
United States Olympic & Paralympic Committee

Audit and Organizational Advancement



Report for:
USA Hockey

Review of:
Compliance Checklist

Dated:
July 3, 2019



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

July 3, 2019

Pat Kelleher
Chief Executive Officer
USA Hockey

Dear Pat,

Enclosed is the United States Olympic and Paralympic Committee's (USOPC) report on the 2018 Compliance Checklist for USA Hockey (USAH). We want to express our appreciation for the time you and your staff spent completing the Checklist and providing documents during the review.

USAH was compliant as it specifically relates to the compliance checklist report for the questions outlined below in the following areas: financial capability; due process; SafeSport; and anti-doping. There were initially three deficiencies identified in the following areas: governance and managerial, and athlete representation. With updates to their policies, USAH is now compliant with the 2018 Compliance Checklist.

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 Jim Smith
Wendy Guthrie Denise Parker Julie Chu
Onye Ikwuakor



COMPLIANCE CHECKLIST REPORT

USA Hockey

OBJECTIVE AND SCOPE

The objective of the review is to verify USAH 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 2018 Compliance Checklist certified by USAH and the supporting documents provided by USAH. 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 USAH. 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
Financial Capability		
4	Are you recognized by the IRS as a tax-exempt organization?	Compliant
5	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
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	Do you have a board-approved annual budget?	Compliant
12	Have you spent USOPC funds as required by the funding agreements in the previous 12 months?	Compliant
Due Process and Athlete Representation		
13	Do you provide procedures for the prompt and equitable resolution of grievances of your members?	Compliant
14	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

15	Do you require at least 20% athlete representation on grievance panels?	Compliant
16	Do you have at least 20% athlete representation on your board of directors?	Compliant
17	Do you have at least 20% athlete representation on your budget committee?	Compliant
18	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
SafeSport		
19	Do you have USOPC SafeSport language in your bylaws that provides jurisdictions to the U.S. Center for Safe Sport?	Compliant
20	Do you have a USOPC-compliant Athlete Safety Policy?	Compliant
21	Do you have a grievance process that is materially free of bias and conflicts of interest for SafeSport allegations, and includes the opportunity for review by a disinterested individual or body?	Compliant
22	Does your policy require criminal background checks, at least every two years, for those individuals that are formally authorized, approved or appointed (a) to a position of authority over, or (b) to have frequent contact with athletes?	Compliant
23	Does your policy require education and training specific to SafeSport for those individuals that are formally authorized, approved or appointed (a) to a position of authority over, or (b) to have frequent contact with athletes?	Compliant
Anti-Doping		
24	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
25	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
26	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
27	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?

USAH's submitted code of conduct, however it does not include employees, board of directors and officers, and it only includes select member groups.

USAH Action Plan: USA Hockey will adopt a Code of Conduct applicable to its Board of Directors and Officers and will either adopt a separate Code of Conduct for employees or include employees under the Code of Conduct for board members and officers.

USOPC Status Update: USAH adopted a new Code of Conduct which applies to the required entities. Auditor verified USAH's compliance on June 19, 2019.

Do you have at least 20% athlete representation on your budget committee?

In practice, USAH meets 20% athlete representation (rep) on its Finance and Investment Committee, however, the bylaws do not require 20% athlete rep. Additionally, USAH's bylaws do not require athlete approval of the President's appointment for athlete reps.

To comply with the USOPC's bylaws, Section 8.8.5, athletes must elect athlete reps or the NGB can appoint with approval from a representative group of athletes.

USAH Action Plan: USA Hockey Bylaw 4.A.(5) references in general terms that the required number of athlete representatives to the designated committees shall be appointed by the President from the athlete directors elected by the eligible athletes to assure conformance with the 20% requirement. However,

USA Hockey will adopt a Bylaw amendment specifically identifying the designated committees that will be required to have 20% athlete representation, and that any appointments not filled by athletes on the Board of Directors will be approved by the athlete directors.

USOPC Status Update: USAH updated its Bylaws to provide for 20% athlete representation on its Finance and Investment Committee. Additionally, athletes, who are not athlete directors of the Board, must be approved by the Board Athlete Directors for appointments. Auditor verified USAH's compliance on June 27, 2019.

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?

In practice, USAH meets 20% athlete representation (rep) on its Selection Committee, however, the bylaws do not require 20% athlete rep. Additionally, USAH's bylaws do not require athlete approval of the President's appointment for athlete reps.

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CONCLUSION

With the improvements to its code of conduct and athlete representation, USAH 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.