



# EVENT AUDIT REPORT

AUDIT AND COMPLIANCE DEPARTMENT

NGB NAME:  
USA Artistic Swimming

EVENT AUDIT SITE:  
U.S. Junior Olympic Championship

EVENT AUDIT DATE:  
June 25-26, 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	Partially 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 10 individuals selected for testing, 9 (90%) were properly included on the list of individuals required to be trained.

Requirement No. 2 is satisfied.

Requirement No. 3 is satisfied. Of the 51 individuals selected for testing, 51 (100%), had properly completed training prior to the event or were prevented from participating in the event. This included four individuals who were determined not to be subject to the training requirements and one individual who was properly prevented from participating due to lapsed SafeSport training.

### **CORRECTIVE ACTIONS:**

No Corrective Action Required.

### **MANAGEMENT RESPONSE**

PROCESS OWNER/RESPONSIBLE INDIVIDUAL:

ANTICIPATED TIMELINE:

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 the 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 the 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:**

Partially Implemented

### **RATIONALE:**

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

Requirement No. 2 is partially satisfied. USAAS communicated the MAAPP requirements and reporting protocol to all USAAS membership which included athletes, judges, coaches, and chaperones on June 15, 2021, which was within 30 days of the event. The reporting protocol communicated in the June 15th newsletter stated “unwanted behavior” should be reported to USAAS or the U.S. Center for SafeSport and but did not specify that violations of the MAAPP should be reported.

Additionally, USAAS communicated the MAAPP and reporting protocol to coaches, chaperones, judges, staff, vendors, and the photographer on June 24, 2021, which was within 30 days of the event.

USAAS communicated the MAAPP requirements and reporting protocol to volunteers on the evening of June 26, 2021, which was not within 30 days prior to the event.

There were no day-of registrants at the event.

In review of USAAS’s communication policy, it is noted that the policy states that USAAS will communicate to participants that “Social media and electronic communications between an Applicable Adult and a minor should be made in the form of a 'group chat'.” The Center’s 2019 MAAPP requires that social media or electronic communications between an Applicable Adult (with authority over a minor athlete) and minor athlete(s) include another Applicable Adult or the minor athlete’s legal guardian. Additionally, USAAS’s communication policy does not include volunteers as individuals that must receive a communication of the MAAPP requirements and reporting protocol.

### **CORRECTIVE ACTIONS:**

USAAS must (a) update its written policy to ensure all individuals participating in USAAS sanctioned events or competitions, including volunteers, receive MAAPP and reporting protocol communications prior to a USAAS sanctioned event or competitions and (b) implement effective procedures to ensure all individuals participating, including volunteers, receive MAAPP requirements and reporting protocols at all USAAS sanctioned events or competitions.

USAAS must implement effective procedures to ensure that the communication of the reporting protocol sent to all participants at all sanctioned events or competitions, includes a mechanism to report violations of the MAAPP.

## AUDIT AREA: **COMMUNICATION AND REPORTING**

USAAS must update its written communication policy to require that all social media and electronic communications between an Applicable Adult and a minor athlete meet at least the Center's minimum 2019 MAAPP requirements.

### **MANAGEMENT RESPONSE**

#### PROCESS OWNER/RESPONSIBLE INDIVIDUAL:

Monica Velazquez-Stiak

#### ANTICIPATED TIMELINE:

2021-09-30

#### CORRECTIVE PLAN:

To correct this action:

We will improve our communication protocol by stating in our written communication policy that all individuals participating in USAAS sanctioned events or competitions, including volunteers, receive MAAPP and reporting protocol communications prior to a USAAS sanctioned event or competitions.

We will have written more clearly in our communications procedures how all event participants receive reporting protocols at all sanctioned events or competitions, includes a mechanism to report violations of the MAAPP.

Within our communication portion of our policies, we will update it to say that all social media and electronic communications between an Applicable Adult and a minor athlete meet at least the Center's minimum 2019 MAAPP requirements.

## AUDIT AREA: **QUALITY CONTROL SYSTEM**

### **REQUIREMENTS:**

1. NGB must establish a quality control system for 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. USAAS has written policy and procedure to prevent adults associated with a club or team who have not completed SafeSport training from participating or entering the event/competition facility. Adults associated with a team or club includes athletes, coaches, chaperones, and judges who also have a dual role as a team or club coach. The policy and procedure includes pre-event checks of SafeSport training and a detailed event check-in process for the above mentioned adults associated with a team or club. USAAS has a procedure in place to prevent adults not associated with a team or club from participating or entering the event/competition facility but lacks a written policy or protocol specific to adults not associated with a club or team, such as staff or unaffiliated judges.

Requirement No. 2(b) and 2(c) are satisfied.

### **CORRECTIVE ACTIONS:**

USAAS must update their written policy to ensure that all adults not associated with a team or club, such as staff or judges, who have not completed the Center's training are prevented from having regular contact or authority over minor athletes.

### **MANAGEMENT RESPONSE**

#### **PROCESS OWNER/RESPONSIBLE INDIVIDUAL:**

Monica Velazquez-Stiak

#### **ANTICIPATED TIMELINE:**

2021-09-30

AUDIT AREA: **QUALITY CONTROL SYSTEM**

CORRECTIVE PLAN:

To correct this action, we will update our quality control to state that all adults not associated with a team or club, such as staff or judges, who have not completed the Center's training are prevented from having regular contact or authority over minor athletes.

## 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.