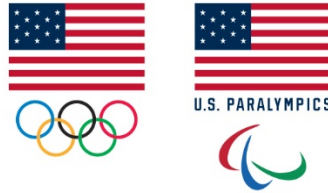

United States Olympic & Paralympic Committee

Audit & Organizational Advancement



Report for:
United States Curling Association

Review of:
2019 Compliance Checklist

Dated:
December 17, 2019



UNITED STATES
OLYMPIC & PARALYMPIC
COMMITTEE
1 Olympic Plaza
Colorado Springs, CO 80909

December 17, 2019

Richard Lepping
Interim Chief Executive Officer
United States Curling Association

Dear Richard,

Enclosed is the United States Olympic and Paralympic Committee's (USOPC) report on the 2019 Compliance Checklist for United States Curling Association (USCA). We want to express our appreciation for the time you and your staff spent completing the Checklist and providing documents during the review.

USCA was compliant as it specifically relates to the compliance checklist report for the questions outlined below in the following areas: governance/managerial; financial capability; due process and athlete representation; and anti-doping. There were no deficiencies found and USCA is fully compliant with the USOPC Compliance Checklist. There are also additional observations in the report that when implemented, will improve the grievance procedures, athlete representation, and anti-doping policies.

As of September 13, 2019, the USOPC Board approved the revised NGB and HPMO Athlete Safety Policy. In an effort to align the Compliance Checklist process with the NGB and HPMO Athlete Safety Policy, eliminate redundancies, and ensure clarity as it relates to what entity is solely responsible for auditing SafeSport requirements, the auditing of athlete safety requirements now falls under the jurisdiction of the U.S. Center for SafeSport.

The report will be presented to the USOPC Athlete and NGB Engagement Committee and be made available on TeamUSA.org. We hope you found the review process to be helpful. If you have any suggestions, please do not hesitate to share them with us.

Sincerely,

Bridget Toelle, CPA, CIA
Vice President
Audit & Organizational Advancement

Rich Wright
Staff Auditor

cc: Rick Adams Chris McCleary Courtney Schmidt
Wendy Guthrie Denise Parker Dean Gemmell
Onye Ikwuakor



2019 COMPLIANCE CHECKLIST REPORT

United States Curling Association

OBJECTIVE AND SCOPE

The objective of the review is to verify USCA is in compliance with key elements of the Ted Stevens Olympic and Amateur Sports Act, the USOPC Bylaws and certain USOPC policies, in order to demonstrate ongoing commitment to the values and requirements of membership in the USOPC. The scope includes the 2019 Compliance Checklist certified by USCA and the supporting documents provided by USCA. Compliance Checklist procedures are designed to verify that certain NGB policies are in place. This Compliance Checklist does not conclude on the effectiveness of any policies reviewed. Additional audit procedures are completed on select NGBs each year to verify various policies and processes are being followed.

The following chart shows all the requirements in the Compliance Checklist and corresponding status for USCA. For any deficiencies, see the explanations and action plans after the chart.

	Question	Status
Governance/Managerial		
1	Do you have a code of conduct for your employees, members, board of directors and officers?	Compliant
2	Do you have a strategic plan that is capable of supporting athletes in achieving sustained competitive excellence, and in growing the sport?	Compliant
3	Do you have your current bylaws posted on your website?	Compliant
4	Are you compliant with the insurance requirements as set forth in Exhibit 2 of the most recent PPA?	Compliant
5	Have you submitted, in a timely fashion, data and information on the participation of women, individuals with disabilities and racial and ethnic minorities in your athletic activities and administration?	Compliant
6	Have you submitted to the USOPC for review and approval a plan to encourage the participation of men, women, individuals with disabilities and racial and ethnic minorities in your amateur athletic activities and administration?	Compliant
Financial Capability		
7	Are you recognized by the IRS as a tax-exempt organization?	Compliant
8	Are you incorporated under the laws of a state of the United States or the District of Columbia as a not-for-profit corporation?	Compliant
9	Do you have your three most recent IRS Form 990s on your website?	Compliant
10	Have you completed and posted on your website your three most recent annual audited financial statements?	Compliant
11	Do you have written financial policies and procedures?	Compliant
12	Do you have an approval and/or review process for cash disbursements?	Compliant
13	Do you provide frequent (monthly or quarterly) financial statements to your board or designated committee?	Compliant
14	Do you have a board-approved annual budget?	Compliant
15	Have you spent USOPC funds as required by the funding agreements in the previous 12 months?	Compliant

16	Do you maintain accurate accounting records in accordance with accounting principles generally accepted in the USA (GAAP)?	Compliant
Due Process and Athlete Representation		
17	Do you provide procedures for the prompt and equitable resolution of grievances of your members?	Compliant
18	Do your grievance procedures provide for fair notice and opportunity for a hearing to any athlete, coach, trainer, manager, administrator or official before declaring the individual ineligible to participate?	Compliant
19	Do you require at least 20% athlete representation on grievance panels?	Compliant
20	Do you have at least 20% athlete representation on your board of directors?	Compliant
21	Do you have at least 20% athlete representation on your budget committee?	Compliant
22	Do you have at least 20% athlete representation on your selection committee, which prepares, approves or implements selection of international, Olympic, Paralympic and Pan American Games team members, including athletes, coaches, administrators and sport staff?	Compliant
23	If you govern or operate a Paralympic Sport, do you have a Paralympic Sport Advisory Group that includes a combination of coaching staff, high performance staff and at least 20% Paralympic athlete representation to craft and approve selection procedures and to serve in an advisory capacity for high performance planning?	Compliant
Athlete Safety		
24	Do you have language in your bylaws that provides jurisdictions to the U.S. Center for Safe Sport?	*Transitioned to U.S. Center for SafeSport
25	Do you have a USOPC-compliant Athlete Safety Policy?	*Transitioned to U.S. Center for SafeSport
Anti-Doping		
26	Do you inform Athletes, Athlete Support Personnel and other Persons in your sport of the USOPC National Anti-Doping Policy and of the USADA Protocol?	Compliant
27	Unless otherwise agreed by USADA, at least quarterly do you provide USADA with an updated list of athletes, proposed by your NGB, to be included in the USADA RTP? With respect to each athlete on such list and such additional athletes as may be designated by USADA for inclusion in the USADA RTP, do you provide USADA with initial contact information which shall, at a minimum, include accurate residential, mailing and email addresses (if available) and phone numbers for each athlete?	Compliant
28	At least six months prior to the commencement of the most recent applicable Olympic or Paralympic Games, did you provide USADA with a list of all athletes that may have reasonably been selected to represent the U.S. in such Games?	Compliant
29	Do you have an identified staff member to act as a liaison with USADA?	Compliant

*The U.S. Center for SafeSport has taken jurisdiction over the auditing of Athlete Safety requirements. To that end, as of 9/13/2019, the USOPC will no longer review Athlete Safety requirements which fall under the Center's jurisdiction.

ADDITIONAL OBSERVATIONS

During the review we identified additional areas for improvement. The additional observations do not impact the compliant status but could impact it in the future.

18. Do your grievance procedures provide for fair notice and opportunity for a hearing to any athlete, coach, trainer, manager, administrator or official before declaring the individual ineligible to participate?

USCA's SafeSport Handbook, page 17, states that a "red light" finding on a background check does not automatically disqualify an applicant. Upon receipt of a "red light" status, a designated USCA staff member will contact the applicant to discuss the "red light" status prior to a decision, however, it is not noted in the policy if there is a hearing for a "red light" status. USCA should clarify this process to ensure there is an opportunity for a hearing, prior to declaring a person ineligible to participate.

USCA Action Plan: *The USCA handbook will be updated to include a "red light" finding response process. This will include the provision for appropriate hearings and communication prior to declaration of an eligibility status. USCA will have this policy changed by the start of our 2020 fiscal year.*

22. Do you have at least 20% athlete representation on your selection committee, which prepares, approves or implements selection of international, Olympic, Paralympic and Pan American Games team members, including athletes, coaches, administrators and sport staff?

While USCA has 20% athlete representation on its selection committee, USCA uses excerpts from Section 8.8 of the USOPC's Bylaws as its "Exhibit A" of its Bylaws to support its requirement for 20% athlete representation on the committee. USCA should update its Bylaws to explain the athlete representative appointment/election and approval process for its selection committee.

USCA Action Plan: *USCA will update its bylaws to explain the athlete representative appointment/election and approval process for its selection committee. This will be completed by the 2020 fiscal year. Additionally, USCA will implement any forthcoming changes to the 20% athlete representation requirement as set forth by the USOPC and federal law. The USCA understands its role and obligation, to protect athletes, both able-bodied and para.*

23. If you govern or operate a Paralympic Sport, do you have a Paralympic Sport Advisory Group that includes a combination of coaching staff, high performance staff and at least 20% Paralympic athlete representation to craft and approve selection procedures and to serve in an advisory capacity for high performance planning?

While USCA has 20% athlete representation on its Paralympic Sport Advisory Group (PSAG), USCA uses excerpts from Section 8.8 of the USOPC's Bylaws as its "Exhibit A" of its Bylaws to support its requirement for 20% athlete representation on the committee. USCA should update its Bylaws to explain the athlete representative appointment/election and approval process for the PSAG.

USCA Action Plan: *USCA will update its bylaws to explain the athlete representative appointment/election and approval process for its selection committee. This will be completed by the 2020 fiscal year. Additionally, USCA will implement any forthcoming changes to the 20% athlete representation requirement as set forth by the USOPC and federal law. The USCA understands its role and obligation, to protect athletes, both able-bodied and para.*

26. Do you inform Athletes, Athlete Support Personnel and other Persons in your sport of the USOPC

National Anti-Doping Policy and of the USADA Protocol?

In its Bylaws, Article 11A, Section 11A.3, USCA informs athletes of the USOPC National Anti-Doping Policy and USADA Protocol, however, athlete support personnel and other persons in the sport do not appear to be included in the notification of anti-doping requirements for participants.

USCA Action Plan: *The USCA will update its Bylaws, Article 11A, Section 11A.3 to ensure the required entities are included in the USADA notification by the start of our 2020 fiscal year.*

CONCLUSION

USCA is fully compliant with the USOPC's Compliance Checklist. The Compliance Checklist does not conclude on the effectiveness of any policies reviewed. Additional audit procedures are completed on select NGBs each year to verify various policies and processes are being followed.