

UNITED STATES
OLYMPIC & PARALYMPIC
COMMITTEE



NGB Compliance Audit

US Equestrian Federation

February 2, 2026

Executive Summary

Background, Scope, and Objectives

The United States Olympic & Paralympic Committee's Audit department (Audit) completed an audit of US Equestrian Federation (USEF). The purpose of the audit was to determine if USEF complies with the requirements of the NGB Compliance Standards (Standards), effective January 1, 2025, and to conduct testing in areas that present an increased risk to athletes, other members, and/or USEF. 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.

Audit Summary

Overall, Audit concluded that USEF has met 24 of 27 applicable Standards and did not identify any significant concerns. Compliance with financial standards and reporting practices and operational performance was determined to be strong. Additional details are in the findings below.

NGB Compliance Audit Findings

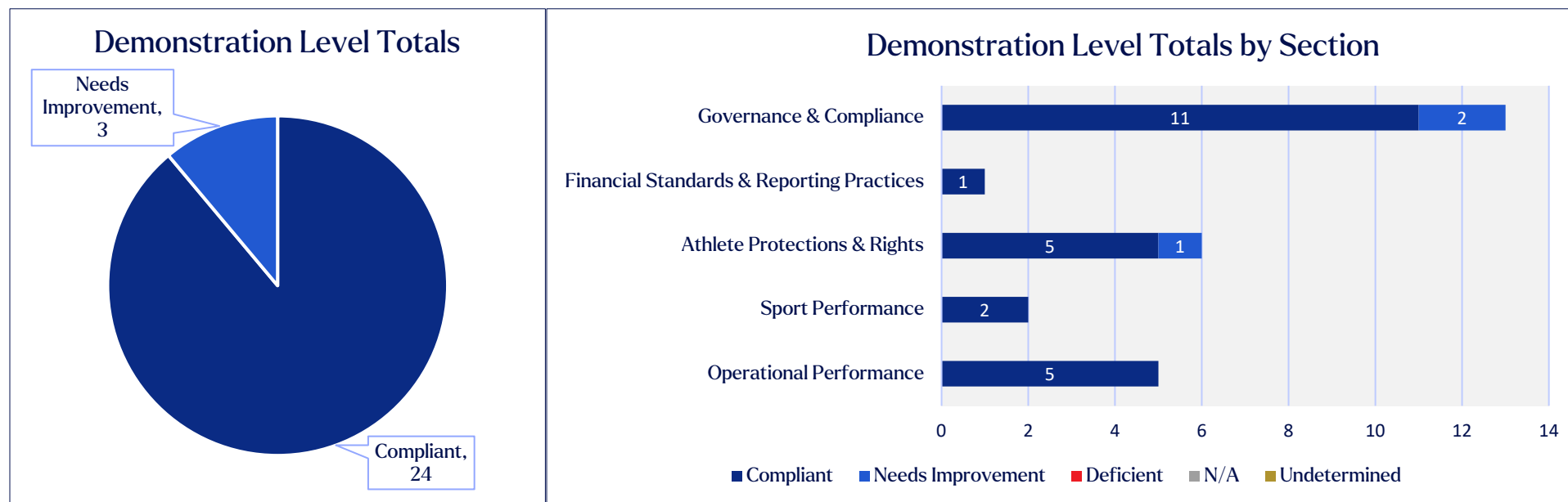
All Standards are evaluated against the 2025 Implementation Guide for Compliance Standards (Implementation Guide). References to the USOPC Bylaws are based on the effective February 1, 2025.

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.2 a	X		
Membership Requirements	A.2 b	X		
Athlete Advisory Council	A.3 a	X		
Board Governance	A.4 a	X		
Board Development	A.4 b		X	
Code of Conduct	A.6 a	X		
Conflicts of Interest Policy	A.6 b		X	
Gifts and Entertainment Policy	A.6 c	X		
Diversity Equity & Inclusion Requirements	A.7 b	X		
Equal Pay for Team USA	A.7 c	X		
Ombuds' Policy	A.9 a	X		
Total		11	2	0

Needs Improvement		
1	Board Development	Management Action Plan
	<p>A.4 b: The NGB board must conduct the following activities:</p> <ul style="list-style-type: none"> i. Formal onboarding process for board members and committee members, ii. USOPC training to the board members and committee members, iii. At least once per quad, perform a self-evaluation of the board's performance using the USOPC provided resource, and iv. Annual performance evaluation of the CEO/Executive Director. <p>FINDING: While USEF performs an annual performance evaluation of the CEO, they were unable to provide evidence showing that the results of the evaluation were communicated in writing.</p>	<p>USEF communicated a written performance review to the CEO on January 17, 2026 and will ensure results of the annual performance evaluation are communicated in writing on an ongoing basis. This will be reviewed for compliance during the remediation period.</p>

2	Conflict of Interest Policy	Management Action Plan
	<p>A.6 b: NGB must enforce a Conflicts of Interest Policy that meets the minimum policy standards set forth by the USOPC. The conflict of interest policy must be made available on the NGB's website.</p> <p>FINDING: While USEF follows its conflict of interest process, Audit noted one individual did not disclose a potential conflict.</p>	<p>USEF followed up with the individual to address the missed disclosure and obtained an updated completed conflict of interest form.</p> <p>In addition, USEF has updated its regular communications to individuals required to complete conflict of interest disclosure forms to reinforce disclosure requirements. These communications are scheduled to be sent out periodically to all members to promote awareness and compliance.</p> <p>This will be reviewed for compliance during the remediation period.</p>

Financial Standards and Reporting Practices

NGB Compliance Standards Section B				
Title	Standard	Compliant	Needs Improvement	Deficient
Financial Capability	B.1 a	X		
Total		1	0	0

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 - b	X		
USOPC Athlete Safety Requirements	C.2 a		X	
Anti-Doping Policies	C.3 a	X		
Anti-Doping Policy Language	C.3 b	X		
Athlete Agreements	C.4 a	X		
Athlete Support Criteria	C.5 a	X		
Total		5	1	

Needs Improvement		
3	USOPC Athlete Safety Requirements	Management Action Plan
Policy	<p>C.2a: 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: The USEF's Background Check Policy meets most of the requirements but needs minor updates in the areas of applicability and background check report review to be compliant.</p>	<p>USEF updated the Background Check Policy to meet the requirements. This will be reviewed for compliance during the remediation period.</p>
Application	<p>FINDING: During testing, there were two athletes who had been selected to represent USA in international competition who did not have a current background check at the time of the event.</p>	<p>USEF redesigned the memo template for the Board when the sport staff requests approval of selected athletes to a team. The template requires the staff to verify that they checked for compliance. This will help serve as a reminder to the sport staff.</p> <p>Additionally, the USEF IT Department has created a dashboard for the sport staff to help them easily monitor compliance with all requirements for representing USA in international competitions, including background checks.</p> <p>These will be reviewed for compliance during the remediation period.</p>

Sport Performance

NGB Compliance Standards Section D				
Title	Standard	Compliant	Needs Improvement	Deficient
High-Performance Plan Submission	D.3 a	X		
Event Sanctioning	D.3 b	X		
Total		2	0	0

Operational Performance

NGB Compliance Standards Section E				
Title	Standard	Compliant	Needs Improvement	Deficient
Managerial and Board Capability	E.1 a	X		
Whistleblower and Anti-Retaliation Policy	E.3 a	X		
Complaint Resolution and Hearing Procedures	E.4 a & b	X		
USOPC Trademark Protection	E.5 a – d	X		
Strategic Planning	E.6 a	X		
Total		5	0	0

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