



USATT Gifts and Entertainment Policy

1. Purpose

USATT is committed to sustaining an ethical workplace free of conflicts of interest and perceived conflicts of interest. USATT therefore has adopted this Gifts and Entertainment Policy to provide instruction to USATT employees, board members, corporate officers, committee members, task force members, hearing panel members, and volunteers regarding how to handle offers of gifts or other forms of entertainment from individuals or companies that do business with, or are interested in doing business with USATT. Additionally, it provides instruction on USATT extending gifts to third parties.

This policy should not be considered in any way as an encouragement to make, solicit or receive any type of gift or entertainment. Indeed, USATT employees, board members, corporate officers, committee members, task force members, hearing panel members, and volunteers may not, under any circumstances, actively solicit any type of gift or entertainment. Further, USATT will not under any circumstances permit or authorize participation in any business gifts or entertainment that might be considered lavish, inappropriate or illegal. The only permitted gifts or entertainment are those outlined in this policy, and those gifts or entertainment must be properly disclosed.

2. Applicability of Policy

This Gifts and Entertainment Policy is applicable to all USATT employees, board members, corporate officers, committee members, task force members, hearing panel members, contractors, and volunteers, as well as their spouses and immediate family members ("Affiliated Individuals").

3. Non-Gifts

The following items/scenarios do not constitute a reportable gift or entertainment under this policy:

- a) Any item or event which is available to the general public and the Affiliated Individual pays fair market value for;
- b) Promotional items that are provided to all attendees at an event or items of nominal value (less than \$25.00 retail value);
- c) A gift or invitation extended by a relative or provided by an individual on the basis of personal friendship; individuals subject to this policy must be mindful of gifts and invitations based on friendship as opposed to gifts and invitations provided based on one's role with USATT;
- d) An item which may be publicly displayed or shared among USATT employees, such as flowers or cookies; or
- e) Food and/or beverage provided as meal or refreshment at a business meeting or reception attended by an Affiliated Individual as part of their official responsibilities, provided such food and/or beverage is reasonable for the event.

4. Receiving Business Courtesies

a. Current Business Partners

Affiliated Individuals may accept gifts from individuals and companies that currently do business with, or make donations to [NGB] as follows:

- i. Partner/sponsor/supplier products and partner/sponsor/supplier-branded products (e.g., logoed jackets) with a value of up to \$1,000 per Affiliated Individual, per year, per individual/company;
- ii. Other gifts with a value of no more than \$100 per Affiliated Individual, per year, per individual/company;
- iii. Invitations for the Affiliated Individual to attend sporting events with an individual/company representative
 - a. Travel to and from such events may only be accepted to the extent approved in advance by [NGB's] Ethics Committee.

- iv. On an infrequent basis, invitations for a spouse or family member to join the Affiliated Individual at sporting events with an individual/company representative;
 - a. Travel to and from such events for the spouse or family member may only be accepted to the extent approved in advance by USATT's Ethics and Judicial Committee.
- v. Invitations to attend fundraising events with an individual/company representative at no cost to the Affiliated Individual;
- vi. Invitations to attend other social, educational, or entertainment events intended to enhance the business relationship, provided that the cost of the event does not exceed \$100 per Affiliated Individual, per event and \$400 total per Affiliated Individual per company, per year; and
- vii. Perishable or consumable gifts provided that the gift is reasonable and not unduly lavish.

b. **Prospective Business Partners**

Affiliated Individuals may accept gifts from individuals and companies that are not current business partners of [NGB] but that may or may not be seeking to engage in a business relationship with USATT as follows:

- i. Gifts with a value of not more than \$100 per Affiliated Individual, per year, per individual/per company;
- ii. Invitations for the Affiliated Individual to attend sporting events with an individual/company representative (but not travel to and from such events);
- iii. Invitations to attend fundraising events with an individual/company representative;
- iv. Invitations to attend other social, educational or entertainment events intended to promote the business relationship provided that the cost of the event does not exceed \$100 per Affiliated Individual, per event and \$200 total per Affiliated Individual, per individual/company, per year.

c. **Limitations**

Affiliated Individuals may accept gift certificates within the limits set forth in this policy, but may never accept cash or financial instruments, such as checks or stocks, in any amount from any source.

d. **Disclosure and Approval**

Affiliated Individuals must promptly disclose any and all gifts or invitations received in their capacity as an employee or representative of USATT to the Compliance Officer (Mark Thompson – Mark.Thompson@usatt.org / 719-329-4200]. Where the gift or invitation is made to the Compliance Officer, the requisite disclosure must be made to the Ethics Committee.

The disclosure should be in writing and set out all relevant information, including the nature of the proposed gift and the title of and relationship with the person proffering the gift.

Prior to accepting invitations or gifts that include travel and/or overnight accommodations, written approval must be received from the USATT Compliance Officer. In the case of the Compliance Officer's request for approval, such approval must be received from the Ethics and Judicial Committee.

In the event that an Affiliated Individual receives a gift that exceeds the permissible limits, but is concerned that returning the gift may appear discourteous or it is not reasonably possible to refuse the acceptance of the gift (e.g., an anonymous gift, a gift being delivered by a third-party courier to the Affiliated Individual's office), the Affiliated Individual must provide the gift to the USATT Compliance Officer. The receipt of these surrendered gifts, which will be donated to USATT or another designated charity, will be logged by the USATT Compliance Officer.

The Ethics and Judicial Committee and the USATT Compliance Officer may, in consultation with the Affiliated Individual, to require that any gift(s) be surrendered and donated to USATT or another agreed-upon charity if the Ethics Committee or the USATT Compliance Officer believes that such gift(s) is not proper and/or creates an appearance of impropriety.

5. Extending Business Courtesies

- a. **Current or Prospective Business Partners**

There may be times when an Affiliated Individual wishes to extend a gift or an invitation to attend a social event (e.g., reception, meal, sporting event, or theatrical event) to further or develop a business relationship.

In such instances, gifts may not exceed \$100 in value per person, per year, without the prior written approval of the USATT Compliance Officer and/or the Ethics and Judicial Committee.

Invitations to events must be reasonable and appropriate. Topics of a business nature must be discussed at the event, and the Affiliated Individual must be present. The cost associated with such an event should not exceed \$100 per person/company per year, except with regard to sporting events and fundraising functions, without the prior written approval of the USATT Compliance Officer. Moreover, such business entertainment with respect to any particular individual must be infrequent, which, as a general rule, means not more than four (4) times per calendar year. Any business entertainment in excess of this standard must be approved in writing by the USATT Compliance Officer.

All such gifting and business entertainment must comport with the code of conduct or code of ethics of the recipient's organization.

USATT employees or Board members may give gift certificates within the limits set forth in this policy, but may never give cash or financial instruments, such as checks or stocks.

b. Government Employees

The giving of gifts to federal, state, and local government employees is governed by a complex set of rules that is typically agency-specific. Generally, the giving of gifts to government employees is very limited or prohibited. Before offering a gift to a government employee, of any value, you must receive the approval of the USATT Compliance Officer in advance and in writing.

c. Disclosure And Approval

All gifts or invitations offered by an Affiliated Individual must be covered by the appropriate USATT budget and must be approved in advance by the appropriate the USATT supervisor.

Any potential gifts or invitations extended that exceed the limits and/or parameters noted above must be disclosed to, and approved in advance and in writing by, the USATT Compliance Officer before they may be offered.

The disclosure should be in writing and set out all relevant information, including the nature of the proposed gift and the title of and relationship with the person to whom the gift is proffered.

6. Policy Violations

Violations of this policy may be reported to USATT by the processes outlined in the USATT Whistleblower Policy. Violations will be referred to the Ethics and Judicial Committee and subject to appropriate disciplinary action, up to and including termination of employment.

7. USATT Point of Contact

If an Affiliated Individual is unsure of any of the requirements set forth in this policy or has questions regarding a specific situation related to gifts and entertainment, they should contact the USATT Compliance Officer, Mark Thompson (Mark.Thompson@usatt.org / 719-329-4200).

*** NOTE USATT GIFT DISCLOSURE FORM***

USATT GIFT DISCLOSURE FORM

Please complete this form immediately upon receipt of gifts received in your capacity as an employee or representative of USATT.

NAME: _____

TITLE (Relationship with USATT) : _____

Describe the gift(s) received:

- The value of the gift is estimated at \$_____. Note: This is a good faith estimate based on retail value. If the value cannot reasonably be estimated or determined, so state.

- Please describe the source of the gift (name and relationship to [NGB]) and under what circumstances it was received:

- Current business partner: _____

- Prospective business partner: _____

- Other: _____

- Indicate below any matters pending or likely to arise in the future that might involve the donor: _____

Certification: I certify that this gift was not solicited.

SIGNATURE: _____

DATE: _____

Send this completed form to: USATT Compliance Officer Mark Thompson (Mark.Thompson@USATT.org).

Every person—including athletes, employees, board members and officers, members, committee members, task force members, hearing panel members, volunteers, and others affiliated with USATT—has the right to report concerns and alleged violations in a way that is comfortable for them and cooperate in any investigations that follow without fear of retaliation for reporting or speaking to USATT or any other entity about USATT.