

# 2024 EVENT AUDIT REPORT

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|--------------------|-----------------------|
| <b>NGB NAME:</b>   | USA Artistic Swimming |
| <b>EVENT SITE:</b> | Mesa, Arizona         |
| <b>EVENT DATE:</b> | March 8, 2024         |

## 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 2024 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 a copy of a direct communication (email or newsletter), sent to all Adult Participants annually (every 12 months), that offers training for parents and minor athletes regarding prevention and reporting of child abuse.

**SCORE:**

**IMPLEMENTED**

## RATIONALE:

Requirement No.1 is satisfied. The testing of individuals randomly selected in the below Requirements Nos. 1(a),1(b), and 1(c), revealed an average of 96.6%.

Requirement No. 1(a) is satisfied. Of the 30 individuals randomly selected for testing, 30 (100%) properly completed the Center's training within the previous 12 months, prior to the event.

Requirement No. 1(b) is satisfied. Of the 5 individuals randomly selected for testing, 5 (100%) were properly included in the list of individuals who were required to be SafeSport Trained.

Requirement No. 1(c) is satisfied. Of the 10 staff and board members randomly selected for testing, 9 (90%) were current with their annual SafeSport training. One staff member had a lapse in training due to a software malfunction that has since been fixed.

Requirement No. 2 is satisfied. USA Artistic Swimming provided evidence of the email they sent to their membership on December 27, 2023. This communication offered the Center's Minor Athlete training and parent training.

## CORRECTIVE ACTIONS:

No Corrective Actions required.

## MANAGEMENT RESPONSE

**RESPONSIBLE INDIVIDUAL:** N/A

**DEADLINE:** N/A

**CORRECTIVE PLAN:** No Management Response required.

# AUDIT AREA: COMMUNICATION AND REPORTING

## REQUIREMENTS:

1. Organization or Event Director must provide a 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:
  - a. must include MAAPP requirements (either full policy or summary)
  - b. must also detail reporting protocols and explicitly state how to report each of: suspected sexual misconduct, emotional misconduct, physical misconduct and violations of the MAAPP
2. Provide Organization's written protocol for communicating - to all participants within the Organization's events, programs, activities or competitions authorized by, organized by or under the auspices of the Organization - the Center-approved MAAPP and reporting protocols for all concerns involving suspected 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 all of the Organization's events, programs, activities or competitions authorized by, organized by or under the auspices of the Organization.

**SCORE:**

**IMPLEMENTED**

## RATIONALE:

Requirement Nos. 1(a) and (b) are satisfied. On February 22, 2024, the event organizer communicated the MAAPP and reporting protocol to all event participants. The email included attachments to USA Artistic Swimming's MAAPP, MAAPP-at-a-Glance, Travel Policy and the USAAS Response and Resolution policy. Additionally, the event organizer communicated the reporting protocols for all concerns involving alleged sexual, physical, emotional misconduct and violations of the MAAPP. The reporting protocol includes the Center's reporting page and phone number as well as the USA Artistic Swimming reporting form and email.

Requirement No. 2 is satisfied. USA Artistic Swimming provided a written protocol that details how event directors should communicate the USA Artistic Swimming Center-approved MAAPP and reporting protocol to all event participants.

Requirement No. 3 is satisfied. USA Artistic Swimming provided documentation that USA Artistic Swimming's Quality Control System (QCS) policy is sent to event organizers via their event sanction waiver document. USA Artistic Swimming requires event directors to sign and acknowledge the completion of the Event Sanction Waiver document in order to host a sanctioned event. The waiver includes links to the QCS and SafeSport policies and procedures.

## CORRECTIVE ACTIONS:

No Corrective Actions required.

## MANAGEMENT RESPONSE

**RESPONSIBLE INDIVIDUAL:** N/A

**DEADLINE:** N/A

**CORRECTIVE PLAN:** No Management Response 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 (OEL) 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/substitutions (athletes, staff, volunteers, vendors, coaches, officials etc.)
  - c. Oversight procedures by the Organization when the staff is not on site at events, programs, activities or competitions authorized by, organized by or under the auspices of the Organization

**SCORE:**

**IMPLEMENTED**

## RATIONALE:

Requirement No. 1 is satisfied. USA Artistic Swimming's Quality Control System (QCS) policy includes a written protocol for event organizers to follow and verify SafeSport training for all required individuals prior to the event using the USA Artistic Swimming membership database. The policy states that anyone required to be SafeSport trained who is not current with training must be prevented from participation.

USA Artistic Swimming has a protocol within their QCS ensuring that individuals on the Organizational Exclusion list (OEL) are unable to participate in any event, program, activity, or competition authorized by USA Artistic Swimming or under the auspices of USA Artistic Swimming. USA Artistic Swimming does not have anyone on their OEL.

Requirement No. 2(a-b) is 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. USA Artistic Swimming staff is able to pull the participant report for any sanctioned event. Additionally, USA Artistic Swimming's oversight procedures are within the sanctioning process. 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 with all participants and will follow the USA Artistic Swimming QCS.

## CORRECTIVE ACTIONS:

No Corrective Actions required.

## MANAGEMENT RESPONSE

**RESPONSIBLE INDIVIDUAL:** N/A

**DEADLINE:** N/A

**CORRECTIVE PLAN:** No Management Response required.

# AUDIT AREA: RESPONSE AND RESOLUTION

## REQUIREMENTS:

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. 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. Requests from the Center are responded to within 72 hours
  - b. 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 and annually submitting to the Center, 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 and submit to the Center such data from LAOs, if applicable

**SCORE:**

**IMPLEMENTED**

## RATIONALE:

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

Requirement No. 2 is satisfied. USA Artistic Swimming has posted to its public website the Center-specified Response and Resolution policies.

Requirement Nos. 2(a-g) are satisfied. USA Artistic Swimming provided its written policy which addresses all the corresponding elements listed in Appendix B Section 2.

Requirement Nos. 3(a and b) are satisfied. USA Artistic Swimming provided its written policy stating the Athlete Safety Manager will be responsible for responding to requests from the Center within 72 hours. Auditor reviewed findings of this standard that occurred between April 12, 2023 (USA Artistic Swimming’s 2023 audit date) through the current audit date. No requests from the Center to USA Artistic Swimming were made during this time frame.

Requirement No. 4 is satisfied. USA Artistic Swimming provided its written policy for collecting Data of Matters addressed by USA Artistic Swimming which includes all elements listed in Appendix B Section 5. USA Artistic Swimming is managing the data within their internal database/tracking mechanism.



Requirement No. 4(a) is not applicable. USA Artistic Swimming's policy states that Local Affiliated Organizations (LAOs) are not permitted to respond to or resolve allegations. All reports of allegations are reported to and resolved by USA Artistic Swimming.

**CORRECTIVE ACTIONS:**

No Corrective Actions required.

## MANAGEMENT RESPONSE

**RESPONSIBLE INDIVIDUAL:** N/A

**DEADLINE:** N/A

**CORRECTIVE PLAN:** No Management Response required.

### 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 could include items that were found to reflect increased or mitigated risk to athlete safety and well-being.

### RATIONALE:

There were no qualifying findings observed during the single-day 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.

## APPENDIX A: SCORING GUIDE

### 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
- Failure to identify or track two or more categories of individuals required to be trained
- Failure to check against two or more categories of individuals in Organization's Quality Control System at an event
- 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
- Failure to identify one or more categories of individuals required to be trained
- Failure to check against one category of individuals in the Organization's Quality Control System at an event
- 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
- Adequate tracking and inclusion of all individuals in all required categories in the Organization's Quality Control System at event
- 90% or higher compliance on Education & Training requirements

## APPENDIX B: RESPONSE AND RESOLUTION STANDARDS

- 1) Organization's Response & Resolution standards must be posted on Organization's website.
- 2) Organization's Internal Response & Resolution Policies and Process:
  - a. Reporting Mechanism: The Organization must have a mechanism on its public website (such as a form or contact info for an athlete safety liaison) enabling individuals to report all concerns involving suspected 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 LAOs 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 LAO's) jurisdiction, reflecting how allegations were responded to, and their respective outcome
    - 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 LAOs
    - 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 LAOs 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 LAOs
- 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