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# United States Olympic & Paralympic Committee

## Audit & Organizational Advancement



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Report for:

**USA Volleyball**

Review of:

**2019 Compliance Checklist**

Dated:

**August 15, 2019**



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

August 15, 2019

Jamie Davis  
Chief Executive Officer  
USA Volleyball

Dear Jamie,

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

USAV was compliant in the areas 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 athlete safety. There were initially three deficiencies found in the following areas: governance/managerial; athlete safety; and anti-doping. With updates to its policies, USAV remedied two of the three deficiencies, with one remaining in anti-doping.

The report will be presented to the USOPC Athlete and NGB Engagement Committee and be made available on the Team USA website. 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                      Kerry Klosterman  
Wendy Guthrie                      Denise Parker                      Lori Okimura  
Onye Ikwuakor                      Todd Rogers



# 2019 COMPLIANCE CHECKLIST REPORT

## USA Volleyball

### OBJECTIVE AND SCOPE

The objective of the review is to verify USAV 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 USAV and the supporting documents provided by USAV. 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 USAV. For any deficiencies, see the explanations and action plans after the chart.

	Question	Status
<b>Governance/Managerial</b>		
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
<b>Financial Capability</b>		
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
<b>Due Process and Athlete Representation</b>		
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
<b>Athlete Safety</b>		
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
<b>Anti-Doping</b>		
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?	Deficient
29	Do you have an identified staff member to act as a liaison with USADA?	Compliant

## DEFICIENCIES

***Are you compliant with the insurance requirements as set forth in Exhibit 2 of the most recent PPA?***

According to the USOPC's third party administrator for insurance verification, USAV's certificate of insurance was rejected and listed as non-compliant.

***USAV Action Plan:*** USAV will work with Cert Focus to address any deficiencies within the next few weeks.

**USOPC Status Update:** USAV updated its insurance certificates with CertFocus. Auditor verified USAV's status as compliant as of June 11, 2019.

***Do you have a USOPC-compliant Athlete Safety Policy?***

Groups which are required to complete SafeSport Education and Training are not specifically identified in the USAV SafeSport Handbook. As of January 1, 2019, it is required for an NGB to no less than annually, publish a list of those people who are required to complete a SafeSport training.

***USAV Action Plan:*** USAV will list the groups required to complete SafeSport Education Training in the USAV SafeSport Handbook.

**USOPC Status Update:** USAV updated the Education and Training section of its SafeSport Handbook to include groups required to complete SafeSport training. USAV is compliant as of August 15, 2019.

***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?***

This deficiency was identified during the 2018 Compliance Checklist: According to USADA, USAV submitted their long list of athletes for the 2016 Rio Games on April 15, 2016 (or approximately 4 months out from competition), which did not meet the minimum requirement of at least 6 months prior to competition in accordance with the USOPC National Anti-doping Policy, Section 4.7.

USAV will not be able to remedy this deficiency until 6 months prior to the next Olympic Games.

## CONCLUSION

USAV must improve its anti-doping reporting to be fully compliant with the USOPC's 2019 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.