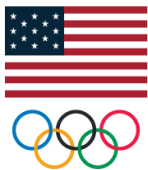




**Certification Renewal Recommendation Report for
USA Basketball**

September 14, 2022



**UNITED STATES
OLYMPIC & PARALYMPIC
COMMITTEE**



USA Basketball Certification Renewal Executive Summary

In May 2022, the United States Olympic and Paralympic Committee (USOPC) Certification Review Group (CRG), in accordance with the USOPC's NGB Certification Policy, began a certification renewal review of USA Basketball¹. The CRG evaluated USA Basketball and, based on input from CRG members and the results of NGB Audit's 2021 report², recommends a certification status of Renewal in Good Standing.

The CRG's review of USA Basketball found that the organization is meeting the USOPC's NGB Compliance Standards in the five core areas of evaluation for certification: Governance and Compliance, Financial Standards and Reporting Practices, Athlete Protections and Rights, Sport Performance, and Operational Performance. NGB Audit's 2021 Compliance Audit identified few areas where USA Basketball was not yet fully meeting the USOPC's NGB Compliance Standards, and USA Basketball resolved areas of concern well within NGB Audit's remediation period and by the time of the CRG review.

CRG members agreed that USA Basketball is presently meeting the requirements and expectations for an NGB. In its discussions of USA Basketball's interactions with the USOPC, the CRG did not identify any operational concerns or cultural issues that would prevent the organization's continued certification. Overall, in the areas in which CRG members had interacted with USA Basketball, the CRG had a favorable view of USA Basketball's operations.

As a result of this review, the CRG recommends that USA Basketball be granted a certification status of Renewal in Good Standing for a four-year certification term ending in 2026.

¹ See Appendix for more information about the certification process, including a link to the NGB Certification Policy.

² [NGB Audit Report](#) and [NGB Audit Addendum Report](#).



Organizational Overview

USA Basketball is the USOPC-certified NGB for basketball and is recognized as the U.S. representative to the International Basketball Federation (FIBA). USA Basketball is responsible for “the selection and training of U.S. teams that compete in FIBA-sponsored international basketball competitions, as well as for some national competitions, and for the development of youth basketball initiatives that address player development, coach education and safety.”³ USA Basketball is made up of five constituent member categories: professional, collegiate, scholastic, youth, and associate. The NGB is staffed with over thirty full-time employees and is headquartered in Colorado Springs, Colorado.

Certification History

USA Basketball was originally certified in January 2021⁴. The CRG’s certification review was initiated based on the USA Basketball’s scheduled quadrennial certification review. USA Basketball’s certification status has not been referred for review outside of the standard NGB certification review schedule.

Certification Exceptions⁵

USA Basketball did not request any exceptions from the NGB Compliance Standards during its certification review.

Athlete Representation Approval and Exceptions⁶

USA Basketball has not requested any approvals or exceptions from the Athlete Representation Review Working Group (ARRWG) to date.

Certification Review^{7,8}

Governance and Compliance

The CRG determined that USA Basketball is fulfilling all the Governance and Compliance-related responsibilities for an NGB. USA Basketball has adopted and enforces a code of conduct, conflict of interest policy, and gifts and entertainment policy, has made these policies publicly available on its website, and has defined procedures to address violations of these policies. In addition, USA Basketball has not been the subject of any compliance-related complaints filed in the USOPC Integrity Portal or with the Dispute Resolution Unit in the last four years.

NGB Audit found that USA Basketball’s conflicts of interest policy did not include some elements required by the NGB Compliance Standards. USA Basketball revised its policy to include the missing elements and the policy now fully meets the NGB Compliance Standards.

NGB Audit also conducted testing of the organization’s conflict of interest disclosure and review process, which fully meets the NGB Compliance Standards. Management demonstrated that USA Basketball’s

³ [About USAB](#)

⁴ Refer to the Appendix for additional details on the initial certification.

⁵ Refer to the Appendix for details on exception requests to the NGB Compliance Standards.

⁶ Refer to the Appendix for details on athlete representation exception requests.

⁷ Refer to the Appendix for additional details on the review standards and process for information related to NGB Audit’s Report on the USAB.

⁸ CRG members from Athlete Services reached out to athlete representatives from USA Basketball for feedback but did not receive a reply.



Ethics Committee reviews all disclosure forms and works with committee and board members to update and document conflicts of interest.

Financial Standards and Reporting Practices

The CRG determined that USA Basketball demonstrates financial operational capability to administer its sport and is financially and operationally transparent, maintaining accountability to its members and to the USOPC.

In the 2021 Compliance Audit, NGB Audit found that USA Basketball needed to include additional details in its financial policies to outline the organization's financial controls to fully meet the NGB Compliance Standards. To remediate the finding, USA Basketball added financial controls details to its financial policies and procedures to reflect the existing workflow related to the accounts receivables process. NGB Audit reviewed the revised policies and concluded that USA Basketball fully met the USOPC's NGB Compliance Standards.

Athlete Protection and Rights

USA Basketball maintains and enforces an athlete safety program consistent with the requirements of relevant federal law, as well as with the policies and standards of the USOPC and the U.S. Center for SafeSport (the Center). It also maintains an anti-doping program consistent with the requirements of the USOPC and the U.S. Anti-Doping Agency.

The USOPC is not aware of any cases it has received in the past four years concerning USA Basketball that should have been reported to the Center but were not reported in accordance with the Center's reporting requirements. For its part, the USOPC has reported all matters to the Center relating to USA Basketball that the USOPC was required to report.

In 2021, the Center conducted its most recent Administrative Audit of USA Basketball's implementation of policies required by the Center's SafeSport Code and Minor Athlete Abuse Prevention Policies that resulted in findings and direction for corrective actions. Specifically, USA Basketball was required to "implement effective procedures to communicate their MAAPP, Education and Training policies, and reporting mechanism to USAB staff and board members on an annual basis."⁹ Furthermore, USA Basketball was required to "update its written policy to endure that it meets...the Center's minimum education and training requirements."¹⁰ USA Basketball took action to resolve the Center's findings and the Center confirmed USA Basketball's full compliance as of April 2022.¹¹

NGB Audit found that USA Basketball's athlete agreements did not list criteria to obtain services or outline the commitments that the organization provides to athletes as required by the NGB Compliance Standards. USA Basketball added an appendix to its athlete agreements that includes details on basic services, additional services, and commitments the NGB provides to athletes. The revised athlete agreements fully meet the NGB Compliance Standards, and the issue is resolved.

Sport Performance

USA Basketball is fulfilling its obligations in Sport Performance. The organization maintains and executes on a strategic plan that supports athletes in achieving sustained competitive excellence and grows the sport. USA Basketball established clear selection procedures and executed them effectively to name and train Team USA athletes for Delegation Events.

⁹ [U.S. Center for SafeSport Administrative Audit Report – USA Basketball](#), December 8, 2021.

¹⁰ *Id.*

¹¹ [U.S. Center for SafeSport Corrective Actions Update – USA Basketball](#), April 4, 2022.



Operational Performance

The CRG determined that USA Basketball is meeting all requirements for Operational Performance. The organization demonstrates managerial capability to administer its sport, keeps current insurance policies, demonstrates financial sustainability, maintains grievance procedures, and enforces a whistleblower and anti-retaliation policy.

USA Basketball developed a 2021-2024 Diversity, Equity, and Inclusion (DE&I) Action Plan that it is executing to grow the sport. USA Basketball submitted its action plan to the USOPC with sufficient detail, meeting the NGB Compliance Standards. The action plan includes six objectives with details relating to specific initiatives, target groups, timelines, and success measures. The objectives include ensuring accurate data is collected for DE&I reporting and program strategy, celebrating the 50th anniversary of Title IX and women's contributions to the sport of basketball, engaging women and girls in emerging disciplines (3x3 and E-Sports), increasing the pipeline, pool and retention of officials, supporting the USA Basketball Foundation, and continuing its investment in staff to increase cohesion and inclusivity.

Conclusion

The CRG concluded that USA Basketball is performing satisfactorily overall based on input from the CRG members and the results of the NGB Audit team's 2021 Compliance Audit. USA Basketball remediated all identified deficiencies and there are no outstanding areas of concern affecting its certification status. Accordingly, the CRG recommends that USA Basketball's certification as a member organization of the USOPC be renewed with a status of Renewal in Good Standing.



Appendix

Certification Renewal Process

The USOPC believes in a culture of strong governance, ethics, and compliance among the NGBs that, as member organizations of the USOPC, make up the Olympic and Paralympic movement. Recent amendments to the Ted Stevens Olympic and Amateur Sports Act, which became effective in late 2020, require the USOPC to certify NGBs.¹² The USOPC determined that as of January 1, 2021, all member organizations would be certified, and their certifications would be reviewed for renewal on a rolling basis every four years.¹³

Governed by the USOPC's [Certification Renewal Policy](#), the NGB certification review process is supported by a cross-functional body of professionals at the USOPC, the Certification Review Group (CRG), who interact with NGBs in their day-to-day work. These professionals evaluate an NGB's operations across multiple functional areas to provide a holistic review of an NGB's performance and culture.¹⁴ In addition to enumerated standards for NGB performance described in the Act, the Bylaws, and the USOPC's [NGB Compliance Standards](#), the CRG considers departmental observations about an NGB's operations that may not be identified in a formal audit scenario but are relevant to consider when evaluating an NGB's overall performance.

Certification Standards, Exceptions, and Review Components

As described in Section 8.4.1 of the [USOPC Bylaws](#), NGBs must satisfy certification requirements in five core areas: Governance and Compliance, Financial Standards and Reporting Practices, Athlete Safety, Sport Performance, and Operational Performance. The USOPC Implementation Guide for NGB Compliance Standards provides NGBs with specific guidance for how they will be evaluated in each of these core areas.

Section 8.4.2 of the USOPC Bylaws permits an NGB to submit a request for limited exceptions to any of the NGB Compliance Standards which, as a result of its overall structure or other extenuating circumstances, cannot or need not be reasonably met. The CRG evaluates all requests received and grants or denies such limited exceptions.

Various provisions of Section 8.5 of the USOPC Bylaws permit NGBs to seek exceptions related to minimum athlete representation requirements on boards and designated committees as well as exceptions or additions to which of its committees are considered designated committees. The Athlete Representation Review Working Group evaluates and approves or denies all requests made under Section 8.5.

¹² See §220521(a) of the Ted Stevens Olympic and Amateur Sports Act.

¹³ NGB Certification Policy, Section 1.

¹⁴ The CRG uses a four-year lookback period during this review process.