



United States Olympic Committee

United States Olympic Committee SafeSport Audit of USA Softball

October 2017

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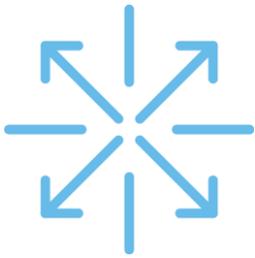
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United States Olympic Committee
USOC SafeSport Audit of USA Softball

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¹ To consider the report in its entirety, please refer also to the detailed management response that will appear here [[Governance Documents](#)] within 90 days of the date of this report.



Executive Summary

Summary Observations

It shall be the policy of the United States Olympic Committee (USOC) that each National Governing Body (NGBs) adopt a Minimum Standards Policy for Athlete Safety Programs (Athlete Safety Standards) by December 31, 2013².

We noted the following opportunities to enhance the design of USA Softball's compliance with the Athlete Safety Standards:

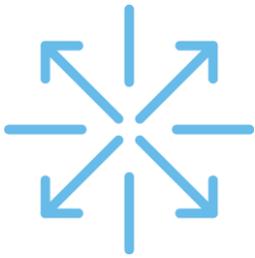
- > **Athlete Safety Standards - Reporting and Grievance Processes - USA Softball's SafeSport-related documentation and administrative materials does not include specific reporting and grievance processes for SafeSport-related matters.**
- > **Athlete Safety Standards - Criminal Background Checks and Education and Training Testing - All ten individuals selected for testing (100% of the selected individuals) had no record of completing the education and training requirements during the testing period (i.e., May 1, 2016 through April 30, 2017).**
- > **Athlete Safety Standards - Criminal Background Checks and Education and Training Policy Requirements - USA Softball's SafeSport-related documentation and administrative material does not specifically require stakeholders (e.g., coaches, staff, officials, volunteers, etc.) to complete education and training requirements as required by the Athlete Safety Standards.**
- > **Athlete Safety Standards - Application of the SafeSport Policy (Minors) - USA Softball's Code states that, "All Junior Olympic team personnel assisting in the dugout must visually display proof of an USA Softball background check." USA Softball's application of this code is inconsistent with the requirements listed in the Athlete Safety Standards and may be focused too narrowly on minors (i.e., Junior Olympic team personnel). The Athlete Safety Standards do not limit these activities to include only minors.**

Background and Approach

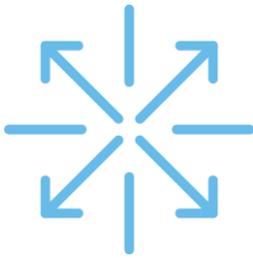
USOC engaged Baker Tilly Virchow Krause (Baker Tilly), to assist the USOC in the completion of SafeSport audits, to assess compliance with SafeSport policies and procedures at the USOC and all of its NGBs and High Performance Management Organizations (HPMOs).

Baker Tilly performed a review of USA Softball to evaluate compliance with the Athlete Safety Standards. The following activities were performed for this review of USA Softball:

² Effective June 20, 2017 the USOC replaced the Athlete Safety Standards with the NGB Athlete Safety Policy. Due to the timing of this audit, fieldwork was performed in accordance with the Athlete Safety Standards.



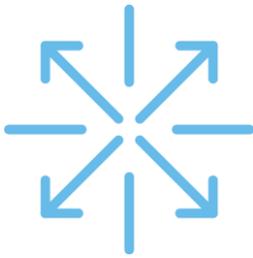
- > Developed and executed an audit program that included:
 - Holding a virtual entrance meeting to discuss and document USA Softball's SafeSport program and processes.
 - Selecting a sample of 10 from the required individuals to ensure a background check was performed and education and training was completed. See **Appendix A** for a list of documents reviewed.
 - Reviewing USA Softball's athlete safety policy and determining whether the following was addressed:
 - Required misconduct is prohibited and defined;
 - Reporting procedures are documented; and
 - The grievance process is documented and complies with Athlete Safety Standards.
 - Identifying which individuals are required to undergo a criminal background check and complete education and training.
- > Conducted a virtual exit meeting, if requested, following delivery of the draft report, to discuss audit findings and recommendation(s) with USA Softball. See **Appendix B** for a list of individuals interviewed.
- > Identified specific observations and recommendations regarding opportunities to enhance compliance with Athlete Safety Standards. Observations include the following attributes: criteria, condition, cause, effect, and recommendation, as set out in the International Professional Practices Framework (IPPF) Standards and Practice Advisory 2410-1.



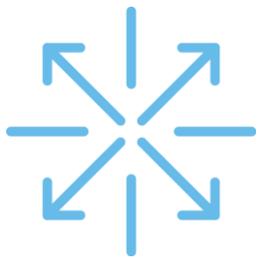
Detailed Report

The tables below represent opportunities to enhance the design and effectiveness of USA Softball's compliance with the Athlete Safety Standards.

1. Athlete Safety Standards - Reporting and Grievance Processes	
Criteria	The Athlete Safety Standards state each NGB shall have a grievance process, which is materially free of bias and conflicts of interest, to address allegations of misconduct following the report or complaint of misconduct which has not been adjudicated under a criminal background check.
Condition	USA Softball's SafeSport-related documentation and administrative materials does not include specific reporting and grievance processes for SafeSport-related matters.
Cause	USA Softball may not have reviewed and updated its SafeSport-related documentation and administrative materials to include all of the requirements in the Athlete Safety Standards.
Effect	<p>USA Softball must be in compliance with the Athlete Safety Standards to be a member in good standing. Noncompliance with the Athlete Safety Standards can result in disciplinary action by the USOC including withdrawal of high performance funding.</p> <p>If there is not a comprehensive grievance process documented, athletes or stakeholders (e.g., coaches, officials) may be deterred from reporting a SafeSport-related concern.</p>
Recommendation	USA Softball must update their SafeSport-related documentation and administrative materials to include a grievance process as documented in the Athlete Safety Standards. Compliance with these requirements must be completed within 90 days of receipt of the final audit report.
Management response	USA Softball agrees to update its governing documents to include and further refine a grievance and disciplinary process for SafeSport-defined grievances. USA Softball will set forth and administer its own grievance and disciplinary process for: (a) all non-covered individuals against whom any type of complaint is alleged; and (b) for all Covered Individuals against whom a complaint other than a complaint for sexual misconduct has been alleged. All complaints alleging sexual misconduct against Covered Individuals will be referred to the Center for SafeSport for administration. USA Softball agrees to do this within 90 days of its receipt of the final audit report.



2. Athlete Safety Standards - Criminal Background Checks and Education and Training Testing	
Criteria	The Athlete Safety Standards state each NGB/HPMO shall require criminal background checks and education and training for those individuals it formally authorizes, approves, or appoints (a) to a position of authority over, or (b) to have frequent contact with athletes.
Condition	All ten individuals selected for testing (100% of the selected individuals) had no record of completing the education and training requirements during the testing period (i.e., May 1, 2016 through April 30, 2017).
Cause	USA Softball may not be consistently tracking and monitoring compliance with the criminal background checks and education and training requirements of the Athlete Safety Standards.
Effect	Individuals USA Softball formally authorizes, approves or appoints (a) to a position of authority over, or (b) to have frequent contact with athletes may not be in compliance with the SafeSport program because they have not completed criminal background checks and/or education and training prior to having contact with athletes. USA Softball's must be in compliance with the Athlete Safety Standards to be a member in good standing. Noncompliance with the Athlete Safety Standards can result in disciplinary action by the USOC including withdrawal of high performance funding. Also, athletes may have contact with individuals who are unaware of SafeSport misconduct and the potential impact to athletes' well-being and/or have contact with individuals who have a criminal history, which could put athletes at SafeSport-related misconduct risk.
Recommendation	<p>USA Softball must require that individuals it formally authorizes, approves, or appoints (a) to a position of authority over, or (b) to have frequent contact with athletes complete criminal background checks and education and training requirements in a timely manner and before they have contact with athletes to provide assurance that they are educated on the requirements of the Athlete Safety Standards. The USA Softball must consistently track and verify criminal background checks and education and training requirements are met for all Required Individuals. Compliance with these requirements must be completed within 90 days of receipt of the final audit report.</p> <p>USA Softball should review the testing results and require all necessary individuals to complete the necessary requirements (i.e., criminal background check and/or education and training).</p>
Management response	USA Softball agrees to require that all individuals that the NGB formally authorizes, approves, or appoints (a) to a position of authority over, or (b) to have frequent contact with athletes, shall



2. Athlete Safety Standards - Criminal Background Checks and Education and Training Testing

be required to (i) complete a criminal background check; and (ii) complete SafeSport educational training. In evaluating the Report and its requirements, USA Softball has determined that USA Softball's "Covered Individuals" for purposes of SafeSport compliance are as follows:

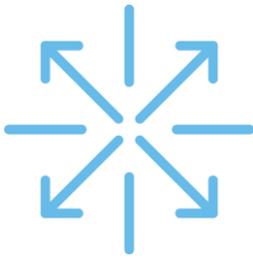
Covered Individuals

1. National Office Staff
2. National Teams, including:
 - a. Staff
 - b. Coaches
 - c. Players
 - d. Athletic Trainers
 - e. Medical Personnel
 - f. Umpires appointed by the NGB to national championship events or international events
3. Local Association Softball Officials, including:
 - a. Board of Directors
 - b. Commissioners appointed by the NGB
 - c. JO Commissioners appointed by the NGB Commissioners
 - d. Player Representatives appointed by the NGB Commissioners
 - e. Umpires-In-Chief appointed by the NGB Commissioners
 - f. National Championship Tournament Directors appointed by the NGB or NGB Commissioners
4. A.C.E. Program Coaches of the NGB's Local Association Members

USA Softball agrees to do this within 90 days of its receipt of the final audit report.



3. Athlete Safety Standards - Criminal Background Checks and Education and Training Policy Requirements	
Criteria	The Athlete Safety Standards state each NGB/HPMO shall require criminal background checks and education and training for those individuals it formally authorizes, approves, or appoints (a) to a position of authority over, or (b) to have frequent contact with athletes.
Condition	USA Softball's SafeSport-related documentation and administrative material does not specifically require stakeholders (e.g., coaches, staff, officials, volunteers, etc.) to complete education and training requirements as required by the Athlete Safety Standards.
Cause	<p>USA Softball may not have updated its SafeSport-related documentation and administrative materials to align with requirements in the Athlete Safety Standards.</p> <p>Per discussion with USA Softball personnel, USA Softball is currently awaiting system integration for education and training. Additionally, "after system integration, SafeSport training will be available, but not required."</p>
Effect	<p>USA Softball may not be in compliance with the Athlete Safety Standards. USA Softball's must be in compliance with the Athlete Safety Standards to be a member in good standing. Noncompliance with the Athlete Safety Standards can result in disciplinary action by the USOC including withdrawal of high performance funding.</p> <p>Additionally, stakeholders (e.g., coaches, staff, officials, volunteers, etc.) may not know that criminal background checks and education and training requirements apply to them or be informed of SafeSport initiatives and the related misconduct areas. Also, athletes may have contact with individuals who are unaware of SafeSport misconduct and the potential impact to athletes' well-being and/or have contact with individuals who have a criminal history, which could put athletes at SafeSport-related misconduct risk.</p>
Recommendation	USA Softball's SafeSport policy must require that individuals it formally authorizes, approves, or appoints (a) to a position of authority over, or (b) to have frequent contact with athletes complete criminal background checks and education and training requirements in a timely manner and before they have contact with athletes to provide assurance that they are educated on the requirements of the Athlete Safety Standards. Compliance with these requirements must be completed within 90 days of receipt of the final audit report.

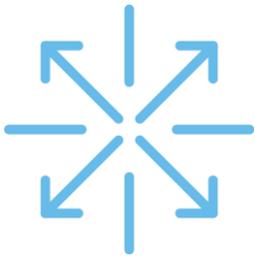


3. Athlete Safety Standards - Criminal Background Checks and Education and Training Policy Requirements

Management response	USA Softball will adopt and implement policies consistent with SafeSport requirements as to education training and background checks for USA Softball’s covered individuals. USA Softball agrees to do this within 90 days of its receipt of the final audit report.
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4. Athlete Safety Standards - Application of the SafeSport Policy (Minors)

Criteria	The Athlete Safety Standards state each NGB/HPMO shall require criminal background checks and education and training for those individuals it formally authorizes, approves, or appoints (a) to a position of authority over, or (b) to have frequent contact with athletes.
Condition	USA Softball's Code states that, "All Junior Olympic team personnel assisting in the dugout must visually display proof of an USA Softball background check." USA Softball's application of this code is inconsistent with the requirements listed in the Athlete Safety Standards and may be focused too narrowly on minors (i.e., Junior Olympic team personnel). The Athlete Safety Standards do not limit these activities to include only minors.
Cause	NGB/HPMO may not have updated its SafeSport-related documentation and administrative materials to align with requirements in the Athlete Safety Standards.
Effect	<p>USA Softball may not be in compliance with the Athlete Safety Standards. USA Softball’s must be in compliance with the Athlete Safety Standards to be a member in good standing. Noncompliance with the Athlete Safety Standards can result in disciplinary action by the USOC including withdrawal of high performance funding.</p> <p>Additionally, stakeholders (e.g., coaches, staff, officials, volunteers, etc.) may not know that criminal background checks and education and training requirements apply to them or be informed of SafeSport initiatives and the related misconduct areas. Also, athletes may have contact with individuals who are unaware of SafeSport misconduct and the potential impact to athletes' well-being and/or have contact with individuals who have a criminal history, which could put athletes at SafeSport-related misconduct risk.</p>
Recommendation	USA Softball's SafeSport policy must require that individuals it formally authorizes, approves, or appoints (a) to a position of authority over, or (b) to have frequent contact with athletes complete criminal background checks and education and training requirements in a timely manner and before they have



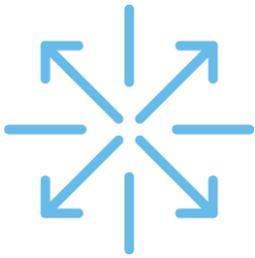
4. Athlete Safety Standards - Application of the SafeSport Policy (Minors)

	contact with athletes to provide assurance that they are educated on the requirements of the Athlete Safety Standards. Compliance with these requirements must be completed within 90 days of receipt of the final audit report.
Management response	For those individuals the NGB formally authorizes, approves, or appoints to a position of authority over athletes or to have frequent contact with athletes, USA Softball will apply its policies to all such persons consistent with SafeSport's requirements and regardless of whether the athletes involved are minors or not. USA Softball agrees to do this within 90 days of its receipt of the final audit report.



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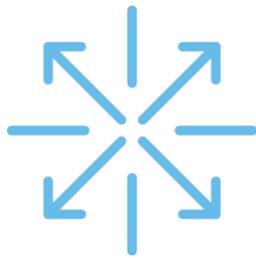
Report Appendices



Appendix A: Documents Reviewed

We reviewed the following documents:

- > Athlete Safety Standards Program Questionnaire
- > Population listing of “required individuals”(i.e., covered individuals required to undergo background check and training)
- > Softball Code of Conduct
- > Softball Procedural Manual



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Appendix B: Personnel Interviewed

We interviewed the following personnel:

- > Craig Cress, Executive Director
- > Steve Walker, Director of Operations