



EVENT AUDIT REPORT

AUDIT AND COMPLIANCE DEPARTMENT

NGB NAME:

USA Surfing

EVENT AUDIT SITE:

USA Surfing Championships

EVENT AUDIT DATE:

June 20-21, 2021

BACKGROUND AND AUDIT PURPOSE

The U.S. Center for SafeSport (hereinafter “the Center”) is committed to building a sport community where participants can work and learn together in an atmosphere free of emotional, physical, and sexual misconduct. Federal law authorized the Center to develop training to prevent abuse and policies and procedures for implementation by National Governing Bodies (NGBs) and Paralympic Sports Organizations to prevent abuse.

In accordance with 36 U.S. Code 220541, the Center has been granted authority to complete regular and random audits of the NGBs recognized by the U.S. Olympic & Paralympic Committee. The Center will objectively evaluate adherence and level of compliance to the requirements set forth in the U.S. Center for SafeSport Code and the Minor Athlete Abuse Prevention Policies (“the MAAPP”).

AUDIT SCOPE

The scope of this 2021 audit is based on the Event Audit Standards released to NGBs/USOPC on January 23, 2020. The requirements for each section of the audit are included in Appendix A.

The Audit covered the following areas:

- > EDUCATION AND TRAINING
- > COMMUNICATION AND REPORTING
- > QUALITY CONTROL

AUDIT METHODOLOGY

The Center adhered to the following audit protocol:

- *reviewed policies and procedures
- *evaluated processes
- *administered implementation fidelity testing
- *conducted on-site inspections and
- *conducted interviews with various individuals at the site of the competition.

AUDIT SUMMARY

Based on the audit methodology performed, the Center made findings as to whether the standards in Appendix A were met for Education and Training, Communication and Reporting and Quality Control (each using scoring guidelines in Appendix B).

SCORING SUMMARY

STANDARD	SCORE
EDUCATION AND TRAINING	Implemented
COMMUNICATION AND REPORTING	Implemented
QUALITY CONTROL	Partially implemented

AUDIT AREA: EDUCATION AND TRAINING

REQUIREMENTS:

1. NGB must identify all adults at event required to complete the Center's Core SafeSport training.
2. NGB must provide a list of above adults to the Center.
3. NGB must ensure that all adults required to satisfy the Center's core SafeSport training requirements did so prior to the event/competition.

SCORE:

Implemented

RATIONALE:

Requirement No. 1 is satisfied. Of the 5 individuals, 5 (100%) were either included or properly excluded, from the list of individuals to be trained.

Requirement No. 2 is satisfied.

Requirement No. 3 is satisfied. Of the 11 individuals selected for testing, 11 (100%) had properly completed training prior to the event, including two individuals who were determined to not have regular contact or authority over minor athletes at the event.

CORRECTIVE ACTIONS:

No Corrective Action required.

MANAGEMENT RESPONSE

PROCESS OWNER/RESPONSIBLE INDIVIDUAL:

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ANTICIPATED TIMELINE:

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CORRECTIVE PLAN:

No Management Response required.

AUDIT AREA: **COMMUNICATION AND REPORTING**

REQUIREMENTS:

1. NGB must communicate Reporting protocol and MAAPP requirements to the event director within 30 days prior to the event/competition.
2. Event organizer (whether NGB or an Event Director) must communicate MAAPP requirements and Reporting protocol for MAAPP violations to all event/competition participants within 30 days prior to the event/competition. Day-of registrants must also be informed of MAAPP requirements and Reporting protocol of violations of the MAAPP during the event registration process.

SCORE:

Implemented

RATIONALE:

Requirement No. 1 is not applicable, as USAS was responsible for the operation of, and was present at the event.

Requirement No. 2 is satisfied. USAS communicated the MAAPP requirements and Reporting protocol of violations of the MAAPP to all participants on June 11, 2021, which was within 30 days of the event.

USAS provided a written policy for how USAS will communicate the MAAPP and reporting requirements to all event participants. USAS verbally communicated instructions regarding how to report MAAPP violations or misconduct to day-of registrants. USAS updated their policy during the event to clarify their protocol for communicating their reporting protocol to day-of registrants. This finding did not impact the audit score.

CORRECTIVE ACTIONS:

No Corrective Action required.

MANAGEMENT RESPONSE

PROCESS OWNER/RESPONSIBLE INDIVIDUAL:

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ANTICIPATED TIMELINE:

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CORRECTIVE PLAN:

No Management Response required.

AUDIT AREA: **QUALITY CONTROL**

REQUIREMENTS:

1. NGB must establish a quality control system for their sanctioned events/competitions.
2. The quality control system must include the following:
 - a. Written policy and procedure to ensure adults who have not completed the Center's Core SafeSport training are not able to have regular contact and/or authority over minor athletes (this includes walk-ups, day-of registrants, replacement referees/officials etc).
 - b. Written policy and procedure to ensure individuals who have been suspended and/or banned by the NGB and the U.S. Center for SafeSport are not able to participate in the event or competition.
 - c. Oversight and monitoring protocol by NGB including post event/competition review to ensure individuals who should be precluded from participating in the event/competition are not able to participate in future events/competitions.

SCORE:

Partially implemented

RATIONALE:

Requirement No. 1 is satisfied.

Requirement No. 2(a) is partially satisfied. USAS has written policy and protocol to ensure that the staff who have not completed the Center's Core SafeSport training are not able to have regular contact with and/or authority over minor athletes at the event or competition. USAS has protocol to ensure that the athletes and other non-staff participants such as media and contractors who have not completed the Center's Core SafeSport training are not able to have regular contact and/or authority over minor athletes at the event or competition but does not have written policy that reflects their protocol. USAS has protocol to ensure that day-of registrations who did not complete the Center's Core SafeSport training are not able to have regular contact and/or authority over minor athletes but did not have written policy to reflect their protocol. USAS updated their policy at the event to include the protocol within their written policy.

Requirement No. 2(b) is partially satisfied. USAS has written policy and protocol to ensure that the staff and day-of registrants who have been banned and/or suspended by the NGB and the Center are not able to participate in the event or competition. USAS has protocol to ensure that athletes and other non-staff participants such as media and contractors, who have been banned and/or suspended by the NGB and the Center are not able to participate in the event or competition but does not have written policy to reflect their protocol.

Requirement No. 2(c) is satisfied.

CORRECTIVE ACTIONS:

USAS must update their written policy to state their protocol for ensuring that (a) athletes and all non-staff participants who have not completed the Center's Core SafeSport training are prevented from having regular contact with and/or authority over minor athletes and (b) athletes and other non-staff participants who have been banned and/or suspended by the NGB or the Center are not able to participate in the event or competition.

MANAGEMENT RESPONSE

PROCESS OWNER/RESPONSIBLE INDIVIDUAL:

Andrea Swayne

ANTICIPATED TIMELINE:

2021-09-30

CORRECTIVE PLAN:

USA Surfing submitted to the Center on August 17, 2021 written policy / quality control procedures checklist to state protocol for ensuring that (a) athletes and all non-staff participants who have not completed the Center's Core SafeSport training are prevented from having regular contact with and/or authority over minor athletes and (b) athletes and other non-staff participants who have been banned and/or suspended by the NGB or the Center are not able to participate in the event or competition.

1. EDUCATION AND TRAINING

Auditor will request a list of all individuals specific to the NGB/USOPC who are required to take training (adult participants, coaches, referees/officials, volunteers, medical staff, contractors, etc.). All individuals with regular contact and/or authority over minor athletes must be SafeSport Trained prior to any event.

2. COMMUNICATION AND REPORTING

A minimum of one direct communication to event/competition organizers must be distributed no earlier than 30 days prior to the event/competition informing participants of the MAAPP requirements and be sent in the same manner as playing rules, code of conduct, etc. Communication must also include protocol for reporting suspected or alleged MAAPP violations.

3. QUALITY CONTROL SYSTEM

Auditor will evaluate the NGB/USOPC quality control system in place to ensure that suspended/banned individuals (either by the Center or the NGB/USOPC) and individuals who are not SafeSport Trained are unable to register or participate in the event/competition (testing based on credentialed, registered participants, not spectators).

Quality Control System must include:

- > NGB/USOPC policies and procedures pertaining to participant registration, and staffing and volunteers (e.g., requirement to cross-reference Center's Disciplinary Database prior to registration, manual list sent to competition organizers of those who are suspended or have not taken training, or give access to certain individuals running competition);
- > Policies and protocols in place to minimize the risk for individuals to slip through the cracks (1-day/short-term memberships, volunteers, on-site registration, last minute referee substitutions, etc.); and
- > Oversight and monitoring by NGB/USOPC even if not on-site (e.g., required to send list of participants to NGB/USOPC if registration is not done through NGB/USOPC) and back-end oversight to catch individuals who should not participate (assuming registration is not done through NGB/USOPC on the front end).

NOT IMPLEMENTED

A finding of this type indicates a minimal reduction in risk to minor athletes and reveals what is determined to be a poor environment of safety and well-being for minor athletes.

This can be a result of, but not limited to the following:

- > Complete absence of policies and/or relevant and supporting documentation where required.
- > Complete absence of communication to Applicable Adults regarding specific policy/requirements.
- > Complete absence of reporting and oversight structure for Required Prevention Policy violations.
- > Less than 70% compliance on Education & Training requirements.

PARTIALLY IMPLEMENTED

A finding of this type indicates a moderate reduction in risk to minor athletes and reveals what is determined to be a limited environment of safety and well-being for minor athletes.

This can be a result of, but not limited to the following:

- > Presence of policies but missing relevant and supporting documentation.
- > Presence of policies that do not meet the mandatory minimum requirements of the MAAPP.
- > Not adequately or consistently providing communication to Applicable Adults regarding policy/requirements.
- > Lack of an adequate reporting and oversight structure for Required Prevention Policy violations.
- > Between 70% and 90% compliance on Education & Training requirements.

IMPLEMENTED

A finding of this type indicates a significant reduction in risk to minor athletes and reveals what is determined to be a satisfactory environment of safety and well-being for minor athletes.

This can be a result of, but not limited to the following:

- > Presence of policies and all relevant and supporting documentation provided where required.
- > Adequate and consistent communication to Applicable Adults.
- > Adequate reporting and oversight structure for Required Prevention Policy violations.
- > 90% or higher compliance on Education & Training requirements.