
United States Olympic & Paralympic Committee

Audit & Organizational Advancement



Report for:
USA Table Tennis

Review of:
2019 Compliance Checklist

Dated:
September 13, 2019



2019 COMPLIANCE CHECKLIST REPORT

USA Table Tennis

OBJECTIVE AND SCOPE

The objective of the review is to verify USATT 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 USATT and the supporting documents provided by USATT. 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 USATT. 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?	Compliant
25	Do you have a USOPC-compliant Athlete Safety Policy?	Compliant
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

DEFICIENCIES

Do you have a code of conduct for your employees, members, board of directors and officers?

USATT did not submit a Code of Conduct which applies to all members. USATT has Codes of Conduct for Board Members and National Team Members, and a Code of Ethics for volunteers, committee members, and staff. USATT is deficient with this requirement.

USATT Action Plan: *The Board of Directors for USATT approved a Membership Code of Conduct at the In-Person Board Meeting in Milpitas, California, on March 30, 2019. The Membership COC is attached as Exhibit A. USATT staff is currently in the process of implementing a plan of action to activate the Membership COC throughout the organization by August 1, 2019.*

USOPC Status Update: USATT submitted a Code of Conduct for members. USATT is compliant with this requirement as verified on September 6th, 2019.

Do you provide frequent (monthly or quarterly) financial statements to your board or designated committee?

USATT did not submit documents to support regular financial reporting to their board of directors or designated committee.

USATT Action Plan: *As noted in USATT's responses to the Compliance Checklist Audit, the organization has been undergoing a complete reorganization with respect to financial reporting. The first phase of that process has now been completed and the organization submitted Quarter One Financials to the USATT Audit Committee on May 17, 2019. The Q1 Financials and transmitting email are attached as Exhibit D. USATT's financial department and consultants intend to follow a regular schedule of financial reporting on a Quarterly basis going forward.*

USOPC Status Update: USATT submitted three sets of minutes showing the Board received financial reports in June, July and August of 2019. USATT is compliant with this requirement as verified on September 6th, 2019.

Do you have a board-approved annual budget?

USATT was unable to provide a board-approved annual budget.

USATT Action Plan: *USATT's financial department and accounting consultants are currently preparing the 2019 Annual Budget for USATT Board review and approval. The annual budget is currently in the draft stages and is expected to be submitted for consideration and approval at the next USATT Board Meeting on Monday, June 10, 2019.*

USOPC Status Update: USATT submitted its 2019 budget and the board meeting minutes showing the approval of the 2019 budget by the Board. USATT is compliant with this requirement as verified on September 6th, 2019.

Do you have a USOPC-compliant Athlete Safety Policy?

USATT's definitions for prohibited conduct do not match or directly reference the U.S. Center for SafeSport (USCSS).

USATT Action Plan: *USATT's SafeSport Policy and Procedures are currently undergoing a complete*

review and revision. The revisions currently in draft stages include direct reference to the US Center for SafeSport, the 2019 SafeSport Code for the US Olympic and Paralympic Movement, and the Minor Athlete Abuse Protection Policies. The planned revisions are expected to include a direct reference to and incorporation of the SafeSport Code with respect to defined Prohibited Conduct. It is expected that the revised USATT SafeSport Policies and Procedures will be completed and approved by the August 2019 USATT Board Meeting.

USOPC Status Update: USATT submitted an updated Athlete Safety Policy which utilizes the prohibited conduct definitions as defined by the Center's Code. USATT is compliant with this requirement as verified on September 6th, 2019.

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.

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?

USATT addressed and updated fair notice in USATT's Bylaws, Article IV, p. 11, Sec 4.1 (k), in accordance with recommendations made during the 2018 Compliance Checklist process. However, this should be addressed in the Article X, Complaint Procedures to appropriately provide fair notice of charges to a respondent as explained in these procedures.

Do you provide procedures for the prompt and equitable resolution of grievances of your members?

USATT accounts for arbitration procedures in Article X, Section 10.11 and 10.12, however, makes no reference to binding arbitration pursuant to Article 4, Section 4.1 (l). It would provide clarity if NGBs agree to binding arbitration in its grievance procedures.

CONCLUSION

With updates to its policies, USATT is now 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.