

# 2023 EVENT AUDIT REPORT

AUDIT AND COMPLIANCE  
DEPARTMENT

**NGB NAME:**  
USA Artistic Swimming

**EVENT NAME:**  
U.S. Junior & Senior Championship & National Team Trials

**EVENT SITE:**  
Oro Valley Aquatic Center, Oro Valley, AZ

**EVENT DATE:**  
April 12, 2023 – April 13, 2023

## BACKGROUND AND AUDIT PURPOSE

The U.S. Center for SafeSport (the Center) is working to build a sport community in which everyone 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 (USOPC) and its National Governing Bodies (NGBs) must implement.

In accordance with that law, the Center has been granted authority to annually complete regular and random audits of NGBs 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 2023 audit is based on Event Audit Standards articulated in the U.S. Center for SafeSport Audit and Compliance Manual.

The audit covered the following areas:

- > **EDUCATION AND TRAINING**
- > **COMMUNICATION AND REPORTING**
- > **QUALITY CONTROL**
- > **RESPONSE & RESOLUTION**
- > **MAAPP RISK ASSESSMENT**

## 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

## SCORING SUMMARY

STANDARD	SCORE
EDUCATION AND TRAINING	PARTIALLY IMPLEMENTED
COMMUNICATION AND REPORTING	PARTIALLY IMPLEMENTED
QUALITY CONTROL SYSTEM	IMPLEMENTED
RESPONSE & RESOLUTION	PARTIALLY IMPLEMENTED

**REQUIREMENTS:**

1. Organization representative or Event Director must provide to the Center a list of all individuals who will be at the event and are in a role that would require them to complete SafeSport training; these roles include (but are not limited to) event staff, adult athletes, adults having regular contact with or authority over amateur athletes who are minors, coaches, referees/officials, volunteers, medical staff, contractors, or others. The list must also include all NGB board and staff members, **regardless of whether they were at the event**. Organization must ensure that:
  - a. those at the event required to be SafeSport Trained are current in their training within the previous 12 months
  - b. the list provided is inclusive of all individuals at the event who should be SafeSport Trained
  - c. training is current for NGB board and staff
2. Organization must provide copy of a direct communication (email or newsletter), sent to membership annually (every 12 months), that offers training for parents and Minor Athletes regarding prevention and reporting of child abuse.

**SCORE:**

Partially Implemented

**RATIONALE:**

Requirement No. 1(a) is satisfied. Of the 27 individuals randomly selected for testing, 27 (100%) were current in their SafeSport training within the previous 12 months.

Requirement No. 1(b) is satisfied. USA Artistic Swimming requires the following categories of individuals to be SafeSport trained: adult athletes, coaches, USA Artistic Swimming Staff, Media, Chaperones/Team Managers, and Judges. Of the 10 names randomly selected for testing, 9 (90%) were properly included on the list of Adult Participants required to complete SafeSport training. USA Artistic Swimming requires media to be trained, however, they did not include the media personnel on the list provided to auditor.

Requirement No. 1(c) is satisfied. Of the 11 individuals randomly selected for testing, 10 had satisfied the training requirement. USA Artistic Swimming had 1 staff member who had an unjustified lapse in training of approximately twelve months. One Board member selected for testing did not have current training.

Requirement No. 2 is partially satisfied. USA Artistic Swimming sent an email to their membership regarding Parent training on February 6, 2023, via email. USA Artistic Swimming did not communicate the Minor Athlete training regarding prevention and reporting of child abuse to its membership.

**CORRECTIVE ACTIONS:**

1. USA Artistic Swimming must submit to the Center a report of all board and staff training completions by June 30, 2023.
2. USA Artistic Swimming must communicate the Minor Athlete Training to its membership by June 30, 2023.

**MANAGEMENT RESPONSE**

RESPONSIBLE INDIVIDUAL: Kelly Premo & Baylee Robinson

DEADLINE: June 30, 2023

**CORRECTIVE PLAN:**

1. USA Artistic Swimming must (a) create and implement written protocol to ensure that USA Artistic Swimming board and staff are trained every 12 months, and (b) submit to the center a report of all board and staff training completions by June 30, 2023.
2. USA Artistic Swimming sent a reminder to Minor Athlete Training to its membership June 2, 2023 informing them of the course offerings available to minor athletes.

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

### **REQUIREMENTS:**

1. Organization representative or Event Director must provide copy of a direct communication (either by email, newsletter, hard copy, or other electronic medium) made available to all event participants, including day-of registrants. Communication must include:
  - a. 2022 MAAPP requirements (either full policy or summary)
  - b. 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—for all sanctioned events, 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. Provide proof of communication of Quality Control System sent to all event directors of sanctioned events within current membership cycle.

### **SCORE:**

Partially Implemented

### **RATIONALE:**

Requirement No. 1 is partially satisfied. USA Artistic Swimming sent an email to all event participants on March 28, 2023. USA Artistic Swimming sent a communication of the MAAPP and a reporting protocol for "concerns or suspected MAAPP violations." However, this communication did not include explicit language regarding reporting alleged sexual, physical, or emotional misconduct.

Requirement No. 2 is partially satisfied. USA Artistic Swimming has a written protocol for all sanctioned events, for communicating to all event participants the Center-approved Education and Training Policy and Required Prevention Policies and reporting protocols. The policy does not explicitly state that communication must include reporting protocols for alleged sexual misconduct, physical misconduct, emotional misconduct, or violations of the MAAPP.

Requirement No. 3 is satisfied. USA Artistic Swimming provided proof of communication of the Quality Control System (QCS) sent to all event directors of sanctioned events for the current membership cycle. The QCS is sent directly to event directors via the event sanction waiver form required to be read and signed by all event directors acknowledging the various requirements in place by USA Artistic Swimming to host an event.

### **CORRECTIVE ACTIONS:**

1. USA Artistic Swimming must update its policy to include explicit language regarding communicating the reporting protocol to event participants; specifically, that the communication must explicitly detail reporting protocol for any alleged sexual, physical, emotional misconduct or violations of the MAAPP.
2. USA Artistic Swimming must provide proof of the MAAPP, and the reporting protocol sent to all participants for an upcoming sanctioned event. The communication must explicitly state the reporting protocol for each various type of alleged misconduct. Specifically, sexual misconduct, physical misconduct, emotional misconduct, or violations of the MAAPP.

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

### **MANAGEMENT RESPONSE**

RESPONSIBLE INDIVIDUAL: Kelly Premo & Baylee Robinson

DEADLINE: July 30, 2023

#### CORRECTIVE PLAN:

1. USA Artistic Swimming updated its policy for messaging participants to include explicit language pertaining to reporting protocol for any alleged sexual, physical, emotional misconduct or violations of the MAAPP.
2. USA Artistic Swimming sent an email to all event participants for our upcoming sanctioned event on June 1, 2023. The communication explicitly states the reporting protocol for each of the various types of allegations. This email template will be used moving forward for all sanction events USA Artistic Swimming hosts.

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

### REQUIREMENTS:

1. Organization or Event Director 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 must also 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/on-site participant registration/substitutions (of athletes, staff, volunteers, vendors, coaches, officials, etc.)
  - c. Oversight procedures by the Organization when their staff is not on site at sanctioned events

### SCORE:

Implemented

### RATIONALE:

Requirement No. 1 is satisfied. USA Artistic Swimming has a protocol within their Quality Control System (QCS) ensuring that individuals on the Organizational Exclusion List (OEL) are unable to participate in any event, activity, or competition authorized by USA Artistic Swimming or under the auspices of USA Artistic Swimming. At this event, the auditor was also provided proof that USA Artistic Swimming checked the facility manager and lifeguards against the OEL and provided a copy of the MAAPP and reporting mechanism to them prior to the start of the event.

Requirement Nos. 2 (a-b) are not applicable. USA Artistic Swimming does not allow one-day/short-term memberships or day-of/on-site participation at sanctioned events.

Requirement No. 2 (c) is satisfied. Using their USA Artistic Membership database pre-event, USA Artistic Swimming staff is able to pull the participant report for a sanctioned event. Additionally, USA Artistic Swimming's oversight procedures are within the sanctioning process, namely - USA Artistic Swimming requires event hosts to sign and acknowledge the event sanctioning waiver. The waiver acknowledges that the event host will share the MAAPP and reporting mechanism to attendees and acknowledge to follow the USA Artistic Swimming QCS.

### CORRECTIVE ACTIONS:

1. USA Artistic Swimming must update its policy to align with the guidance provided by the Center ensuring that Administrative Holds are checked at all sanctioned events and if an individual was on the Administrative List is prevented from participation.

### MANAGEMENT RESPONSE

RESPONSIBLE INDIVIDUAL: Kelly Premo & Baylee Robinson

DEADLINE: July 30, 2023

### CORRECTIVE PLAN:

1. USA Artistic Swimming has updated its Quality Control System to include protocol for checking Administrative Holds at sanctioned events.

## AUDIT AREA: **RESPONSE & RESOLUTION**

### **REQUIREMENTS:**

*(Summarized here: see Appendix B for full requirements effective Jan. 1, 2023):*

1. Organization must provide its Response & Resolution policies to the Center.
2. Organization must post Center-specified Response & Resolution policy elements—and corresponding details—to its public website no later than Jan, 1, 2023. These elements include:
  - a. Reporting Mechanism
  - b. Referral of Reports to the Center
  - c. Jurisdiction Notifications
  - d. Mandatory Reporting
  - e. Prohibition of Retaliation
  - f. Response & Resolution of Reported Allegations
  - g. No Interference
3. Organization must ensure:
  - a. policies include language preventing Organization from interfering with any Center investigation.
  - b. requests from the Center are responded to within 72 hours
  - c. Organization has an assigned contact person responsible for replying to requests from the Center
4. Organization must provide the Center its written policy for collecting Data of Matters Addressed by the Organization, encompassing all elements listed in Appendix B Section 5.
  - a. Policy must also include Organization’s protocol to collect such data from LAOs, if applicable

### **SCORE:**

Partially Implemented

### **RATIONALE:**

Requirement No. 1 is satisfied. USA Artistic Swimming provided its Response and Resolution policies to the Center.

Requirement No. 2 is satisfied. USA Artistic Swimming had their Response and Resolution policies posted on their website by January 1, 2023 (December 7, 2022).

Requirement Nos. 2 (a, b, c, d, e, and g) are satisfied. USA Artistic Swimming provided its written policy which is addressed in Appendix Q of their bylaws titled: ‘Athlete Safety Policy’.

Requirement No. 2 (f) is satisfied. USA Artistic Swimming did provide a mechanism for tracking reported allegations within its organization’s jurisdiction. However, the mechanism does not include information regarding how reports are responded to and the respective outcomes.

Requirement Nos. 3 (a-c) are satisfied. USA Artistic Swimming provided its written policy which includes language stating that USA Artistic Swimming and its participants will not interfere or attempt to interfere in any U.S. Center for SafeSport investigation. The policy also includes language stating that USA Artistic Swimming will respond to requests from the Center within 72 hours; testing against this standard was conducted January 1, 2023, to audit date. No requests from the Center to USA Artistic Swimming were made during this time frame. Lastly, the policy states that USA Artistic Swimming has designated two individuals responsible for replying to requests from the Center.

Requirement No. 4 is partially satisfied. While USA Artistic Swimming has a tracking mechanism for Data of Matters reported to and addressed by USA Artistic Swimming and its LAOs.

## AUDIT AREA: **RESPONSE & RESOLUTION**

(Requirement No. 4 Continued) However, USA Artistic Swimming did not provide a written policy for collecting and annually submitting to the Center Data of Matters Addressed – listed below in Appendix B Section 5 - by USA Artistic Swimming and its Local Affiliated Organizations.

### **CORRECTIVE ACTIONS:**

1. USA Artistic Swimming must update its policy to include protocols to a) collect Data of Matters Address by USA Artistic Swimming, including how USA Artistic Swimming will collect matters reported to LAOs, encompassing all elements listed below in Appendix B Section 5, and b) submit the collected data to the Center annually.

### **MANAGEMENT RESPONSE**

RESPONSIBLE INDIVIDUAL: Kelly Premo & Baylee Robinson

DEADLINE: July 30, 2023

### **CORRECTIVE PLAN:**

1. USA Artistic Swimming created a protocol for Data of Matters Address by USA Artistic Swimming. This includes how USA Artistic Swimming will collect matters reports to LAOs, will all elements listed in Appendix B Section 5, and submit the compiled data to the Center annually.



## AUDIT AREA: **RISK ASSESSMENT**

### **REQUIREMENTS:**

During the Event Audit, the auditor also conducts a MAAPP Risk Assessment, which includes on-site observations, interviews of select individuals at the event and review of policies and procedures relative to the implementation of the 2022 MAAPP Required Prevention Policies. The Assessment focuses on:

1. General Observations
  - a. Event space/Event layout
  - b. Communications to participants
  - c. Credentialing system
2. Required Prevention Policies
  - a. How NGB has attended to the seven (7) prevention policies within the 2022 MAAPP
3. Response and Resolution
  - a. Specific policy items NGB is required to have posted publicly
  - b. How NGB addresses and tracks reports of misconduct that are not in the Center's jurisdiction

This section of the Audit Report details areas observed during the audit that were related to the Risk Assessment and were found to reflect increased risk to athlete safety and well-being.

### **RATIONALE:**

There were no qualifying findings observed during the two-day event audit applicable to this section of the report.

### **CORRECTIVE ACTIONS:**

No Corrective Actions required.

### **MANAGEMENT RESPONSE**

RESPONSIBLE INDIVIDUAL: N/A

DEADLINE: N/A

CORRECTIVE PLAN: No Management Response required.

### 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
- Failure to identify or track two or more categories of individuals required to be SafeSport trained
- Failure to check against two or more categories of individuals in Organization's Quality Control System at event

### 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
- Failure to identify or track one or more categories of individuals required to be SafeSport trained
- Failure to check against one category of individuals in the Organization's Quality Control System at event

### 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
- Adequate tracking and inclusion of all individuals in all required categories in the Organization's Quality Control System at event

- 1) Organization's Response & Resolution standards must be posted on Organization's website no later than January 1, 2023.
- 2) Organization's Internal Response & Resolution Policies and Process:
  - a. **Reporting Mechanism:** The Organization must have a mechanism on their public website (such as a form or contact info for an athlete safety liaison) enabling individuals to report all concerns involving alleged sexual misconduct, physical misconduct, emotional misconduct, or violations of the MAAPP. The mechanism must:
    - i. Have no associated costs, fees, or other financial barriers attached to submitting a report
    - ii. Provide the option to report anonymously
    - iii. Clearly define for end users and provide online reporting mechanisms for the respective jurisdictional authority of the Center and the Organization (i.e., the Center has exclusive jurisdiction over allegations of sexual misconduct) and include a link to the Center's reporting portal (at [uscenterforsafesport.org/report-a-concern](https://uscenterforsafesport.org/report-a-concern))
  - b. **Referral of Report to the Center:** Any report received by the Organization of an allegation that falls within the Center's exclusive jurisdiction must be referred by the Organization directly to the Center immediately and no later than within 24 hours.
  - c. **Jurisdiction Notification:** The Organization must promptly inform an identified reporting party of its jurisdictional determination regarding their report to the Organization, communicating that the matter either is being referred to the Center, is being addressed by the Organization, or is being referred to a local affiliated organization.
  - d. **Mandatory Reporting:** The Organization must have a mandatory reporting policy that comports with the mandatory reporting of child abuse provisions in the SafeSport Code, including mandatory reports to law enforcement, compliance with any other applicable reporting requirements under state law, and mandatory reports to the Center.
  - e. **Prohibition of Retaliation:** The Organization must have a policy expressly prohibiting retaliation before, during, and after the process (whether led by the Organization or by the Center) of resolving an abuse or misconduct allegation.
  - f. **Response and Resolution of Reported Allegations:** The Organization must establish a policy that clearly states how the Organization and its local affiliated organizations will respond to and resolve reported allegations of abuse and misconduct that fall within its jurisdiction, as well as those over which the Center declines jurisdiction. It should include:
    - i. A mechanism/system for tracking reported allegations within the Organization's (or its local affiliated organization's) jurisdiction, reflecting how allegations were responded to, and their respective outcomes
    - ii. The designation of a representative at the Organization who ensures the Response and Resolution policy is being followed
  - g. **No Interference:** The Organization shall not interfere in, attempt to interfere in, or attempt to influence the outcome of, any Center investigation.
- 3) **Responsiveness to Requests from the Center:** The Organization must have a designated representative(s) and an established policy to respond to requests from the Center within 72 hours for:
  - a. The eligibility status of a Participant
  - b. The existence of Organization-imposed temporary measures or safety plans

**4) Policy to Enforce Sanctions and Temporary Measures:**

The Organization must have a Quality Control System meeting U.S. Center for SafeSport standards that prohibits individuals with sanctions or temporary measures (issued by the Center or the Organization) from participating 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.

**5) Policy to submit to the Center “Data of Matters Addressed by the Organization”**

The Organization must annually submit to the Center data regarding:

- a. Reports of emotional or physical misconduct made to the Organization or its local affiliated organizations
  - i. Total reported incidents of alleged emotional misconduct
  - ii. Total reported incidents of alleged physical misconduct
  - iii. Total number of investigations of alleged emotional misconduct
  - iv. Total number of investigations of alleged physical misconduct
  - v. Total number of violations for emotional misconduct adjudicated by the Organization, separated by cases adjudicated by NGB and cases adjudicated by its LAOs
  - vi. Total number of violations for physical misconduct adjudicated by the Organization, separated by cases adjudicated by NGB and cases adjudicated by its LAOs
- b. Reports to the Organization or its local affiliated organizations that a Participant violated the Minor Athlete Abuse Prevention Policies (MAAPP)
  - i. Total reported incidents of alleged violations of the MAAPP, by policy type
  - ii. Total number of investigations of alleged violations of the MAAPP
  - iii. Total number of violations of the MAAPP, separated by cases adjudicated by NGB and cases adjudicated by its LAO
- c. Reports to the Organization or its local affiliated organization that a Participant engaged in retaliation
  - i. Total reported incidents of alleged retaliation
  - ii. Total number of investigations of alleged retaliation
  - iii. Total number of violations of retaliation policy separated by cases adjudicated by NGB and cases adjudicated by its LAOs