

# 2023 EVENT AUDIT REPORT

AUDIT AND COMPLIANCE  
DEPARTMENT

**NGB NAME:**

US Sailing

**EVENT NAME:**

US Youth Championships

**EVENT SITE:**

Roger Williams University – Bristol, RI

**EVENT DATE:**

June 26, 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	IMPLEMENTED
COMMUNICATION AND REPORTING	IMPLEMENTED
QUALITY CONTROL SYSTEM	IMPLEMENTED
RESPONSE & RESOLUTION	IMPLEMENTED

## AUDIT AREA: EDUCATION AND TRAINING

### 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:

Implemented

### RATIONALE:

Requirement No. 1a is satisfied. U.S. Sailing (USS) provided a list of individuals at the event who are required to be SafeSport Trained. Of the 19 individuals randomly selected for testing, 19 (100%) had completed SafeSport training within the previous 12 months and prior to participating in the event. USS requires the following categories to be SafeSport trained: USS Sailing staff and board, race officers and judges, US Sailing coaches, private coaches, and adult athletes competing with Minor Athletes.

Requirement No. 1b is satisfied. Of the 8 individuals randomly selected for testing, 8 (100%) were properly included on, or properly excluded from the list of individuals who were required to be SafeSport Trained.

Requirement No. 1c is satisfied. Of the 21 staff and board members randomly selected for testing, 20 (95.24%) were current with their annual SafeSport training. However, 4 board members and 5 staff members had unjustified lapses in their training in 2022. This finding did not impact the score.

Requirement No. 2 is satisfied. On February 22 2023, USS offered, via newsletter to all members, instructions about how to take the Center's parent and Minor Athlete training. The communication was within 12 months of the previous communication, sent March 9, 2022.

### CORRECTIVE ACTIONS:

1. USS must provide proof that all staff and board are SafeSport Trained by August 24, 2023.

### MANAGEMENT RESPONSE

RESPONSIBLE INDIVIDUAL: Justin Sterk

DEADLINE: August 24, 2023

CORRECTIVE PLAN:

## 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:

Implemented

### RATIONALE:

Requirement No. 1 is satisfied. US Sailing (USS) provided proof that the full MAAPP policy and reporting protocols for all allegations of sexual abuse or misconduct, emotional misconduct, physical misconduct, and violations of the MAAPP were sent on June 12, 2023 to all known event participants who registered, were selected, or were required to work the event. An additional communication of the full MAAPP and the full reporting policy was provided to race committee volunteers on June 27, prior to racing. On one occasion, USS allowed a private coach to register late, the day before the event, and USS staff had a QR code that linked to the Center's MAAPP-at-a-glance resource and directed the coach to the reporting-protocol signage at the check-in table. The auditor confirmed with check-in staff that the private coach who registered in person at event check-in did receive the reporting policy and the summary of the MAAPP.

Requirement No. 2 is satisfied. USS has a written communication protocol within its Quality Control System (QCS) policy that requires USS to send the MAAPP and reporting protocols to all event participants within 30 days prior to the event. Additionally, USS has a written protocol to communicate the MAAPP and reporting protocol to all event participants who register in person, at event check-in.

Requirement No. 3 is satisfied. USS provided proof that a communication of the Quality Control System policy was sent to all event directors of sanctioned events on June 9, 2023.

### CORRECTIVE ACTIONS:

No Corrective Actions required.

### MANAGEMENT RESPONSE

RESPONSIBLE INDIVIDUAL: N/A

DEADLINE: N/A

CORRECTIVE PLAN: No Management Response is required.

## 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. US Sailing (USS) implements a Quality Control System (QCS) policy at all sanctioned events to ensure individuals who are included on the Organizational Exclusion List (OEL) are unable to participate. The policy states that “prior to the Event and/or during Event check-in, US Sailing staff or the Event’s organizers/regatta officials will manually verify that no Competitors or Event Participants are on US Sailing’s Organization Exclusion List.” USS implements this policy by compiling all event participants who are selected, were identified, or registered for the event into an excel spreadsheet prior to the event. USS staff or event organizers then manually review the event participant list and cross-check all the names against the OEL prior to the event or during check-in.

The USS QCS also has language that states all adults who have regular contact with or authority over Minor Athletes must have completed SafeSport Training prior to participating in the event. The policy states that “If an adult Event Participant who is required to complete mandatory SafeSport Training has not done so prior to registration, he or she will be notified at check-in and not allowed to participate at the Event until he or she completes SafeSport Training.” For this event, adult-athlete and private-coach registration was conducted through the ClubSpot.com registration system. Prior to the event, USS staff identified judges and race officials, USS event staff, USS coaches, vendors, and safety/medical personnel. As stated above, once individuals have registered or were identified, USS exports all individuals’ names into a spreadsheet and then manually tracks SafeSport training.

Requirement No. 2a is not applicable. USS does not offer one-day/short-term memberships.

Requirement No. 2b is satisfied. USS allows late registration for private coaches and volunteers. If a coach registers late, USS will ensure the individuals register in Clubspot.com and are added to the USS excel spreadsheet of event participants who are required to take SafeSport Training. If a volunteer registers day-of, USS will add the individual to the USS excel spreadsheet of event participants. If a day-of volunteer has regular contact with or authority over Minor Athletes, the individual will be added to the USS excel spreadsheet of event participants who are required to take SafeSport training. USS will confirm both the late-registrant coach and the day-of volunteer who has regular contact with or authority over Minor Athletes have completed SafeSport training prior to participating. Additionally, USS will ensure that all day-of coaches or volunteers are not included on the OEL. However, USS does not include in the QCS policy a written protocol addressing how late-registered coaches or day-of volunteers are identified and tracked. This finding does not impact the audit score.

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

Requirement No. 2c is satisfied. USS has a written procedure to ensure that event organizers/regatta officials cross-check all event participants against USS' OEL. USS requires that the designated race official submits to USS a final list of all Event Participants for verification that no Event Participant is listed on the Organization Exclusion List. Additionally, during check-in, event organizers/regatta officials ensure all individuals, including last-minute substitutions, who require SafeSport training, complete the mandatory SafeSport training prior to regular contact or authority over Minor Athletes.

### **CORRECTIVE ACTIONS:**

1. USS must update its QCS policy, for all sanctioned events, to include a protocol for ensuring that any late-registered individuals and any day-of registrants are prevented from participation if they do not have current SafeSport training (if applicable) or are on the USS OEL.

### **MANAGEMENT RESPONSE**

RESPONSIBLE INDIVIDUAL: Justin Sterk

DEADLINE: August 24, 2023

CORRECTIVE PLAN:

## 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:**

Implemented

### **RATIONALE:**

Requirement No. 1 is satisfied. US Sailing (USS) provided documentation that the Response and Resolution policy which is included in the ‘US Sailing Athlete Safety Policy’ document was publicly posted to its website by January 1, 2023.

Requirement No. 2a is satisfied. USS has a public reporting mechanism located on the US Sailing ‘Athlete Safety’ webpage. There are clear directions on the webpage for how to report a) emotional misconduct, physical misconduct, or violations of the MAAPP directly to USS or a local organization via reporting form, and b) sexual misconduct to the Center. The auditor confirmed the reporting-form functionality does not require a fee to submit a report to USS or to a local sailing organization. The reporting form also states that users “may remain anonymous”. Additionally, the Response and Resolution policy has clear language that reporting has no costs or fees and can be submitted anonymously. The policy and the website both include clear language that the Center has exclusive jurisdiction over all allegations of sexual misconduct.

Requirement No.2b is satisfied. USS has a policy to forward any reports that fall under the Center’s exclusive jurisdiction directly to the Center within 24 hours. The policy states that “Any report received by US Sailing or its affiliates that include misconduct that falls within the Center’s exclusive jurisdiction will be forwarded to the Center within 24 hours of receiving the report.”

Requirement No. 2c is satisfied. Requirement No. 2c is satisfied. USS has a written protocol that requires USS to notify an identified reporting party “of its plans on forwarding the report to the Center, if it plans on addressing the report itself, or if the report will be handled by one of its local affiliated organizations within 48 hours of receiving the report.”

Requirement No. 2d is satisfied. USS has a mandatory reporting policy that fully complies with the Center’s Code, requiring that Adult Participants must report alleged or reasonable suspicions of child abuse or misconduct to law enforcement, the state-designated agency, and to the Center.

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

Requirement No. 2e is satisfied. USS has a written policy prohibiting retaliation. The policy requires that “retaliation or attempt to do the same by a Participant, someone acting on behalf of a Participant, US Sailing, a Local Affiliated Organization, or any organization under the Center’s jurisdiction is prohibited before, during, and after the process of resolving an abuse or misconduct allegation.”

Requirement No. 2f is satisfied. USS has a response and resolution policy and procedure stating how USS will respond to and resolve reported allegations of abuse and misconduct that fall within its jurisdiction and for reports that the Center declines jurisdiction. For reports that may be investigated by USS, Section 15 of the USS Regulations Policy details how USS will respond to and resolve reported allegations of bullying hazing, emotional or physical misconduct, and violations of the MAAPP. USS also demonstrated proof of a tracking system that shows how allegations were responded to and their respective outcomes. The policy includes protocols for the LAOs to also implement a tracking system that includes how reports were responded to and the outcome or resolution. Additionally, the policy requires that US Sailing’s Staff Counsel and Compliance Manager ensure this Response and Resolution Policy is always followed.

Requirement No. 2g is satisfied. USS has a written policy stating that “US Sailing will not attempt to interfere in or attempt to influence the outcome of any Center investigations.” However, the policy is not clear that Local Affiliated Organizations must follow this policy.

Requirement No. 3a is satisfied. See requirement No. 2g above.

Requirement No. 3b is satisfied. USS has a policy that requires USS to respond to requests from the Center regarding the eligibility status of a Participant and/or the existence of USS’ imposed temporary measures within 72 hours of the request. Testing for this requirement was conducted on requests made from the Center between January 1, 2023, and the audit date. Of the 6 requests from the Center during this time period, 5 were responded to within 72 hours.

Requirement No. 3c is satisfied. The individuals responsible for the above policy in requirement No. 3b are the US Sailing Staff Counsel and Compliance Manager.

Requirement No. 4 is partially satisfied. USS has a policy to submit Data of Matters Addressed by USS annually to the Center. However, there is no protocol for how USS will collect the data from Local Affiliated Organizations or require the Local Affiliated Organizations to themselves submit data to the Center and the NGB has not communicated with the LAOs that they are required to report back resolutions of cases that USS referred to an LAO. This finding does not impact the audit score.

### **CORRECTIVE ACTIONS:**

1. USS must update its response and resolution policy to include that Local Affiliated Organizations (LAOs) are also prohibited from any attempt to interfere in or attempt to influence the outcome of any Center investigation.
2. USS must update its policy to include a method for collecting and submitting annually to the Center 'Data of Matters Addressed' (as noted in Appendix B Section 5) from its LAOs.
3. USS must communicate to its Local Affiliated Organizations a) the requirement for Local Affiliated Organizations to track how they respond to reports of misconduct and the respective resolutions of each case and b) the requirement for LAOs to send to USS information regarding how it responded to reports and the respective resolution of each case.

AUDIT AREA: **RESPONSE & RESOLUTION**

**MANAGEMENT RESPONSE**

RESPONSIBLE INDIVIDUAL: Justin Sterk

DEADLINE: September 8, 2023

CORRECTIVE PLAN:



## 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 is 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