

2024 EVENT AUDIT REPORT

NGB NAME:	USA Baseball
EVENT SITE:	Cary, NC
EVENT DATE:	July 25, 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 Requirement Nos. 1(a),1(b), and 1(c), revealed an average of 100%.

Requirement No. 1(a) is satisfied. Of the 25 individuals randomly selected for testing, 25 (100%) properly completed the Center's training within the previous 12 months, before the event. USA Baseball required SafeSport Training for the following event categories: USA Baseball staff, interns, coaches, umpires, bus drivers, and panelists/speakers. USA Baseball goes above and beyond the Education and Training requirements to require that panelists/speakers must be SafeSport trained.

Requirement No. 1(b) is satisfied. Of the 10 individuals randomly selected for testing, 10 (100%) were properly included in the list of individuals who were required to be SafeSport Trained.

Requirement No. 1(c) is satisfied. Of the 19 staff and board members randomly selected for testing, 19 (100%) were current with their annual SafeSport training. One board member had a four-month lapse of training in 2023.

Requirement No. 2 is satisfied. USA Baseball does not have Adult Participant members. However, the auditor confirmed that the organization offers and provides Minor Athlete training to Minor Athletes and their parents prior to all youth events. USA Baseball provided documentation that the Minor Athlete and parent training was offered to the 16/17U athletes and parents for this event on July 23, 2024.

CORRECTIVE ACTIONS:

No Corrective Actions required.

MANAGEMENT RESPONSE

RESPONSIBLE INDIVIDUAL: N/A

DEADLINE: N/A

CORRECTIVE PLAN: No Management Response is 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 No. 1 is satisfied. USA Baseball (USAB) provided proof that a link to the BASE MAAPP policy and Compliance Letter, which includes a QR code that directs users to the USA Baseball reporting mechanism was emailed to all event participants on July 18, 2024, and July 23, 2024. Once the QR code is scanned or the 'Report Abuse' page is reviewed in the USA Baseball mobile app, users can view the detailed protocol to report suspected sexual, emotional, and physical abuse or misconduct. USA Baseball also includes a MAAPP deviation protocol and form on the 'Report Abuse' page if in emergency requires an individual to deviate from the MAAPP prevention policy requirements (i.e., One-on-one interactions, etc.) However, there is no mention of how MAAPP violations may be reported on this webpage, the body of the pre-event email, or on the Compliance Letter document attached to the pre-event email. Day-of participation is not allowed, and last-minute substitutions were not applicable at this event.

Requirement No. 2 is satisfied. USAB has a written communication policy within its Quality Control System (QCS) policy that requires USAB to send the MAAPP, information on how to report abuse and how to report a MAAPP violation to all event participants within one week prior to the event. The policy also requires that in the event of a last-minute substitution, USAB's Athlete Safety Staff will immediately send the pre-event email that includes the MAAPP, information on how to report abuse, and how to report a MAAPP violation.

Requirement No. 3 is satisfied. USAB provided proof that on January 4, 2024, the Quality Control System policy was sent to all staff of the organization.

CORRECTIVE ACTIONS:

1. USA Baseball must update its Compliance Letter and Report Abuse webpage to also explicitly state the reporting protocol for MAAPP violations.
2. USA Baseball must update its communication protocol found in its quality control policy to explicitly state how to report each of: suspected sexual misconduct, emotional misconduct, physical misconduct and violations of the MAAPP to all event participants within one week prior to the event.

MANAGEMENT RESPONSE

RESPONSIBLE INDIVIDUAL: Lisa Braxton

DEADLINE: October 1, 2024

CORRECTIVE PLAN:

USA Baseball will update the following:

Report Abuse Webpage:

First sentence update.

Please click the "Report Abuse" button below to be taken to the reporting form to submit any alleged abuse or misconduct, including emotional, physical, sexual misconduct or abuse and MAAPPS violations and deviations.

Reporting Form Webpage

First sentence update.

Please complete the form below to submit any alleged abuse or misconduct, including emotional, physical, sexual misconduct or abuse and MAAPPS violations and deviations.

Compliance Letter

Page 2 Report Abuse

Report Abuse By law, everyone is a mandatory reporter. If you have experienced abuse or misconduct, or know of abuse or misconduct, or MAAPPS violation and deviation has occurred that has taken place at a USA Baseball event.

AND

Quality Control System Policy

Page 4 F. 1. Replaced 'report abuse' with 'suspected sexual misconduct, emotional misconduct, physical misconduct'

Page 4 F. 2. Replaced 'report abuse' with 'suspected sexual misconduct, emotional misconduct, physical misconduct and violations of the MAAPPS'

Page 4 G. Replaced 'report abuse' with 'suspected sexual misconduct, emotional misconduct, physical misconduct and violations of the MAAPPS'

Page 6 F. Replaced 'report abuse' with suspected sexual misconduct, emotional misconduct, physical misconduct

Page 6 F. Replaced 'report abuse' with 'suspected sexual misconduct, emotional misconduct, physical misconduct and violations of the MAAPPS'

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 Baseball (USAB) implements a Quality Control System (QCS) at all sanctioned events to ensure individuals included on the USAB ineligible list are unable to participate. The policy requires that applicable participants who are selected or register for USA Baseball events are added to USA Baseball's manual tracking spreadsheet (Google Sheet) and are checked against the USA Baseball Organizational Exclusion List (OEL) and the Center's Centralized Disciplinary Database. The policy states that "if the applicable participant is on either list, USA Baseball Athlete Safety staff notifies the USA Baseball staff responsible for the event that the applicable participant is not permitted to participate in any capacity in the USA Baseball event. The applicable participant is marked as "Ineligible" on the Google Sheet.

The USAB QCS also implements a policy to ensure that individuals who are required to be but are not SafeSport Trained are not permitted to participate in the event. As stated above, compliance for Adult Participants required to be SafeSport Trained is tracked in a USAB Google Sheet. For this event, all athletes, coaches, athletic trainers, bus drivers, umpires and guest speakers/panelists were identified or selected in advance by USA Baseball staff. USAB then compiled all event participant categories, into the Google Sheet and then conducted a manual check to ensure event participants required to have SafeSport Training were current in their training. USAB required the following categories to be SafeSport trained: USAB staff and interns, event staff, coaches, umpires, athletic trainers, bus drivers and panelists.

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

Requirement No.2b is satisfied. Although, there were no last-minute substitutions at this selection event, USAB does allow for last-minute substitutions at some sanctioned events. The QCS policy states that “USAB Baseball Operations will provide USAB Athlete Safety staff with immediate notice of the substitution. USAB Athlete Safety staff then contacts the substitute to complete required compliance (SafeSport training and background check) prior to the event and checks the individual against the Center’s Centralized Disciplinary Database and the USAB Ineligible List.”

Requirement No. 2c is satisfied. USAB Athlete Safety staff controls registration and ensures the QCS policy is effectuated at all sanctioned events. USAB Athlete Safety staff are on site for all sanctioned events. The USAB Athlete Safety Staff is on-call for national team training events that are not at the USAB National Complex. The policy states: “USAB Athlete Safety Staff remains present on site for all USAB events (open to the public) and are on-call for all National Team Training (closed to the public).”

CORRECTIVE ACTIONS:

No Corrective Actions required

MANAGEMENT RESPONSE

RESPONSIBLE INDIVIDUAL: N/A

DEADLINE: N/A

CORRECTIVE PLAN: No Management Response is 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 Baseball provided the Center with its Response and Resolution Policies and proof that the policies were posted publicly to the USA Baseball website. Requirement No. 2a is satisfied. USA Baseball has a public reporting mechanism located on the USA Baseball ‘Report Abuse’ webpage. There are clear instructions on the webpage for how to report emotional misconduct and physical misconduct to USAB via a reporting form, and clear instructions for how to report sexual abuse and child abuse to the Center. Also on USAB’s ‘Report Abuse’ webpage there is a MAAPPs Deviation form to document emergencies in which the MAAPP emergency exception applies. In that section the language states, “If you need to report an incident, please use the Incident Reporting Form below, NOT the MAAPPs Deviation Form”. However, the public reporting mechanism (the incident reporting form) only includes sexual, physical and emotional abuse as types of incidents to report. But not MAAPP violations.

Requirement Nos. 2 b-g are satisfied. USA Baseball provided its written policy in which these items are addressed in accordance with the requirements found in Appendix B, Section 2. The written policy that satisfies the requirements can be found in the USA Baseball Response and Resolution Policy document.

Requirement Nos. 3a and b are satisfied. USA Baseball has a policy that requires the CEO and/or the Director, Athlete Safety to respond to requests from the Center within 72 hours regarding all information related to participant's status, eligibility and USA Baseball imposed temporary measures or safety plans. Auditor reviewed findings of this standard that occurred between USA Baseball's 2023 audit and this 2024 audit and of the 33 requests made from the Center during this time period, 32 were responded to within 72 hours.

Requirement No. 4 is satisfied. USA Baseball has a written policy within their Response and Resolution policy for annually submitting to the Center Data of Matters Addressed by USAB, encompassing all elements listed in Appendix B Section 5.

CORRECTIVE ACTIONS:

No Corrective Actions required.

MANAGEMENT RESPONSE

RESPONSIBLE INDIVIDUAL: N/A

DEADLINE: N/A

CORRECTIVE PLAN: No Management Response is 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:

Athletic trainers had open hours at the hotel. The room they operated in was open to specific groups of players at any given time. Trainers stated that there were always multiple SafeSport Trained adults (Adult Participants) present, including themselves. They also stated that they would provide minimal to zero-touch modalities to athletes. For example, athletic trainers would administer ice and stimulation machines (TENS machines) to athletes. Athletic trainers also stated that they would guide rehabilitation exercises. The two athletic trainers hired for the event were both SafeSport Trained and were aware of the Athletic Training policy. There was an athletic trainers' building on the concourse of the main stadium. Athletic Training policy signage was posted inside the building. The USA Baseball Zero Tolerance reporting flyer was also posted outside of this building. USA Baseball stated and the auditor observed that no athletic training modalities occurred in that space. It was used more for storage and athletic supplies. Additionally, the auditor observed USA Baseball Athlete Safety Staff monitor these areas during competition.

CORRECTIVE ACTIONS:

No Corrective Actions required.

MANAGEMENT RESPONSE

RESPONSIBLE INDIVIDUAL: N/A

DEADLINE: N/A

CORRECTIVE PLAN: No Management Response is 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)
 - 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