

USOPC NGB AUDIT

USA SWIMMING

ADDENDUM REPORT

March 2, 2023

EXECUTIVE SUMMARY

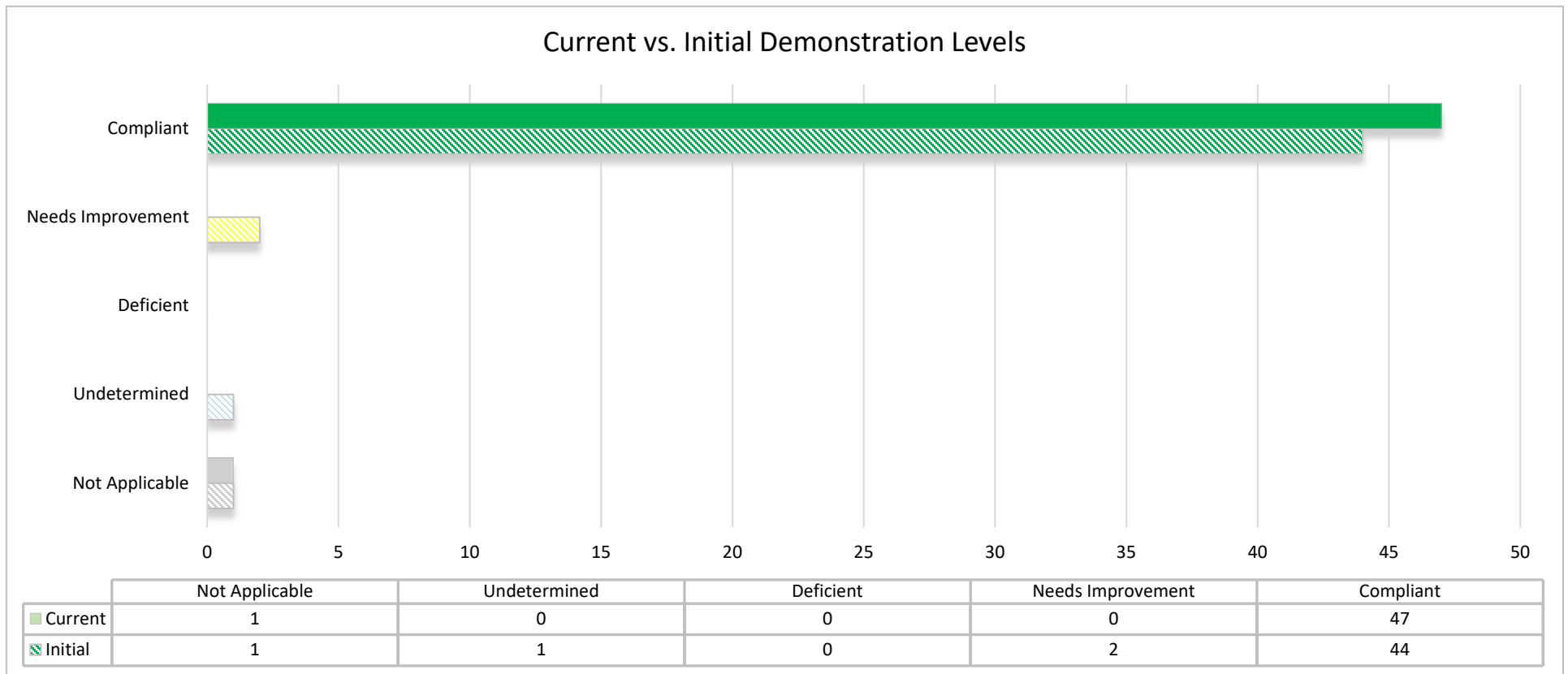
Background, Scope, and Objectives

The United States Olympic & Paralympic Committee’s (USOPC) NGB Audit department (Audit) completed an audit of USA Swimming on July 6, 2022. The purpose of the audit was to determine if USA Swimming complies with the requirements of the NGB Compliance Standards (Standards) and to conduct testing in areas that present an increased risk to athletes, other members, and/or USA Swimming. The audit focused on the policies and procedures in the areas of Governance and Compliance, Financial Standards and Reporting Practices, Athlete Protections and Rights, Sport Performance, and Operational Performance.

Following the audit, NGBs have 120 days, unless otherwise specified, to provide evidence of remediation to Audit. Based on the evidence provided, Audit has assigned a Follow-up Demonstration Level¹ of Compliant, Needs Improvement, or Deficient. Details are provided in the findings below.

DEMONSTRATION LEVEL COMPARISON

The below charts present the updated distribution of compliance demonstration levels. For further detail not provided in this addendum report, please refer to the Audit report posted on TeamUSA.org.



¹See Appendix A

Follow-up Summary

Based on the evidence of remediation provided, USA Swimming is compliant with all applicable Standards. Additional details are outlined below.

Subsequent Updates

In the report issued in July 2022, one Standard was pending a determination status, updates are as follows:

Child Protection and US Center for SafeSport – C.1 a and C.2

The U.S. Center for SafeSport (the Center) issued an audit report for USA Swimming on January 5, 2022, which contained findings. USA Swimming received a closure letter on February 7, 2023, from the U.S. Center for SafeSport stating corrective action was taken and is compliant with this standard.

NGB AUDIT FINDINGS - FOLLOW-UP STATUS

All Standards are evaluated against the 2022 Implementation Guide for Audit Standards. Bylaws references are based on the USOPC Bylaws approved in March 2021.

GOVERNANCE AND COMPLIANCE

Needs Improvement		
1	Athlete Representation – A.1 a & b	Management Action Plan
	<p>FINDING: While USA Swimming meets requirements in practice, the bylaws or relevant documents do not include the following:</p> <p>A requirement that at least 50% of board and House of Delegates athlete representatives must have obtained eligibility through competing at an event that is on the Delegation Event program.</p> <p>In addition, the bylaws or relevant documents do not state that for every designated committee, at least 50% of the athletes must meet the definition of a 10-year athlete.</p>	<p>USA Swimming updated its bylaws and rulebook to explicitly state the missing athlete representation requirements. The documents will be voted on by the Board of Directors and the House of Delegates on July 18, 2022, and September 24, 2022, respectively.</p> <p>Additionally, the composition requirements for a few designated committees have been updated in the operating policy manual.</p> <p>A copy of the updated bylaws, rulebook, and operating policy manual has been provided to NGB Audit.</p> <p>Due Date: September 24, 2022</p>
Follow-up Level: Compliant		
USA Swimming updated the bylaws and operating policy manual to meet the requirements and is now compliant.		

FINANCIAL STANDARDS AND REPORTING PRACTICES

USA Swimming had no findings in the area of Financial Standards and Reporting Practices.

ATHLETE PROTECTION AND RIGHTS

USA Swimming had no findings in the area of Athlete Protection and Rights. Please see “Subsequent Updates” above for the determination status on Child Protection and US Center for SafeSport (Standards C.1 a and C.2).

SPORT PERFORMANCE

USA Swimming had no findings in the area of Sport Performance.

OPERATIONAL PERFORMANCE

Needs Improvement		
2	Grievance Procedure – E. 4 a & b	Management Action Plan
	FINDING: There are elements missing from USA Swimming’s National Board of Review Procedures in the following areas: types of grievances, manner of filing the complaint, and administration of the grievance.	USA Swimming updated its National Board of Review Procedures to include the missing elements. A copy of the updated procedures has been provided to NGB Audit.
	Follow-up Level: Compliant	
	USA Swimming updated the National Board of Review Procedures to include the missing elements and is now compliant.	

We would like to thank the USA Swimming staff for their cooperation throughout the audit process.

APPENDIX A – DEMONSTRATION LEVEL DEFINITIONS

Compliant	The NGB, through its written policies and procedures as well as its execution of those policies and procedures, mostly demonstrates that it is meeting the elements of the standard.
Needs Improvement	The NGB, through its written policies and procedures, as well as its execution of those policies and procedures, demonstrates that it meets many elements of the standard, but changes or improvements are necessary to fully meet the standard.
Deficient	The NGB, through inadequate written policies and procedures and/or poor execution of those policies and procedures, demonstrates that it is not meeting several elements of the standard.
Not applicable/ undetermined	Not applicable indicates the standard does not apply to the NGB and will not be evaluated. Undetermined indicates a reason a determination cannot be made at this time; however, the standard will be evaluated at a later date. Additional details are provided as necessary.