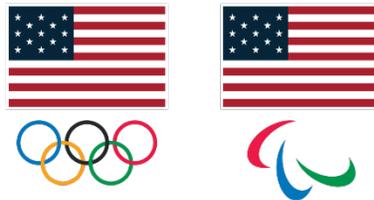

United States Olympic & Paralympic Committee

Audit & Organizational Advancement



Report for:
National Wheelchair Basketball Association

Review of:
2019 Compliance Checklist

Dated:
April 16, 2020



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

April 16, 2020

Will Waller
Chief Executive Officer
National Wheelchair Basketball Association

Dear Will,

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

NWBA 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 initially three deficiencies identified in the following areas: financial capability and due process and athlete representation. However, with updates to their policies, NWBA remedied these deficiencies and is now fully compliant with the USOPC 2019 Compliance Checklist.

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,

Audit & Organizational Advancement Team

cc: Rick Adams Chris McCleary Timothy Fox
Wendy Guthrie Denise Parker Steve Serio
Onye Ikwuakor



2019 COMPLIANCE CHECKLIST REPORT

National Wheelchair Basketball Association

OBJECTIVE AND SCOPE

The objective of the review is to verify NWBA 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 the USOPC. The scope includes the 2019 Compliance Checklist certified by NWBA and the supporting documents provided by NWBA. Compliance Checklist procedures are designed to verify that certain HPMP policies are in place. This Compliance Checklist does not conclude on the effectiveness of any policies reviewed. Additional audit procedures are completed on select HPMPs 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 NWBA. 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 your current bylaws posted on your website?	Compliant
3	Are you compliant with the insurance requirements as set forth in Exhibit 2 of the most recent PPA?	Compliant
4	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
5	Have you submitted to the USOC 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		
6	Do you have your three most recent IRS Form 990s on your website?	Compliant
7	Have you completed and posted on your website your three most recent annual audited financial statements?	Compliant
8	Do you have written financial policies and procedures?	Compliant
9	Do you have an approval and/or review process for cash disbursements?	Compliant
10	Do you provide frequent (monthly or quarterly) financial statements to your board or designated committee?	Compliant
11	Have you spent USOC funds as required by the funding agreements in the previous 12 months?	Compliant
Due Process and Athlete Representation		
12	Do you provide procedures for the prompt and equitable resolution of grievances of your members?	Compliant
13	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

14	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		
15	Do you have a USOC-compliant Athlete Safety Policy?	*Transitioned to U.S. Center for SafeSport
Anti-Doping		
16	Do you inform Athletes, Athlete Support Personnel and other Persons in your sport of the USOC National Anti-Doping Policy and of the USADA Protocol?	Compliant
17	Unless otherwise agreed by USADA, at least quarterly do you provide USADA with an updated list of athletes, proposed by your HPMO, 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
18	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
19	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 for High Performance Management Organizations. To that end, as of 9/13/2019, the USOPC will no longer review Athlete Safety requirements which fall under the Center's jurisdiction.

DEFICIENCIES

<p>8. Do you have written financial policies and procedures?</p> <p>NWBA did not submit written financial policies and procedures for review.</p> <p>NWBA Action Plan: NWBA will update its Employee Handbook to outline financial policies and procedures for the organization within the 90-day window.</p> <p>USOPC Status Update: NWBA has adopted comprehensive Financial Policies and Procedures and are considered compliant as of March 23, 2020.</p>
<p>9. Do you have an approval and/or review process for cash disbursements?</p> <p>NWBA was deemed deficient above for not providing financial policies and procedures to review.</p> <p>NWBA Action Plan: NWBA will update its Employee Handbook to outline financial policies and procedures for the organization within the 90-day window.</p> <p>USOPC Status Update: NWBA has adopted Financial Policies and Procedures that includes an approval and</p>

review process for cash disbursements. NWBA is considered compliant as of March 23, 2020.

13. 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?

NWBA's Bylaws, Section 4.6 affords an opportunity to be heard by the Board of Directors prior to suspension or termination. However, being heard by the Board of Directors may not appropriately offer the opportunity for a hearing if Board of Directors proceedings do not follow the NWBA's Grievance Procedures located in Article Fourteen. Article Fourteen explains the hearing process and procedures which are to be followed in the case of a grievance.

NWBA Action Plan: *NWBA is working with our Governance Committee to ensure we submit proper proposals to address the deficiency as it relates to the grievance procedures in our NWBA Bylaws. The proposed amendment to our Bylaws will require 2/3 vote of the NWBA voting delegates at the Annual Assembly (March 12).*

USOPC Status Update: NWBA has updated Section 4.6 of their bylaws and are considered compliant as of March 23, 2020.

CONCLUSION

NWBA updated its policies and 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 HPMOs each year to verify various policies and processes are being followed.