turn Judge for Level II YMCA officials.
- YMCA Level II Referee-Starter officials seeking status as a USA-S Referee within North Carolina Swimming must complete the following:
  - Individual(s) must complete all the policies and procedures previously outlined within the Officials YMCA Reciprocity policy.
  - Must work a minimum of eight (8) sessions at a USA-S sanctioned or approved meet. A minimum of four (4) of those 8 sessions officiating as a Starter.
  - Once the above steps are complete, Individual(s) must enter the full NCS Referee Training program and correctly follow the entire process outlined in the policies and procedures for North Carolina Swimming.

5.10 Official De-Certification

5.10.1 Purpose - This policy lays out the conditions and process for de-certifying an official.

It is the responsibility of all officials to observe and evaluate the officials who are working for and with them. All issues should be reported to the meet referee, who may address them at the time of the meet. However, should it become apparent the issue(s) are serious; they should be reported to the LSC Official's Chair.

5.10.2 Reasons for Decertification

a. Professional Qualifications - This category relates to matters involving deficiencies in the professional qualifications of the official. It relates to the technical aspects of the field of officiating, such as a lack of knowledge of the rules, improper application of the rules, etc.
b. Professional Misconduct - This category relates to matters involving misconduct in the performance of the official's professional duties that do not rise to the level of acts specifically covered by the Code of Conduct (Article 304.3 of the Rules and Regulations of USA Swimming).
c. Code of Conduct - This category involves all acts that fall under Article 304 of the Rules and Regulations of USA Swimming. This category does not fall under this policy. Any complaints in this category should be passed on to the Zone/National Board of Review for resolution

5.10.3 Process and Outcomes- Professional Qualifications

a. LSC Official's Chair. The Chair is primarily responsible for addressing the situation. It must be kept in mind that at this stage the approach needs to be remedial rather than punitive.
   - The first step for the Chair is to gather all the facts. The Chair may conduct the investigation or may assign the role to another trusted official. It is important that all the facts are discovered and documented to the extent they can be.
   - Additionally, when conducting the investigation, the following shall be determined concerning the official:
   - knowledge of the rules,
   - application of the rules,

- Judgment On-Deck in applying the rules, and professionalism on and off the deck.
- After the facts are obtained, the Chair should schedule a meeting with the official and review in depth the performance of the official. The official needs to be given the facts as gathered by the Chair and the full opportunity to state his or her side of the matter and to make a request for help, should the official choose to do so. At this stage, if the Chair believes it is in the best interest of the official, it is appropriate to bring in other members of the Officials' Committee or some third person who is a friend of the official to assist in the meeting. In the latter situation, the friend should be an official, because we are addressing professional qualifications. Furthermore, should the Chair believe it is inappropriate for him or her to meet with the official or address the issue, the Chair may assign the matter to another official.
- Outcomes:
    - To reassign the official to a lower position, where the official is qualified (i.e., referee to stroke and turn judge). The Chair should present the official with a program to be performed within a given time frame, providing the official the opportunity to regain his or her position. It is recommended that the program include re-training, observation over a series of sessions, and testing.
    - To leave the official in his or her current position but establish a retraining program to correct any deficiencies. Again, any program proposed should include observation over a series of sessions and testing. In this situation, the Chair may decide to withhold any future assignments at the certified position until the official completes the program and is signed off by the training official(s).
    - If the Chair is confronted with the situation where it is apparent the official does not comprehend and understand the rules, and, in the opinion of the Chair, the official will not be able correct the situation, and then the Chair has the power to recommend to the Officials' Committee that the official be decertified as an official.

b. LSC Officials' Committee
    - At this stage, the Officials' Committee will enter the picture and make the final decision on de-certification. This step should include a hearing with the official, where the official has full opportunity to make his or her position with the Committee. (See HEARINGS below.)
    - A decision to de-certify the official should only be made as a last resort and on the recommendation of the LSC Official's Chair. If there is no recommendation from the Chair, then there will be no de-certification.

5.10.4 Process and Outcomes- Professional Misconduct

a. LSC Official's Chair.
    - A complaint alleging misconduct on the part of an official needs to be in writing and filed with the LSC Official's Chair. The complaint must set out the facts and the misconduct alleged.
    - It is then the duty of the Chair to investigate the allegation and develop all the facts. The Chair or someone chosen by the Chair may conduct this investigation. In choosing someone to conduct the investigation, the Chair needs to choose someone who is

organized, thorough, honest, and objective. The person should have no relationship with the situation or the official.

b. LSC OFFICIALS' COMMITTEE

- Once the investigation is completed, the entire file is delivered to the Officials' Committee. The Committee will then schedule a hearing.
- If the Official's Chair is the investigating person, then the Official's Chair should not participate in the deliberations or the hearing. The Chair is the "prosecutor" in this role and should not sit as part of the jury. However, if the penalty is to be de-certification (by position), then the Committee should consider this penalty only if the Official's Chair has recommended it to the Committee
- Outcomes:
  - To issue a verbal warning, however, the warning must be accompanied by conditions to be met to correct the problem and the possible consequences if they are not met (even though it is a verbal warning it should be documented in the notes of the Committee accompanying the hearing);
  - To issue a written reprimand, but again the reprimand must be accompanied by the conditions to be met and possible consequences if they are not;
  - To reassign and to establish a re-training program, such as is set forth above by the Chair and the decision must be documented in the notes of the
  - hearing;
  - To suspend the official, however, the suspension shall be accompanied by conditions the official must complete during the suspension period, and
  - To permanently de-certify the official from a level of certification. This should be for the most serious offenses and should be ordered only after all other remedial measures have been exhausted.

5.10.5 Hearing

- The period for conducting the hearing should be set by the LSC but should not exceed the periods set out in the bylaws of the LSC. There should be a provision for an emergency hearing if the facts warrant.
- The conduct of the hearing need not be as formal as a hearing before a Board of Review, but the proceedings need to be documented with written notes. The official should be given full opportunity to present his or her side of the issue with the approach being primarily remedial unless the facts dictate otherwise.
- The vote of the Officials' Committee may be by majority; however, if it is by majority, caution should be taken to make sure the quorum requirement for an official meeting of the Committee is such that a majority vote represents a substantial number of the members of the Committee. The final decision should be written, and a copy given to the official. It need not be formal document and can be in a letter format.

5.10.6 The official shall have the right to appeal any decision imposing penalties on the official, including suspension or de-certification, to the LSC Board of Directors and the opportunity to appeal should be made known to the official. No decisions should go beyond the Committee.

5.10.7 Appeal - The Officials' Committee has the final authority on decisions of de-certification of LSC certifications within North Carolina Swimming. Decisions can be appealed through a Zone Board of Review.

5.10.8 National Officials Committee Chair: In the event the NCS Officials Committee's decision is full decertification of all certifications and/or the official holds any N2 or N3 level certifications for the level being recommend decertifying, the National Officials Committee Chair is to be notified and provided all documentation for final review and decision.

- The LSC General Chair will also be notified of recommendation for certification and involved in deliberations as necessary with National Officials Committee Chair and LSC Officials Chair.

5.11 Travel Reimbursement

5.11.1 Purpose - The purpose of this policy is to establish the requirements and guidelines for NCS officials seeking reimbursement for travel expenses while participating as an official at an USA Swimming National Meet(s). This policy and the requirements are maintained by the North Carolina Swimming Official's committee

5.11.2 Criteria - The NCS Officials Chair or designee will allocate funding from a predetermined travel budget for any NCS official participating at an USA Swimming National meet according to the following guidelines:

- The total amount budgeted for NCS officials travel fund will be determined by the NCS Officials chair or designee and is subject to the overall approval of the NCS officials budget, by the NCS House of Delegates
- Total amount of reimbursement to an individual will be determined by the NCS Officials chair or designee and shall not exceed the equivalent amount of funding for an athlete according to the NCS travel fund rules and policies.
- An individual must satisfy the requirements and guidelines set forth within the NCS officials travel fund policy.
- An individual may receive multiple reimbursements, but no more than two (2) reimbursements and the total funding may not exceed the amount equivalent to the higher of the two USA Swimming National meets, during each NCS budget year (Olympic Trials are exempt). Officials may receive reimbursement for Olympic Trials in addition to the above limit.
- Reimbursement is not guaranteed.
- When all available travel funds are exhausted, no further reimbursements will be distributed. o Priority for allocation of funds will be in accordance with the guidelines set forth within this policy.
- The NCS Officials chair or designee shall determine the allocation of funds for any priority not listed in this policy, or for any NCS Officials committee budget surplus or for how available funds will be distributed if available funds do not fully cover all individuals requested reimbursements.

5.11.3 Funding Priority:

- 1st - Travel to a national championship meet is needed to attain an N3 certification level

for which a final N3 evaluation has been successfully completed.

- 2nd - First time attendees to a national championship meet for any individual that holds N3 stroke and turn and at least one other N2 position.
- 3rd - Individuals who are working in an assigned position that is not reimbursed by USA Swimming.
- 4th - Individuals who have worked the highest number of sessions at NC sanctioned meets in the past 12 months.
- 5th - Discretion of the NCS Officials chair or designee as to the best method of allocating available NCS officials travel funds.

5.11.4 Requirements/Guidelines

- Individuals requesting reimbursement must have been accepted to officiate at one of the USA swimming national championship meets and must have committed to working all sessions.
- All reimbursements will be paid directly to the NCS official upon acceptance of the NCS reimbursement request sent to the NCS Treasurer at treasurer@ncswim.org
- Each person receiving funding agrees to working as a mentor/evaluator at least once in the following year at a designated OQM meet in NC.

5.11.5 All reimbursements amounts are subject to change without notice and are the equivalent of, and not to exceed the amounts of funding for an athlete according to the NCS travel fund rules and policies.

5.12 Radio Use

5.12.1 North Carolina Swimming has purchased radios to be used according to the policy stated below. When not in use, the radios will be the responsibility of the officials chair or his/her designee and will be kept by that person until a request is approved, at which time the radios will be shipped via UPS to the requested referee. North Carolina Swimming will reimburse the referee for the shipping upon delivery of the shipping receipt to the NC Swimming Treasurer or his/her designee. Radios may be requested for use at any North Carolina Swimming sanctioned swim meet.

5.12.2 The following conditions must be met:

- The meet referee must make request via email to the officials chair or his/her designee at any time after sanctioning but no later than the Monday of the week the competition is to take place.
- The meet referee accepts responsibility for the safe keeping and return shipping via UPS within 5 days of the conclusion of the meet. A return UPS labeled will be provided.
- The meet must be a prelims/final format and a meet which chief judges will likely be used. A timed final session may be included as part of a meet with a prelims/final format.

5.12.3 Approval process:

- The officials chair, or his/her designee shall approve each meet that the radios will be used. If multiple requests are made for the same period, the officials chair, or his/her designee shall determine which meet will be awarded use of the radios. This

determination will be made according to the number of officials expected and the level of meet competition.

- Radio use shall be reserved for all state championship competition regardless of other requests during the same period.

6 VOLUNTEER POLICIES

6.1 Volunteer Awards / Recognition

6.1.1 Purpose: The purpose of this policy is to establish the criteria for NCS Award/Recognition program(s) for LSC member's commitment of inspiring excellence with service and support to the North Carolina Community.

6.1.2 Phillip 66 Award

- Sub-Committee to consist of past NCS Phillips 66 winners.
- Award committee chair to collect nominations and initiate discussion
- Sub-Committee to consider any NC Swimming member serving as a volunteer to the LSC
- Criteria to consider should include length / quality of service on BOD, committees, as official, or meet support for LSC championships
- The sub-committee to vote on recipient prior to USA Swimming deadline

6.1.3 Jack Lynch Award

- This award is not given annually and should be given in recognition of special service to North Carolina Swimming
- Award committee chair to convene a taskforce to consider recipients when appropriate
- Taskforce to consider any NC Swimming member serving as a volunteer to the LSC
- Criteria to consider should include length / quality of service on BOD, committees, past Phillips 66 recipients, as official, or meet support for LSC championships
- The taskforce to vote on recipient prior to NCS awards banquet

6.1.4 Life Membership

- Sub-Committee to consist of a maximum of 5 past Life Members awarded by North Carolina Swimming
- The sub-committee shall elect a chair each year at Fall HOD who shall initiate the process the following spring.
- Sub-Committee to consider any NC Swimming member serving as a volunteer to the LSC
- The primary criteria to consider should include length / quality of service on BOD, committees, as official, or meet support for LSC championships. In addition, volunteer service to USA Swimming and other LSCs can be considered as a secondary criterion.
- Lifetime Membership candidates should be expected to continue to provide service to the LSC.
- A guideline, Lifetime Membership candidates should have been a member for at least 10 years. Candidates could have been members for a shorter period under extraordinary circumstances.

- The sub-committee to vote on Life memberships prior to USAS convention deadline.
- A maximum of three life membership can be awarded annually.

6.2 Meet Director Certification

6.2.1 Purpose **-** The purpose of this policy is to establish the requirements and guidelines for Meet Director certification. This policy and the requirements are maintained by the North Carolina Swimming (NCS) Meet Management Committee.

6.2.2 Policy - All Meet Directors who conduct a NCS sanctioned meet, except for NCS Championship meets, should be certified by NCS. All Meet Directors for NCS Championship meets shall be certified. This certification requires Meet Directors to participate in a one-day clinic conducted by NCS which will address responsibilities prior to, during, and after the meet as presented in the NCS Meet Director's Handbook. One may be exempt from this requirement if such Meet Director has demonstrated their knowledge and proficiency of past performance of successful meet conduct.

6.3 Meet Manager Operator Certification

6.3.1 Purpose - The purpose of this policy is to establish the requirements and guidelines for Meet Manager Operator certification. This policy and the requirements are maintained by the North Carolina Swimming (NCS) Meet Management Committee.

6.3.2 Policy **-** All Meet Manager Operators who work a NCS sanctioned meet, except for NCS Championship meets, should be certified by NCS. All Meet Manager Operators for NCS Championship meets shall be certified. This certification requires Meet Manager Operators to participate in a one-day clinic conducted by NCS which will address the operations of Meet Manager and the responsibilities of the operator as presented in the NCS Meet Manager's Handbook. One may be exempt from this requirement if such Meet Manager Operator has demonstrated their knowledge and proficiency by past performance of successful meet conduct.