

UNITED STATES
OLYMPIC & PARALYMPIC
COMMITTEE



NGB Compliance Audit

USA Roller Sports

June 11, 2024

Executive Summary

Background, Scope, and Objectives

The United States Olympic & Paralympic Committee's (USOPC) NGB Audit department (Audit) completed an audit of USA Roller Sports. The purpose of the audit was to determine if USA Roller Sports complies with the requirements of the NGB Compliance Standards (Standards), effective January 1, 2023, and to conduct testing in areas that present an increased risk to athletes, other members, and/or USA Roller Sports. The audit focused on the policies and procedures noted in the Standards in the following sections: Governance and Compliance, Financial Standards and Reporting Practices, Athlete Protections and Rights, Sport Performance, and Operational Performance. This is the first time the USOPC has performed an audit against the Standards.

Audit Summary

Overall, Audit concluded that USA Roller Sports has met 37 of 41 applicable Standards. There are no significant concerns. Additional details are in the findings below.

NGB Audit Findings

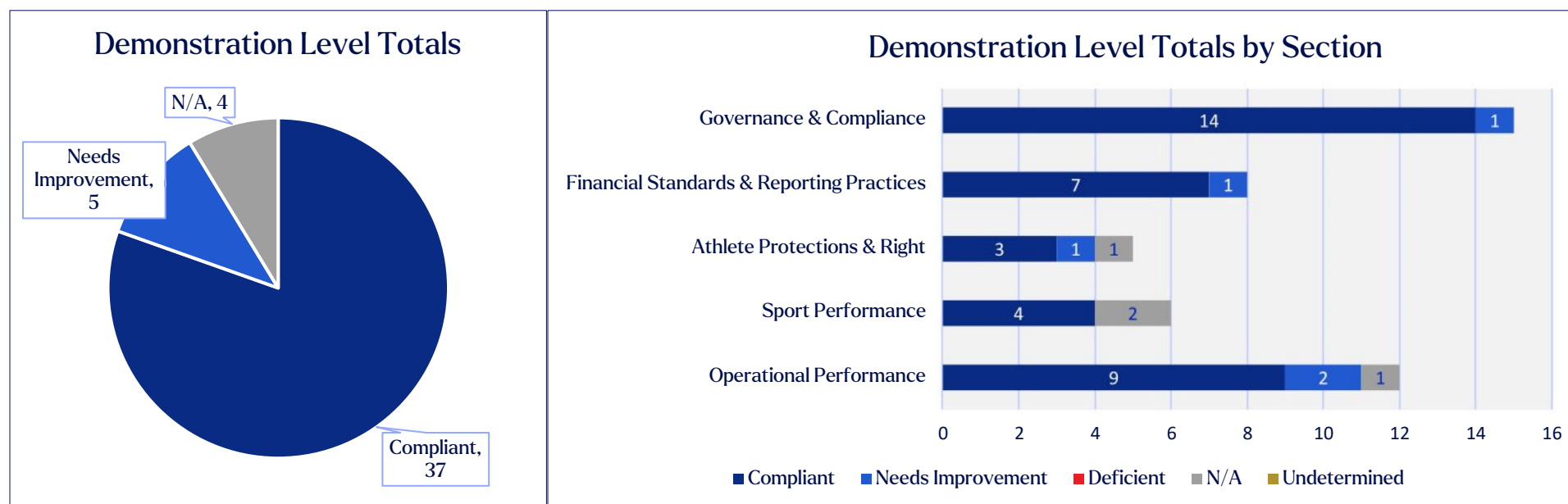
All Standards are evaluated against the 2023 Implementation Guide for Compliance Standards (Implementation Guide). References to the USOPC Bylaws are based on the version approved in March 2021.

Select policies and procedures were reviewed to determine compliance with the Standards. The evaluation of and conclusion for each standard was based on the criteria met and the results of any testing. The definitions of the demonstration levels are below, with additional guidance for each standard detailed in the Implementation Guide. Findings and demonstration levels for each standard are detailed on the subsequent pages.

Compliance Demonstration Level Definitions

Compliant	The NGB, through its written policies and procedures and 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 and 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.

Overall Demonstration Levels Summary



Governance and Compliance

NGB Compliance Standards Section A				
Title	Standard	Compliant	Needs Improvement	Deficient
Athlete Representation	A.1 a & b		X	
Independent and Affiliate Representation	A.1 c	X		
International Federation Affiliation	A.1 d	X		
Membership Requirements	A.1 e	X		
Athlete Advisory Council	A.2 a	X		
Board Governance	A.3 a	X		
Board Development	A.3 b	X		
Board Meeting Minutes	A.3 c	X		
Board Roster	A.3 d	X		
IRS Status	A.4 a	X		
Code of Conduct	A.5 a	X		
Conflicts of Interest Policy	A.6 a	X		
Gifts and Entertainment Policy	A.6 b	X		
NGB Annual Reports	A.7 a - c	X		
Ombuds' Policy	A.8 a	X		
Total		14	1	0

Needs Improvement		
1	Athlete Representation	Management Action Plan
	<p>A.1 a & b:</p> <p>a. NGB must have at least 33.3% athlete representation on its board of directors as required by the Act §220522(13) and further defined by the USOPC Bylaws, Section 8.5.3.</p> <p>b. NGB must have at least 33.3% athlete representation on all Designated and Other Committees as required and defined by the USOPC Bylaws, Section 8.5.4 and 8.5.5.</p> <p>FINDING: USA Roller Sports had one designated committee and one other committee that did not have the 33.3% athlete representation as required.</p>	<p>USA Roller Sports will ensure all committees have the correct representation by eligible athletes.</p> <p>Due Date: October 9, 2024</p>

Financial Standards and Reporting Practices

NGB Compliance Standards Section B				
Title	Standard	Compliant	Needs Improvement	Deficient
Financial Stability	B.1 a	X		
Financial Policies & Procedures	B.1 b	X		
USOPC Funding	B.1 c	X		
Financial Reporting to Board	B.1 d		X	
Board-Approved Budget	B.2 a	X		
Accounting Practices	B.2 b	X		
NGB Provided Documents	B.3 a	X		
NGB Website Information	B.4 a, b & c	X		
Total		7	1	0

Needs Improvement		
2	Financial Reporting to the Board	Management Action Plan
	<p>B.1d: NGB Management must provide financial reports to its board, at least three times per year, and confirmation of discussion must be included in board meeting minutes. NGB must provide financial information and documents as reasonably requested by board members.</p> <p>FINDING: USA Roller Sports provides up-to-date financial reports and appropriately documents discussion about financials in the minutes. However, USA Roller Sports did not provide support for one of the three financial reports required to be provided to the Board in the most recent 12 months.</p>	<p>USA Roller Sports will provide financial reports at least three times per year to the Board. The three reports will be provided at the Fall Board meeting, at the end of the calendar year (December) and at the Spring Board meeting. In addition, all financial information will be provided with adequate time to review prior to the board meetings.</p> <p>Due Date: April 30, 2025</p>

Athlete Protection and Rights

NGB Compliance Standards Section C				
Title	Standard	Compliant	Needs Improvement	Deficient
Child Protection and US Center for SafeSport	C.1 a and C.2 a	X		
USOPC Athlete Safety Requirements	C.3 a		X	

Anti-Doping Policies	C.4 a	X		
Anti-Doping Policy Language	C.4 b	X		
Athlete Agreements	C.5 a	N/A		
Total		3	1	0

Needs Improvement		
3	USOPC Athlete Safety Requirements	Management Action Plan
Policy	<p>C.3 a: NGB must ensure compliance with policies and standards including but not limited to:</p> <ul style="list-style-type: none"> i. USOPC's NGB Athlete Safety Policy ii. Responsible Sport Organization Background Check Policy <p>FINDING: USA Roller Sports' athlete safety and background check policies largely meet the requirements listed, however minor updates are required to fully comply with USOPC policies.</p>	<p>USA Roller Sports has submitted its updated Background Check Policy to NGB Audit, which will be reviewed during the remediation period.</p>
Application	<p>FINDING: USA Roller Sports is consistently following its athlete safety and background check policies. However, there were two isolated instances of incomplete background checks for required individuals.</p>	<p>All last-minute changes to athletes, coaches, officials and medical will go through a double verification process to ensure the participants meet the background screening requirements.</p> <p>All athletes and alternates, training partners, and guides 18 years of age or older who are selected to participate in national or international teams will be required to complete a background screening through NCSI.</p> <p>Due Date: July 31, 2024</p>

Sport Performance

NGB Compliance Standards Section D				
Title	Standard	Compliant	Needs Improvement	Deficient
Selection Procedures and Process	D.1 a & b	X		
Delegation List Submission	D.2 a	X		
High-Performance Plan Submission	D.3 a	N/A		
Event Sanctioning	D.3 b	X		
Paralympic Classification	D.3 c	N/A		

International Federation Standing	D.4 a	X		
Total		4	0	0

Operational Performance

NGB Compliance Standards Section E				
Title	Standard	Compliant	Needs Improvement	Deficient
Managerial and Board Capability	E.1 a	X		
Insurance Coverage	E.2 a	X		
Revenue Diversification	E.3 a	X		
Grievance Procedure	E.4 a & b		X	
Whistleblower and Anti-Retaliation Policy	E.5 a	X		
USOPC Trademark Protection	E.6 a - d	X		
Diversity and Inclusion Reporting	E.7 a	X		
Equal Pay for Team USA	E.7 b	X		
Equal Opportunity Policies and Training	E.7 c	X		
Para Inclusive Sport Programs	E.7 d	N/A		
Strategic Planning	E.8 a		X	
USOPC Policy Compliance	E.9 a	X		
Total		9	2	0

Needs Improvement		
4	Grievance Procedure	Management Action Plan
	<p>E.4 a & b:</p> <p>a. NGB must provide prompt and equitable resolution of grievances as outlined in the Act §220522(14).</p> <p>b. NGB must provide fair notice and opportunity for a hearing to any amateur athlete, coach, trainer, manager, administrator, or official before declaring the individual ineligible to participate as outlined in the Act §220522(8).</p> <p>FINDING: Of the five grievance cases reviewed, the following issues were identified in one case:</p>	<p>USA Roller Sports will review its grievance and complaint process with its Compliance and Ethics Committee and USA Roller Sport staff to ensure all steps are followed and adhered to in accordance with the policy. In addition, USA Roller Sports will retain all supporting documentation of the grievance and complaint process for all future cases.</p> <p>Due Date: October 9, 2024</p>

	<p>USA Roller Sports was unable to provide supporting evidence to show the complaint had been properly communicated to the respondent within 14 business days as required by the USA Roller Sports Grievance Procedures.</p> <p>USA Roller Sports did not resolve the complaint in a timely manner as required by the USA Roller Sports Grievance Procedures.</p>	
5	Strategic Planning	Management Action Plan
	<p>E.8 a: NGB must maintain and monitor the execution of an organizational strategic plan, in addition to a high-performance plan.</p> <p>FINDING: USA Roller Sports has a board-approved draft strategic plan and includes organizational initiatives distinct from high-performance plan initiatives. However, while progress against the plan is monitored, it is not formalized or well-documented against several of the measurable outcomes identified in the plan. Additionally, the plan is still in draft form.</p>	<p>USA Roller Sports will finalize the strategic plan and obtain board approval. In addition, USA Roller Sports will establish a process for board updates on the progress against the strategic plan's measurable outcomes.</p> <p>Due Date: October 9, 2024</p>

Findings in this report are currently in remediation. A closure letter will be issued once all findings have been remediated.