

2022 EVENT AUDIT REPORT

AUDIT AND COMPLIANCE
DEPARTMENT

NGB/PSO NAME:

USA Swimming

EVENT AUDIT SITE:

Philips 66 National Championships, Irvine, CA

EVENT AUDIT DATE:

July 25, 2022 – July 27, 2022

BACKGROUND AND AUDIT PURPOSE

The U.S. Center for SafeSport (the Center) is committed to building a sport community in which individuals can work and learn together in an atmosphere free of emotional, physical, and sexual abuse and misconduct. Federal law 36 U.S.C. §220541 authorizes the Center to develop and enforce abuse prevention policies and procedures that the U.S. Olympic & Paralympic Committee and its National Governing Bodies (NGBs) and Paralympic Sports Organizations (PSOs) must implement.

In accordance with that law, the Center has been granted authority to complete regular and random audits of NGBs, PSOs, and the USOPC. The Center objectively evaluates adherence and level of compliance to the requirements set forth in the SafeSport Code and the Minor Athlete Abuse Prevention Policies (MAAPP).

AUDIT SCOPE

This 2022 audit is based on Event Audit Standards articulated in the Audit and Compliance Manual released by the Center on Jan. 11, 2022.

The audit covered the following areas:

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

AUDIT METHODOLOGY

During the audit, the Center:

- Reviewed policies and procedures
- Evaluated processes
- Administered implementation fidelity testing
- Conducted on-site inspections
- Interviewed individuals at the event site

AUDIT SUMMARY

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

SCORING SUMMARY

STANDARD	SCORE
EDUCATION AND TRAINING	IMPLEMENTED
COMMUNICATION AND REPORTING	IMPLEMENTED
QUALITY CONTROL SYSTEM	IMPLEMENTED

AUDIT AREA: EDUCATION AND TRAINING

REQUIREMENTS:

1. Organizations must provide to the Center a list of all individuals who will be at the event who are in a role that would require them to take SafeSport training (all staff, adult athletes with regular contact or authority over amateur athletes who are minors, coaches, referees/officials, volunteers, medical staff, contractors, etc.). The auditor will perform testing on this list to verify:
 - a. those at the event who should be SafeSport Trained are trained every 12 months
 - b. the list provided is inclusive of all individuals at the event who should be SafeSport Trained

SCORE:

Implemented

RATIONALE:

Requirement No. 1(a) is satisfied. Of the 128 individuals randomly selected for testing, 125 (97.6%) completed the Center’s training requirements prior to the event.

Requirement No. 1(b) is satisfied. Of the 10 individuals randomly selected for testing, 10 (100%) were properly included on the list provided to the Center.

CORRECTIVE ACTIONS:

No Corrective Action required.

MANAGEMENT RESPONSE

RESPONSIBLE INDIVIDUAL: N/A

PROJECTED DEADLINE: N/A

CORRECTIVE PLAN:

No Management Response required.

AUDIT AREA: **COMMUNICATION AND REPORTING**

REQUIREMENTS:

1. Organization or Event Director must provide direct communication (by either email or newsletter) sent to all participants, including day-of registrants, informing participants of the MAAPP requirements within 30 days prior to the event. Communication must also include protocol for reporting all concerns involving alleged or suspected sexual misconduct, physical misconduct, emotional misconduct, or violations of the MAAPP.
2. Provide the Organization's written protocol for communicating to all event participants within the Organization, Center-approved Education and Training Policy and Required Prevention Policies and reporting protocols for all concerns involving alleged sexual misconduct, physical misconduct, emotional misconduct, or violations of the MAAPP.

SCORE:

Implemented

RATIONALE:

Requirement No. 1 is satisfied. USA Swimming provided direct communication by email on July 20, 2022, to all event participants and the Meet Director within 30 days prior to the event. Communication to all event participants included the MAAPP and the protocol for reporting incidents of sexual, emotional, physical misconduct and any violations to the USA Swimming Code of Conduct and the MAAPP. The reporting mechanism included the link to the USA Swimming reporting webpage and reporting information to The U.S. Center for SafeSport.

Requirement No. 2 is satisfied. USA Swimming provided their written protocol for communicating their Center-approved Education and Training Policy, Required Prevention Policies (MAAPP) and reporting mechanism to all event participants. Within the Quality Control System, it states, "Communication must be sent to all participants no sooner than 30 days prior to the start of the meet." The QCS details that this communication must include the MAAPP and reporting mechanism.

CORRECTIVE ACTIONS:

No Corrective Action required.

MANAGEMENT RESPONSE

RESPONSIBLE INDIVIDUAL: N/A

PROJECTED DEADLINE: N/A

CORRECTIVE PLAN:

No Management Response required.

AUDIT AREA: **QUALITY CONTROL SYSTEM**

REQUIREMENTS:

1. Organization must implement a Quality Control System to ensure that individuals on the Organizational Exclusion List are unable to participate in any event, program, activity, or competition authorized by, organized by, or under the auspices of the Organization. The Quality Control System also must ensure that individuals who are required to be but are not SafeSport Trained are either prevented from participating or are in a role that does not include regular contact with or authority over amateur athletes who are minors.
2. The Quality Control System must include the Organization's written implementation protocol—clear action steps to effectuate policies—pertaining to all participant registration and onsite check-in. This written protocol must include and address the following:
 - a. One-day/short-term memberships
 - b. Day-of participant registration (of athletes, volunteers, coaches, officials, etc.)
 - c. On-site registration/participation (of athletes, volunteers, coaches, officials, etc.)
 - d. Last-minute substitutions (of personnel such as referees, volunteers, etc.)
 - e. Oversight procedures by the Organization when their staff is not on-site at sanctioned events

SCORE:

Implemented

RATIONALE:

Requirement No. 1 is satisfied.

Requirement No. 2 (a) is not applicable. USA Swimming does not allow one-day / short term memberships.

Requirement No. 2(b-c) are satisfied. All individuals who arrive seeking day-of participation/registration or on-site registration are required to be checked against the "Individuals Permanently Suspended or Ineligible" list and the "Individuals Suspended or Ineligible-Specific Date" and the Centralized Disciplinary Database. Additionally, individuals must be checked in the Swimming membership database to ensure they have a valid membership, and that all membership requirements are met. This check is done using USA Swimming Deck Pass app, which provides up-to-date status on membership, including SafeSport training.

Requirement No. 2(d) is not applicable. USA Swimming does not allow last-minute substitutions.

Requirement No. 2(e) is satisfied. At any time, USA Swimming can pull membership and event participants lists for an event. USA Swimming also requires that all individuals provide proof of valid membership including membership requirement compliance via Deck Pass. Individuals who do not provide valid proof of membership via Deck Pass are not allowed to participate in the event.

CORRECTIVE ACTIONS:

No Corrective Actions required.

AUDIT AREA: **QUALITY CONTROL SYSTEM**

MANAGEMENT RESPONSE

RESPONSIBLE INDIVIDUAL: N/A

PROJECTED DEADLINE: N/A

CORRECTIVE PLAN:

No Management Response required.

1. EDUCATION AND TRAINING

Organization must provide to the Center a list of all individuals who will be at the event who are in a role that would require them to take SafeSport training (all staff, adult athletes with regular contact or authority over amateur athletes who are minors, coaches, referees/officials, volunteers, medical staff, contractors, etc.).

The auditor will perform testing on this list to verify:

- a. those at the event who should be SafeSport Trained are trained every 12 months
- b. the list provided is inclusive of all individuals at the event who should be SafeSport Trained

2. COMMUNICATION AND REPORTING

1. Organization or Event Director must provide direct communication (by either email or newsletter) sent to all participants, including day-of registrants, informing participants of the MAAPP requirements within 30 days prior to the event. Communication must also include protocol for reporting all concerns involving alleged or suspected sexual misconduct, physical misconduct, emotional misconduct, or violations of the MAAPP.
2. Provide the Organization's written protocol for communicating, to all event participants within the Organization, Center-approved Education and Training Policy and Required Prevention Policies and reporting protocols for all concerns involving alleged sexual misconduct, physical misconduct, emotional misconduct, or violations of the MAAPP.

3. QUALITY CONTROL SYSTEM

1. Organization must implement a Quality Control System to ensure that individuals on the Organizational Exclusion List are unable to participate in any event, program, activity, or competition authorized by, organized by, or under the auspices of the Organization. The Quality Control System also must ensure that individuals who are required to be but are not SafeSport Trained are either prevented from participating or are in a role that does not include regular contact or authority over amateur athletes who are minors.
2. The Quality Control System must include the Organization's written implementation protocol—clear action steps to effectuate policies—pertaining to all participant registration and onsite check-in. This written protocol must include and address the following:
 - a. One-day/short-term memberships
 - b. Day-of participant registration (of athletes, volunteers, coaches, officials, etc.)
 - c. On-site registration/participation (of athletes, volunteers, coaches, officials, etc.)
 - d. Last-minute substitutions (of personnel such as referees, volunteers, etc.)
 - e. Oversight procedures by the Organization when their staff is not on-site at sanctioned events

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 result from, but is not limited to, the following:

- Complete absence of policies and/or relevant and supporting documentation where required
- Complete absence of communication to Adult Participants 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 result from, but is 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 Adult Participants regarding policy/requirements
- Lack of an adequate reporting and oversight structure for Required Prevention Policy violations.
- Above 70% and below 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 result from, but is not limited to, the following:

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