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, Operations Vice-Chair
  - General Chair
  - Official's Chair
  - USA Swimming
- Back-ups:
  - Administrative Vice-Chair
  - Program Vice-Chair
- 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)
    - Determine what happened, when and where
    - Determine who is affected
    - Identify cause
    - Determine reaction to incident and possible repercussions
    - Determine when there will be more information/update
    - Information Officer convenes Crisis Communication Team via conference call. 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
    - Determine what needs to be done and when it needs to be done
    - 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
    - Description/background of situation and the response are communicated to stakeholders by established timetable
    - 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 Director 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 Finance 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:

- Stating in a written document the Committee's attitudes, expectations, objectives and guidelines for the investment all assets.
- Encouraging effective communications between the Committee and all parties involved with the investment management decisions.

- 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

- 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.

- 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.

- 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-year 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.

- 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

- Finance 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.

- 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.

- 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.

- 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-based 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.

- 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.
- 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.
- Performance relative to a peer group: The investment option's performance should be evaluated against the peer group's median manager return, for 1, 3 and 5-year cumulative periods. [Suggested threshold: Performance should be above the peer group median for 1-3-, and 5-year periods.]
- 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.]

- 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.]
- 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).]
- 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.]
- 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.]
- 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

- 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.

- 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).

  1. Foreign Large Blend MSCI World Ex US NR USD

2. Intermediate-Term Bond LB US Govt/Credit 5-10 Yr
3. Large Blend S&P 500 TR
4. Mid-Cap Blend S&P MidCap 400 TR
5. Multi-sector Bond LB US Universal
6. Specialty-Real Estate DJ Wilshire REIT
7. 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:

- An investment option performs below median for their peer group over a I-, 3- and/or 5-year cumulative period.
- An investment option's 3-year risk adjusted return (Alpha and/or Sharpe) falls below the peer group's median risk adjusted return.
- There is a change in the professionals managing the investment option.
- There is a significant decrease or increase in the investment option's assets.
- There is an indication the investment option is deviating from the stated style and/or strategy.
- There is an increase in the investment option's fees and expenses.
- 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:

- Expense ratios of each mutual fund against the appropriate peer group.
- Administrative Fees; costs to administer the Portfolio, including record keeping, custody and trust services.
- 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:

- 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.
- For the day of HOD,
    - 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.
    - One room for seating up to 100 people in a classroom setting from 12:30 PM to 5:00 PM
- The rooms indicated in one and two above shall be in the same location.
- 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
- Fall HOD – For the Fall HOD the following two additional items are required
    - Saturday Afternoon (4 hours) – 6 lane pool for All Star Clinic
    - 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:

- Facility
    - Address of facility
    - Name of facility (and building if more than one building at location)
    - Name/numbers of rooms (identifying information)
- Hotels
    - Name
    - Address
    - Rate
    - Name block will be held under
- Banquet Facility (Fall HOD)
    - Name of Facility
    - Contact for Banquet Arrangements
    - Cost
- Pool
    - Name of Pool
    - Contact for arranging Select Camp
    - 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 USA Swimming Annual Business Meeting (Summit)

NC Swimming shall reimburse NCS members for travel to the USA Swimming Summit in accordance with the NCS Expense Reimbursement policy 1.8 for the following:

- Any NCS member who is invited by USA Swimming to attend the Summit
- 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 an in-person meeting or programming which is listed on the USA Swimming Summit Schedule
- Four Members of the NCS Athletes Committee, with preference given to the three Athlete Board Representatives: Senior Athlete Representative, Junior Athlete Representative, At-Large Athlete Board Member, and one athlete to be named by the NCS Athlete Committee. Should any of the three Athlete Board Representatives not be able to attend, the NCS Athlete Committee may assign an alternate
- Other NCS members who have business at the Summit as determined in advance by the NCS Board of Directors

NCS members may not claim reimbursement for any travel expenses paid by USA Swimming or North Carolina Swimming.

To be eligible for reimbursement, NCS members must fulfill all obligations including full participation in all relevant Summit programming and national committee meetings. Any NCS voting delegate must attend the full legislative session of the USA Swimming House of Delegates.

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:

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

1.8.3 Reimbursement applies to the following expenses for approved travel and program days as determined for each approved event by North Carolina Swimming (NCS). Exceptions must be approved in advance by the NCS Board of Directors.

- Airfare (plan-ahead economy class airfare as determined by NCS) or $0.50/mile plus hotel parking (whichever is less). Mileage will be calculated by Google Maps for round trip from home address to hotel. Parking at hotel for approved program nights will be covered for drivers.
- Cars rented at the event must be approved in advance by the NCS Board of Directors. Parking at hotel for program nights and gas will be covered for approved rental cars.
- Transportation expenses incurred during the event are not reimbursable unless required for participation in the approved event.
- Share hotel, if practical, if lodging is not provided for approved travel and program days.

- Daily per diem per GSA if meals are not provided by USA Swimming or NCS. Per diem rates and applicable program days will be determined in advance by NCS. Exceptions must be approved in advance by the NCS Board of Directors.
- Actual cost of parking at home airport up to $10.00/program and travel day plus personal mileage as determined by Google Maps for round trip from home address to airport. Rideshare/taxi expenses to and from the airport may be substituted if less than parking plus personal mileage.
- Event registration fees, if applicable.

Expenses not defined here are not reimbursable without prior approval of the NCS Board of Directors.

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 contain 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 Director 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 Director will determine the value of in-kind offers.

1.13.4 The following sponsorship levels/costs will be offered:

Level	6 mo	12 mo
Business Website Advertising	$500.00	$900.00
Bronze Level Sponsorship		$1500 - $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
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.

1.15 National Coordinator Board Member Election

1.15.1 NCS members who are members of the USA Swimming House of Delegates according to Article 6 sections 6.1.1 or 6.1.2 of the Corporate By-Laws of USA Swimming or chairs of USA Swimming National Committees shall elect a representative to the NCS Board during odd years at the Fall HOD.

1.15.2 The National Coordinator Board Member shall meet the above requirements, be present at the NCS House of Delegates when the vote is held and shall not be a member of the NCS Board of Directors in another voting position.

1.15.3 If there are no NCS members meeting the above requirements, the position shall remain empty.

1.15.4 If the National Coordinator no longer meets the requirements or is elected to the NCS Board in another position, the National Coordinators shall meet to elect a replacement as soon as practical.

1.16NCS Championship Meet Host Responsibilities

Purpose: to help make sure clubs who host NCS Championship meets are not harmed financially

1.16.1 Championship Meet hosts are responsible for all generally accepted duties associated with hosting any North Carolina Swimming/USA Swimming sanctioned competition including but not limited to:

- Securing a reasonable contract with an acceptable facility including but not limited to sufficient lane space for the competition and warm up/down lanes, automatic primary timing system equipment with appropriate back up, other meet operations equipment, required facility staff including timing system operators and life guards, and sufficient parking for officials and coaches.
- Providing volunteers to fully staff two timers per lane per session, at least one male and female meet marshal per session, acceptable hospitality operations, meet director operations, and time trial administration.
- Meet hosts are entitled and encouraged to seek donations and appropriate sponsorships, and to sell concessions, apparel, heat sheets (electronic or paper), photography, or other goods and services to generate additional income outside of meet entry fees.

1.16.2 At the direction of the NCS Officials Chair, meet hosts will secure reasonably priced, local hotel room(s) for the appointed Meet Referee, Administrative Referee, and National Evaluators who must travel more than 45 minutes from their residences to officiate at the meet. The reservation(s) will cover Thursday through Saturday nights. When Sunday finals are projected to end later than 8:00 PM or when exceptions are granted in advance, the hotel stay may extend to cover Sunday night at the NCS OC's discretion. The meet host may submit hotel receipts to the NCS OC for separate reimbursement.

1.16.3 NCS will provide the following goods and services for each Champs meet:

- Meet sanction development
- Appoint the meet referee and admin referee and manage the recruitment of other officials
- OME entry management
- Meet Manager database development
- All awards as specified in the sanction
- Identification tags for participating athletes, officials, and coaches

1.16.4 NCS will collect the following fees from each NCS Championship meet:

- $3.00 per entered swimmer for the NCS Travel Fund
- Up to 8% of meet entry fees
- $10 sanction fee

1.16.5 Special Financial Considerations

- Meet hosts who wish to request financial consideration after the NCS Championship meet is conducted may do so by presenting a detailed P&L and associated documentation for consideration by the NCS Board of Directors. The NCS BOD may determine the appropriate means to ensure no financial harm is incurred by an NCS club who responsibly and in good faith hosts and manages an NCS Championship meet. Means could include reducing the NCS entry fee assessment percentage or providing a stipend.
- The NCS BOD may offer a stipend or other incentive to encourage clubs to bid for or host NCS Championship meets.

1.17Selection of NCS Delegates to the USA Swimming Annual Business Meeting

Whereas USA Swimming will be reducing the size and dictating the composition of LSC delegations to the national House of Delegates, the North Carolina Swimming BOD will assign its LSC delegates to ensure compliance with the new rules.

NCS Delegates for the USA Swimming Annual Business Meeting will be selected using the priorities listed below to satisfy Article 6 of the USA Swimming By-Laws based on the membership type.

1. Unspecified or Non-coach/Non-Athlete Delegates – Use the priority listed in (4).
2. Coach Delegates – the priority for coach delegate shall be the NCS Coach Representative. Remaining coach delegates will follow the priority listed in (4)
3. Active Athlete Delegates – The first two athlete delegates shall be the NCS Senior Athlete representative followed by the NCS Junior Athlete Representative. Additional Active Athlete Representatives will follow the priority listed in (4)
4. Priority for remaining delegates:
    - General Chair
    - Administrative Vice Chair
    - Operations Vice Chair
    - Finance Vice Chair
    - Programs Vice Chair
    - Treasurer
    - Secretary
    - Official's Chair
    - Age Group Coordinator
    - Safe Sport Coordinator
    - DEI Coordinator
    - At-Large Athlete Board Members
5. Should the above positions be insufficient to fill the delegation, additional BOD members will be invited depending on their membership type in the following priority:
    - Past General Chair
    - Legislative Chair

- Governance Chair
- National Representative

6. Should a named delegate be unable to attend, the priority list for the membership type shall be revisited.
7. If vacancies still remain, the General Chair, with the advice and consent of the BOD, may invite other current committee chairs and committee members or recent past BOD members with the necessary membership type.
8. NCS members who are Annual Business Meeting Delegates through their positions with USA Swimming, the Southern Zone, or any organization other than NCS, are not eligible to be NCS LSC delegates as well.

1.18LSC Email Marketing

Purpose: To define boundaries for use of email information available in SWIMS 3.0

1.18.1 The LSC may access the SWIMS email database to communicate directly with members and their families. Communications will be strictly limited to information regarding membership, LSC/USA Swimming programming, and other topics deemed pertinent by the NCS Board of Directors.

1.18.2 Email lists generated from SWIMS will be considered confidential information and access to these lists will be limited to the NCS Registrar, Executive Director, and the General Chair or designee. The lists will not be published publicly nor will they be made available or sold to outside parties.

1.18.3 Communications may be sent through the LSC's email account or through an email service to which the LSC subscribes.

1.19 LSC Document Retention and Destruction Policy

Purpose: To define timing and procedures governing LSC documents

1.19.1 North Carolina Swimming will retain and dispose of electronic and printed documents in compliance with applicable North Carolina state law, IRS guidelines, USA Swimming LSC bylaws, and any other regulatory requirements governing document retention. Covered records include, but are not limited to, financial transaction records, human resource files, insurance documents, meeting minutes, contracts, and any related electronic or written communications.

1.19.2 Documents will be securely stored on the LSC website and maintained by staff and Board of Directors members who hold roles with responsibility or oversight for these records.

1.19.3 North Carolina Swimming's legal counsel shall be instructed to inform the General Chair when document destruction (planned or otherwise) should be halted. The General Chair will, in turn, notify the staff and board members .

2 ATHLETE POLICIES

2.1 Disability Inclusion

2.1.1 USA Swimming Standards

- 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

- 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.
- 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.
- Accommodations during practices should be up to the discretion of the head coach. Examples of such accommodations are:
  1. Include the swimmer with a disability in practices by the swimmer's ability rather than age.
  2. 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.
  3. The same principles of training/conditioning, bio-mechanics, and sport psychology apply to the swimmers with a disability as the other athletes.
- Inclusion of swimmers with a disability in NCS sanctioned meets.
  1. 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."
  2. 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:
     a. Allow the swimmer with a disability to compete at a shorter distance, e.g. a 50-yard distance within a 100 yard event.
     b. 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.
  3. 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.

- 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.

- 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.
- Please contact the LSC Registrar or the Diversity Coordinator if you have any questions.

2.3 Camp Selection Policy (Future)

2.4 National/Zone Camp Reimbursement

2.4.1 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.

2.4.2 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 Director of selection and attendance. Reimbursement will be made at the completion of the camp in accordance with travel fund reimbursement policy.

2.4.3 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.

2.5 Zone Team Selection

2.5.1 Team Size

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

13-14 Boys	12 swimmers allowed
13-14 Girls	12 swimmers allowed
11-12 Boys	12 swimmers allowed
11-12 Girls	12 swimmers allowed
Disability athletes	Up to 6 swimmers selected

2.5.2 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.
NOTE: Swimmers cannot enter any event in which they have achieved a Summer Junior National qualifying time nor swim that event on relays.

Disability athletes will be selected by a process determined by the Disability Committee.

2.5.3 Selection Meets

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

2.5.4 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 olds. All swims prior to the NCS Long Course Age Group Championship must be listed in the USA Swimming SWIMS 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 eight (8) 11-12 Girls, 11-12 Boys, 13-14 Girls, 13-14 Boys, total zone point scorers will be extended an invitation to join that years NC Zone Team.
- An additional four (4) 11-12 Girls, 11-12 Boys, 13-14 Girls, 13-14 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.

2.5.5 Calculating Zone Points

- Summary
    - The total zone points will be calculated by the team managers and coaching staff and used to determine automatic Zone Team selections. The top eight (8) swimmers in the 11-12 and 13-14 age groups, both boys and girls, by total Zone points will be selected to the Zone Team. Four (4) additional 11-12 and 13-14 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.
    - If the total Zone points for two or more swimmers 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.
    - The Zone application fee is due to the Zone Coaching Staff at such time as may be announced by the Zone Team Manager and no later than 15 minutes following the conclusion of the applicant's final session at NCS Long Course Age Group Championships for 11–14-year-old swimmers. The deadline to apply for the Zone Team will be posted on the NCS website no later than June 1 to prior to the annual championship meet.
- 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:
        i. BP = 1000
        ii. T = Swimmer's time in seconds
        iii. BT = 3 year rolling average of the event's prelims 8th place time
- Example Zone Points calculation: John Smith, an 11-12 boy swimming the 100m Back in 1:10.51
    - Convert the time swum 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 = .930615]
    - 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]
- Events Eligible for Zone Points
    - 11-12 Girls and Boys

i. 50m Free, 100m Free, 200m Free, 400m Free
ii. 50m Back, 100m Back
iii. 50m Breast, 100m Breast
iv. 50m Fly, 100m Fly
v. 200m IM

- 13-14 Girls
  i. 50m Free, 100m Free, 200m Free, 400m Free, 800m Free
  ii. 100m Back, 200m Back
  iii. 100m Breast, 200m Breast
  iv. 100m Fly, 200m Fly
  v. 200m IM, 400m IM
- 13-14 Boys
  i. 50m Free, 100m Free, 200m Free, 400m Free, 1500m Free
  ii. 100m Back, 200m Back
  iii. 100m Breast, 200m Breast
  iv. 100m Fly, 200m Fly
  v. 200m IM, 400m IM

2.6 Open Water Zone Team Selection

2.6.1 Purpose - To determine a selection process for the NCS Open Water Zone Team

2.6.2 Athletes Being Selected – The following number of swimmers will be selected for the NCS Open Water Zone Team:

Age Group	Zone Meet Distance	Girls	Boys
11 - 12	2k	6	6
13 - 14	5k	6	6
15 - 16	5k	6	6
Open	5k	6	6
Max Entries		24	24

For a maximum combined total of 48 athletes. For the purpose of selection, a swimmer's age will be as of the first day of the zone meet. *Information subject to change based on the meet sanction.*

2.6.3 Timeline – To be announced at the conclusion of NCS Spring Meeting

- Selection Meet | TBD
- Results Qualifying Period | (first day of previous selection meet) – (last day of current selection meet)
- Application Open | July 1
- Application Closes | Monday following the selection meet
- Selections Announced | No later than 6 weeks after application closes

2.6.4 Procedure – This will be a combination of a Selection Meet and open application

1. The top three (3) finishing applicants in each age group event at the NCS Open Water Zone Team Selection Meet will receive automatic bids and first right of refusal for the NCS Open Water Zone Team.
2. The remaining, declined, and up to two (2) alternate spots will be selected by an open application process based on the points system in 2.6.5, with the following priority:
    a) Priority 1 – Open Water Results from the Qualifying Period
    b) Priority 2 – Pool 1500 Long Course Meter Time
    c) Priority 3 – Pool 1500 Short Course Meter Time
    d) Priority 4 – Pool 1650 Yard Time
3. Pool swims will also be used to break scoring ties.

* Should the selection meet not be held, all selections will be based on the application.

2.6.5 Scoring System for Remaining and Alternate Spots – *Open Water Point Formula*

- Open Water Points = 15 + 70 x Placing + Tiering Bonus
- Placing = (Field Size – Place + 1) / Field Size
- Tiering Bonus:
    - Local / NC OW Champs = 0
    - Zones = 7
    - OW Jrs / OW Nats =15
- *Example*:
    - Field size = 26 girls entered with 5k OW times. Jane placed 3rd of 26 entries.
    - Placing = (26 – 3 + 1) / 26 = 0.9231
    - 15 + 70 x 0.9231 = 79.6
    - This meet was Zones, add 7 points → Jane's points = 87

2.7 Zone Team Disability Selection

2.7.1 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.

2.7.2 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.

2.7.3 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.

2.7.4 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.

2.7.5 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).

2.7.6 Application (See NCS website)

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

2.8.1 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.

2.8.2 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

2.8.3 The criteria in order of preference are 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 events 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

2.8.4 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.

2.9 Age Group Motivational Time Standards

2.9.1 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.

2.9.2 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.

2.10 High School Meets Eligible for Observation

2.10.1 NCS athletes may have official times achieved at certain high school competitions uploaded to the USA Swimming SWIMS database provided:
- They are NCS/USA Swimming members at the time of the swim and
- The time is achieved at a competition that has been designated by NCS in advance as an observed meet.

2.10.2 The following high school meets may be considered for observation:
- NCHSAA regional qualifying and state championship meets for all divisions
- NCISAA state championship meets for all divisions
- NCHEAC state championship meets for all divisions

2.10.3 Swimmers may appeal to NCS to have eligible times uploaded if these times were inadvertently missed in the initial recon process.

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 Director 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 Club Development Coordinator and submitted to the Operations Committee for approval. Funds will be distributed upon approval.

3.2 Team of the Year Award

3.2.1 Purpose – To provide a simple, objective, performance-based criteria for the NCS Team of the Year Award. To recognize an NCS Team of the Year in each of three divisions, based on team size.

3.2.2 USA Swimming tabulates Virtual Club Championship (VCC) scores in both short course yards and long course meters using results achieved between September 1 and August 31. The highest total year-end score for combined short course and long course is named NCS Team of the Year with the year ending August 31.

3.2.3 A Team of the Year is named in each of three classifications. Classifications are 1A (clubs with 300+ swimmers), 2A (clubs with between 100 and 300 swimmers), and 3A (clubs with 100 or fewer swimmers) using VCC club size breakdowns pulled from the SWIMS database. If a club's classification changes between short course and long course, its total results will apply to the larger classification.

3.2.4 NCS Team of the Year awards are presented at the annual NCS Awards Banquet.

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. In addition, nominees for the Coach Leadership Award are also voted on by 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 Coach of the Year Nominating Panel will be comprised of all coach members serving on the NCS Board of Directors. as well as the Junior and Senior athlete reps.

- The COY Nominating Panel will select nominees for the Age Group and Senior Coach of the Year Awards, as well as for the Coach Leadership Award. NCS coach members may submit names of fellow coaches for consideration by the panel by emailing coachrep@ncswim.org. The panel will consider all submissions. Self-nomination is not allowed. Members of the panel will recuse themselves if they or a coach from their club are among the nominees being considered.
- The COY Nominating Panel will generate the approved list of nominees.
- At the request of the 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 Google form from September 1st – September 10th.
- Each team will receive one vote for the Senior Coach of the Year, one vote for the Age Group Coach of the Year, and one vote for the Coach Leadership Award. If more than one vote is received, the last vote from the team's head coach will be used.
- Awards will be presented at the NC Swimming Banquet.

4.3.4 Criteria: NCS Franke Bell Senior Coach of the Year

- Three (3) Senior coaches with highest nationally ranked athletes in the 15-16 and 17-18 age groups during the selection period will be automatic nominees. The nominee must be the athlete's primary coach. Ties will be decided by the athlete's next highest national ranking. Rankings of collegiate athletes will not be considered.
- Two (2) additional at-large nominees will be selected by the panel based on but not limited to the following criteria: nationally ranked athletes coached by the nominee, team rankings at NCS Senior Championship meets, Sectional Meets, USA Swimming National Meets, or National/Junior National qualifiers coached by the nominee.

4.3.5 Criteria: NCS Kathy McKee Age Group Coach of the Year

- Three (3) Age Group coaches with highest nationally ranked athletes in the 11-12 and 13-14 age groups during the selection period will be automatic nominees. The nominee must be the athlete's primary coach. Ties will be decided by the athlete's next highest national ranking.
- Two (2) additional at-large nominees will be selected by the panel based on but not limited to the following criteria: nationally ranked athletes coached by the nominee, team rankings at NCS Age Group Championship meets, Sectional Meets, National or Junior National qualifiers coached by the nominee.

4.3.6 Criteria**:** NCS Coach Leadership Award

- Three (3) NCS coaches will be nominated by the COY Nominating Panel
- Nominations for the NCS Coach Leadership Award are based on but not limited to the following criteria: Leadership and participation at the club, LSC, Zone, Sectional, and National level; participation in NCS camps, clinics, and events; Community Service involvement; Involvement in other swimming organizations (YMCA, Red Cross, Summer League, etc.); Length of Service; or other leadership projects and/or events worthy of recognition.

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 Programs Vice-Chair, Age Group Coordinator, and Coach Representative. The Committee shall present their nominees for Zone Team Head Coach and Team Manager to the Operations Committee 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 Programs Vice-Chair, Age Group Coordinator, and the Coach Representative from an available pool of applicants who have indicated their intent by submitting an application approved by the Operations Committee. Applications shall be submitted by October 31. All assistant coaches shall be approved by the Operations Committee at the earliest possible meeting following nomination.

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. Training and certification policies align with those of USA Swimming.

5.1.2 Requirements

- Off-Deck Requirements
  - Be at least 18 years of age
  - Register with USA Swimming as:
    i. an Apprentice Official with USA Swimming for the first 60 days, followed by registering as a non-athlete member of USA Swimming by day 61 after your clinic, OR
    ii. as a non-athlete member of USA Swimming within 60 days of your clinic date.
    iii. USA membership is a requirement to officiate on-deck, and this step must be completed by new officials prior to beginning on-deck training sessions.
  - 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.
  - Complete concussion protocol training and forward proof of completion to the NC Swimming Registrar within 60 days of your clinic date.
- Education
  - Complete the on-line USA Swimming Stroke and Turn Certification Course and certification test, i.e., a clinic, prior to completing the apprenticeship.
  - Register your clinic attendance with NC Swimming at www.swimnc.com/officials-clinics/. While this step is not strictly required, registration of clinic completion ensures status as an apprentice is recorded in the USAS Officials Tracking System (OTS), and the apprentice receives the current On-Deck Apprenticeship Record. The registration form includes a mailing address section that enables recognition items to be sent upon completion of apprenticeship.
- On Deck Training
  - Apprentice at a minimum of four (4) Training Session total at no less than two (2) USA sanctioned or approved swim meets with a trainer.
    i. Referees should ensure trainers for S&T apprentices have been certified for a minimum of 1 year.
    ii. Referees should ensure apprentices should work with multiple trainers
  - After each session, the trainer and /or meet referee 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 to apprentices upon registration of their on-line "clinic" or completion or USA Swimming membership registration).
  - Each session must be documented on the On-Deck Apprenticeship Record and signed by the trainer and meet referee.
- Certification
  - ALL CERTIFICATION REQUIREMENTS MUST BE COMPLETED WITHIN ONE YEAR OF THE CLINIC DATE.
  - After 4 sessions in the apprenticeship are completed and the apprentice has demonstrated "Satisfactory Performance" as determined by meet referee at last session, the apprentice will email a copy of their On-Deck Apprenticeship Record(s) to their NC-LSC Zone Representative and trainingcoordinator@ncswim.org.
    i. "Satisfactory Performance" is defined by USA Swimming as "demonstrating the requisite knowledge of the applicable rules and satisfactorily performs the on-deck protocols and duties for the position.
    ii. Deficiencies for those who are not certified after completing apprenticeship sessions must be reported to the NCS Officials Chair, or designee. The

Officials Chair will provide an Action Plan, in writing to the affected official (or apprentice) that if completed will provide for their future success.

- Once the NCS Officials Certifier verifies that the apprentice has met all requirements satisfactorily, they will upgrade the official into OTS as a certified S&T judge.
- The NCS Officials Certifier will notify the apprentice that they are 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)
    i. Renew their USA Swimming registration as a non-athlete member.
    ii. Maintain a current Level II background check
    iii. Maintain current athlete protection education requirements
  - Tri-annually (every 3 years)
    i. Work a minimum of eight (8) Sessions within a three (3) year period, at a minimum of two (2) different meets in Stroke & Turn or higher capacity.
    ii. Complete the on-line USA Swimming Stroke and Turn Certification Course and certification test, i.e., a clinic.
    iii. Continue to demonstrate “Satisfactory Performance” at the Stroke & Turn position.

5.2 Junior 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. Training and certification policies align with those of USA Swimming.

5.1.2 Requirements

- Off-Deck Requirements
  - Be 16 or 17 years of age
  - Register with USA Swimming, with no additional cost if already registered as an athlete.
  - Complete Concussion Protocol Training.
  - Complete the Safe Sport for Youth Athletes (replaces APT training until age 18)
  - Background Check is not required.
- Education
  - Complete the on-line USA Swimming Stroke and Turn Certification Course and certification test, i.e., a clinic.
  - Register your clinic attendance with NC Swimming at www.swimnc.com/officials-clinics/. While this step is not strictly required, registration of clinic completion ensures status as an apprentice is recorded in the USAS Officials Tracking System (OTS), and the apprentice receives the current On-Deck Apprenticeship Record. The registration form includes a mailing address section that enables recognition items to be sent upon completion of apprenticeship.
- On Deck Training
  - Apprentice a minimum of four (4) Training Sessions total over (2) different meets with a Trainer (cannot make a disqualification during those apprentice Sessions.)
    i. Referees should ensure trainers for Junior S&T apprentices have been certified for a minimum of 1 year.
    ii. Referees should ensure apprentices should work with multiple trainers.
  - After each session, the trainer and /or meet referee 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 to apprentices upon registration of their on-line "clinic" or completion or USA Swimming membership registration).
  - Each session must be documented on the On-Deck Apprenticeship Record and signed by the trainer and meet referee.
- Certification
  - ALL CERTIFICATION REQUIREMENTS MUST BE COMPLETED WITHIN ONE YEAR OF THE CLINIC DATE.
  - After 4 sessions in the apprenticeship are completed and the apprentice has demonstrated "Satisfactory Performance" as determined by meet referee at last session, the apprentice will email a copy of their On-Deck Apprenticeship Record(s) to their NC-LSC Zone Representative and trainingcoordinator@ncswim.org.
    i. "Satisfactory Performance" is defined by USA Swimming as "demonstrating the requisite knowledge of the applicable rules and satisfactorily performs the on-deck protocols and duties for the position.

ii. Deficiencies for those who are not certified after completing apprenticeship sessions must be reported to the NCS Officials Chair, or designee. The Officials Chair will provide an Action Plan, in writing to the affected official (or apprentice) that if completed will provide for their future success.

- Once the NCS Officials Certifier verifies that the apprentice has met all requirements satisfactorily, they will upgrade the official into OTS as a certified S&T judge.
- The NCS Officials Certifier will notify the apprentice that they are certified and will order a name badge for the new official.
- Once certified, the Junior Apprentice may only officiate in competition below LSC Championships for 12 & under athletes.

5.2.3 Recertification

- Requirements
  - When a Jr Official turns eighteen (18), their Jr. ST certification will convert to certified ST once the adult membership requirements have been met. Time as a Jr ST official will covert to the S&T renewal cycle.

5.3 Administrative Official Certification

5.3.1 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. Training and certification policies align with those of USA Swimming.

5.3.2 Requirements

- Off-Deck Requirements
  - Be at least 18 years of age
  - Register with USA Swimming as:
    i. an Apprentice Official with USA Swimming for the first 60 days, followed by registering as a non-athlete member of USA Swimming by day 61 after your clinic, OR
    ii. as a non-athlete member of USA Swimming within 60 days of your clinic date.
    iii. USA membership is a requirement to officiate, and this step must be completed by new officials prior to beginning on-deck training sessions.
  - 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.
  - Complete concussion protocol training and forward proof of completion to the NC Swimming Registrar within 60 days of your clinic date.
- Education
  - Complete the on-line USA Swimming Administrative Official Certification Course and certification test, i.e., a clinic, prior to completing the apprenticeship.
  - Register your clinic attendance with NC Swimming at www.swimnc.com/officials-clinics/. While this step is not strictly required, registration of clinic completion ensures status as an apprentice is recorded in the USAS Officials Tracking System (OTS), and the apprentice receives the current On-Deck Apprenticeship Record. The

registration form includes a mailing address section that enables recognition items to be sent upon completion of apprenticeship.

- On Deck Training
  - Apprentice at a minimum of four (4) Training Session total at no less than two (2) USA sanctioned or approved swim meets with a trainer.
    i. Referees should ensure trainers for A.O. apprentices have been certified for a minimum of 1 year.
    ii. Referees should ensure apprentices should work with multiple trainers
  - After each session, the trainer and /or meet referee 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 to apprentices upon registration of their on-line "clinic" or completion or USA Swimming membership registration).
  - Each session must be documented on the On-Deck Apprenticeship Record and signed by the trainer and meet referee.
- Certification
  - ALL CERTIFICATION REQUIREMENTS MUST BE COMPLETED WITHIN ONE YEAR OF THE CLINIC DATE.
  - After 4 sessions in the apprenticeship are completed and the apprentice has demonstrated "Satisfactory Performance" as determined by meet referee at last session, the apprentice will email a copy of their On-Deck Apprenticeship Record(s) to their NC-LSC Zone Representative and trainingcoordinator@ncswim.org.
    i. "Satisfactory Performance" is defined by USA Swimming as "demonstrating the requisite knowledge of the applicable rules and satisfactorily performs the on-deck protocols and duties for the position.
    ii. Deficiencies for those who are not certified after completing apprenticeship sessions must be reported to the NCS Officials Chair, or designee. The Officials Chair will provide an Action Plan, in writing to the affected official (or apprentice) that if completed will provide for their future success.
  - Once the NCS Officials Certifier verifies that the apprentice has met all requirements satisfactorily, they will upgrade the official into OTS as a certified S&T judge.
  - The NCS Officials Certifier will notify the apprentice that they are certified and will order a name badge for the new official.

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

- Annually (calendar year)
  - 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)
  - Work a minimum of eight (8) Sessions within a three (3) year period, at a minimum of two (2) different meets in Administrative Official capacity or in a role identified under USAS rule 102.14.1 – A-D.
  - Complete the on-line USA Swimming Administrative Official Certification Course and certification test, i.e., a clinic.

- Continue to demonstrate "Satisfactory Performance" at the Administrative Official position.

5.4 Chief Judge Certification

5.4.1 Purpose - Establish the requirements and guidelines for becoming and recertifying as a North Carolina Chief Judge. This policy and the requirements are maintained by the North Carolina Swimming Official's Committee. Training and certification policies align with those of USA Swimming.

5.4.2 Requirements:

- Current Stroke & Turn Official in good standing
- Officiated as certified Stroke and Turn at a minimum of 16 Sessions
- Complete the on-line USA Swimming Chief Judge Course and certification test, i.e., a clinic, prior to completing the apprenticeship.
- Register your clinic attendance with NC Swimming at www.swimnc.com/officials-clinics/. While this step is not strictly required, registration of clinic completion ensures status as an apprentice is recorded in the USAS Officials Tracking System (OTS), and the apprentice receives the current On-Deck Apprenticeship Record. The registration form includes a mailing address section that enables recognition items to be sent upon completion of apprenticeship.
- Read the "Professional Chief Judge" Documents at USASWIMMING.ORG.

5.4.3 Process for Certification

- Apprentice as a CJ for four(4) Training Sessions with a Trainer at no less than 2 meets.
  - It is strongly recommended that at least 2 session be where radios are used with an assigned team of Chief Judges
  - It is strongly recommended that at least 1 session be completed at an Age Group Meet.
- After each session, the trainer and /or meet referee 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 to apprentices upon registration of their clinic attendance.)
- After 4 sessions in the apprenticeship are completed and the apprentice has demonstrated "Satisfactory Performance" as determined by meet referee at last session, the apprentice will email a copy of their On-Deck Apprenticeship Record(s) to their NC-LSC Zone Representative and trainingcoordinator@ncswim.org.
  - "Satisfactory Performance" is defined by USA Swimming as "demonstrating the requisite knowledge of the applicable rules and satisfactorily performs the on-deck protocols and duties for the position.
  - Deficiencies for those who are not certified after completing apprenticeship sessions must be reported to the NCS Officials Chair, or designee. The Officials Chair will provide an Action Plan, in writing to the affected official (or apprentice) that if completed will provide for their future success.
- Once the NCS Officials Certifier verifies that the apprentice has met all requirements satisfactorily, they will upgrade the official into OTS as a certified Chief Judge.

5.4.4 Recertification

- Requirements - To recertify as a North Carolina Swimming Chief Judge, the official must complete the following:
  - Annually (calendar year)
    i. Work eight (8) Sessions per year with at least four (4) as a CJ or Referee
    ii. Continue to demonstrate "Satisfactory Performance" at the Chief Judge position.
    iii. Renewal of USA Swimming registration as a non-athlete member.
    iv. Maintain a current Level II background check
    v. Maintain current athlete protection education requirements
    vi. Tri-annually (every 3 years)
  - Pass USA Swimming recertification test every three years for the highest certification held.
  - The Chief Judge Recertification procedures recertify for Chief Judge and Stroke and Turn.

5.5 Starter Certification

5.5.1 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. Training and certification policies align with those of USA Swimming.

- Prerequisite
  - Be at least 18 years of age
  - Must be a USA certified Stroke & Turn Judge for a minimum of 3 months
  - Worked at least four (4) Sessions at a minimum of two(2) meets since Stroke and Turn certification.
- Education
  - Complete the on-line USA Swimming Starter Certification Course and certification test, i.e., a Starter clinic
  - Register your clinic attendance with NC Swimming at www.swimnc.com/officials-clinics/. While this step is not strictly required, registration of clinic completion ensures status as an apprentice is recorded in the USAS Officials Tracking System (OTS), and the apprentice receives the current On-Deck Apprenticeship Record. The registration form includes a mailing address section that enables recognition items to be sent upon completion of apprenticeship.
- Training
  - ALL CERTIFICATIONS MUST BE COMPLETED WITHIN 12 MONTHS OF THE CLINIC DATE.
  - Work as an Apprentice Starter for at least four(4) Training Sessions, over two(2) meets with two (2) Trainers.
    i. Trainers for Starter apprentices must have a minimum of one-year experience as a certified starter.
    ii. It is recommended that of the 4 sessions, at least 1 session should be at a novice or developmental meet.
    iii. by the NCS starter training coordinator.

- 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 after clinic attendance is registered).
- Each session must be documented on the On-Deck Apprenticeship Record and signed by the mentor and meet referee.
- After 4 sessions in the apprenticeship are completed and the apprentice has demonstrated "Satisfactory Performance" as determined by meet referee at last session, the apprentice will email a copy of their On-Deck Apprenticeship Record(s) to their NC-LSC Zone Representative and trainingcoordinator@ncswim.org.
    - "Satisfactory Performance" is defined by USA Swimming as "demonstrating the requisite knowledge of the applicable rules and satisfactorily performs the on-deck protocols and duties for the position.
    - Deficiencies for those who are not certified after completing apprenticeship sessions must be reported to the NCS Officials Chair, or designee. The Officials Chair will provide an Action Plan, in writing to the affected official (or apprentice) that if completed will provide for their future success.
- Once the NCS Officials Certifier verifies that the apprentice has met all requirements satisfactorily, they will upgrade the official into OTS as a certified Starter.
- The NCS Starter Training coordinator will notify the apprentice that he/she has completed the apprenticeship and is certified.
- Comment: *Once a person is certified as a starter they are encouraged to participate in as many meets as they can to gain experience and knowledge. This will allow those that run meets to have greater confidence in their ability to be a starter at needs of various levels.*

5.5.2 Recertification

- Requirements - To recertify as a North Carolina Swimming Starter, the official must complete the following:
    - Annually (calendar year)
        i. Renew their USA Swimming registration as a non-athlete member.
        ii. Maintain a current Level II background check
        iii. Maintain current athlete protection education requirements
    - Tri-annually (every 3 years)
        i. Work a minimum of eight (8) Sessions within a three (3) year period, as a Starter
        ii. Attend a Clinic (recommended to be Starter Clinic).
        iii. Pass USA Swimming recertification test every three years for the highest certification held.
        iv. Continue to demonstrate "Satisfactory Performance" at the Starter position.
        v. The Starter Recertification procedures recertify for Starter and Stroke and Turn.

5.6 Referee Certification

5.6.1 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. Training and certification policies align with those of USA Swimming.

5.6.2 Requirements

- Prerequisite
  - Non-athlete Member of USA Swimming.
  - Certified Stroke & Turn Official.
  - Certified Administrative Official.
  - Certified Starter
- Education
  - Complete the on-line USA Swimming Deck Referee Course and certification test, i.e., a clinic, prior to completing the apprenticeship.
  - Register your clinic attendance with NC Swimming at www.swimnc.com/officials-clinics/. While this step is not strictly required, registration of clinic completion ensures status as an apprentice is recorded in the USAS Officials Tracking System (OTS), and the apprentice receives the current On-Deck Apprenticeship Record. The registration form includes a mailing address section that enables recognition items to be sent upon completion of apprenticeship.
  - Satisfactorily complete the USA Swimming Referee Certification test, with a score of 80% or better.
- On Deck Training
  - Apprentice at a minimum of four (4) Training Session total at no less than two (2) USA sanctioned or approved swim meets with two (2) Trainers.
  - After each session, the trainer and /or meet referee 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 to apprentices upon registration of their on-line "clinic" or completion or USA Swimming membership registration).
  - Each session must be documented on the On-Deck Apprenticeship Record and signed by the trainer and meet referee.
- Certification
  - ALL CERTIFICATION REQUIREMENTS MUST BE COMPLETED WITHIN ONE YEAR OF THE CLINIC DATE.
  - After 4 sessions in the apprenticeship are completed and the apprentice has demonstrated "Satisfactory Performance" as determined by meet referee at last session, the apprentice will email a copy of their On-Deck Apprenticeship Record(s) to their NC-LSC Zone Representative and trainingcoordinator@ncswim.org.
    i. "Satisfactory Performance" is defined by USA Swimming as "demonstrating the requisite knowledge of the applicable rules and satisfactorily performs the on-deck protocols and duties for the position.
    ii. Deficiencies for those who are not certified after completing apprenticeship sessions must be reported to the NCS

Officials Chair, or designee. The Officials Chair will provide an Action Plan, in writing to the affected official (or apprentice) that if completed will provide for their future success.

- Once the NCS Officials Certifier verifies that the apprentice has met all requirements satisfactorily, they will upgrade the official into OTS as a certified Referee.
- Once certified, the official:
  i. is encouraged to participate in as many meets as they can to gain experience and knowledge. This will allow those that run meets to have greater confidence in their ability to be a starter at needs of various levels.
  ii. may work in any Referee role at any meet, except in meets classified as USA Swimming Championships (as defined by 102.10.5). This certification may not meet the requirements of serving as the required Administrative Referee.

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

- Work sixteen (16) Sessions, within a three (3) year period, at least eight (8) Sessions in any Referee position.
- Pass USA Swimming Referee recertification test every three (3) years.
- Attend a Clinic (recommended Referee) every three (3) years
- Continue to demonstrate "Satisfactory Performance" at the Starter position.

5.7 Open Water Official Certification

5.7.1 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.

5.7.2 Requirements

- Prerequisites
  - Open Water Judge:
    i. Successful completion of USA Swimming Open Water Judge test with a score of 80% or better prior to attending an Open Water Clinic
    ii. 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
    i. Successful completion of USA Swimming Open water judge and referee test with a score of 80% or better
    ii. Officials holding ST, SR, and/DR certifications within NCS:
      - ❖ Attend 1 OW event as a judge in previous 12 months

iii. Open Water Judge Officials (only):
- ❖ Attendance at 5 sanctioned OW events in previous 3 years

iv. Open Water Starter – Current NCS Stroke & Turn judge, Starter, or Referee

v. Open Water Referee – Currently certified as a NCS Referee

- OW Judge Apprenticeship Process:
  - Attend an NCS Open Water Clinic.
    - i. 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
    - ii. 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
    - iii. OW Meet Referee to notify Officials Chair or designee of successful completion of requirements after OW event.
    - iv. 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

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

5.7.4 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

5.7.5 References:
- USA Swimming Handbook, Part 7 “Open Water”
- NC Swimming Open Water Clinic Presentation

5.8 Transfers

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

5.8.2 Transferring to North Carolina Swimming General Requirements
- The Transferring Official (TO) must become a member of North Carolina Swimming.
- 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, Athlete Protection Training, and Concussion Protocol Training: The TO must have a current approved Level II Background Check and be current with Athlete Protection Training as required by USA Swimming before being assigned or working at any NCS sanctioned meets.

5.8.3 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.

5.8.4 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.

5.9 Re-Entry Policy

5.9.1 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.

5.9.2 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 or Administrative Official apprentice level and must follow the current policy and procedures outlined in the NCS Certification and Advancement program.

5.9.3 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 Training through USA Swimming.
    - Complete Concussion Protocol Training and forward certification of completion to NCS registrar.
    - Complete the appropriate USA Swimming on-line test with a score of 80% or better for their requested certification level(s) as listed:
        i. Stroke and Turn
            - ❖ Recertification-Stroke & Turn/Timer
        ii. Administrative Official
            - ❖ Recertification Administrative Official
        iii. Starter
            - ❖ Recertification-Starter
        iv. 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:
  i. One evaluation as a stroke and turn judge
  ii. 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:
  i. One session as an administrative official
  ii. One evaluation as a stroke and turn judge
  iii. 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.
  iv. 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.

5.10 YMCA Reciprocity

5.10.1 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.

5.10.2 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.
  - Complete Concussion Protocol Training and forward certification of completion to NCS registrar.
  - 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.

5.10.3 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.

5.11 Official De-Certification

5.11.1 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.

5.11.2 Reasons for Decertification

- 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.
- 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).
- 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

5.11.3 Process and Outcomes- Professional Qualifications

- 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:
    i. 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.
    ii. 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).

iii. 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.

- 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.

5.11.4 Process and Outcomes- Professional Misconduct

- 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.
- 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:
    i. 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);
    ii. 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;
    iii. 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;
    iv. To suspend the official, however, the suspension shall be accompanied by conditions the official must complete during the

suspension period, and

v. 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.

5.11.5 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.

5.11.6 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.

5.11.7 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.

5.11.8 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.

5.11.9 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.

5.12 Travel Reimbursement

5.12.1 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 approved USA Swimming National Championship Meet(s). This policy and the requirements are maintained by the North Carolina Swimming Officials committee.

5.12.2 Criteria - The NCS Officials Chair or designee will allocate funding from a predetermined travel budget for any NCS official participating at an approved USA Swimming National Championship 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 equivalent to the amount of funding provided for a participating athlete at the same meet according to the NCS travel fund rules and policies, prorated based on membership tenure, and subject to meet officiating requirements and any additional funding limits set forth in this policy.
- An individual must satisfy the requirements set forth in the NCS officials travel fund policy to be eligible for travel fund reimbursement.
- An individual may receive reimbursement for one meet per season (Winter Championship/Summer Championship), but the total funding may not exceed $1,200.00 during each NCS budget year. Officials may receive additional reimbursement beyond this limit for officiating at USA Swimming Olympic Trials.
- Reimbursement is not guaranteed.
- Officials whose travel expenses are being reimbursed by USA Swimming are not eligible for additional reimbursement from NCS for that meet.

5.12.3 Eligible USA Swimming National Championship Meets - Travel to these meets will be considered for funding:

- Winter Championship Season
  - USA Swimming Winter Junior Nationals
  - USA Swimming Winter Senior Nationals/US Open
- Summer Championship Season
  - USA Swimming Summer Junior Nationals
  - USA Swimming Summer Senior Nationals
  - USA Swimming Summer Senior Nationals/World Championship Trials
  - USA Swimming US Open
  - USA Swimming Open Water Nationals and Open Water Junior Nationals
  - USA Swimming Olympic Team Trials

5.12.4 Reimbursements Level and Meet Eligibility

- Maximum reimbursement levels for each meet will be those currently in effect for NCS athletes participating in the same meet.
- NCS reimbursement is not available for:
  - USA Swimming meets not listed in this policy.
  - any for non-USA Swimming events.

5.12.5 Funding Eligibility and Proration

- Reimbursement will only be available for officials who are members of and certified with NCS for the registration year during which the eligible USAS National Championship Meet occurs.
- Officials requesting reimbursement must;
  - have been accepted to officiate at one of the approved USA Swimming National Championship Meets listed in this policy,
  - travel to the meet, and
  - officiate at all sessions.

- Officials must have officiated at a minimum of four meets hosted by NCS clubs in the 12 months prior to the meet for which reimbursement is requested.
- Official must have officiated at a minimum of one NCS Championship or NCS-hosted Sectional meet in the 12 months prior to the meet for which reimbursement is requested.
- Reimbursement Proration is as follows:
  - Full funding will be available for officials holding NCS registration for a minimum of the three consecutive years prior to the eligible competition.
  - 2/3 funding will be available for officials holding NCS registration for two consecutive years prior to the eligible competition.
  - 1/3 funding will be available for officials holding NCS registration for one year prior to the eligible competition.
  - Officials that were not registered with NCS in the year prior to the eligible competition are not eligible for funding.

5.12.6 Payment Process

- 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 following the meet.
- Participation and eligibility will be confirmed via OTS.
- Each person receiving funding agrees to work as a mentor/evaluator at the request of the NCS Officials Chair at least once in the year following the reimbursed meet at a designated OQM meet or other educational activity in NC.
- All reimbursements amounts are subject to change without notice and will not exceed funding provided for an athlete according to the NCS Travel Fund rules.

5.13 Radio Use

5.13.1 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.

5.13.2 The following conditions must be met:

- The meet referee must make request via email to the official's 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.

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5.13.3 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.

5.14 Election of NCS Officials Chair

5.14.1 Eligibility:

- Any NCS registered officials certified for at least one year as a referee in North Carolina is eligible.

5.14.2 Process:

- The election of the Official Chair shall be conducted during the officials meeting at the Fall HOD or, failing that, at a time and place and in a manner designated by the Board of Directors.
- The official's committee shall nominate at least one candidate for election.
- Nominations can be made from the floor by any NCS registered certified official. Nominees from the floor must be present to accept the nomination.
- Any NCS registered and certified official present, may vote for the official's chair
- The candidate must be elected by more than 50% of those casting votes.

5.14.3 Replacement:

- If the Official Chair resigns or no longer meets the eligibility requirements, the officials committee shall elect a replacement to complete the term subject to the eligibility requirements.

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.