

United States
Olympic & Paralympic
Committee

1 Olympic Plaza
Colorado Springs, CO 80909

USOPC AND NGB ANNUAL COMPLIANCE REPORT

Overview

Consistent with the Ted Stevens Olympic and Amateur Sport Act's (the Act) compliance reporting requirements,¹ this report provides an overview of notable initiatives the Ethics and Compliance team launched in 2022 to continue to support National Governing Bodies (NGBs) and USOPC team members. The USOPC Compliance section includes summaries of USOPC compliance matters while the NGB Compliance section includes overviews of NGB audits, NGB certification renewals and new certifications, decertification actions, and Compliance investigations.

USOPC Compliance

With the 2022 launch of the USOPC's Integrity Portal, an online mechanism for confidential and anonymous reporting, the Compliance team began to provide the NGB Oversight and Compliance Committee, the Ethics and Compliance Committee, and the Board of Directors with robust metrics detailing the number of reports received by issue type, quarterly updates on the number of cases closed, and the percentage of anonymous versus confidential reports, among other data.

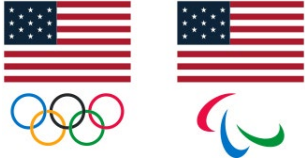
In addition to responding to and addressing reports received through the Integrity Portal, the Compliance team dedicates significant time to supporting team members' development of their departments' policies and procedures. In 2022, the Compliance team inventoried all of the USOPC's existing policies, and following a review of those policies, the Compliance team published a policy that governs organization-wide policies and procedures and established minimum requirements for policies and procedures, requires annual reviews for updates, and established approval procedures.

To measure the USOPC's compliance with the Act and its own bylaws, policies, and procedures, the USOPC's Compliance and Audit teams engaged external auditors to conduct internal audits of certain USOPC departments, including the Compliance department and internally managed sports. The USOPC sought to conduct internal audits to help those departments identify and mitigate risk and to ensure the USOPC holds itself to the same standards as NGBs where applicable. As of the end of 2022, those internal audits were in progress or close to completion.

The Ethics and Compliance team also supports the USOPC's internally managed sports which include Paralympic sports the USOPC has historically managed and new sports that do not have a certified NGB. The Ethics and Compliance team's work last year included streamlining and consolidating policies and procedures, updating athlete agreements, and assisting the Sport Performance team with athlete representation requirements, among other items.

As part of the annual ethics disclosure process, the Ethics and Compliance team launched an online platform for ethics disclosures that serves as a one-stop location for gifts and entertainment, outside work, and conflict disclosures. The online platform allows the Ethics and Compliance team to document its responses to team member disclosures in one location, including its guidance to mitigate or otherwise resolve conflicts, and

¹ 36 U.S.C. § 220511(a)(2)(F)-(G).



United States
Olympic & Paralympic
Committee

1 Olympic Plaza
Colorado Springs, CO 80909

track completion rates. The Ethics and Compliance team publicized this new automated tool and other updates to its policies and procedures in weekly email newsletters sent to all USOPC team members. The Ethics and Compliance team also reminded USOPC team members of the online disclosure platform during live annual gifts and entertainment training for each department and during Ethics and Compliance onboarding training for all new team members, which also included promotion of the Integrity Portal and introductions to Ethics and Compliance policies.

Reports of Retaliation

In June 2022, a Paralympic Snowboarding athlete alleged that, among other concerns, they were retaliated against by a member of the Paralympic Snowboarding coaching staff for getting a USOPC-paid athlete stipend reinstated after it was revoked for an alleged violation of the athlete agreement. The Compliance team reviewed evidence submitted by the athlete but did not reach a conclusion concerning the allegation of retaliation based on the US Center for SafeSport's exercise of discretionary jurisdiction over that allegation. The Compliance team referred the complaint to the Center based on allegations of emotional abuse, and the Center exercised discretionary jurisdiction over the retaliation allegation. The USOPC does not have visibility into the progress of the investigation other than that the Center accepted jurisdiction.

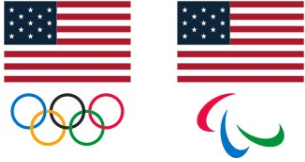
NGB Compliance

NGBs continued to demonstrate their commitment to meeting the NGB Compliance Standards. For example, by the end of 2022, NGBs remediated 88% of audit findings resulting from 15 compliance audits conducted in 2021. In addition, many NGBs also put in significant time and effort to ensure the passage of material bylaws changes to comply with the Act and the USOPC's NGB Compliance Standards. These changes required educating members and boards of directors, and in some cases overcoming opposition to revising long-standing governing rules.

The Compliance and Audit teams continue to evaluate NGBs against the USOPC's NGB Compliance Standards, provide support to NGBs to help them meet those standards, and identify best practices that benefit NGBs, their members, and Team USA athletes. The sections below summarize the Compliance and Audit team's work over the past year, as well as new NGB certifications and certification renewals.

NGB Audit

The NGB Audit team conducted audits of 13 NGBs in 2022 in advance of those NGBs' scheduled certification renewals in 2023. The most common issues identified in those audits fell into the category of Governance and Compliance, followed by Operational Performance. The NGB Audit team also made significant progress on closing aged and current issues and like the Ethics and Compliance team, provided detailed metrics reporting to the NGB Oversight and Compliance Committee and the Board of Directors. The Audit team's metrics reporting has helped to identify areas where the Compliance team can provide education and increased support to NGBs and has given the NGB Oversight and Compliance Committee insight into areas that present the most challenges for NGBs. The results from NGB audits have also been critical to the USOPC's Certification Review Group's (CRG) overall assessment of NGBs in determining their certification statuses.



United States
Olympic & Paralympic
Committee

1 Olympic Plaza
Colorado Springs, CO 80909

Compliance Assistance Program

To support NGBs, the USOPC Compliance team developed its Compliance Assistance Program in 2022. The Compliance Assistance Program is designed to help provide NGBs with feedback on bylaws, policies, and procedures to help ensure those governance documents include minimum standards as required by the Act, the USOPC's bylaws and policies, and the USOPC's NGB Compliance Standards as well as prepare NGBs for USOPC audits. The Compliance Assistance Program includes audit preparation services and ongoing monitoring check-ins to gather publicly available documentation that NGBs are required to submit or make available based on the Act or the USOPC's NGB Compliance Standards.

The USOPC conducted a pilot of its Compliance Assistance Program's audit preparation services with an NGB that was scheduled to undergo an audit in the beginning of 2023. The pilot was successful and the USOPC received positive feedback from the NGB. The program will launch in full in 2023, starting by focusing its support on small NGBs with limited resources that choose to take advantage of the program.

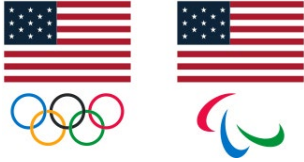
Decertification Proceedings

At the beginning of 2022, the USOPC became aware of concerns regarding USA Skateboarding's governance, specifically the Board of Directors' apparent lack of oversight of the chief executive officer, and USA Skateboarding's operations. The USOPC's Audit team also concluded its audit of the organization in July 2022, which resulted in 28 findings that reflected significant non-compliance with athlete representation requirements, missing financial reporting, governance failures, and a lack of basic policies and procedures required of all NGBs, among other deficiencies. The USOPC sent several letters to USA Skateboarding's Board of Directors documenting its concerns and worked with the organization based on USA Skateboarding's repeated assurances that it was working to address those concerns. In early August, after seeing little to no improvement and after the High Performance staff resigned, the USOPC filed a complaint pursuant to Section 8 of the USOPC's Bylaws to decertify USA Skateboarding as an NGB.

A hearing panel was appointed to preside over the Section 8 complaint to review evidence and hear testimony from both parties at a December 2022 hearing. However, considering the resignation of all of the previous board directors, the appointment of a new chief executive officer and the addition of new staff after the issuance of the Section 8 complaint, the USOPC entered into a settlement agreement with USA Skateboarding in early December 2022. The settlement agreement gives USA Skateboarding until March 9, 2023, to remediate outstanding audit findings and satisfy other requirements to demonstrate that the organization meets certification requirements outlined in the Act, the USOPC's Bylaws, and the USOPC's NGB Compliance Standards. USA Skateboarding also agreed to allow the USOPC's Certification Review Group, which collectively determines NGBs' certification statuses, to decide whether USA Skateboarding has met the requirements to continue to be certified as an NGB.

Compliance Investigations

The Ethics and Compliance team conducted a number of investigations in 2022, including investigations involving outside counsel. Common themes from these investigations include board oversight of chief executive officers, senior management accountability, processes to report concerns confidentially or anonymously, and conflicts of interest. Consistent with the Ethics and Compliance team's practice at the conclusion of investigations, the USOPC issued letters to those NGBs requiring specific action to comply with



United States
Olympic & Paralympic
Committee

1 Olympic Plaza
Colorado Springs, CO 80909

NGB certification requirements, the Act, the USOPC's Bylaws, and / or the NGB's policies and procedures. The USOPC also made optional recommendations based on best practices and to help NGBs improve their policies and procedures. Following the issuance of these letters, the Ethics and Compliance team tracks the satisfaction of each requirement and any recommendations adopted by NGBs.

The Ethics and Compliance team provides quarterly summaries of investigations or other significant NGB issues to the NGB Oversight and Compliance Committee and the Board of Directors. As of the end of 2022, the Ethics and Compliance team continued its work on several matters while only one investigation was pending with outside counsel.

Certifications and Certification Renewals

The USOPC certification review process includes renewal of NGB certifications once every four years and certification of new NGBs following the completion of an audit and an overall review of the applicant sport organization by the USOPC's CRG, which provides a certification recommendation to the USOPC's Board of Directors. In 2022, the CRG considered 16 certification renewals and three certification applications. The sections below summarize those outcomes. The current certification status for all NGBs that have gone through the certification process, including NGBs scheduled for certification in 2022, can be found on teamusa.org.

1. Certification Renewals

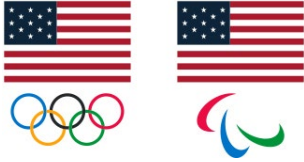
The USOPC Board of Directors accepted the CRG's recommendations and renewed the certifications of 13 NGBs that the USOPC considered certified as of January 1, 2021. The full certification recommendation reports for these NGBs are available on teamusa.org.

Renewal in Good Standing

Of the 13 renewals, the USOPC Board of Directors renewed 11 with a status of Renewal in Good Standing, indicating that there are no significant outstanding issues affecting the NGBs' standing with the USOPC. While the CRG identified some areas of concern in its review of these NGBs, there were no significant deficiencies, and the NGBs acted to resolve the issues identified by the CRG within the certification review period.

The NGBs whose certifications were renewed with a status of Renewal in Good Standing in 2022 were:

- [US Equestrian Federation](#)
- [US Soccer Federation](#)
- [USA Basketball](#)
- [USA Climbing](#)
- [USA Diving](#)
- [USA Field Hockey](#)
- [USA Gymnastics](#)
- [USA Judo](#)
- [USA Roller Sports](#)



United States
Olympic & Paralympic
Committee

1 Olympic Plaza
Colorado Springs, CO 80909

- [USA Team Handball](#)
- [USA Water Polo](#)

Renewal with Conditions

The USOPC Board of Directors renewed two NGBs' certifications with a status of Renewal with Conditions, indicating there were significant matters for the NGBs to address at the close of the certification review that required remediation, but were not so significant that they warranted actions that might have led to more formal action such as a Compliance review or the initiation of decertification proceedings.

The NGBs whose certifications were renewed with a status of Renewal with Conditions in 2022 were:

- [USA Table Tennis](#)
- [USA Weightlifting](#)

The CRG recommended that USA Table Tennis' certification be renewed with a status of Renewal with Conditions because USA Table Tennis still needed to successfully remediate NGB Audit findings from its 2021 audit related to its background check controls. That finding was pending remediation as of the end of 2022.

The CRG recommended that USA Weightlifting's certification be renewed with a status of Renewal with Conditions because it still needed to address NGB Audit findings related to its conflicts of interest disclosure and review process and the execution of its own background check policy. These findings were partially addressed and were pending full remediation as of the end of 2022.

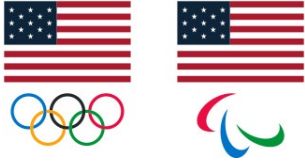
Pending Additional Review

The CRG did not provide final recommendations for three NGBs' certification reviews it began in 2022, in two cases – USA Archery and USA National Karate-do Federation - pausing its reviews because it identified deficiencies that merited Compliance reviews. The certification reviews for those two NGBs will resume after the Compliance review is complete. The CRG paused its certification renewal review of the American Canoe Association in Q4 2022 because the NGB was awaiting the results of a membership vote to accept bylaw amendments that were necessary to reach full compliance with the NGB Compliance Standards, and that vote happened after the CRG's last meeting in 2022.

The NGBs whose certification renewals were paused in 2022 were:

- American Canoe Association
- USA Archery
- USA National Karate-do Federation

The American Canoe Association voted at its Q4 2022 meeting to pass bylaws amendments, while USA Archery and the USA National Karate-do Federation continued to address identified deficiencies and provide the USOPC with progress reports as of the end of 2022.



United States
Olympic & Paralympic
Committee

1 Olympic Plaza
Colorado Springs, CO 80909

Upgraded Certification Renewals

In its 2021 review, the CRG recommended that one NGB, USA Racquetball, have its certification renewed with a status of Renewal with Conditions. USA Racquetball successfully met the conditions of its certification and the CRG recommended that its certification be upgraded to Renewal in Good Standing for the remainder of its certification term.

2. Initial Certification Applications and Reviews

In 2022, the CRG continued its initial certification reviews for three organizations previously recognized as High Performance Management Organizations seeking to become NGBs. A summary of each organization and its certification review is below. Full certification recommendation reports are available on teamusa.org for the organizations that were certified in 2022.

Lakeshore National Adapted Sport Organization (LNASO) – USA Wheelchair Rugby and Boccia *Certification Status: Certification with Conditions*

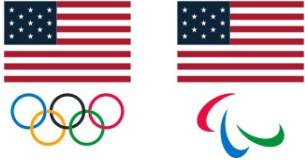
The CRG recommended that LNASO, the wholly owned subsidiary of the original applicant Lakeshore Foundation, be certified as the NGB for the sports of wheelchair rugby and boccia with a certification status of Certification with Conditions. LNASO met most of the NGB Compliance Standards for certification, but needed to obtain tax-exempt status, meet athlete representation requirements for its Designated Committees, and execute on its conflicts of interest disclosure process as it seats those committees. LNASO entered into a Certification Agreement stating that it would relinquish its certification if it did not obtain tax exempt status by December 31, 2023.

Logan University – USA Para Powerlifting *Certification Status: Declined*

The CRG officially declined Logan University’s application for NGB status in March 2022. During the NGB certification review, the United States Center for SafeSport (the Center) informed Logan University of additional measures it would be required to implement to remain in compliance with the Center’s SafeSport Code and Minor Athlete Abuse Prevention Policies as an NGB. Because the additional requirements do not contemplate structures like Logan University, Logan University was unable to reasonably meet the Center’s additional requirements and would not receive a compliant rating on the Center’s audits going forward, as the USOPC’s NGB Compliance Standards require that any organization seeking to gain or maintain certification as an NGB “must demonstrate compliance with the U.S. Center for SafeSport requirements through the U.S. Center for SafeSport’s most recent audit report.” Accordingly, the CRG was unable to recommend certifying Logan University as the NGB for Paralympic Powerlifting, and the sport was transitioned to the USOPC.

National Wheelchair Basketball Association (NWBA) *Certification Status: Certification with Conditions*

The CRG recommended that the NWBA be certified as the NGB for the sport of wheelchair basketball with a certification status of Certification with Conditions. The NWBA met most of the NGB Compliance Standards for certification, but the CRG identified concerns related to the organization’s financial stability, high



United States
Olympic & Paralympic
Committee

1 Olympic Plaza
Colorado Springs, CO 80909

performance model, and no near-term plan to hire a full-time CEO. The NWBA entered into a Certification Agreement requiring that it fulfill certain conditions outlined by the CRG to resolve its concerns by December 31, 2023.

3. Conclusion

The CRG's second year of certification reviews continued to show the value of holistically reviewing NGBs and applicant organizations and obtaining feedback and perspective from the USOPC departments that interact with these organizations. As demonstrated by the variety of outcomes, the certification review process continues to contribute to the identification of NGBs that are performing well; identifying NGBs with serious concerns and risks that require the USOPC's attention before being certified in good standing; and providing assurances that newly certified NGBs are prepared for the responsibilities that come with being a certified NGB.