

USA Swimming Board of Directors Meeting Minutes

May 12, 2018 / Denver Gateway Marriott

1 **CALL TO ORDER**

2 USA Swimming Board Chair, Jim Sheehan, called the May 12, 2018 Board of Directors
3 meeting to order at 8:07 a.m. Mountain Time with the following members in attendance:
4

5 **PRESENT:** Dale Ammon, Tim Bauer, John Bitter, John Bradley, Robert Broyles, Van
6 Donkersgoed, Tristan Formon, Natalie Hall, Clark Hammond, Tim Hinchey, Amy
7 Hoppenrath, Bill Maxson, Dan McAllen, Lucinda McRoberts, Dale Neuburger, Derek Paul,
8 Chip Peterson, Sean Redmond, Jim Sheehan, Bruce Stratton, Davis Tarwater, Mary Turner,
9 Ron Van Pool, Robert Vincent, Mark Weber, Garrett Weber-Gale, Carol Zaleski.

10

11 **NOT PRESENT:** Anthony Ervin, Don Heidary, Aaron Peirsol, Amy Schulz, Marie Scovron,
12 John Roy (joined via conference call), Jim Ryan (joined via conference call), Ed Tsuzuki, Jim
13 Wood.

14

15 **MOMENT OF SILENCE**

16 A moment of silence was observed for USA Swimming members who have passed away
17 since the last USA Swimming Board of Directors meeting.

18

19 **AGENDA REVIEW**

20 Jim Sheehan presented an updated Agenda, which deferred the Management Parameters
21 Monitoring of Policy #1.2 to the September 25 meeting and added 2019 Board meeting
22 scheduling to item K., Board Schedule on the Agenda. Robert Broyles added discussion of
23 funding Board members' travel to Convention to Agenda item I., Board Process
24 (Attachment 1).
25

26

26 **MOTION:** *To approve the Agenda, as amended. Seconded.* **APPROVED.**

27

28 **CONFLICT OF INTEREST**

29 *"Is any member aware of any conflict of interest (that is, of a personal interest or direct or*
30 *indirect pecuniary interest) in any matter being considered by this meeting which should now*
31 *be reported or disclosed or addressed under the USA Swimming Conflict of Interest Policy?"*

32

33 If a Board member determines there to be a conflict of interest at any point during the
34 course of the meeting when a specific subject is being discussed and / or action is being
35 taken, a declaration of a conflict of interest should be made at that time.

36

37 **INTRODUCTIONS**

38 **GUESTS**

39 Bill Charney (Charney Associates), Dave Cooper (Risk Management Services), Tom Fristoe
40 (TeamUnify), Joe Gazzarato (Athletes Executive Committee), Andrew Gemmell
41 (International Relations Committee), Ceallach Gibbons (Athletes Executive Committee),
42 Cecil Gordon (International Relations Committee), Alexis Keto (Athletes Executive
43 Committee), Michael Lawrence (International Relations Committee), Dan McGinn (McGinn
44 & Co.), John Peterson (Risk Management Services), Kathleen Prindle (Minor Transgender
45 Task Force), Bill Schalz (International Relations Committee), Joel Shinofield (College
46 Swimming Coaches Association of America), Wayne Shulby (LSC Bylaws Task Force).

47

48 **STAFF**

49 Tom Avischious, Cathy Durance, Matt Farrell, Liz Hahn, Jim Harvey, Debbie Hesse, Belle
50 McLemore, Lindsay Mintenko, Mike Unger, Maggie Vail, George Ward.

51

52 **RECOGNITION OF RECORDS**

53 Dan McAllen reported that 17 American and U.S. Open Records were set at the Men's and
54 Women's NCAA Championships and Olivia Smoliga set an American and U.S. Open Record
55 in the backstroke at the TYR Pro Swim Series meet in Mesa (Attachment 2).

56

57 **BOARD CHAIR'S REMARKS**

58 Jim Sheehan highlighted that the Agenda contains policy approvals to continue the Board's
59 new direction.

60

61 **MINUTES**

62 **MOTION:** *To approve the February 3, 2018 Board of Directors meeting minutes. Seconded.*

63 **APPROVED.** (Attachment 3)

64

65 **MOTION:** *To approve the April 7, 2018 Board of Directors special meeting minutes.*

66 *Seconded. APPROVED.* (Attachment 4)

67

68 **FINANCIAL UPDATE/ACTIONS**

69 Jim Harvey submitted a written report and provided verbal highlights, including
70 compliance with all eleven items in the "Financial Condition & Activities" Policy Monitoring
71 Report. Mr. Harvey also reported that USA Swimming beat the 2017 budget by over
72 \$405,000 with a \$747,000 deficit, and the investment portfolios had returns of +14.78%,
73 which provided \$990,500 to the operating budget and added over \$3.8 million to reserves
74 (Attachments 5 - 7).

75

76 Bob Vincent reported that both USA Swimming and the USA Swimming Foundation had
77 clean audits without comment (Attachment 8).

78 **MOTION:** *To accept the 2017 Audit Report and accompanying Management Letters of USA*
79 *Swimming, Inc. and Affiliates, as presented. Seconded. APPROVED.*

80

81 Jim Harvey reported that the investment portfolio lost .59%, which beat the benchmark of
82 the quarter, as well as the one, three and five-year periods. Mr. Harvey also reported that
83 the Investment Committee met in February 2018 for its annual review of the Investment
84 Policy Statement and suggested an increase in limits for the Short Term Operating
85 Accounting to reflect the growth of the organization (Attachments 9 – 10).

86

87 **MOTION:** *To approve the Investment Policy Statement, as presented. Seconded. APPROVED.*

88

89 Mr. Harvey provided highlights of the USA Swimming Foundation financials, including: (i)
90 2017 was the best fundraising year since 2008; (ii) the Foundation ended with an
91 operating surplus of close to \$170,000; and (iii) the Foundation Board of Directors
92 approved an added \$500,000 to the USA Swimming Endowment. Mr. Harvey also reported
93 that in the first quarter of 2018, the Foundation has raised \$275,000 in major gifts and
94 grants and \$444,000 through the Annual Campaign (Attachments 11 – 12).

95

96 **MONITORING CEO PERFORMANCE**

97 Bill Charney presented perspective and analysis to approach and utilize the CEO
98 performance monitoring policies. Mr. Charney reported that the three reports submitted to
99 the Board by CEO, Tim Hinchey—Financial Condition & Activities, External Relations, and
100 Emergency Management—all were met with compliance.

101

102 **MOTION:** *To approve the CEO Monitoring Report Policy 3.4: Financial Condition & Activities*
103 *that conveys a) interpretations of the policies that are reasonable and b) that the report*
104 *reasonably substantiates compliance with the policy requirements consistence with the CEO's*
105 *interpretations (Attachment 6). Seconded. APPROVED.*

106

107 **MOTION:** *To approve the CEO Monitoring Report Policy 3.2: External Relations that conveys*
108 *a) interpretations of the policies that are reasonable and b) that the report reasonably*
109 *substantiates compliance with the policy requirements consistence with the CEO's*
110 *interpretations (Attachment 13). Seconded. APPROVED.*

111

112 **MOTION:** *To approve the CEO Monitoring Report Policy 3.8: Emergency Management that*
113 *conveys a) interpretations of the policies that are reasonable and b) that the report*
114 *reasonably substantiates compliance with the policy requirements consistence with the CEO's*
115 *interpretations (Attachment 14). Seconded. APPROVED.*

116

117 **CLOSED SESSION**

118 **LITIGATION UPDATE**

119 The Board meeting went into closed session so that USA Swimming Secretary & General
120 Counsel, Lucinda McRoberts, could give a legal update.

121

122 **PERSONNEL DISCUSSION**

123 The Board meeting remained in closed session so that Tim Hinchey could provide updates
124 on various personnel matters.

125

126 **SPORTSENGINE & TEAM UNIFY PRESENTATION**

127 Matt Farrell introduced Tom Fristoe, CEO of TeamUnify.

128

129 Tom Fristoe presented an overview of TeamUnify, its background, and its acquisition by
130 SportsEngine. Mr. Fristoe also explained how Desk Pass will soon be integrated through
131 TeamUnify and highlighted potential athlete safety initiatives, including conducting
132 criminal background screens through its vendor relationships and delivering safety
133 programming.

134

135 **SAFE SPORT DIRECTION FOLLOW UP**

136 Jim Sheehan presented a proposal to add, "USA Swimming is recognized as a leader in Safe
137 Sport" to item 1.4 in Policy 1.0 Ends/Priority Results (Attachment 15).

138

139 **MOTION:** *To approve the addition of item 1.4.b: USA Swimming is recognized as a leader in*
140 *Safe Sport to Policy 1.0 Ends/Priority Results. Seconded. **APPROVED.***

141

142 Mr. Sheehan further reported that he would organize a group to begin the review of USA
143 Swimming's Mission and Vision Statements to reflect its commitment to providing a safe
144 and healthy environment to athletes. The group's findings will be provided to the new
145 Board in September.

146 Matt Farrell gave a brief update on various Safe Sport communications, including the
147 second letter to all USA Swimming members, various interviews with CEO Tim Hinchey, the
148 addition of Safe Sport as a top navigation item on usaswimming.org, and a Safe Sport PSA
149 featuring past and present National Team members.

150

151 Liz Hahn and Maggie Vail provided updates on Safe Sport projects, including Safe Sport
152 Recognized Club, Training the Trainers, Safe Sport Monday's, Activity Books, the Safe Sport
153 Fellowship program, and in-person training opportunities.

154

155 Belle McLemore reported that we are still getting requests for interviews and plan to
156 participate where we can and continue to have productive conversations about Safe Sport.

157
158 Ms. McLemore also introduced Dan McGinn, CEO of McGinn and Company. Mr. McGinn
159 spoke about the societal issues surrounding sport and abuse and how USA Swimming can
160 continue to ensure athletes come first through action and words.

161
162 **BOARD PROCESS**

163 **POLICY 4.4 – MONITORING CEO PERFORMANCE**

164 Jim Sheehan and Tim Hinchey presented a recommended schedule for reports to be
165 distributed to the Board from the CEO moving forward (Attachments 16 - 17).

166
167 ***MOTION:** To approve the CEO Monitoring Schedule as part of the Board Policies. Seconded.*
168 ***APPROVED.***

169
170 **COMMITTEE, TASK FORCE AND OTHER REPORTS REQUIRING BOARD ACTION OR**
171 **DISCUSSION**

172 **COLLEGE SWIMMING INITIATIVE UPDATE**

173 Joel Shinofield provided an overview of priority areas and engagement for the CSCAA,
174 including raising the profile of college swimming and diving, educating and empowering
175 coaches, and creating resources. Mr. Shinofield also highlighted an event created for post
176 season competition that included over 400 athletes and 40 schools.

177
178 **ATHLETE SUMMIT UPDATE & ASSESSMENT**

179 Van Donkersgoed, Ceallach Gibbons, Joe Gazzarato, and Alexis Keto presented on the
180 Athlete’s Leadership Summit, including highlights of the program, goals achieved, and
181 feedback received.

182
183 **IRC ACTION ITEMS/UPDATES**

184 **SEARCH FOR FINA/UANA/USAS CANDIDATES**

185 Ron Van Pool reported on the strategic discussions of the International Relations
186 Committee regarding nominees for open roles within FINA and UANA, including
187 background on the positions and proposed individuals (Attachment 18).

188
189 Mike Unger provided additional context for Dale Neuburger’s soon to be vacated position
190 within FINA in 2021.

191
192 ***MOTION:** To approve the International Relations Committee’s recommendations for FINA*
193 *and UANA nominations. Seconded. **APPROVED.***

194 **FINA RULES PROCESS UPDATE**

195 Michael Lawrence reported that the International Relations Committee formed two
196 working groups to prepare proposals for FINA Technical and Open Water Rules for the next
197 FINA Congress and provided highlights on Rich Young’s presentation on various aspects of
198 current and upcoming anti-doping matters (Attachment 19).

199
200 **TASK FORCES**

201 **MINOR TRANSGENDER TASK FORCE RECOMMENDATIONS**

202 Kathleen Prindle presented an overview of recommendations put forth by the Minor
203 Transgender Task Force, including defining competition category, creating a formal intake
204 process, instituting an eligibility review panel, standardizing criteria, providing guidelines
205 for competitions, camps and team selections, and presenting options for protests and
206 appeals (Attachment 20).

207
208 The Board engaged in substantial discussion on the various facets of the proposed rule and
209 policy changes outlined in the submitted report.

210
211 ***MOTION:** To support the rule changes proposed by the Minor Transgender Task Force, except*
212 *for the change to the National Board of Review (Articles 403.2 and 123.23) and defer any*
213 *action on posting Policy Manual changes until after the September 25, 2018 Board of*
214 *Directors Meeting. Secoded. **APPROVED.***

215
216 **LSC BYLAWS TASK FORCE – PROPOSED CHANGES TO THE TEMPLATE**

217 Wayne Shulby highlighted the proposed changes to the required LSC Bylaws, including the
218 removal of redundancies with the Rulebook, the addition of a required Finance Vice Chair
219 position, and the formation of a Governance Committee either in addition to or in
220 combination with a Nominating Committee. (Attachments 21 – 22).

221
222 ***MOTION:** To support the proposed LSC Bylaws changes. Secoded. **APPROVED.***

223
224 **AGE GROUP TECH SUIT PROJECT RECOMMENDATIONS**

225 Tim Bauer updated the Board on the Age Group Tech Suit Task Force’s proposed legislation
226 to prohibit the use of tech suits by 12 and unders (with limited exceptions). The Task
227 Force is still examining ways to enforce the legislation and effectively define a tech suit.

228
229 The Board discussed potential markings on the suits, implementation timeline,
230 enforcement, and education around the use of tech suits by 12 and unders.

231
232

233 **ALCOHOL/TOBACCO/GAMBLING TASK FORCE FINAL RECOMMENDATIONS**

234 Matt Farrell reported that the Alcohol, Tobacco, Gambling Task Force has no changes to its
235 previous recommendations, and requests to submit the legislation on behalf of the Board of
236 Directors.

237
238 ***MOTION:** To support the proposed legislation previously presented at the February 3, 2018
239 Board of Directors meeting by the Alcohol, Tobacco, and Gambling Task Force. Seconded.*

240 **APPROVED.**

241
242 **MEMBERSHIP/REGISTRATION COMMITTEE POLICY RECOMMENDATIONS**

243 Robert Broyles described the proposed changes to the Athlete Transfer Policy, Flex
244 Membership Transfer Policy, and Waiver of Second Membership Fee Policy (Attachments
245 23 – 25).

246
247 ***MOTION:** To approve the proposed changes to the Athlete Transfer Policy, Flex Membership
248 Transfer Policy, and Waiver of Second Membership Fee Policy. Seconded. **APPROVED.***

249
250 **PROGRAM & EVENTS COMMITTEE**

251 Jim Sheehan provided an overview of the proposed Program & Events Committee
252 description to include in the Policy Manual (Attachment 26).

253
254 ***MOTION:** To adopt the proposed Program & Events Committee description to include in the
255 Policy Manual. Seconded. **APPROVED.***

256
257 **ZONE DIRECTORS' COUNCIL**

258 Amy Hoppenrath reported that the Zone Directors' Council will be a Board committee and
259 provided a summary of the responsibilities of the Council, including enhancing each Zone
260 in a variety of ways, communicating with the Board, overseeing the Zone Board of Review
261 committees, and work with the USA Swimming staff to further the goals of the organization.

262
263 ***MOTION:** To approve the Board of Directors putting forward legislation for Zone Directors to
264 be automatic members of the House of Delegates. Seconded. **APPROVED.***

265
266 **FUNDING BOARD OF DIRECTORS FOR CONVENTION**

267 Robert Broyles addressed USA Swimming providing funding for members of the Board of
268 Director's to attend Convention.

269
270 ***MOTION:** To approve USA Swimming fund members of the Board of Directors to attend
271 Convention starting in 2019. Seconded. **APPROVED.***

272 **CEO/STAFF UPDATES**

273 **OPENING COMMENTS**

274 Tim Hinchey submitted a written report (Attachment 27).

275

276 **USA SWIMMING FOUNDATION REPORT**

277 Bill Maxson highlighted 2017 Foundation financials, including that it was the second best
278 fundraising year in Foundation history, that major gifts more than doubled from 2016, and
279 that the Annual Fund was up 21% over what was budgeted. Mr. Maxson also summarized
280 the Foundation Board's discussions on ways it can work with the USA Swimming staff to
281 cultivate new donors.

282

283 Debbie Hesse provided a 2018 Foundation update, including the addition of our first-ever
284 National Team Alumni Trustees, David and Richelle Fox, three new major gifts, a National
285 Team Endowment, and a verbal commitment to support the Open Water program.

286

287 **STAFF REORGANIZATION UPDATE AND 2018 KPIS**

288 Lucinda McRoberts provided an update on Business Affairs, including that Risk
289 Management is developing a succession planning resource for clubs, IT is working on phase
290 one of an Online Membership Services project, as well as continuing work on Customer
291 Relationship Membership (CRM) project, and Business Affairs will be adding a Human
292 Resources Director and Associate Counsel.

293

294 Mike Unger reported that fulfilling the National Team Technical Advisor role is ongoing,
295 Flex Membership will be launched this September, and the LEARN 2.0 platform is
296 progressing. Mr. Unger additionally provided updates on the 2020 Olympic Trials,
297 including that an event order is not yet set, the qualification period starts November of this
298 year after the time standards are revealed at Convention, new personnel is in place in
299 Omaha, and that the joint venture will purchase the second pool.

300

301 Mr. Unger reported on the International Swim League (ISL), a four-day world club
302 swimming championship, and what it could provide for athletes. Possible ISL venues
303 include London or in Las Vegas. Mr. Unger also updated the Board on the ongoing progress
304 at Lake Nona and the opportunity it could be for USA Swimming.

305

306 Matt Farrell updated the Board on what to expect at National Championships this year, that
307 the organization is working with Impression Sports and Entertainment to secure additional
308 sponsorships, and that we will be partnering with Facebook in various ways to promote the
309 Flex Membership campaign.

310

311 Lastly, Mr. Farrell previewed the summer membership campaign.

312

313 **BOARD SCHEDULE**

314 **UPCOMING IN-PERSON BOARD MEETINGS**

- 315
- Board Meeting, September 25, 2018

316 • Board Meeting, September 29, 2018

317

318 **OTHER MEETINGS/EVENTS**

319 • Board Training, October 26-28, 2018

320

321 **SUMMARY OF FOLLOW-UP ITEMS**

322 There were no follow up items.

323

324 **BOARD MEETING EVALUTION**

325 Jim Sheehan led a discussion regarding what went especially well during the meeting (staff
326 reports) and what could be done better (complete packets of documents and maintaining
327 relevant, high level discussions).

328

329 **ADJOURN**

330 USA Swimming Board Chair, Jim Sheehan, adjourned this meeting at 3:41 p.m. Mountain
331 Time.

Respectfully submitted:



Lucinda McRoberts, General Counsel & VP Business Affairs



Jim Sheehan, Board Chair

USA Swimming Board of Directors Minutes Attachments

May 12, 2018 / Denver Gateway Marriott

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Attachment 2	Page 2 – Vice Chair of Program Operations Report
Attachment 3	Page 2 – DRAFT February 3, 2018 BOD Meeting Minutes
Attachment 4	Page 2 – DRAFT April 7, 2018 BOD Special Meeting Minutes
Attachment 5	Page 2 – Vice Chair Fiscal Oversight Report
Attachment 6	Page 2 – USA Swimming Finance Monitoring Report
Attachment 7	Page 2 – USA Swimming Financial Report
Attachment 8	Page 2 – USA Swimming Audit Report
Attachment 9	Page 3 – USA Swimming Investment Review
Attachment 10	Page 3 – USA Swimming Investment Policy Statement
Attachment 11	Page 3 – USA Swimming Foundation Financial Report
Attachment 12	Page 3 – USA Swimming Foundation Audit Report
Attachment 13	Page 3 – Annual Monitoring on Policy 3.2 – External Relations
Attachment 14	Page 3 – Annual Monitoring on Policy 3.8 – Emergency Management Succession
Attachment 15	Page 4 – Proposed Board Policy Manual Update
Attachment 16	Page 5 – CEO Monitoring Schedule - CLEAN
Attachment 17	Page 5 – CEO Monitoring Schedule - REDLINE
Attachment 18	Page 5 – FINA and UANA Nominations
Attachment 19	Page 6 – IRC Report to the Board
Attachment 20	Page 6 – Minor Transgender Athlete Task Force Report
Attachment 21	Page 6 – Changes to the Required LSC Bylaws
Attachment 22	Page 6 - LSC Bylaws Template
Attachment 23	Page 7 - Athlete Transfer Policy Change
Attachment 24	Page 7 - Flex Membership Transfer Policy
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Attachment 26	Page 7 - Program & Events Committee description
Attachment 27	Page 8 - CEO Report to the Board
Attachment 28	Foundation Event Calendar
Attachment 29	Board Chair’s Report
Attachment 30	Administrative Vice Chair Report
Attachment 31	Eastern Zone Report
Attachment 32	FINA Bureau Report
Attachment 33	USOC & NGBC Reports
Attachment 34	YMCA Report
Attachment 35	U.S. Masters Swimming Report



USA SWIMMING BOARD OF DIRECTORS

Meeting Agenda

Denver Airport Marriott / Saturday, May 12, 2018 8 am – 5 pm

Item #/Time Estimate	AGENDA ITEMS												
A. (10 min)	1) Call to Order <i>(Jim Sheehan)</i> 2) Moment of Silence <i>(Jim Sheehan)</i> 3) Agenda Review (2.3.3) <i>(Jim Sheehan)</i> 4) Declaration of Conflict of Interest (2.5.4) <i>(Jim Sheehan)</i> <i>“Is any member aware of any conflict of interest (that is, of a personal interest or direct or indirect pecuniary interest) in any matter being considered by this meeting which should now be reported or disclosed or addressed under the USA Swimming Conflict of Interest Policy?”</i> If a Board member determines there to be a conflict of interest at any point during the course of the meeting when a specific subject is being discussed and / or action is being taken, a declaration of a conflict of interest should be made at that time. 5) Introductions <i>(Jim Sheehan)</i> 6) Recognition of Records <i>(Dan McAllen)</i>												
B. (5 min)	Board Chair's Remarks <i>(Jim Sheehan)</i>												
C. (5 min)	Approval of Minutes <i>(Jim Sheehan)</i> <ul style="list-style-type: none"> • February 3, 2018 Board of Directors meeting • April 7, 2018 Board of Directors Special Meeting 												
D. (20 min)	Finance Update/Actions <i>(Jim Harvey, Tim Hinchey, Bob Vincent)</i>												
E. (40 min)	MONITORING CEO PERFORMANCE (Policy 4.4) A. Management Parameters Monitoring Board acts to accept/reject the following performance monitoring reports due/submitted since last meeting <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">POLICY #</th> <th style="text-align: left;">TITLE</th> <th style="text-align: left;">DUE DATE</th> </tr> </thead> <tbody> <tr> <td>3.2</td> <td>External Relations</td> <td>May Mtg.</td> </tr> <tr> <td>3.3</td> <td>Financial Condition and Activities</td> <td>May Mtg.</td> </tr> <tr> <td>3.8</td> <td>Emergency Management Succession</td> <td>May Mtg.</td> </tr> </tbody> </table> <p>INSTRUCTIONS FOR THIS NEW AGENDA ITEM: It is important that the Board be sure its members are carrying out their <u>out-of-meeting duty</u> to read the CEO's reports. If Board members have specific questions they would like answered, rather than put the CEO on the spot in a meeting, they should afford the courtesy of letting the CEO know any concerns/questions they would have that might preclude them from concurring that the report demonstrates consistency with the policy.)</p> <p>Suggested Motion:</p> <p>“MOTION: that the Board approve that the CEO monitoring report on Policy #3.2, “External Relations,” conveys (a) interpretations of the policy that are reasonable, and (b) that the report reasonably substantiates compliance with the policy requirements, consistent with the CEO’s interpretations.”</p> <p>... the minutes should reflect a Board vote to approve the report based on this motion.</p> <p>If any Board members do <u>not</u> believe this to be the case, they should convey this during discussion of the motion. The Board should address the concern and then determine whether the majority agrees that a reasonable interpretation of the policy has NOT been set forth, and/or achievement/compliance not reasonably substantiated.</p>	POLICY #	TITLE	DUE DATE	3.2	External Relations	May Mtg.	3.3	Financial Condition and Activities	May Mtg.	3.8	Emergency Management Succession	May Mtg.
POLICY #	TITLE	DUE DATE											
3.2	External Relations	May Mtg.											
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USA SWIMMING BOARD OF DIRECTORS

Meeting Agenda

Denver Airport Marriott / Saturday, May 12, 2018 8 am – 5 pm

Item #/Time Estimate	AGENDA ITEMS						
	<p>The Board acts as a whole by majority vote. If a report is rejected, the Board should then determine next steps regarding timeline for rectification, etc.)</p> <p>If interpretation is deemed “reasonable” but the Board wishes it were different, then the issue is one of policy specification (as the board is thus not willing to accept “any reasonable interpretation.” In such a case, Board should <u>accept</u> the report (moving past CEO assessment) and add item to agenda for greater policy specification.)</p> <p>B. Ends Monitoring</p> <table border="1" data-bbox="310 678 1092 764"> <thead> <tr> <th>POLICY #</th> <th>TITLE</th> <th>DUE DATE</th> </tr> </thead> <tbody> <tr> <td>1.2</td> <td>Public Engagement with Swimming</td> <td>May Mtg.</td> </tr> </tbody> </table> <p>(same as above)</p>	POLICY #	TITLE	DUE DATE	1.2	Public Engagement with Swimming	May Mtg.
POLICY #	TITLE	DUE DATE					
1.2	Public Engagement with Swimming	May Mtg.					
F. (30 min)	<p>Closed Session</p> <ul style="list-style-type: none"> • Litigation Update (<i>Lucinda McRoberts</i>) • Personnel Update (<i>Tim Hinchey</i>) 						
G. (75 min)	<p>Tom Fristoe from SportsEngine & Team Unify (<i>Tim Hinchey</i>) - <u>Time Certain 10:00am</u></p>						
H. (60 min)	<p>Safe Sport Direction Follow-up</p>						
I. (120 min)	<p>Board Process</p> <p>A. Policy 4.4 Update - Monitoring CEO Performance – Future Schedule (<i>Tim Hinchey</i>)</p> <p>B. Committee, Task Force, and Other Reports Requiring Board Action or Discussion. (<i>Jim Sheehan</i>)</p> <ol style="list-style-type: none"> a. College Swimming Initiative Update (<i>Joel Shinofield/John Bitter</i>) b. Athlete Summit Update & Assessment (<i>Van Donkersgoed</i>) c. IRC Action Items/Updates <ol style="list-style-type: none"> i. Search for FINA/UANA/USAS Candidates (<i>Ron Van Pool</i>) ii. FINA Rules Process Update (<i>Michael Lawrence</i>) iii. Anti-Doping (<i>Michael Lawrence</i>) d. Task Forces <ol style="list-style-type: none"> i. Minor Transgender Task Force Recommendations (<i>Kathleen Prindle/MJ Truex</i>) ii. LSC Bylaws Task Force - Proposed Changes to the Template (<i>Wayne Shulby</i>) iii. Age Group Tech Suit Project Recommendations (<i>Tim Bauer</i>) iv. Alcohol/Tobacco/Gambling Task Force Final Recommendations (<i>Matt Farrell</i>) e. Membership/Registration Committee Policy Recommendations (<i>Robert Broyles</i>) f. Program & Events Committee (<i>Jim Sheehan</i>) g. Zone Directors Council (<i>Jim Sheehan</i>) 						
J. (40 min)	<p>CEO/Staff Updates (<i>Tim Hinchey</i>)</p> <p>CEO Hinchey would like to particularly update, discuss and receive board members’ feedback about:</p> <ol style="list-style-type: none"> A. USA Swimming Foundation Report B. Staff Reorganization Update and 2018 KPIs 						



USA SWIMMING BOARD OF DIRECTORS
Meeting Agenda
Denver Airport Marriott / Saturday, May 12, 2018 8 am – 5 pm

Item #/Time Estimate	AGENDA ITEMS
K. (10 min)	Board Schedule: <ul style="list-style-type: none">A. Upcoming In-Person Board Meetings:<ul style="list-style-type: none">a. Board meeting, September 25, 2018b. Board meeting, September 29, 2018B. Other meetings/events to be on Board members' calendars:<ul style="list-style-type: none">a. Board Training - October 26-28, 2018C. Summary of Follow-Up Items:
L. (10 min)	Board Meeting Evaluation <p>Brief discussion of:</p> <ul style="list-style-type: none">▪ What worked really well at this meeting?▪ What we could have done to make it more productive?
M.	Adjourn

PROGRAM OPERATIONS REPORT

May, 2018

OFFICIALS COMMITTEE reports:

The following is an update on the activities of the Committee:

Officials Committee Meeting: We held the annual officials committee meeting the weekend of April 20-21 in Nashville, TN. The minutes of the meeting will be posted later this month. In particular, the committee finalized a plan to revise the Guide to Officiating. We also discussed plans for future zone/regional workshops. We discussed following the lead of many other youth sports to develop a youth official category.

Online Testing: The online testing was deactivated on April 14, 2018 so that revisions can be made and will be reactivated on May 1, 2018. This is an annual occurrence. Bill Rose and his team due an amazing job. They also work to coordinated with other groups' test, e.g., masters and NCAA.

Officials Clinic Meeting: The Officials training workshop will be held in a still-to-be-determined location in October 2018 (we are looking at Albuquerque and Nashville.). As in previous years, the program covers a broad range of topics and is geared to give the participants exposure and education on each position on the deck as well as meet management.

Open Water Official's Clinic. An open water official's clinic will be held in conjunction with the Open Water National Championships in Arizona. Sandy Drake and Matt Wilson will facilitate the clinic. Sandy will be the meet referee for OW Nationals.

Summer Nationals and Juniors Meet Referees: Jay Thomas is the meet referee for the US Nationals in Irvine, CA. Cecil Gordon is meet referee for Junior Nationals also in Irvine.

Arena Pro Swim Series: Series meets to come include Indianapolis, Santa Clara, and Columbus. Meet referees are Jacki Allender, Melissa Hellervik-Bing, and Wayne Shulby.

Newsletters: We continue to publish a bi-monthly newsletter..

Quarterly LSC and Zone Officials Chairs Conference Calls: We continue to conduct quarterly conference calls for LSC and Zone officials Chairs.

Rules and Regulations. The committee and chair has worked alongside the Rules and Regulations committee to respond to inquiries concerning the rules and their application in a number of situations.

LSC and Zone Officials Chairs. The committee has been responding to inquiries from the LSC and Zone Officials chairs concerning various questions or concerns.

TIMES AND RECOGNITION COMMITTEE report:

Records

- SCY NAG Records since January 2018 – 16 individual & 6 relay
- Since January 2018, numerous American and US Open records have been set due to the NCAA championship season (see attached details)
- One American and US Open record were set at the TYR Pro Swim Series meet in Mesa.
- The T&R Committee voted to start tracking Mixed Relay NAG records beginning in Sept. 2018.

NTV

- The requests for observation so far this season have been:
 - HS, USMS Meets - 643.
- The NCAA meets are not observed meets this season since the NCAA adopted FINA technical rules.

Other Ongoing T&R Committee Activity

- Times from American athletes swimming overseas have been loaded into SWIMS upon request.
- The chair provided technical support for LSC Times Officers.

Special thanks to staff members Larry Herr and Jamie Lewis for their work to support the Times & Recognition Committee.

WR, AR, USO Record Report – submitted by Lisa Olack
 For Fiscal Year September 1, 2017, through August 31, 2018

As of April 25, 2018 (from 1/5 to 4/25)

	WR	AR	USO
Individual		18	18
Relay		12	7

Swimmers, individual and relays

- Katie Ledecky – 1 AR, 1 USO
- Caeleb Dressel- 7 AR, 7 USO
- Ella Eastin – 3 AR, 3 USO
- Lilly King – 2 AR, 2 USO
- Kathleen Baker – 1 AR, 1 USO
- Townley Haas – IE: 1 AR, 1 USO; Relays: 1 AR
- Ian Finnerty – 1 AR, 1 US
- Blake Pieroni – 1 AR, 1 USO
- Olivia Smoliga – 1 AR, 1 USO

Relay only swimmers

- AR - Ally Howe (5), Kim Williams (3), Janet Hu (5), Simone Manuel (5), Maddie Murphy (1), Amy Bilquist (1), Katie McLaughlin (1), Abbey Weitzel (1), Lauren Pitzer (2), Mark McGlaughlin (1), Ryan Held (4), Justin Ress (4), Jacob Molacek (4), Coleman Stewart (3), Jeff Newkirk (1), Jonathan Roberts (1), Austin Katz (1), Daniel Carr (1), Connor Hoppe (1), Justin Lynch (1), Ryan Hoffer (1)
- USO - Ally Howe (4), Kim Williams (3), Janet Hu (4), Simone Manuel (4), Lauren Pitzer (1), Ryan Held (3), Justin Ress (3), Jacob Molacek (3), Coleman Stewart (1), Mark McGlaughlin (1), Andreas Vazaros (1)

SCY

50 FREESTYLE

American:	18:11	Caeleb Dressel, Florida	Minneapolis, MN	03-22-18
U.S. Open:	18:11	Caeleb Dressel, Florida	Minneapolis, MN	03-22-18
American:	17:81	Caeleb Dressel, Florida	Minneapolis, MN	03-22-18
U.S. Open:	17:81	Caeleb Dressel, Florida	Minneapolis, MN	03-22-18
American:	17:63	Caeleb Dressel, Florida	Minneapolis, MN	03-22-18
U.S. Open:	17:63	Caeleb Dressel, Florida	Minneapolis, MN	03-22-18

100 FREESTYLE

American:	39.90	Caeleb Dressel, Florida	Minneapolis, MN	03-24-18
U.S. Open:	39.90	Caeleb Dressel, Florida	Minneapolis, MN	03-24-18

200 FREESTYLE

American:	1:29.63	Blake Pieroni, Indiana	Minneapolis, MN	03-21-18
U.S. Open:	1:29.63	Blake Pieroni, Indiana	Minneapolis, MN	03-21-18
American:	1:29.50	Townley Haas, Texas	Minneapolis, MN	03-23-18
U.S. Open:	1:29.50	Townley Haas, Texas	Minneapolis, MN	03-23-18

200 BACKSTROKE

American:	1:47.30	Kathleen Baker, Cal	Columbus, OH	03-17-18
U.S. Open:	1:47.30	Kathleen Baker, Cal	Columbus, OH	03-17-18

100 BREASTSTROKE

American:	50.03	Caeleb Dressel, Florida	College Station, TX	02-17-18
U.S. Open:	50.03	Caeleb Dressel, Florida	College Station, TX	02-17-18
American:	56.25	Lilly King, Indiana	Columbus, OH	03-16-18
U.S. Open:	56.25	Lilly King, Indiana	Columbus, OH	03-16-18
American:	49.69	Ian Finnerty, Indiana	Minneapolis, MN	03-23-18
U.S. Open:	49.69	Ian Finnerty, Indiana	Minneapolis, MN	03-23-18

200 BREASTSTROKE

American:	2:02.60	Lilly King, Indiana	Columbus, OH	03-17-18
U.S. Open:	2:02.60	Lilly King, Indiana	Columbus, OH	03-17-18

100 BUTTERFLY

American:	42.80	Caeleb Dressel, Florida	Minneapolis, MN	03-23-18
U.S. Open:	42.80	Caeleb Dressel, Florida	Minneapolis, MN	03-23-18

200 BUTTERFLY

American:	1:49.51	Ella Eastin, Stanford	Federal Way, WA	02-24-18
U.S. Open:	1:49.51	Ella Eastin, Stanford	Federal Way, WA	02-24-18

200 INDIVIDUAL MEDLEY

American:	1:38.13	Caeleb Dressel, Florida	College Station, TX	02-15-18
U.S. Open:	1:38.13	Caeleb Dressel, Florida	College Station, TX	02-15-18
American:	1:50.67	Ella Eastin, Stanford	Columbus, OH	03-15-18
U.S. Open:	1:50.67	Ella Eastin, Stanford	Columbus, OH	03-15-18

400 INDIVIDUAL MEDLEY

American:	3:56.53	Katie Ledecky, Stanford	Federal Way, WA	02-23-18
U.S. Open:	3:56.53	Katie Ledecky, Stanford	Federal Way, WA	02-23-18
American:	3:54.60	Ella Eastin, Stanford	Columbus, OH	03-16-18
U.S. Open:	3:54.60	Ella Eastin, Stanford	Columbus, OH	03-16-18

200 FREESTYLE RELAY

American:	1:25.87	California	Federal Way, WA	02-22-18	<i>(Maddie Murphy, Amy Bilquist, Katie McLaughlin, Abbey Weitzeil)</i>
American:	1:25.68	Stanford	Columbus, OH	03-15-18	<i>(Janet Hu, Simone Manuel, Lauren Pitzer, Ally Howe)</i>
American:	1:25.43	Stanford	Columbus, OH	03-15-18	<i>(Janet Hu, Simone Manuel, Lauren Pitzer, Ally Howe)</i>
U.S. Open:	1:25.43	Stanford	Columbus, OH	03-15-18	<i>(Janet Hu, Simone Manuel, Lauren Pitzer, Ally Howe)</i>
American:	1:14.50	NC State	Minneapolis, MN	03-22-18	<i>(Ryan Held, Justin Ress, Jacob Molacek, Coleman Stewart)</i>

400 FREESTYLE RELAY

American	2:45.69	NC State	Greensboro, NC	02-24-18
		<i>(Ryan Held, Justin Ress, Jacob Molacek, Coleman Stewart)</i>		
American	2:44.75	NC State	Minneapolis, MN	03-24-18
		<i>(Ryan Held, Jacob Molacek, Mark McGlaughlin, Justin Ress)</i>		
U.S. Open:	2:44.75	NC State	Minneapolis, MN	03-24-18
		<i>((Ryan Held, Jacob Molacek, Mark McGlaughlin, Justin Ress)</i>		
American	2:44.31	NC State	Minneapolis, MN	03-24-18
		<i>(Ryan Held, Justin Ress, Jacob Molacek, Coleman Stewart)</i>		
U.S. Open:	2:44.31	NC State	Minneapolis, MN	03-24-18
		<i>(Ryan Held, Justin Ress, Jacob Molacek, Coleman Stewart)</i>		

800 FREESTYLE RELAY

American:	6:07.59	Texas	Minneapolis, MN	03-21-18
		<i>(Townley Haas, Jeff Newkirk, Jonathan Roberts, Austin Katz)</i>		
U.S. Open:	6:05.31	NC State	Indianapolis, IN	03-21-18
		<i>(Andreas Vazaros, Ryan Held, Jacob Molacek, Justin Ress)</i>		

200 MEDLEY RELAY

American:	1:33.11	Stanford	Columbus, OH	03-16-18
		<i>(Ally Howe, Kim Williams, Janet Hu, Simone Manuel)</i>		
U.S. Open:	1:33.11	Stanford	Columbus, OH	03-16-18
		<i>(Ally Howe, Kim Williams, Janet Hu, Simone Manuel)</i>		
American:	1:21.88	California	Minneapolis, MN	03-23-18
		<i>(Daniel Carr, Connor Hoppe, Justin Lynch, Ryan Hoffer)</i>		

400 MEDLEY RELAY

American:	3:25.15	Stanford	Federal Way, WA	02-24-18
		<i>(Ally Howe, Kim Williams, Janet Hu, Simone Manuel)</i>		
U.S. Open:	3:25.15	Stanford	Federal Way, WA	02-24-18
		<i>(Ally Howe, Kim Williams, Janet Hu, Simone Manuel)</i>		
American:	3:25.09	Stanford	Columbus, OH	3-15-18
		<i>(Ally Howe, Kim Williams, Janet Hu, Simone Manuel)</i>		
U.S. Open:	3:25.09	Stanford	Columbus, OH	3-15-18
		<i>(Ally Howe, Kim Williams, Janet Hu, Simone Manuel)</i>		

LCM**50 BACKSTROKE**

American:	27.43	Olivia Smoliga, ABSC-GA	Mesa, AZ	04-14-18
U.S. Open:	27.43	Olivia Smoliga, ABSC-GA	Mesa, AZ	04-14-18

Respectfully submitted,
Daniel W. McAllen
Vice President, Program Operations

These minutes will be officially approved by the USA Swimming Board of Directors at its
May 12, 2018 meeting.

USA Swimming Board of Directors Meeting Minutes

February 3, 2018 / Denver Gateway Marriott

1 **CALL TO ORDER**

2 USA Swimming Board Chair, Jim Sheehan, called the February 3, 2018 Board of Directors
3 meeting to order at 8:00 a.m. Mountain Time with the following members in attendance:

4
5 **PRESENT:** Dale Ammon, Tim Bauer, John Bitter, John Bradley, Robert Broyles, Van
6 Donkersgoed, Tristan Formon, Anthony Ervin, Natalie Hall, Clark Hammond, Don Heidary,
7 Tim Hinchey, Amy Hoppenrath, Bill Maxson, Lucinda McRoberts, Dale Neuburger, Derek
8 Paul, Aaron Peirsol, Chip Peterson, Sean Redmond, John Roy, Jim Ryan, Jim Sheehan, Davis
9 Tarwater, Ed Tsuzuki, Mary Turner, Ron Van Pool, Robert Vincent, Mark Weber, Carol
10 Zaleski.

11
12 **NOT PRESENT:** Dan McAllen (joined via conference call), Amy Schulz, Marie Scovron,
13 Bruce Stratton, Garrett Weber-Gale, Jim Wood (joined via conference call).

14
15 **MOMENT OF SILENCE**

16 A moment of silence was observed for USA Swimming members who have passed away
17 since the last USA Swimming Board of Directors meeting.

18
19 **AGENDA REVIEW**

20 Jim Sheehan presented an updated Agenda (Attachment 1).

21
22 **MOTION:** *To approve the Agenda. Seconded. APPROVED.*

23
24 **CONFLICT OF INTEREST**

25 *"Is any member aware of any conflict of interest (that is, of a personal interest or direct or*
26 *indirect pecuniary interest) in any matter being considered by this meeting which should now*
27 *be reported or disclosed or addressed under the USA Swimming Conflict of Interest Policy?"*

28
29 If a Board member determines there to be a conflict of interest at any point during the
30 course of the meeting when a specific subject is being discussed and / or action is being
31 taken, a declaration of a conflict of interest should be made at that time.

32
33 **INTRODUCTIONS**

34 **GUESTS**

35 Sandi Blumit (Risk Management Services), Bill Charney (Charney Associates), David Cooper
36 (Risk Management Services), Joe Gazzarato (Athlete), Andrew Gemmell (International

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37 Relations Committee), Cecil Gordon (International Relations Committee), John Leonard
38 (American Swim Coaches Association), Nick Smagula (Athlete Executive Committee), Joel
39 Shinofield (College Swimming Coaches Association of America).

40

41 **STAFF**

42 Tom Avischious, Paula D'Amico, Cathy Durance, Matt Farrell, Jim Harvey, Debbie Hesse, Pat
43 Hogan, Belle McLemore, Lindsay Mintenko, Mike Unger, George Ward, Susan Woessner.

44

45 **RECOGNITION OF RECORDS**

46 Dan McAllen reported that as of January 5, 2018, Katie Ledecky set an American and U.S.
47 Open record in the 1650 freestyle at College Station, Texas. At Winter National
48 Championships in Columbus, Ohio, Zane Grothe set a short course U.S. Open and American
49 record in the 500 freestyle and an American and U.S. Open record in the 1650 freestyle
50 (Attachment 2).

51

52 **BOARD CHAIR'S REMARKS**

53 Jim Sheehan briefly highlighted the new agenda and congratulated Bill Schalz and John
54 Bitter for receiving this year's American Swim Coaches Association Peter Daland Award.

55

56 **MINUTES**

57 *MOTION: To approve the November 18, 2017 Board of Directors meeting minutes. Seconded.*
58 *APPROVED.* (Attachment 3).

59

60 *MOTION: To approve the November 19, 2017 Board of Directors meeting minutes. Seconded.*
61 *APPROVED.* (Attachment 4).

62

63 **CLOSED SESSION**

64 **LITIGATION UPDATE**

65 The Board meeting went into closed session so that USA Swimming Secretary & General
66 Counsel, Lucinda McRoberts, could give a legal update.

67

68 **PERSONNEL DISCUSSION**

69 The Board meeting remained in closed session so that Mike Unger and Jim Sheehan could
70 give updates on personnel matters.

71

72

73

These minutes will be officially approved by the USA Swimming Board of Directors at its May 12, 2018 meeting.

74 **COLLEGE SWIMMING INITIATIVE UPDATE**

75 Joel Shinofield reported on current CSCAA initiatives, including working with public
76 relation firms to show the value of swimming and diving programs to a university, working
77 with the NCAA to reclassify tuition revenue at the Division I level, and expanding female
78 alumni groups to promote engagement with their alma maters.

79

80 Mr. Shinofield and John Bitter discussed a potential college swimming endowment program
81 and identified next steps in its development.

82

83 **BOARD POLICIES: REVIEW, DISCUSSION AN ADOPTION**

84 Jim Sheehan went through the proposed changes to Policies 2.0, 2.5.2, 2.6.2, 2.6.9, and 2.9.2.
85 within the Board of Directors' Governing Policies Manual (Attachment 5).

86

87 **MOTION:** *To strike Section 2(A) from Policy 2.5.2. Secoded. **APPROVED.***

88

89 The Board discussed the wording of Policy 2.6.9 regarding attendance expectations and
90 financial contributions to the USA Swimming Foundation.

91

92 **MOTION:** *To amend Policy 2.6.9 to read "Each Board member is expected to make an annual
93 personal financial contribution to the USA Swimming Foundation." Secoded. **FAILED.***

94

95 **MOTION:** *To amend Policy 2.6.9 to read "Each Board member is expected and required to
96 make an annual personal financial contribution to the USA Swimming Foundation. The
97 demonstration of support, rather than the amount of the contribution, is of principal
98 importance." Secoded. **APPROVED.***

99

100 **MOTION:** *To adopt the proposed changes to Policies 2.0, 2.5.2 (as amended), 2.6.2, 2.6.9 (as
101 amended) and 2.9.2 of the Board of Directors' Governing Policies Manual. Secoded.*

102 **APPROVED.**

103

104 **ENDS REVIEW AND PLANNING**

105 Bill Charney presented CEO Tim Hinchey's Ends Interpretations and proposed revisions
106 (Attachment 6).

107

108 The Board engaged in discussion to clarify the intentions of End 1.2.C.v regarding "ease of
109 access at all levels of the sport."

110

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111 **MOTION:** *To remove End 1.2.C.v from the Priority Results. Seconded. APPROVED.*

112

113 The Board further discussed levels of success as written in the Priority Results.

114

115 **MOTION:** *To adopt the Priority Results. Seconded. APPROVED.*

116

117 **BOARD PROCESS**

118 **POLICY 4.4 - MONITORING CEO PERFORMANCE**

119 Tim Hinchey and Bill Charney presented key items and metrics for Mr. Hinchey, the
120 Strategy Team and staff to accomplish, along with a timeline to achieve those items
121 (Attachment 7).

122

123 **MOTION:** *To adopt Policy 4.4 Monitoring CEO Performance of the Priority Results. Seconded.*
124 **APPROVED.**

125

126 **NOMINATING COMMITTEE APPOINTMENTS**

127 Jim Sheehan presented his nominations for the Nominating Committee, including Board
128 members Mark Weber and Clark Hammond, as well as two independent members, Kurt
129 von Moltke and Wendy Boglioli (Attachment 8).

130

131 **MOTION:** *To approve the Mark Weber, Clark Hammond, Kurt von Moltke, and Wendy*
132 *Boglioli for the Nominating Committee. Seconded. APPROVED.*

133

134 **CHARGE TO THE NOMINATING COMMITTEE**

135 Jim Sheehan presented suggested skills and attributes for what members of the Nominating
136 Committee should possess (Attachment 9).

137

138 **MOTION:** *To approve the charge for the Nominating Committee. Seconded. APPROVED.*

139

140 Mr. Sheehan also reported that six at-large members will be elected in 2018 since he has
141 not received a request from an Allied Member or any other eligible organization to be
142 directly represented on the Board.

143

144 **COMMITTEE, TASK FORCE, AND OTHER REPORTS REQUIRING BOARD ACTION OR** 145 **DISCUSSION**

146 **NOMINATIONS FOR THE U.S. CENTER FOR SAFE SPORT BOARD OF DIRECTORS**

These minutes will be officially approved by the USA Swimming Board of Directors at its May 12, 2018 meeting.

147 Ron Van Pool reported that Victor Vieth declined the opportunity to serve as the National
148 Governing Body Council's nominee for the U.S. Center for Safe Sport Board of Directors
149 (Attachments 10-11).

150

151 **FINA BUREAU CANDIDATE**

152 Ron Van Pool described the need and process for United States Aquatic Sports to nominate
153 a candidate to serve on the FINA Bureau following Dale Neuberger's retirement in 2021.

154

155 **BACKSTROKE RACING START CERTIFICATION PROTOCOL**

156 Pat Hogan provided a brief history of the Backstroke Start Racing Certification Task Force
157 which has developed a teaching protocol and certification process (Attachments 12-13).

158

159 ***MOTION:** To approve the proposed backstroke start teaching protocol and certification
160 requirement with an implementation date of May 1, 2018. Seconded. **APPROVED.***

161

162 **AGE GROUP TECH SUIT PROJECT RECOMMENDATIONS**

163 Tim Bauer reported that the Age Group Development Committee is in favor of banning the
164 use of tech suits by 12 and under swimmers, but the Committee still has considerable work
165 to do before proposing a rule change, including defining what constitutes a tech suit is and
166 assessing how to enforce any such restriction (Attachment 14).

167

168 Matt Farrell emphasized the need to work in partnership with suit manufactures to come
169 up with a definition and to educate and communicate the outcomes in the right way to the
170 appropriate parties.

171

172 The Board discussed the Isaac Sports Group study, *Use of Tech Suits by Age Group
173 Swimmers*, and the cost of tech suits.

174

175 **SWIMASSIST ELIGIBILITY REQUIREMENTS CHANGE**

176 Susan Woessner provided an overview of the SwimAssist program and highlighted the
177 proposed changes to it (Attachment 15).

178

179 ***MOTION:** To approve the proposed changes to the SwimAssist program. Seconded.
180 **APPROVED.***

181

182 **FINA DOPING UPDATE FROM IRC MEETING**

These minutes will be officially approved by the USA Swimming Board of Directors at its May 12, 2018 meeting.

183 Jim Sheehan reported on the anti-doping panel that presented at the International
184 Relations Committee meeting on February 2, 2018. Mr. Sheehan highlighted a variety of
185 the panel's concerns, including the introduction of a new International Testing Authority
186 (ITA), communication issues with FINA, and possible ways to improve the process of
187 collecting and transporting data.

188
189 The Board discussed what USA Swimming could do to enhance anti-doping efforts.

190
191 **ALCOHOL/TOBACCO/GAMBLING TASK FORCE DRAFT RECOMMENDATIONS**

192 Matt Farrell reported that the Alcohol, Tobacco, and Gambling Task Force is working on
193 guidelines for serving alcohol at events, as well as guidelines for alcohol-related sponsors.
194 Mr. Farrell added that the task force will not be making any changes to existing language
195 regarding tobacco and gambling within the Rulebook but may add language regarding
196 marijuana (Attachment 16).

197
198 **MOTION:** *To approve the Alcohol, Tobacco, and Gambling Task Force to continue working on*
199 *guidelines regarding serving alcohol and alcohol sponsorship at events. Secinded.*

200 **APPROVED.**

201
202 **DISASTER RELIEF TASK FORCE**

203 Pat Hogan provided an overview of the process of the disaster relief grants offered by USA
204 Swimming for those areas effected by recent natural disasters, including how clubs may
205 use the grant money. Mr. Hogan also expressed the organization's desire to standardize
206 relief efforts.

207
208 **APPROVAL OF NEW FOUNDATION DIRECTOR**

209 Bill Maxson reported that Summer Sanders was stepping down from the Foundation Board
210 of Directors and that the Board is moving to a governance and fundraising board.

211
212 **MOTION:** *To elect Maya DiRado to a two-year term to the Foundation Board of Directors.*
213 *Secinded. APPROVED.*

214
215 **FINANCE UPDATE/ACTIONS**

216 Bob Vincent submitted a written report and provided verbal highlights, including that the
217 organization overcame a short fall in membership to produce a deficit that is
218 approximately \$650,000 better than currently budgeted (and much closer to the \$500,000
219 deficit originally budgeted) due to significant budget savings in several areas. Mr. Vincent

These minutes will be officially approved by the USA Swimming Board of Directors at its May 12, 2018 meeting.

220 also reported that USA Swimming has added \$2.3 million to its reserves and that its year-
221 to-date investment return was 14.78% which outperformed the one, three and five-year
222 benchmarks (Attachments 17-19).

223

224 Jim Harvey submitted a written report and provided verbal highlights, including that the
225 USA Swimming Foundation's annual campaign raised over \$700,000 and major gifts raised
226 over \$1.4 million, resulting in a combined fundraising of \$2.1 million, which exceeded the
227 \$1.2 million budget. Mr. Harvey also reported that the Foundation's total net assets
228 increased by over \$3 million in 2017 (Attachment 20).

229

230 **CEO/STAFF UPDATES**

231 **OPENING COMMENTS**

232 Tim Hinchey updated the Board on internal restructuring efforts, including the creation of
233 a Foundation leadership team.

234

235 **USA SWIMMING FOUNDATION REPORT**

236 Debbie Hesse and Jim Harvey presented the financial history and evolution of the USA
237 Swimming Foundation since its founding in 2004 (Attachment 21).

238

239 **STAFF REORGANIZATION UPDATE AND 2018 KPIS**

240 Tim Hinchey reported on the staff reorganization into four business units: Technical/Sport
241 led by Mike Unger, Commercial led by Matt Farrell, Business Affairs led by Lucinda
242 McRoberts, and Finance led by Jim Harvey. Mr. Hinchey further reported on the different
243 phases for the organization that began in 2017 and go through L.A. 2028.

244

245 Mike Unger, Matt Farrell, Lucinda McRoberts and Jim Harvey provided overviews of their
246 respective business units, including Key Performance Indicators (KPIs) for each.

247

248 Mr. Hinchey and Mr. Unger provided an update regarding a possible partnership with
249 Tavistock Development in connection with its development of a training facility near Lake
250 Nona in Orlando, Florida.

251

252 **BOARD SCHEDULE**

253 **UPCOMING IN-PERSON BOARD MEETINGS**

254 Jim Sheehan reported that the next Board of Directors meeting on May 5, 2018 conflicts
255 with Open Water Nationals and suggested moving the meeting to the following weekend,
256 May 12, 2018.

257

These minutes will be officially approved by the USA Swimming Board of Directors at its May 12, 2018 meeting.

258 **MOTION:** *To move the next Board of Directors meeting to May 12, 2018. Seconded.*

259 **APPROVED.**

260

261 **OTHER MEETINGS/EVENTS**

262 Jim Sheehan reported that the International Relations Committee meeting will also change
263 dates and now be on Friday, May 11, 2018.

264

265 **SUMMARY OF FOLLOW-UP ITEMS**

266 There were no follow up items.

267

268 **BOARD MEETING EVALUTION**

269 Jim Sheehan asked the Board for their comments and suggestions on the new meeting
270 format.

271

272 It was suggested to have Finance Update earlier on the agenda, to highlight action items
273 and have those with written reports provide a summary.

274

275 **ADJOURN**

276 USA Swimming Board Chair, Jim Sheehan, adjourned this meeting at 2:18 p.m. Mountain
277 Time.

Respectfully submitted:



Lucinda McRoberts, General Counsel & VP Business Affairs



Jim Sheehan, Board Chair

These minutes will be officially approved by the USA Swimming Board of Directors at its May 12, 2018 meeting.

USA Swimming Board of Directors Minutes Attachments

February 3, 2018 / Denver Gateway Marriott

Attachment 1	Page 1 – Agenda
Attachment 2	Page 2 – Vice Chair of Program Operations Report
Attachment 3	Page 2 – DRAFT November 18, 2017 BOD Meeting Minutes
Attachment 4	Page 2 – DRAFT November 19, 2017 BOD Meeting Minutes
Attachment 5	Page 3 – DRAFT Board of Directors’ Governing Policies Manual
Attachment 6	Page 3 – ENDS Revisions/Sequence Proposed by CEO/Strategy Team
Attachment 7	Page 4 – Policy 4.4 Monitoring CEO Performance
Attachment 8	Page 4 – Proposed Nominating Committee Nominations
Attachment 9	Page 4 – Nominating Committee Charge
Attachment 10	Page 5 – Nominations to the U.S. Center for Safe Sport
Attachment 11	Page 5 – Amended & Restated Bylaws of U.S. Center for Safe Sport
Attachment 12	Page 5 – Backstroke Racing Start Memo to the Board
Attachment 13	Page 5 – Racing Start Safety Certification Protocol Proposal
Attachment 14	Page 5 – Age Group Development Committee’s Tech Suits Report - CONFIDENTIAL
Attachment 15	Page 5 – SwimAssist Program Proposal
Attachment 16	Page 6 – Alcohol, Tobacco, & Gambling Task Force Report
Attachment 17	Page 7 – Finance Vice Chair Report
Attachment 18	Page 7 – USA Swimming Financial Statement
Attachment 19	Page 7 – USA Swimming Investment Summary
Attachment 20	Page 7 - USA Swimming Foundation Financial Report
Attachment 21	Page 7 – History of USA Swimming Foundation
Attachment 22	Board Chair Report
Attachment 23	Administrative Vice Chair Report
Attachment 24	Program Development Vice Chair Report
Attachment 25	Athletes Vice Chair Report
Attachment 26	Eastern Zone Report
Attachment 27	Western Zone Report
Attachment 28	FINA Bureau Report
Attachment 29	FINA Technical Committee Report
Attachment 30	USOC & NGBC Report
Attachment 31	YMCA Report

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These minutes will be officially approved by the USA Swimming Board of Directors at its May 12, 2018 meeting.

Attachment 32

Attachment 33

Attachment 34

Attachment 35

Attachment 36

U.S. Masters Report

ASCA Report

Task Force Updates

International Relations Committee Report

CEO's Report for the Board

DRAFT

These minutes will be officially approved by the USA Swimming Board of Directors at its May 12, 2018 meeting.

USA Swimming Board of Directors Special Meeting Minutes

April 7, 2018 / Denver Airport Residence Inn

1 **CALL TO ORDER**

2 USA Swimming Board Chair, Jim Sheehan, called the April 7, 2018 Board of Directors
3 meeting to order at 8:00 a.m. Mountain Time with the following members in attendance:

4
5 **PRESENT:** Dale Ammon, Tim Bauer, John Bitter, John Bradley, Robert Broyles, Van
6 Donkersgoed, Tristan Formon, Natalie Hall, Clark Hammond, Don Heidary, Tim Hinchey,
7 Amy Hoppenrath, Lucinda McRoberts, Dale Neuburger, Derek Paul, Aaron Peirsol, Sean
8 Redmond, John Roy, Jim Sheehan, Bruce Stratton, Davis Tarwater, Mary Turner, Robert
9 Vincent, Mark Weber, Garrett Weber-Gale, Carol Zaleski.

10

11 **NOT PRESENT:** Anthony Ervin, Bill Maxson, Dan McAllen (joined via conference call), Chip
12 Peterson (joined via conference call), Jim Ryan (joined via conference call), Amy Schulz,
13 Marie Scovron, Ed Tsuzuki, Ron Van Pool, Jim Wood (joined via conference call).

14

15 **MOMENT OF SILENCE**

16 A moment of silence was observed for USA Swimming members who have passed away
17 since the last USA Swimming Board of Directors meeting.

18

19 **AGENDA REVIEW**

20 Jim Sheehan presented the Agenda (Attachment 1).

21

22 **MOTION:** *To approve the Agenda. Seconded. APPROVED.*

23

24 **CONFLICT OF INTEREST**

25 *"Is any member aware of any conflict of interest (that is, of a personal interest or direct or*
26 *indirect pecuniary interest) in any matter being considered by this meeting which should now*
27 *be reported or disclosed or addressed under the USA Swimming Conflict of Interest Policy?"*

28

29 If a Board member determines there to be a conflict of interest at any point during the
30 course of the meeting when a specific subject is being discussed and / or action is being
31 taken, a declaration of a conflict of interest should be made at that time.

32

33 **INTRODUCTIONS**

34 **GUESTS**

35 George Geanon (Safe Sport Committee)

36

These minutes will be officially approved by the USA Swimming Board of Directors at its May 12, 2018 meeting.

37 **STAFF**

38 Amanda Bryant, Matt Farrell, Liz Hahn, Jim Harvey, Belle McLemore, Lindsay Mintenko,
39 Mike Unger, Maggie Vail, George Ward.

40

41 **BOARD CHAIR'S REMARKS**

42 Jim Sheehan thanked the Board for attending this Special Meeting to address the
43 organization's commitment to providing safe and healthy environments for its members.

44

45 **CLOSED SESSION**

46 **LITIGATION UPDATE**

47 The Board meeting went into closed session so that USA Swimming Secretary & General
48 Counsel, Lucinda McRoberts, could give a litigation review and update, as well as a review
49 of certain past matters.

50

51 **WORKING GROUP SAFE SPORT RECOMMENDATIONS**

52 **UPDATE ON STATE OF THE BUSINESS OF SAFE SPORT**

53 Liz Hahn and Maggie Vail provided an overview of the prereading Safe Sport materials and
54 presented background on the USA Swimming Safe Sport program including its history,
55 framework, and response and prevention efforts (Attachment 2). George Geanon also
56 spoke in support of the organization's efforts on behalf of the Safe Sport Committee.

57

58 The Board discussed, in general terms, ways to enhance the Safe Sport program, including
59 by making the availability of SwimAssist more widely known and how wellness initiatives
60 may be incorporated.

61

62 **ACTION PLAN RECOMMENDATIONS**

63 Matt Farrell introduced the Safe Sport Working Group and provided an overview of what
64 the group would address, including Programs & Services (John Bradley), Policies (Clark
65 Hammond), Culture (Natalie Coughlin), and Communications (Amy Hoppenrath)
66 (Attachment 3).

67

68 John Bradley presented on various Program & Services initiatives, including the Safe Sport
69 Certified/Recognized Club program, Training the Trainers, and a potential third-party
70 review.

71

These minutes will be officially approved by the USA Swimming Board of Directors at its May 12, 2018 meeting.

72 The Board discussed at length the proposed requirements of the Safe Sport
73 Certified/Recognized Club program and whether the program should be incentivized or
74 mandatory.

75

76 **MOTION:** To endorse the Safe Sport Committee on the concept of a Safe Sport
77 Certified/Recognized Club program and direct the Committee to develop a rollout program
78 that would start from incentivized to mandatory requirements. Seconded. **APPROVED.**

79

80 A timeline was established for the Safe Sport Committee to finalize the proposed program
81 details and criteria. Next steps include updating the Board at its May meeting and using the
82 Safe Sport workshop at Convention to train Safe Sport Chairs on the approved criteria.

83

84 Mr. Bradley also introduced the topic of training individuals to deliver the Safe Sport
85 message (“Training the Trainers”). The Board discussed different ways to train volunteers,
86 including in-person trainings as well as virtual trainings.

87

88 Mr. Bradley next introduced possible ideas to review the Safe Sport program following the
89 2014 Vieth Report. The Board deliberated whether a third-party review of the program is
90 needed and identified potential objectives and benefits of a program review. The Board
91 directed the Safe Sport Working Group to develop further the concept of a third-party
92 review.

93

94 Mr. Bradley next introduced a potential third-party review the Safe Sport program
95 following the 2014 Vieth Report. The Board deliberated whether such a review of the
96 program is needed and identified potential objectives and benefits of a program review.
97 The Board also considered a third-party review of the handling of certain historical
98 misconduct cases instead of, or in addition to, a review of the Safe Sport program.

99

100 Mr. Bradley presented the Working Group’s recommendation that the organization pursue
101 additional communication and engagement opportunities with survivors, and the Board
102 discussed appropriate ways to do so.

103

104 In connection with a review of organizational polices, Clark Hammond presented the idea
105 of USA Swimming employing an independent ombudsman. The Board talked about how
106 that role would operate and what type of person would fulfill that role.

107

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108 Mr. Hammond also introduced the concept of Club Assist, which would assist clubs with
109 addressing Safe Sport considerations and boundary violations at the local level. Following
110 discussion, the Board directed the concept to the Safe Sport Committee for further
111 evaluation.

112
113 Natalie Hall presented the notion of embedding the Safe Sport culture within the Board and
114 USA Swimming staff moving forward. Matt Farrell suggested the Board to look at the
115 Mission and Vision of USA Swimming, as well as its Cultural Values, to lay a foundation for
116 the next Board. The Board discussed defining, changing, and implementing club and
117 organizational culture to be more child and athlete focused.

118
119 Jim Sheehan suggested that the Board Policy Manual / Ends Working Group review the
120 organization's Ends to ensure Safe Sport and positive culture is appropriately integrated.

121
122 The Board briefly revisited whether the Safe Sport Certified/Recognized Club components
123 should be entirely mandatory or incentivized in part.

124
125 Amy Hoppenrath updated the Board on the Working Group's recommendations regarding
126 communications-based objectives, including conveying empathy, building trust and better
127 conveying existing programs and organizational efforts. Belle McLemore further outlined
128 the organization's communications strategy.

129
130 **ADJOURN**
131 USA Swimming Board Chair, Jim Sheehan, adjourned this meeting at 5:19 p.m. Mountain
132 Time.

Respectfully submitted:



Lucinda McRoberts, General Counsel & VP Business Affairs



Jim Sheehan, Board Chair

DRAFT

DRAFT

DRAFT

These minutes will be officially approved by the USA Swimming Board of Directors at its May 12, 2018 meeting.

USA Swimming Board of Directors Minutes Attachments

April 7, 2018 / Denver Airport Residence Inn

Attachment 1

Page 1 - Agenda

Attachment 2

Page 2 - Prereading Safe Sport materials

DRAFT

VICE CHAIR–FISCAL OVERSIGHT - REPORT

May 12, 2018

In advance of the Board of Directors meeting, the following background information is presented for your review. *Items requiring Board action are italicized.*

1. Financial Condition & Activities – Policy Monitoring Report

The report dated May 3, 2018 is posted in the Board of Directors Private section of the website.

2. Financial Update:

Final financial reports for 2017 and the quarter ended March 31, 2018 are posted in the Board of Directors Private section of the website.

2017 HIGHLIGHTS

- Beat 2017 budget by \$405,387 with operating deficit of (\$747,813).
- Overall expense savings of 6.63% offset membership and sponsor revenue shortfalls.
- Investment returns of +14.78% provided \$990,500 to the operating budget and added over \$3.8 million to reserves.

3. 2017 Audit Report:

The consolidated 2017 audit report of USA Swimming, Inc. and accompanying management letters are posted in the Board of Directors Private section of the website. The Audit Committee met via teleconference with the auditor on May 2, 2018 and unanimously recommended acceptance of the report and letters.

Board Action:

Resolved, the Board of Directors of USA Swimming hereby accepts the 2017 Audit Report and accompanying Management Letters of USA Swimming, Inc. and Affiliates as presented.

4. Investment Performance Update:

The USA Swimming investment portfolio performance for the quarter ended March 31, 2018 is posted in the Board of Directors Private section of the website. The total portfolio performance of -.59% for the volatile first quarter of 2018 beat the benchmark of -1.21% by +.62%. The portfolio has outperformed the benchmark for the one, three, and five year periods ended March 31, 2018.

5. Investment Policy Statement:

The Investment Committee met via teleconference on February 15, 2018 and performed its annual review of the Investment Policy Statement. The committee recommends approval of the updated version of the policy as posted in the Private Board Section of the website. The redlined version indicates formatting and other minor changes. The dollar limits were increased for the Short Term Operating Account to reflect the growth of the organization. The requirement for the Treasurer's approval of transactions in the Short Term Operating Account is deleted.

Board Action:

Resolved, the Board of Directors of USA Swimming hereby approves the Investment Policy Statement as presented.

6. Foundation Financial Update:

Final financial reports for 2017 and the quarter ended March 31, 2018 are posted in the Private Board Section of the website. The 2017 audit report is also posted.

2017 HIGHLIGHTS

- \$169,825 operating surplus exceeded budget by \$405,825.
- \$1,441,876 major gifts/grants exceeded budget and 2016.
- \$702,200 Annual Campaign exceeded budget and 2016 results by 21.3%.
- \$871,089 sponsorship including Phillips 66 \$625,000.
- \$15,550,838 endowments increased \$3,068,279 for the year including +14.81% return.
- \$732,500 grants to USA Swimming from endowments, Phillips 66, and Swim-a-thon.
- \$494,737 grants to Make a Splash local partners.

"FINANCIAL CONDITION & ACTIVITIES" POLICY MONITORING REPORT

TO: USA Swimming Board of Directors
FR: Tim Hinchey, Chief Executive Officer
Jim Harvey, Chief Financial Officer
RE: INTERNAL MONITORING REPORT — MANAGEMENT LIMITATIONS
Quarterly Monitoring on Policy 3.4: **FINANCIAL CONDITION & ACTIVITIES**

We hereby present the monitoring report on the Policy 3.4 "Financial Condition and Activities" in accordance with the monitoring schedule set forth in Board policy. We certify that the information contained in this report and the accompanying P/L and Balance Sheet, are true as of March 31, 2018

Signed _____, CEO

_____, CFO

Date May 3, 2018

BROADEST POLICY PROVISION: *"With respect to financial condition and activities, the CEO will not cause or allow the development of fiscal jeopardy or a material deviation of actual expenditures from Board priorities established in Ends policies."*

CEO's INTERPRETATION: I submit that the Board's concerns about avoiding fiscal jeopardy are comprehensively interpreted in this policy's subsequent provisions. Regarding expenditures, I interpret "material deviation from Ends priorities" to mean avoidance of waste, such that all expenditures are be viewed and can be correlated as investments towards the achievement of USA Swimming's Ends.

REPORT: As to expenditures deviating from Ends policies, anticipated expenditures were itemized in our approved FY 2018 budget and are subject to review by the Board, using its monitoring system to ensure adherence to our Budget Policy (3.6). All expenditures/ procurements during this reporting period have been authorized and determined to be consistent with the FY 2018 budget and Ends achievement. We therefore report COMPLIANCE.

Interpretations and reporting data on the fiscal jeopardy provisions are presented with those provisions, below.

POLICY PROVISION #1: *"The CEO will not manage finances without adherence to applicable Generally Accepted Accounting Principles (GAAP), as promulgated by the Financial Accounting Standards Board (FASB)."*

CEO's INTERPRETATION: I interpret this to be a clearly articulated standard, addressed to the best of our Chief Financial Officer's ability throughout the year, with compliance verified at the conclusion of each fiscal year in the report of the independent auditor.

REPORT: The organization's financial statements as of and for the year ended December 31, 2017 were audited and issued a clean opinion. The Chief Financial Officer continues to abide by GAAP and issued an unaudited financial report as of and for the quarter ended March 31, 2018. We report COMPLIANCE.

POLICY PROVISION #2: *"The CEO will not expend more funds than have been projected to be received in the fiscal year, except up to the amount of any Board-approved operating deficit for such fiscal year."*

CEO's INTERPRETATION: This policy requires that annual operating expenses be less than total projected revenues, with the exception being up to the amount of a deficit-spend that the Board may have approved for a given fiscal year.

REPORT: Year-to-date revenues were \$24,122,538 with corresponding expenses of \$8,453,995, for a year-to-date excess of \$15,668,543. Current forecast for fiscal year end is total revenue of \$37,416,300 and

expenses of \$37,914,400, and we thus anticipate an operating deficit of (\$498,100) that is equal to the budget approved by this body and the House of Delegates in September 2017. We report COMPLIANCE.

POLICY PROVISION #3: “The CEO will not allow cash and cash equivalents to drop below that amount necessary to meet operating expenditures over a 30-day period.”

CEO’s INTERPRETATION: This policy requires that we maintain liquid investments adequate to meet one month of operating expenses. I interpret these to include cash expenses only (not depreciation).

REPORT: Cash and cash equivalents were \$8,611,748 at March 31, 2018. Monthly operating expenses are approximately \$3,160,000 and thus liquidity was in excess of the threshold required by this policy. We report COMPLIANCE.

POLICY PROVISION #4: “The CEO will not borrow funds (with exception of credit cards used for normal business purposes and paid in full each month.)

CEO’s INTERPRETATION: CEO/Staff are not authorized to borrow funds or use corporate assets as security for any purchase contracts. Use of credit cards by staff is permitted, with each card paid in full on a monthly basis.

REPORT: Strategy Team members are not currently utilizing corporate credit cards, but approximately twelve other staff have corporate credit cards, with balances paid in full through the last statements. We have no other current debt. We report COMPLIANCE.

POLICY PROVISION #5: “The CEO will not use Board-designated Operating Reserve funds.”

CEO’s INTERPRETATION: Accessing the Operating Reserve fund is purely at the discretion of, and requires explicit authorization by, the Board of Directors.

REPORT: The CFO calculated the Operating Reserve requirement annually per the policy and has reported \$5,699,753 of excess reserves above the required Operating Reserve of \$18,957,200 (six months budgeted operating expenses) at December 31, 2017. The Operating Reserve has not been tapped in this fiscal year. We therefore report COMPLIANCE.

POLICY PROVISION #6: “The CEO will not operate without settling payroll obligations and payables in a timely manner.”

CEO’s INTERPRETATION: Payroll must meet its obligations every two weeks starting Friday, January 5, 2018. For other payables, I interpret “timely” to mean by the date stipulated in agreement with the vendor, or if not explicit, within thirty days of invoice (assuming provision of goods or services has been completed).

REPORT: Payroll has met the schedule as interpreted above. USA Swimming processes payables weekly. There were no invoices in dispute as of March 31, 2018 and all payables have been paid on time. We report COMPLIANCE

POLICY PROVISION #7: “The CEO will not allow tax or other government-ordered payments or filings to be overdue or inaccurately filed.”

CEO’s INTERPRETATION: All tax and governmentally required payments or filings (payroll, Form 990, 1099’s, etc.) must be made in a timely and accurate manner.

REPORT: All withholding taxes and other such payroll payments and filings have been made within deadline by our payroll provider, ADP. Forms 1099/1096 were filed by January 31, 2018. Form 990 is under a filing extension to November 15, 2018. There are no outstanding filings and there have been no late penalties. We report COMPLIANCE.

POLICY PROVISION #8: “The CEO will not execute a purchase commitment, check or electronic funds transfer for greater than \$250,000, unless such expenditure was explicitly itemized in budget monitoring data previously disclosed to the Board. Splitting orders to avoid this limit is not acceptable.

CEO's INTERPRETATION: Any expenditure in excess of \$250,000 that was not disclosed as part of our budget plan must be approved by the Board.

REPORT: No such expenditures in excess of \$250,000 have been incurred thus far in this fiscal year. We report COMPLIANCE.

POLICY PROVISION #9: *"The CEO will not acquire, encumber, lease or dispose of real property."*

CEO's INTERPRETATION: All decisions regarding the purchase, lease, sale or other claim of/on land, buildings, office or warehouse space are considered to be at the discretion of the Board.

REPORT: No decisions or changes with respect to real property were made during this reporting quarter. We report COMPLIANCE.

POLICY PROVISION #10: *"The CEO will not operate without aggressively pursuing material receivables after a reasonable grace period."*

CEO's INTERPRETATION: USA Swimming is not to be lackadaisical regarding collections. "Material" is interpreted to be receivables that, when collected, are of greater value than the cost of collection (including staff time), but generally anything over \$10,000.00. "Aggressively" is interpreted to mean that we will seek legal counsel after a "grace period" of 60 days and reasonable collection efforts have been unsuccessful.

REPORT: Primary receivables are membership dues, sponsorship payments, event fees, etc. At quarter end, there were two sponsorship receivables that were over 60 days past due. We anticipate successful resolutions of these receivables without legal intervention. We therefore report COMPLIANCE.

POLICY PROVISION #11: *"The CEO will not operate without adequate internal controls over receipts and disbursements to avoid unauthorized payments or material dissipation of assets."*

CEO's INTERPRETATION: Controls must be in place that ensure that all disbursements are appropriately authorized. Further, all payments (checks, credit card purchases, petty cash, etc.) and capitalized assets must have corresponding documentation sufficient to satisfy the auditor. I interpret fulfillment of this policy to be evidenced by written Policies and Procedures that the auditor considers when performing audit procedures. Complete implementation (or absence) of recommendations brought forth by the auditor in a Management Letter is further evidence of compliance.

REPORT: Controls in place are consistent with Board policy and the standards prescribed in the auditor's Management Letter from the 2017 fiscal audit as reported at this meeting. We therefore report COMPLIANCE.

#11A: *"The CEO will not operate without clearly delineated procedures and limitations for reimbursement of authorized expenses incurred by board members and committee members, and others who are entitled to reimbursement from USA-S."*

CEO's INTERPRETATION: Staff is to maintain, disseminate and ensure adherence to travel/expense reimbursement policies applicable to staff, Board members and other volunteers.

REPORT: All travel/expense reimbursement processes have been uniformly applied, with minimal exceptions (a missing cab receipt). We report COMPLIANCE.

#11B: *"CEO credit card statements and/or expense reimbursements must be reviewed and authorized for payment by the Vice Chair-Fiscal Oversight. CEO credit card statements must be reviewed and approved within 30 days of payment."*

CEO's INTERPRETATION: Documentation/receipts for CEO credit card statements and expense reports are to be provided electronically (Concur) to the Vice Chair – Fiscal Oversight for approval before payment.

REPORT: Vice Chair-Fiscal Oversight reviewed and approved all expense reimbursements submitted by the CEO during the first quarter 2018. As to credit card statements, the CEO does not currently utilize a corporate credit card. We report COMPLIANCE.

USA Swimming, Inc.
Balance Sheet
As of March 31, 2018 and 2017

	3/31/2018	3/31/2017	\$ Change	Audited 12/31/2017	\$ Change
ASSETS					
CURRENT ASSETS:					
Cash and cash equivalents	\$8,611,748	\$10,203,548	(\$1,591,800)	\$8,300,316	\$311,432
Accounts receivable	2,189,930	1,484,983	704,946	1,030,969	1,158,961
Prepaid expenses and deferred charges	206,091	112,148	93,944	1,584,398	(1,378,307)
Total Current Assets	<u>11,007,769</u>	<u>11,800,679</u>	<u>(792,910)</u>	<u>10,915,684</u>	<u>92,085</u>
FIXED ASSETS:					
Equipment, furnishings & software	10,540,917	9,720,629	820,288	10,328,153	212,764
Building 2A Renovation	1,709,581	1,709,581	0	1,709,581	0
Accumulated depreciation & amortization	(8,330,257)	(7,398,889)	(931,368)	(8,054,468)	(275,789)
Total Fixed Assets	<u>3,920,240</u>	<u>4,031,321</u>	<u>(111,081)</u>	<u>3,983,266</u>	<u>(63,026)</u>
LONG-TERM INVESTMENTS:					
Long-term Investments	36,443,002	34,342,575	2,100,427	36,995,751	(552,749)
OTHER ASSETS:					
Investment - 2016 Trials, LLC	154,170	370,542	(216,372)	154,170	0
Prepaid rent	2,292,314	2,449,443	(157,130)	2,334,832	(42,518)
Total Other Assets	<u>2,446,484</u>	<u>2,819,985</u>	<u>(373,502)</u>	<u>2,489,002</u>	<u>(42,518)</u>
TOTAL ASSETS	<u>\$53,817,495</u>	<u>\$52,994,560</u>	<u>\$822,935</u>	<u>\$54,383,702</u>	<u>(\$566,207)</u>
LIABILITIES AND NET ASSETS					
CURRENT LIABILITIES:					
Accounts payable	\$766,474	\$671,197	\$95,277	\$1,166,561	(\$400,087)
Accrued expenses and other liabilities	1,682,625	1,176,312	506,314	2,515,894	(833,269)
Deferred revenue	50,000	0	50,000	14,391,860	(14,341,860)
Total Current Liabilities	<u>2,499,099</u>	<u>1,847,508</u>	<u>651,591</u>	<u>18,074,316</u>	<u>(15,575,216)</u>
NONCURRENT LIABILITIES:					
Total Liabilities	<u>2,499,099</u>	<u>1,847,508</u>	<u>651,591</u>	<u>18,074,316</u>	<u>(15,575,216)</u>
NET ASSETS:					
Unrestricted:					
Undesignated Net Assets	31,592,199	31,420,856	171,343	16,583,191	15,009,009
Board Designated - USSIC	19,726,196	19,726,196	0	19,726,196	0
Total Unrestricted Net Assets	<u>51,318,395</u>	<u>51,147,052</u>	<u>171,343</u>	<u>36,309,387</u>	<u>15,009,009</u>
Total Net Assets	<u>51,318,395</u>	<u>51,147,052</u>	<u>171,343</u>	<u>36,309,387</u>	<u>15,009,009</u>
TOTAL LIABILITIES AND NET ASSETS	<u>\$53,817,495</u>	<u>\$52,994,560</u>	<u>\$822,935</u>	<u>\$54,383,702</u>	<u>(\$566,207)</u>

USA Swimming
Income Statement - By Division
For the Quarter Ended March 31, 2018

	Year To Date Actual	2018 Budget	Remaining Dollars	Remaining Percentage
REVENUE:				
Membership	\$20,740,085	\$23,395,000	(\$2,654,915)	(11.35%)
Corporate Revenue	1,438,416	5,493,500	(4,055,084)	(73.82%)
Consumer Revenue	18,267	729,500	(711,233)	(97.50%)
USOC Partnership	1,113,247	5,094,700	(3,981,454)	(78.15%)
Investment Income	349,572	1,010,500	(660,928)	(65.41%)
Foundation	145,000	815,000	(670,000)	(82.21%)
Sport and Events	183,908	611,500	(427,592)	(69.93%)
Other Income	134,043	266,600	(132,557)	(49.72%)
TOTAL REVENUE	24,122,538	37,416,300	(13,293,762)	(35.53%)
EXPENSES:				
Technical/Sport:				
Club Development	1,142,540	4,847,000	3,704,460	76.43%
Events and Member Services	1,514,829	7,672,900	6,158,071	80.26%
National Team	1,416,328	9,533,500	8,117,172	85.14%
Total Technical/Sport	4,073,697	22,053,400	17,979,703	81.53%
Other Programs:				
Commercial	1,226,570	6,882,700	5,656,130	82.18%
Risk Management	1,673,395	3,106,800	1,433,405	46.14%
Foundation and MAS Support	62,500	561,000	498,500	88.86%
Total Other Programs	2,962,465	10,550,500	7,588,035	71.92%
Administration:				
Executive	380,744	1,534,700	1,153,956	75.19%
Finance	225,163	914,000	688,837	75.37%
Business Affairs	811,926	2,861,800	2,049,874	71.63%
Total Administration	1,417,833	5,310,500	3,892,667	73.30%
TOTAL EXPENSES	8,453,995	37,914,400	29,460,405	77.70%
OPERATING INCOME (LOSS)	\$15,668,543	(\$498,100)	\$16,166,643	(3245.66%)
Reserves Spending:				
Disaster Donations	(20,606)	0	(20,606)	0.00%
Athlete Leadership Summit	(92,807)	(240,000)	147,193	(61.33%)
Total Reserves Spending	(113,413)	(240,000)	126,587	(52.74%)
Surplus (Deficit) Before Investment Gain (Loss)	15,555,130	(738,100)	16,293,230	(2207.45%)
Investment Gain (Loss)	(546,121)	573,000	(1,119,121)	(195.31%)
NET SURPLUS (DEFICIT)	\$15,009,009	(\$165,100)	\$15,174,109	(9190.84%)

USA Swimming
Income Statement - By Category
For the Quarter Ended March 31, 2018

	Year To Date Actual	2018 Budget	Remaining Dollars	Remaining Percentage
REVENUE:				
Membership	\$20,740,085	\$23,395,000	(\$2,654,915)	(11.35%)
USOC Partnership	1,113,247	5,094,700	(3,981,454)	(78.15%)
Corporate Revenue	1,438,416	5,493,500	(4,055,084)	(73.82%)
Consumer Revenue	18,267	729,500	(711,233)	(97.50%)
Sport and Events	183,908	611,500	(427,592)	(69.93%)
Foundation and Swim-A-Thon	145,000	815,000	(670,000)	(82.21%)
Investment Income	349,572	1,010,500	(660,928)	(65.41%)
Other Income	134,043	266,600	(132,557)	(49.72%)
Total Revenue	<u>24,122,538</u>	<u>37,416,300</u>	<u>(13,293,762)</u>	<u>(35.53%)</u>
EXPENSES:				
Salaries and Wages	2,032,281	8,504,598	6,472,317	76.10%
Employee Benefits	518,084	2,222,420	1,704,336	76.69%
Employment Taxes	159,565	539,282	379,717	70.41%
Total Payroll and Benefits	<u>2,709,930</u>	<u>11,266,300</u>	<u>8,556,370</u>	<u>75.95%</u>
Travel and Hospitality	996,288	5,512,313	4,516,025	81.93%
Direct Athlete Support	521,546	3,932,850	3,411,304	86.74%
Professional Fees & Honoraria	354,935	3,380,517	3,025,582	89.50%
Insurance	1,674,905	3,052,100	1,377,195	45.12%
Television and Video Production	259,816	2,183,751	1,923,935	88.10%
Depreciation and Amortization	275,789	1,081,983	806,194	74.51%
Grants	144,000	1,017,000	873,000	85.84%
Dues, Fees & Tickets	350,539	1,011,212	660,673	65.33%
Supplies and Expense	188,975	848,707	659,732	77.73%
Rent and Lease Expense	255,811	833,813	578,002	69.32%
Printing and Duplication	116,582	801,348	684,766	85.45%
Apparel	71,001	661,890	590,889	89.27%
Gear, Equipment, & Signage	134,516	622,396	487,880	78.39%
Awards	18,918	468,998	450,080	95.97%
Information Technology Expenses	189,301	358,496	169,195	47.20%
Advertising	15,555	294,500	278,945	94.72%
Telephone and Internet Service	30,427	269,079	238,652	88.69%
Protocol & Gifts	40,781	158,700	117,919	74.30%
Contingency	0	103,900	103,900	100.00%
Miscellaneous Expenses	104,382	54,548	(49,834)	(91.36%)
Total Expenses	<u>8,453,995</u>	<u>37,914,400</u>	<u>29,460,405</u>	<u>77.70%</u>
OPERATING INCOME (LOSS)	<u>\$15,668,543</u>	<u>(\$498,100)</u>	<u>\$16,166,643</u>	<u>(3245.66%)</u>
Reserves Spending:				
Disaster Donations	(20,606)	0	(20,606)	0.00%
Athlete Leadership Camp	(92,807)	(240,000)	147,193	(61.33%)
Total Reserve Spending	<u>(113,413)</u>	<u>(240,000)</u>	<u>126,587</u>	<u>(52.74%)</u>
Surplus (Deficit) Before Investment Gain (Loss)	15,555,130	(738,100)	16,293,230	(2207.45%)
Investment Gains (Losses)	<u>(546,121)</u>	<u>573,000</u>	<u>(1,119,121)</u>	<u>(195.31%)</u>
NET SURPLUS (DEFICIT)	<u>\$15,009,009</u>	<u>(\$165,100)</u>	<u>\$15,174,109</u>	<u>(9190.84%)</u>

USA Swimming, Inc.

Statement of Revenue

For the Quarter Ended March 31, 2018

	Year To Date Actual	2018 Budget	Remaining Dollars	Remaining Percentage
MEMBERSHIP:				
Athlete Membership	\$18,283,920	\$20,136,034	(\$1,852,114)	(9.20%)
Outreach Athlete Membership	47,885	44,450	3,435	7.73%
Seasonal Athlete Membership	101,610	674,190	(572,580)	(84.93%)
Non-Athlete Membership	2,061,726	2,287,172	(225,446)	(9.86%)
Life Membership	35,668	32,000	3,668	11.46%
Allied Membership	0	1,000	(1,000)	(100.00%)
Club Membership	207,060	210,700	(3,640)	(1.73%)
Seasonal Club Membership	1,160	5,080	(3,920)	(77.17%)
Affiliate Membership	550	800	(250)	(31.25%)
Single Meet Open Water	280	3,440	(3,160)	(91.86%)
Delegate Fees	0	100	(100)	(100.00%)
Other Membership Income	226	34	192	564.71%
TOTAL MEMBERSHIP	20,740,085	23,395,000	(2,654,915)	(11.35%)
CORPORATE REVENUE:				
Corporate Sponsorship	1,393,961	4,926,000	(3,532,039)	(71.70%)
Supplier Income	26,875	372,500	(345,625)	(92.79%)
Licensee Income	0	25,000	(25,000)	(100.00%)
Web Advertising	0	135,000	(135,000)	(100.00%)
Print Advertising	17,580	30,000	(12,420)	(41.40%)
List Rental Income/Mailing Service	0	5,000	(5,000)	(100.00%)
TOTAL CORPORATE REVENUE	1,438,416	5,493,500	(4,055,084)	(73.82%)
CONSUMER REVENUE:				
SwimBiz	7,660	10,000	(2,340)	(23.40%)
SwimJitsu	0	500,000	(500,000)	(100.00%)
Royalties	8,009	97,500	(89,491)	(91.79%)
Deck Pass App	2,191	0	2,191	0.00%
Publication/Video Sales	200	0	200	0.00%
SwimOutlet	0	120,000	(120,000)	(100.00%)
Splash Magazine Subscriptions	208	2,000	(1,792)	(89.60%)
TOTAL CONSUMER REVENUE	18,267	729,500	(711,233)	(97.50%)
USOC PARTNERSHIP:				
USOC Performance Funding	755,550	3,022,200	(2,266,650)	(75.00%)
USOC Performance VIK	29,627	60,000	(30,374)	(50.62%)
USOC Direct Athlete Support	323,750	1,997,500	(1,673,750)	(83.79%)
USOC International Relations Grant	4,320	15,000	(10,680)	(71.20%)
TOTAL USOC PARTNERSHIP	1,113,247	5,094,700	(3,981,454)	(78.15%)
INVESTMENT INCOME:				
Investment Income - Operating Budget	330,167	990,500	(660,333)	(66.67%)

USA Swimming, Inc.

Statement of Revenue

For the Quarter Ended March 31, 2018

	Year To Date Actual	2018 Budget	Remaining Dollars	Remaining Percentage
Interest Income - Savings	1	0	1	0.00%
Interest Income - Short Term Securities	19,404	20,000	(596)	(2.98%)
TOTAL INVESTMENT INCOME	349,572	1,010,500	(660,928)	(65.41%)
FOUNDATION AND SWIM-A-THON:				
USA Swimming Foundation	130,000	755,000	(625,000)	(82.78%)
Foundation Rent	15,000	60,000	(45,000)	(75.00%)
TOTAL FOUND. AND SWIM-A-THON	145,000	815,000	(670,000)	(82.21%)
SPORT AND EVENTS:				
Golden Goggle Awards	(41,249)	0	(41,249)	0.00%
Coach Education Clinics	60,137	210,000	(149,863)	(71.36%)
Altitude Camps	118,354	295,000	(176,646)	(59.88%)
Facilities Conference	3,895	8,000	(4,105)	(51.31%)
Custom Visits (BAP)	0	6,000	(6,000)	(100.00%)
Safe Sport Materials	2,300	0	2,300	0.00%
International TV Rights	0	70,000	(70,000)	(100.00%)
Other Registration	40,470	22,500	17,970	79.87%
TOTAL SPORTS AND EVENTS	183,908	611,500	(427,592)	(69.93%)
OTHER INCOME:				
NCAA Top Times List	54,250	93,000	(38,750)	(41.67%)
Combined Federal Campaign	276	10,000	(9,724)	(97.24%)
Other Revenue	79,517	163,600	(84,083)	(51.40%)
TOTAL OTHER INCOME	134,043	266,600	(132,557)	(49.72%)
TOTAL OPERATING REVENUE	\$24,122,538	\$37,416,300	(\$13,293,762)	(35.53%)
INVESTMENT GAINS (LOSSES):				
Investment Income (Loss) less Operating Allocation	(523,061)	672,800	(1,195,861)	(177.74%)
Money Manager Fees	(23,061)	(99,800)	76,739	(76.89%)
TOTAL INVESTMENT GAINS (LOSSES)	(546,121)	573,000	(1,119,121)	(195.31%)
TOTAL REVENUE	\$23,576,417	\$37,989,300	(\$14,412,883)	(37.94%)

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Quarter Ended March 31, 2018

	Year To Date Actual	2018 Budget	Remaining Dollars	Remaining Percentage
TECHNICAL/SPORT:				
CLUB DEVELOPMENT				
<i>Athlete Development Programs</i>				
1117 LSC Camps	\$1,980	\$10,200	\$8,220	80.59%
1118 Zone Select Camps	10,481	100,300	89,819	89.55%
1119 National Select Camps	3,947	105,400	101,453	96.26%
1120 Camp (VIK)	14,043	25,000	10,957	43.83%
1135 Tech Services Support	1,027	2,900	1,873	64.57%
1163 Open Water Select Camp	916	55,500	54,584	98.35%
<i>Program Group Total</i>	<u>32,395</u>	<u>299,300</u>	<u>266,905</u>	<u>89.18%</u>
<i>Coach Education and Development</i>				
1213 Coach Education Development	9,297	62,800	53,503	85.20%
1231 USA-S Hosted Coaches Clinics	17,578	146,700	129,122	88.02%
1233 Disability Swimming Coaches Workshop	444	9,200	8,756	95.18%
1237 Non-USAS Clinic Participation	8,748	36,800	28,052	76.23%
1240 Online Coach Clinics/Podcasts	748	21,600	20,852	96.54%
1242 Coach Mentoring	17,258	124,600	107,342	86.15%
1245 Master Coach Program	16,051	164,500	148,449	90.24%
1290 Travel & Program Support	31,325	117,900	86,575	73.43%
<i>Program Group Total</i>	<u>101,448</u>	<u>684,100</u>	<u>582,652</u>	<u>85.17%</u>
<i>Club Education and Development</i>				
1302 Club Excellence Program	34,399	464,300	429,901	92.59%
1305 Club Recognition Program	0	7,500	7,500	100.00%
1311 Club Governance Programs	10,057	35,700	25,643	71.83%
1314 Club Resources	5,508	13,600	8,092	59.50%
1332 Club Research Technology	27,525	107,200	79,675	74.32%
1390 Travel & Program Support	63,076	157,900	94,824	60.05%
<i>Program Group Total</i>	<u>140,565</u>	<u>786,200</u>	<u>645,635</u>	<u>82.12%</u>
<i>LSC Development & Education</i>				
1470 LSC Consulting	17,855	58,000	40,145	69.21%
1475 LEAP Program	10,776	59,000	48,225	81.74%
1481 Leadership Workshops	15	36,300	36,285	99.96%
<i>Program Group Total</i>	<u>28,646</u>	<u>153,300</u>	<u>124,654</u>	<u>81.31%</u>
<i>Facilities Advocacy & Development</i>				
1505 Build a Pool Conference	12,753	62,100	49,347	79.46%
1507 Aquatic Industry Relations	12,839	22,000	9,161	41.64%
1590 Travel & Program Support	362	11,600	11,238	96.88%

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Quarter Ended March 31, 2018

	Year To Date Actual	2018 Budget	Remaining Dollars	Remaining Percentage
<i>Program Group Total</i>	25,954	95,700	69,746	72.88%
Membership Growth and Diversity				
1638 Diversity Management Support	17,457	90,900	73,443	80.80%
1640 Community Swim Team Development	21,711	52,200	30,489	58.41%
1645 Zone Diversity Camps & Meetings	4,609	28,800	24,191	84.00%
1651 Diversity VIK	6,324	15,000	8,676	57.84%
1665 Diversity Select Camp	29,426	68,500	39,074	57.04%
<i>Program Group Total</i>	<u>79,528</u>	<u>255,400</u>	<u>175,872</u>	<u>68.86%</u>
Committees				
1823 Convention Education Committee	10,604	14,700	4,096	27.86%
1830 LSC Development Committee	8,774	34,000	25,226	74.20%
1841 Disability Swimming Committee	1,515	7,400	5,885	79.52%
1842 Diversity Committee	2,369	15,700	13,331	84.91%
1851 Age Group Development Committee	5,711	10,800	5,089	47.12%
1856 Club Development Committee	8	400	392	97.97%
1860 Governance Committee	68	800	733	91.56%
1885 Senior Development Committee	3,256	700	(2,556)	(365.18%)
<i>Program Group Total</i>	<u>32,305</u>	<u>84,500</u>	<u>52,195</u>	<u>61.77%</u>
Administration & Operational Support				
1990 Administration & Operational Support	71,872	304,200	232,328	76.37%
1999 Salary and Benefits	629,829	2,184,300	1,554,471	71.17%
<i>Program Group Total</i>	<u>701,700</u>	<u>2,488,500</u>	<u>1,786,800</u>	<u>71.80%</u>
TOTAL CLUB DEVELOPMENT	<u>1,142,540</u>	<u>4,847,000</u>	<u>3,704,460</u>	<u>76.43%</u>

EVENTS AND MEMBER SERVICES

Events				
2005 Olympic Trials	1,138	10,000	8,862	88.62%
2015 Pan Pacific Championships	0	5,000	5,000	100.00%
2018 Winter National Championships	3,418	126,000	122,582	97.29%
2019 National Championships/Trials	3,348	317,400	314,052	98.95%
2025 Arena Pro Swim Series	213,754	329,200	115,446	35.07%
2026 National Team vs NCAA	0	178,900	178,900	100.00%
2027 Speedo Sectionals	115,000	215,000	100,000	46.51%
2028 IM Xtreme Games	2,000	24,000	22,000	91.67%
2029 Zone Championships	15,000	110,000	95,000	86.36%
2035 Futures Championships	10,580	135,800	125,220	92.21%
2040 Jr. Pan Pacific Championships	25,000	12,800	(12,200)	(95.31%)
2045 Jr. National Championships (Summer LC)	1,266	140,100	138,834	99.10%
2050 Jr. NTL. Champ. (Winter SC) & Long Course Inv.	1,484	132,600	131,116	98.88%
2069 Open Water Championships	17,134	99,600	82,466	82.80%

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Quarter Ended March 31, 2018

	Year To Date Actual	2018 Budget	Remaining Dollars	Remaining Percentage
2077 National Events Uniforming VIK	31,750	40,000	8,250	20.63%
2076 Bag Tags VIK	0	10,000	10,000	100.00%
2716 Omega Timing Systems VIK	0	320,000	320,000	100.00%
2092 Club Marketing & Event Mgmt. Symposium	0	10,000	10,000	100.00%
Program Group Total	440,872	2,216,400	1,775,528	80.11%
Safe Sport				
2335 Safe Sport - Background Checks	7,975	41,200	33,225	80.64%
2370 LSC Safe Sport Chairs Workshop	344	0	(344)	0.00%
2375 Safe Sport Online Education	1,360	0	(1,360)	0.00%
2380 Safe Sport Athlete Fellowship	7,405	0	(7,405)	0.00%
2385 Safe Sport Programs	40,358	270,600	230,242	85.09%
2387 Safe Sport - USOC Center for Safe Sport	42,900	60,000	17,100	28.50%
2388 Safe Sport - Leadership Conference	0	2,500	2,500	100.00%
2389 Safe Sport - SwimAssist	2,575	50,000	47,425	94.85%
Program Group Total	102,917	424,300	321,383	75.74%
Member Programs				
2411 Member Dues and Services	6,116	26,500	20,384	76.92%
2412 Technology Projects	0	35,000	35,000	100.00%
2418 SWIMS 2.0	13,930	150,000	136,070	90.71%
2421 Membership Directory	0	10,100	10,100	100.00%
2423 Rulebook	107,901	146,600	38,700	26.40%
2431 Swimposium	4,249	137,800	133,551	96.92%
2432 Zone Workshops	13,896	153,100	139,204	90.92%
2434 On-Line Registration	9,444	100,000	90,556	90.56%
2498 Awards	111	13,200	13,089	99.16%
Program Group Total	155,646	772,300	616,654	79.85%
Member Programs - Officials				
2433 Officials Training Sessions	1,436	123,800	122,364	98.84%
2437 Officials On-Line Testing	0	5,100	5,100	100.00%
2438 Officials Certification Program	0	34,400	34,400	100.00%
2440 Officials Clinic	130	74,900	74,770	99.83%
2441 Officials International Travel	570	13,300	12,730	95.71%
2450 Officials Mentoring & Training	365	6,000	5,635	93.91%
Program Group Total	2,501	257,500	254,999	99.03%
Other Programs and Services				
2501 Publications and Video Sales	16,730	40,000	23,270	58.17%
2502 Mailing Service	0	500	500	100.00%
2518 Altitude Camps	135,414	305,000	169,586	55.60%
2519 Times Projects	17,325	60,100	42,775	71.17%

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Quarter Ended March 31, 2018

	Year To Date Actual	2018 Budget	Remaining Dollars	Remaining Percentage
2709 National Event Marketing	18,674	0	(18,674)	0.00%
2715 TV/Web Cast Production	150,000	1,388,800	1,238,800	89.20%
<i>Program Group Total</i>	<i>338,143</i>	<i>1,794,400</i>	<i>1,456,257</i>	<i>81.16%</i>
Committees & Governance				
2801 Convention	617	105,000	104,383	99.41%
2802 Convention - Athletes	2,841	122,500	119,659	97.68%
2810 Safe Sport Committee	9,009	25,500	16,491	64.67%
2825 Registration / Membership	15,273	16,800	1,527	9.09%
2832 Awards	0	300	300	100.00%
2835 Credentials / Elections	0	2,400	2,400	100.00%
2836 Rules and Regulations	0	37,800	37,800	100.00%
2857 Times & Recognition Committee	155	20,900	20,745	99.26%
2862 Championship Evaluation	0	5,500	5,500	100.00%
2866 Officials	14,952	18,800	3,848	20.47%
2887 Athletes Executive Committee	5,094	18,200	13,106	72.01%
<i>Program Group Total</i>	<i>47,942</i>	<i>373,700</i>	<i>325,759</i>	<i>87.17%</i>
Administration & Operational Support				
2990 Administration & Operational Support	57,204	179,100	121,896	68.06%
2999 Salary and Benefits	388,279	1,655,200	1,266,921	76.54%
<i>Program Group Total</i>	<i>445,483</i>	<i>1,834,300</i>	<i>1,388,817</i>	<i>75.71%</i>
TOTAL EVENTS AND MEMBER SERVICES	1,533,503	7,672,900	6,139,397	80.01%
NATIONAL TEAM				
Competitions				
3001 Olympic Games	0	2,800	2,800	100.00%
3007 Pan Pacific Championships	0	367,600	367,600	100.00%
3013 Pan American Games	0	2,500	2,500	100.00%
3020 NT vs. NCAA	0	82,500	82,500	100.00%
3033 Short Course World Championships	0	307,500	307,500	100.00%
<i>Program Group Total</i>	<i>0</i>	<i>762,900</i>	<i>762,900</i>	<i>100.00%</i>
Junior Team Programs				
3009 Jr. Team International Competition	4,371	164,900	160,529	97.35%
3012 Jr. Pan Pacific Championships	0	290,800	290,800	100.00%
3045 Junior Team Camps	40,477	64,300	23,823	37.05%
3051 Jr. Team Pro Swim Series	2,200	40,000	37,800	94.50%
3992 Ntl. Jr. Team Program Support	10,924	50,400	39,476	78.33%
<i>Program Group Total</i>	<i>57,972</i>	<i>610,400</i>	<i>552,428</i>	<i>90.50%</i>
Open Water Programs				

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Quarter Ended March 31, 2018

	Year To Date Actual	2018 Budget	Remaining Dollars	Remaining Percentage
3040 FINA Open Water Jr. Championships	0	51,800	51,800	100.00%
3065 Open Water World Cup	13,106	97,100	83,994	86.50%
3067 Open Water Camps	39	46,200	46,161	99.92%
3075 Open Water International Camps	0	22,000	22,000	100.00%
3495 Open Water Program Support	5,126	36,500	31,374	85.95%
Program Group Total	18,271	253,600	235,329	92.80%
Camps				
3069 National Team Specialty Camps	4,252	46,400	42,148	90.84%
3071 Altitude Training Camps	3,374	55,500	52,126	93.92%
3073 National Team Camps	39,230	137,700	98,470	71.51%
3076 National Team International Camps	39,290	221,900	182,610	82.29%
3479 Advance Team Visits	4,952	22,600	17,648	78.09%
Program Group Total	91,099	484,100	393,001	81.18%
Athlete Services				
3101 Athlete Support-Stipends & Grants	323,750	1,452,300	1,128,550	77.71%
3103 Athlete Support-Medals & Records	0	450,000	450,000	100.00%
3107 Athlete Support-Op Gold Qualification Bonus	1,017	430,000	428,983	99.76%
3024 Swim Squads	3,365	0	(3,365)	0.00%
3025 Arena Pro Swim Athlete Support	157,698	641,600	483,902	75.42%
3021 World Cup Athlete Support	278	30,000	29,722	99.07%
3127 National Team Investment Grant	68,677	600,000	531,324	88.55%
3106 ConocoPhillips Athlete Support	3,731	108,000	104,269	96.55%
3110 National Team Uniforming (VIK)	7,131	325,000	317,869	97.81%
3120 Athlete Support-Olympic Prep	0	30,000	30,000	100.00%
3130 Foundation Endowment Programs	10,223	75,000	64,777	86.37%
3200 Athlete Life Skills	150	40,000	39,850	99.63%
3310 USOC Service Provider Travel	2,153	0	(2,153)	0.00%
3155 Elite Athlete Accident Coverage	32,825	48,000	15,175	31.61%
Program Group Total	610,999	4,229,900	3,618,901	85.56%
Coach Services				
3203 Coach Incentive & Reward Program	0	330,000	330,000	100.00%
3210 Olympic Team Prep - Coaches	0	35,000	35,000	100.00%
3222 National Team Consultant	4,000	37,000	33,000	89.19%
3460 Olympic Staff Recognition	0	27,000	27,000	100.00%
3010 Coach Education	4,945	34,100	29,155	85.50%
3077 National Team Coaches Meeting	26,431	128,900	102,469	79.50%
3079 Team Logistics Seminar	0	4,700	4,700	100.00%
Program Group Total	35,376	596,700	561,324	94.07%
Performance Support				
3301 National Team Performance Support	55,777	162,600	106,823	65.70%

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Quarter Ended March 31, 2018

	Year To Date Actual	2018 Budget	Remaining Dollars	Remaining Percentage
3351 Athlete Testing & Lab Expenses	3,245	22,100	18,855	85.32%
<i>Program Group Total</i>	<i>59,022</i>	<i>184,700</i>	<i>125,678</i>	<i>68.04%</i>
High Performance Network				
3311 Sport Science Grants	0	30,000	30,000	100.00%
3353 Sport Medicine & Science Network	16,731	91,000	74,269	81.61%
3453 Drug Control Program	565	51,400	50,835	98.90%
<i>Program Group Total</i>	<i>17,297</i>	<i>172,400</i>	<i>155,104</i>	<i>89.97%</i>
Other Programs and Services				
3481 National Team Equipment	1,223	28,500	27,277	95.71%
3496 National Team Selection	0	7,600	7,600	100.00%
<i>Program Group Total</i>	<i>1,223</i>	<i>36,100</i>	<i>34,877</i>	<i>96.61%</i>
Committees				
3846 Sports Medicine	0	5,300	5,300	100.00%
3850 Open Water Development	33	800	767	95.92%
3868 Open Water Committee	521	21,600	21,079	97.59%
3882 National Steering Committee	24	13,300	13,276	99.82%
3888 National Team Ath Committee	3,571	9,800	6,229	63.56%
<i>Program Group Total</i>	<i>4,149</i>	<i>50,800</i>	<i>46,651</i>	<i>91.83%</i>
Administration & Operational Support				
3990 Administration & Operational Support	139,129	218,500	79,371	36.33%
3991 NT Division Travel	14	47,400	47,386	99.97%
3999 Salary and Benefits	381,778	1,886,000	1,504,222	79.76%
<i>Program Group Total</i>	<i>520,920</i>	<i>2,151,900</i>	<i>1,630,979</i>	<i>75.79%</i>
TOTAL NATIONAL TEAM	1,416,328	9,533,500	8,117,172	85.14%
TOTAL TECHNICAL/SPORT	4,092,371	22,053,400	17,961,029	81.44%
OTHER PROGRAMS:				
COMMERCIAL				
Corporate Partnerships				
5901 Marketing & Contract Fulfillment	42,801	220,100	177,299	80.55%
5905 Sales Development Support	26,684	60,000	33,316	55.53%
<i>Program Group Total</i>	<i>69,485</i>	<i>280,100</i>	<i>210,615</i>	<i>75.19%</i>
Communications				

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Quarter Ended March 31, 2018

	Year To Date Actual	2018 Budget	Remaining Dollars	Remaining Percentage
5711 Splash Magazine	74,725	1,129,400	1,054,675	93.38%
5714 PR-USA Swimming Programs	5,421	75,000	69,579	92.77%
5718 usaswimming.org - Web site	122,900	535,000	412,100	77.03%
5724 Communication Operations	43,486	233,400	189,914	81.37%
5730 USA Swimming Productions	191,497	897,500	706,003	78.66%
<i>Program Group Total</i>	<i>438,030</i>	<i>2,870,300</i>	<i>2,432,270</i>	<i>84.74%</i>
Marketing				
5109 Athlete Partnership Fulfillment	7,636	50,000	42,364	84.73%
5620 Family Program	198	30,000	29,802	99.34%
5710 Membership/Recruiting Promotion (SwimToday)	73,938	480,000	406,062	84.60%
5713 Deck Pass	4,496	185,000	180,504	97.57%
5715 SwimBiz	4,996	107,000	102,004	95.33%
5716 Swimjitsu	875	372,500	371,625	99.76%
5720 Video Production Services	554	25,000	24,446	97.78%
5913 Multicultural Promotions	17,056	120,000	102,944	85.79%
5902 Merchandise Program	1,930	25,000	23,070	92.28%
5904 Marketing Contract Labor	19,724	25,000	5,276	21.10%
<i>Program Group Total</i>	<i>131,403</i>	<i>1,419,500</i>	<i>1,288,097</i>	<i>90.74%</i>
Administration & Operational Support				
5990 Administration & Operational Support	71,479	264,200	192,721	72.95%
5999 Salary and Benefits	497,500	2,048,600	1,551,100	75.72%
<i>Program Group Total</i>	<i>568,978</i>	<i>2,312,800</i>	<i>1,743,822</i>	<i>75.40%</i>
TOTAL COMMERCIAL	1,207,897	6,882,700	5,674,804	82.45%
RISK MANAGEMENT SERVICES				
Member Programs				
9413 Member Insurance Programs	1,642,660	3,003,100	1,360,440	45.30%
9415 Other Risk Management	10,334	16,700	6,366	38.12%
<i>Program Group Total</i>	<i>1,652,994</i>	<i>3,019,800</i>	<i>1,366,806</i>	<i>45.26%</i>
Committees				
9827 Operational Risk Committee	14,508	55,000	40,492	73.62%
<i>Program Group Total</i>	<i>14,508</i>	<i>55,000</i>	<i>40,492</i>	<i>73.62%</i>
Administration & Operational Support				
9490 Administration & Operational Support	5,893	32,000	26,107	81.58%
<i>Program Group Total</i>	<i>5,893</i>	<i>32,000</i>	<i>26,107</i>	<i>81.58%</i>
TOTAL RISK MANAGEMENT SERVICES	1,673,395	3,106,800	1,433,405	46.14%

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Quarter Ended March 31, 2018

	Year To Date Actual	2018 Budget	Remaining Dollars	Remaining Percentage
FOUND. & MAKE A SPLASH SUPPORT				
6666 Foundation Support	62,500	250,000	187,500	75.00%
6667 USA Swimming Staff Allocation	0	311,000	311,000	100.00%
TOTAL FOUNDATION & MAS SUPPORT	62,500	561,000	498,500	88.86%
TOTAL OTHER PROGRAMS	2,943,792	10,550,500	7,606,709	72.10%
ADMINISTRATION:				
EXECUTIVE				
<i>Other Executive</i>				
7920 CEO Contingency	17,402	70,000	52,598	75.14%
7930 Board Chair Travel and Expenses	7,521	35,000	27,479	78.51%
7945 CSCAA Grant	30,000	125,000	95,000	76.00%
7971 Organizational Relations - Domestic	15,350	80,000	64,650	80.81%
7984 Organizational Relations - Internat'l	1,771	65,000	63,229	97.28%
7981 International Relations	29,271	70,500	41,229	58.48%
<i>Program Group Total</i>	<i>101,315</i>	<i>445,500</i>	<i>344,185</i>	<i>77.26%</i>
<i>Committees & Governance</i>				
7803 Board of Directors	37,658	178,600	140,942	78.91%
7805 Executive Committee	461	13,000	12,539	96.46%
7807 Zone Administration	17	0	(17)	0.00%
7808 Task Force & Other Committees	31,143	43,700	12,557	28.73%
7811 International Relations Committee	10,713	42,400	31,687	74.73%
7820 Nominating Committee	91	0	(91)	0.00%
<i>Program Group Total</i>	<i>80,082</i>	<i>277,700</i>	<i>197,618</i>	<i>71.16%</i>
<i>Administration & Operational Support</i>				
7990 Administration & Operational Support	23,467	56,900	33,433	58.76%
7999 Salary and Benefits	175,880	754,600	578,720	76.69%
<i>Program Group Total</i>	<i>199,347</i>	<i>811,500</i>	<i>612,153</i>	<i>75.43%</i>
TOTAL EXECUTIVE	380,744	1,534,700	1,153,956	75.19%
FINANCE				
<i>Other Programs</i>				
8500 LSC/Club Financial Resources	0	33,900	33,900	100.00%
<i>Program Group Total</i>	<i>0</i>	<i>33,900</i>	<i>33,900</i>	<i>100.00%</i>

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Quarter Ended March 31, 2018

	Year To Date Actual	2018 Budget	Remaining Dollars	Remaining Percentage
Committees				
8895 Investment Committee	23	300	277	92.43%
8880 Audit Committee	0	300	300	100.00%
<i>Program Group Total</i>	<u>23</u>	<u>600</u>	<u>577</u>	<u>96.22%</u>
Administration & Operational Support				
8990 Administration & Operational Support	31,895	144,700	112,805	77.96%
8999 Salary and Benefits	193,245	734,800	541,555	73.70%
<i>Program Group Total</i>	<u>225,140</u>	<u>879,500</u>	<u>654,360</u>	<u>74.40%</u>
TOTAL FINANCE	<u>225,163</u>	<u>914,000</u>	<u>688,837</u>	<u>75.37%</u>
BUSINESS AFFAIRS				
Legal and NBR				
9695 Legal	83,850	250,000	166,150	66.46%
9692 National Board of Review	31,714	129,000	97,286	75.42%
9690 Legal - Admin. & Oper. Support	1,295	26,700	25,405	95.15%
<i>Program Group Total</i>	<u>116,858</u>	<u>405,700</u>	<u>288,842</u>	<u>71.20%</u>
Administrative & Operational Support				
9380 Human Resources	20,722	47,200	26,478	56.10%
9295 Information Technology Support	192,571	510,100	317,529	62.25%
9990 Admin. & Oper. Support	38,632	213,000	174,368	81.86%
9999 Salary and Benefits	443,142	1,685,800	1,242,658	73.71%
<i>Program Group Total</i>	<u>695,068</u>	<u>2,456,100</u>	<u>1,761,032</u>	<u>71.70%</u>
TOTAL BUSINESS AFFAIRS	<u>811,926</u>	<u>2,861,800</u>	<u>2,049,874</u>	<u>71.63%</u>
TOTAL ADMINISTRATION	<u>1,417,833</u>	<u>5,310,500</u>	<u>3,892,667</u>	<u>73.30%</u>
GRAND TOTALS	<u>\$8,453,995</u>	<u>\$37,914,400</u>	<u>\$29,460,405</u>	<u>77.70%</u>

USA Swimming 2017 Financial Report

2017 HIGHLIGHTS

- Beat 2017 budget by \$405,387 with operating deficit of (\$747,813).
- Overall expense savings of 6.63% offset membership and sponsor revenue shortfalls.
- Investment returns of +14.78% provided \$990,500 to the operating budget and added over \$3.8 million to reserves.

Accompanying this written summary are the final USA Swimming financial statements for 2017. The following are key items and variances as highlighted in the statements:

2020 Quad Update (page 1) – The 2020 Business Plan has been updated with the 2017 results. An operating surplus for the quad of \$405,387 is now projected.

Balance Sheet (page 2) – Our cash position decreased by (\$1,707,357) to \$8,316,782 primarily due to the operating deficit and \$1 million donation to our Foundation from the 2016 quad surplus. Long-term investments increased by \$3,799,997 to end the year at \$37,062,874. Total net assets increased by \$2,068,649 to \$36,309,387.

Income Statements (pages 3 - 4) – Operating deficit of (\$747,813) beat the budget by \$405,387. Total operating revenue of \$35,614,853 fell short of the budget by (\$2,178,147). Total operating expenses of \$36,362,665 were lower than the budget by \$2,583,535 or 6.63%. Business Development & Promotion and National Team divisions produced the largest budget savings.

Total investment returns of +14.78% (budget +4.44%) were split between \$990,500 (plus \$11,143 bank interest) in the operating budget and \$3,816,462 “below the line”. The investment gains were added and Foundation donation deducted from the operating deficit to arrive at a net surplus of \$2,068,649 for 2017.

Statement of Revenue (pages 5 - 6) – Total operating revenue of \$35,614,853 was (\$2,178,147) short of the budget. Membership dues of \$22,483,811 missed the budget by (\$771,189) or (3.32%). A post-Olympic year bounce of +9% had been projected. USOC funding of \$5,134,700 was \$165,000 greater than the budget. Marketing Partner revenue of \$4,775,148 fell short of the budget by (\$1,244,352) due to non-renewals of two major sponsors.

Club Development (pages 7 - 8)

Total expenses of \$4,455,110 represented a budget savings of \$263,690. The largest savings came from salaries and benefits as a few positions were not filled for portions of the year.

- +153,401 #1999 Salaries and Benefits

Business Operations & Events (pages 8 - 10)

Total expenses of \$9,003,408 were over budget by (\$299,408). The FINA Jr. World Championships exceeded its budget due to extra requirements imposed by FINA. TV/Webcast Production incurred cost overruns in Arena Pro Swim Series and National Team vs. Pac 12 meets.

- (\$251,858) FINA Jr. World Championships
- (\$177,685) TV/Webcast Production

National Team (pages 10 - 12)

Total expenses of \$8,018,204 represented a budget savings of \$921,096. The Jr. Team had smaller teams than budgeted resulting in travel savings. Fewer athletes qualified for monthly stipends than budgeted. Many athletes could not accept Arena Pro Series winnings because of amateur status requirements. Salaries and Benefits reflected savings from restructuring and a retirement in 2017.

- +\$164,516 Jr. Team Programs (program group)
- +\$282,463 Athlete Support - Stipends & Grants
- +\$178,211 Arena Pro Swim Athlete Support
- +\$334,602 Salaries and Benefits

Business Development & Promotions (pages 12 - 13)

Total expenses of \$5,172,794 represented a budget savings of \$1,314,906. Expenses were tightly managed in response to non-renewals by two major sponsors.

- +\$809,480 Communications (program group)
- +\$386,439 Marketing (program group)
- +\$167,331 Salaries and Benefits

Foundation & Make a Splash Support (page 13)

Total expenses were \$525,371. \$250,000 of cash support was paid as budgeted. Allocation of USA Swimming staff costs of \$231,061 was less than the \$300,000 budgeted. Forfeited FINA prize money of \$44,310 was transferred to the National Team Travel & Training Endowment, but not budgeted.

- +\$24,629 Foundation Support & Travel and Training Endowment

Executive (pages 13 - 14)

Total expenses of \$4,819,186 were over budget by (\$96,986). The CEO contingency budget absorbed the costs of an executive search firm after the passing of Chuck Wielgus. SwimAssist expenses were far less than the \$158,000 budget. National Board of Review budget benefited from greatly reduced legal expenses. Salaries and Benefits included duplicate costs for the CEO position for half of the year. Additional severance costs from Chuck's contract were covered by a budget amendment.

- (\$111,358) CEO Contingency
- +\$134,953 Safe Sport – SwimAssist
- +\$103,383 National Board of Review
- (\$462,160) Salaries and Benefits

Financial Affairs (pages 14 - 15)

Total expenses of \$1,364,162 were over budget by (\$36,162).

Risk Management (page 15)

Total expenses of \$3,004,431 represented a budget savings of \$491,769. Insurance premiums from the K&K program were held down by low claim activity.

- +\$477,635 Insurance Premiums

Capital Budget (page 16) – The capital spending of \$103,081 was less than budgeted by \$64,419. These variances will vary from year to year depending on the optimum timing of replacing IT hardware systems.

USA Swimming
2020 Quad Business Plan Summary

	Actual 2017	Budget 2018	Proposed Budget 2019	Proposed Budget 2020	TOTAL 2020 Quad Budget
REVENUE:					
Membership	\$22,483,811	\$23,395,000	\$24,184,800	\$24,980,400	\$95,044,011
Marketing Partner Revenue	4,775,148	6,066,000	5,601,000	6,061,000	22,503,148
USOC Partnership	5,134,700	5,094,700	5,044,700	5,119,700	20,393,800
Events and Registration	978,254	611,500	611,500	5,871,500	8,072,754
Publications and Fulfillment	117,052	157,000	157,000	157,000	588,052
Foundation and Swim-A-Thon	792,500	815,000	820,000	825,000	3,252,500
Investment Income	1,176,025	1,174,100	1,164,200	1,152,000	4,666,325
Other Income	157,363	103,000	103,000	103,000	466,363
Total Revenue	35,614,853	37,416,300	37,686,200	44,269,600	154,986,953
EXPENSES:					
Club Development Division	4,455,110	4,847,000	4,906,100	4,996,800	19,205,010
Business Operations/ Events Division	9,003,408	8,416,200	8,161,900	8,217,000	33,798,508
National Team Division	8,018,204	9,550,900	10,217,600	11,206,600	38,993,304
Business Development & Promotion Division	5,172,794	6,799,200	7,013,600	8,154,500	27,140,094
Foundation & Make a Splash Support	525,371	561,000	523,000	535,000	2,144,371
Executive Division	4,819,186	3,226,800	3,331,700	3,599,600	14,977,286
Financial Affairs Division	1,364,162	1,406,500	1,438,400	1,444,600	5,653,662
Risk Management	3,004,431	3,106,800	3,225,200	3,332,900	12,669,331
Total Expenses	36,362,666	37,914,400	38,817,500	41,487,000	154,581,566
OPERATING SURPLUS (DEFICIT)	(747,813)	(498,100)	(1,131,300)	2,782,600	405,387
Reserves Spending:					
Athlete Leadership Camp		(240,000)			(240,000)
Foundation Endowment Donation	(1,000,000)				(1,000,000)
Total Reserve Spending	(1,000,000)	(240,000)	0	0	(1,240,000)
Surplus (Deficit) Before Investment Gains (Losses)	(1,747,813)	(738,100)	(1,131,300)	2,782,600	(834,613)
Investment Gains (Losses)	3,816,462	573,000	573,000	573,000	5,535,462
NET SURPLUS (DEFICIT)	\$2,068,649	(\$165,100)	(\$558,300)	\$3,355,600	\$4,700,849

USA Swimming, Inc.
Balance Sheet
As of December 31, 2017 and 2016

	<u>12/31/2017</u>	<u>12/31/2016</u>	<u>\$</u> <u>Change</u>
ASSETS			
CURRENT ASSETS:			
Cash and cash equivalents	\$8,316,782	\$10,024,139	(\$1,707,357)
Accounts receivable	915,944	1,274,874	(358,931)
Prepaid expenses and deferred charges	1,584,398	1,466,276	118,122
Total Current Assets	<u>10,817,124</u>	<u>12,765,289</u>	<u>(1,948,166)</u>
FIXED ASSETS:			
Equipment, furnishings & software	10,328,153	9,399,910	928,243
Building 2A Renovation	1,709,581	1,709,581	0
Accumulated depreciation & amortization	(8,054,468)	(7,240,257)	(814,211)
Total Fixed Assets	<u>3,983,266</u>	<u>3,869,235</u>	<u>114,031</u>
LONG-TERM INVESTMENTS:			
Long-term Investments	37,062,874	33,262,878	3,799,997
OTHER ASSETS:			
Investment - 2016 Trials, LLC	154,170	370,542	(216,372)
Prepaid rent	2,334,832	2,487,647	(152,815)
Total Other Assets	<u>2,489,002</u>	<u>2,858,189</u>	<u>(369,187)</u>
TOTAL ASSETS	<u>\$54,352,266</u>	<u>\$52,755,591</u>	<u>\$1,596,675</u>
LIABILITIES AND NET ASSETS			
CURRENT LIABILITIES:			
Accounts payable	\$1,166,561	\$1,330,000	(\$163,439)
Accrued expenses and other liabilities	2,484,458	2,946,074	(461,617)
Deferred revenue	14,391,860	14,238,779	153,081
Total Current Liabilities	<u>18,042,879</u>	<u>18,514,854</u>	<u>(471,975)</u>
NONCURRENT LIABILITIES:			
Total Liabilities	<u>18,042,879</u>	<u>18,514,854</u>	<u>(471,975)</u>
NET ASSETS:			
Unrestricted:			
Undesignated Net Assets	16,583,191	14,514,542	2,068,649
Board Designated - USSIC	19,726,196	19,726,196	0
Total Unrestricted Net Assets	<u>36,309,387</u>	<u>34,240,738</u>	<u>2,068,649</u>
Total Net Assets	<u>36,309,387</u>	<u>34,240,738</u>	<u>2,068,649</u>
TOTAL LIABILITIES AND NET ASSETS	<u>\$54,352,266</u>	<u>\$52,755,591</u>	<u>\$1,596,675</u>

USASwimming
Income Statement - By Division
For the Periods Ended December 31, 2017

	Quarter Actual	2017 Actual	2017 Budget	Favorable (Unfavorable)	Percentage
REVENUE:					
Membership	\$3,986	\$22,483,811	\$23,255,000	(\$771,189)	-3.32%
USOC Partnership	1,129,727	5,134,700	4,969,700	165,000	3.32%
Marketing Partner Revenue	1,396,531	4,775,148	6,084,500	(1,309,352)	-21.52%
Events and Registration	(98,929)	978,254	1,098,500	(120,246)	-10.95%
Publications and Fulfillment	38,506	117,052	169,000	(51,948)	-30.74%
Foundation and Swim-A-Thon	257,500	792,500	775,500	17,000	2.19%
Investment Income	750,567	1,001,643	1,005,500	(3,857)	-0.38%
Imputed Prepaid Rent Interest Income	43,595	174,382	174,300	82	0.05%
Other Income	47,751	157,363	261,000	(103,637)	-39.71%
Total Revenue	3,569,233	35,614,853	37,793,000	(2,178,147)	-5.76%
EXPENSES:					
Club Development	981,838	4,455,110	4,718,800	263,690	5.59%
Business Operations and Events	2,222,245	9,003,408	8,704,000	(299,408)	-3.44%
National Team	1,552,148	8,018,204	8,939,300	921,096	10.30%
Business Development and Promotion	1,286,417	5,172,794	6,487,700	1,314,906	20.27%
Foundation and MAS Support	334,064	525,371	550,000	24,629	4.48%
Executive	1,738,512	4,819,186	4,722,200	(96,986)	-2.05%
Financial Affairs	290,206	1,364,162	1,328,000	(36,162)	-2.72%
Risk Management	151,823	3,004,431	3,496,200	491,769	14.07%
Total Expenses	8,557,254	36,362,665	38,946,200	2,583,535	6.63%
OPERATING INCOME (LOSS)	(\$4,988,020)	(\$747,813)	(\$1,153,200)	\$405,387	-35.15%
Investment Gains (Losses)	554,846	3,816,462	573,000	3,243,462	566.05%
Foundation Endowment Donation	0	(1,000,000)	(1,000,000)	0	0.00%
NET SURPLUS (DEFICIT)	(\$4,433,174)	\$2,068,649	(\$1,580,200)	\$3,648,849	-230.91%

USA Swimming
Income Statement - By Category
For the Periods Ended December 31, 2017

	Quarter Actual	2017 Actual	2017 Budget	Favorable (Unfavorable)	Percentage
REVENUE:					
Membership	\$3,986	\$22,483,811	\$23,255,000	(\$771,189)	-3.32%
USOC Partnership	1,129,727	5,134,700	4,969,700	165,000	3.32%
Marketing Partner Revenue	1,396,531	4,775,148	6,084,500	(1,309,352)	-21.52%
Events and Registration	(98,929)	978,254	1,098,500	(120,246)	-10.95%
Publications and Fulfillment	38,506	117,052	169,000	(51,948)	-30.74%
Foundation and Swim-A-Thon	257,500	792,500	775,500	17,000	2.19%
Investment Income	750,567	1,001,643	1,005,500	(3,857)	-0.38%
Imputed Prepaid Rent Interest Income	43,595	174,382	174,300	82	0.05%
Other Income	47,751	157,363	261,000	(103,637)	-39.71%
Total Revenue	3,569,233	35,614,853	37,793,000	(2,178,147)	-5.76%
EXPENSES:					
Salaries and Wages	2,790,752	9,172,363	9,062,074	(110,289)	-1.22%
Employee Benefits	455,257	1,996,232	2,159,938	163,706	7.58%
Employment Taxes	116,810	517,695	543,788	26,093	4.80%
Total Payroll and Benefits	3,362,819	11,686,290	11,765,800	79,510	0.68%
Travel and Hospitality	822,584	5,662,014	5,871,529	209,515	3.57%
Professional Fees & Honoraria	971,839	3,152,391	3,576,133	423,742	11.85%
Direct Athlete Support	626,981	3,008,501	3,488,900	480,399	13.77%
Insurance	169,596	2,955,177	3,442,500	487,323	14.16%
Television and Video Production	351,252	1,580,082	1,743,000	162,918	9.35%
Grants	393,524	1,248,225	1,290,500	42,275	3.28%
Dues, Fees & Tickets	354,343	1,169,639	1,038,121	(131,519)	-12.67%
Depreciation and Amortization	283,406	927,080	1,051,113	124,033	11.80%
Supplies and Expense	250,519	819,474	921,664	102,190	11.09%
Gear, Equipment, & Signage	104,028	784,027	640,883	(143,144)	-22.34%
Rent and Lease Expense	256,950	696,905	829,892	132,987	16.02%
Printing and Duplication	219,721	649,404	833,845	184,441	22.12%
Awards	40,963	548,297	482,706	(65,591)	-13.59%
Information Technology Expenses	129,485	534,801	447,400	(87,401)	-19.54%
Apparel	149,588	481,676	642,991	161,315	25.09%
Protocol & Gifts	10,552	188,994	186,328	(2,666)	-1.43%
Telephone and Internet Service	38,923	118,230	154,805	36,575	23.63%
Advertising	11,322	84,650	265,250	180,600	68.09%
Miscellaneous Expenses	8,857	66,807	49,290	(17,517)	-35.54%
Contingency	0	0	223,550	223,550	100.00%
Total Expenses	8,557,254	36,362,665	38,946,200	2,583,535	6.63%
OPERATING INCOME (LOSS)	(\$4,988,020)	(\$747,813)	(\$1,153,200)	\$405,387	-35.15%
Investment Gains (Losses)	554,846	3,816,462	573,000	3,243,462	566.05%
Foundation Endowment Donation	0	(1,000,000)	(1,000,000)	0	0.00%
NET SURPLUS (DEFICIT)	(\$4,433,174)	\$2,068,649	(\$1,580,200)	\$3,648,849	-230.91%

USA Swimming, Inc.
Statement of Revenue
For the Periods Ended December 31, 2017

	Quarter Actual	2017 Actual	2017 Budget	Favorable (Unfavorable)	Percentage
MEMBERSHIP:					
Athlete Membership	\$56	\$19,255,600	\$19,996,424	(\$740,824)	-3.70%
Outreach Athlete Membership	10	53,885	45,925	7,960	17.33%
Seasonal Athlete Membership	3,390	755,430	709,680	45,750	6.45%
Non-Athlete Membership	0	2,165,184	2,165,016	168	0.01%
Family Membership	0	0	85,680	(85,680)	-100.00%
Life Membership	0	29,332	31,000	(1,668)	-5.38%
Allied Membership	0	1,000	1,000	0	0.00%
Club Membership	0	212,100	210,700	1,400	0.66%
Seasonal Club Membership	0	5,120	5,080	40	0.79%
Affiliate Membership	0	800	800	0	0.00%
Single Meet Open Water	530	4,710	3,550	1,160	32.68%
Delegate Fees	0	350	100	250	250.00%
Other Membership Income	0	300	45	255	566.67%
TOTAL MEMBERSHIP	3,986	22,483,811	23,255,000	(771,189)	-3.32%
USOC PARTNERSHIP:					
USOC Performance Funding	771,384	3,022,200	2,897,200	125,000	4.31%
USOC Performance VIK	0	60,000	60,000	0	0.00%
USOC Direct Athlete Support	358,343	1,997,500	1,997,500	0	0.00%
USOC International Relations Grant	0	5,000	15,000	(10,000)	-66.67%
USOC Other Support	0	50,000	0	50,000	0.00%
TOTAL USOC PARTNERSHIP	1,129,727	5,134,700	4,969,700	165,000	3.32%
MARKETING PARTNER REVENUE:					
Corporate Sponsor Income	1,239,189	4,135,147	5,129,000	(993,853)	-19.38%
Supplier Income	(625)	155,000	400,000	(245,000)	-61.25%
Licensee Income	0	25,000	10,000	15,000	150.00%
Royalties	53,655	120,198	97,500	22,698	23.28%
SwimBiz	(75)	8,325	10,000	(1,675)	-16.75%
Swimjitsu	100,000	320,000	333,000	(13,000)	-3.90%
USA Swimming Productions	0	0	65,000	(65,000)	-100.00%
Deck Pass Apps	4,387	11,478	40,000	(28,522)	-71.30%
TOTAL MARKETING PARTNER REV.	1,396,531	4,775,148	6,084,500	(1,309,352)	-21.52%
EVENTS AND REGISTRATIONS:					
Golden Goggle Awards	(237,811)	(87,050)	0	(87,050)	0.00%
Coach Education Clinics	49,165	191,073	180,000	11,073	6.15%
LSC Altitude Camps	75,410	513,099	500,000	13,099	2.62%
Olympic Trials	(91,372)	(91,372)	0	(91,372)	0.00%
Facilities Conference	2,067	16,258	8,000	8,258	103.23%
FINA Junior Worlds	72,899	336,074	318,000	18,074	5.68%
Custom Visits (BAP)	0	3,500	0	3,500	0.00%
Safe Sport Materials	4,988	14,522	0	14,522	0.00%
International TV Rights	0	0	70,000	(70,000)	-100.00%
Hotel Rebates	2,232	30,438	20,000	10,438	52.19%
Other Registration	23,493	51,713	2,500	49,213	1968.51%
TOTAL EVENTS AND REGISTRATIONS	(98,929)	978,254	1,098,500	(120,246)	-10.95%

USA Swimming, Inc.
Statement of Revenue
For the Periods Ended December 31, 2017

	Quarter Actual	2017 Actual	2017 Budget	Favorable (Unfavorable)	Percentage
PUBLICATIONS AND FULFILLMENT:					
Publication/Video Sales	100	5,740	0	5,740	0.00%
SwimOutlet	36,201	72,655	120,000	(47,345)	-39.45%
Splash Magazine Subscriptions	280	955	4,000	(3,045)	-76.13%
Advertising Income	1,550	31,110	40,000	(8,890)	-22.23%
List Rental Income/Mailing Service	375	6,498	5,000	1,498	29.95%
Shipping/Handling	0	94	0	94	0.00%
TOTAL PUB. AND FULFILLMENT	38,506	117,052	169,000	(51,948)	-30.74%
FOUNDATION AND SWIM-A-THON					
USA Swimming Foundation	242,500	732,500	715,500	17,000	2.38%
Foundation Rent	15,000	60,000	60,000	0	0.00%
TOTAL FOUND. AND SWIM-A-THON	257,500	792,500	775,500	17,000	2.19%
INVESTMENT INCOME:					
Operating Investment Income	765,500	990,500	990,500	0	0.00%
Interest Income - Savings	(770)	(766)	0	(766)	0.00%
Interest Income - Short Term Securities	(14,163)	11,909	15,000	(3,091)	-20.60%
TOTAL INVESTMENT INCOME	750,567	1,001,643	1,005,500	(3,857)	-0.38%
IMPUTED PREPAID RENT INTEREST INCOME	43,595	174,382	174,300	82	0.05%
OTHER INCOME:					
USSIC Funding - SwimAssist	0	0	158,000	(158,000)	-100.00%
NCAA Top Times List	0	93,000	93,000	0	0.00%
Combined Federal Campaign	2,032	7,935	10,000	(2,065)	-20.65%
Forfeited Prize Money	44,310	44,310	0	44,310	0.00%
Other Revenue	1,409	12,118	0	12,118	0.00%
TOTAL OTHER INCOME	47,751	157,363	261,000	(103,637)	-39.71%
TOTAL OPERATING REVENUE	\$3,569,233	\$35,614,853	\$37,793,000	(\$2,178,147)	-5.76%
INVESTMENT GAINS (LOSSES):					
Gains (Losses)	577,608	3,905,552	672,800	3,232,752	480.49%
Money Manager Fees	(22,762)	(89,090)	(99,800)	10,710	-10.73%
TOTAL INVESTMENT GAINS (LOSSES)	554,846	3,816,462	573,000	3,243,462	566.05%
TOTAL REVENUE	\$4,124,079	\$39,431,314	\$38,366,000	\$1,065,314	2.78%

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Periods Ended December 31, 2017

	Quarter Actual	2017 Actual	2017 Budget	Favorable (Unfavorable)	Percentage
CLUB DEVELOPMENT DIVISION					
<i>Athlete Development Programs</i>					
1117 LSC Camps	\$615	\$7,029	\$7,400	\$371	5.01%
1118 Zone Select Camps	38	102,340	97,200	(5,140)	-5.29%
1119 National Select Camps	68,078	154,059	163,100	9,041	5.54%
1120 Camp (VIK)	0	29,706	25,000	(4,706)	-18.82%
1135 Tech Services Support	3,166	6,018	2,400	(3,618)	-150.77%
1163 Open Water Select Camp	0	54,028	51,800	(2,228)	-4.30%
Program Group Total	71,897	353,180	346,900	(6,280)	-1.81%
<i>Coach Education and Development</i>					
1213 Coach Education Development	12,336	43,025	30,600	(12,425)	-40.61%
1231 USA-S Hosted Coaches Clinics	11,182	85,712	84,900	(812)	-0.96%
1237 Non-USAS Clinic Participation	2,281	31,144	36,200	5,056	13.97%
1240 Online Coach Clinics/Podcasts	88	14,272	18,200	3,928	21.58%
1242 Coach Mentoring	23,009	73,585	111,700	38,115	34.12%
1245 Master Coach Program	25,086	102,215	160,700	58,485	36.39%
1290 Travel & Program Support	48,402	138,479	117,300	(21,179)	-18.06%
Program Group Total	122,385	488,433	559,600	71,167	12.72%
<i>Club Education and Development</i>					
1302 Club Excellence Program	2,573	471,753	463,600	(8,153)	-1.76%
1305 Club Recognition Program	0	0	2,000	2,000	100.00%
1311 Club Governance Programs	7,275	37,410	48,500	11,090	22.87%
1314 Club Resources	1,432	14,949	27,600	12,651	45.84%
1332 Club Research Technology	43,146	145,833	138,800	(7,033)	-5.07%
1390 Travel & Program Support	39,103	148,358	149,900	1,542	1.03%
Program Group Total	93,529	818,304	830,400	12,096	1.46%
<i>LSC Development & Education</i>					
1470 LSC Consulting	14,073	45,431	50,400	4,969	9.86%
1475 LEAP Program	13,500	64,256	27,800	(36,456)	-131.14%
1465 LSC & Zone Governance Study	0	0	15,000	15,000	100.00%
1481 Leadership Workshops	14,409	16,236	42,500	26,264	61.80%
Program Group Total	41,983	125,923	135,700	9,777	7.20%
<i>Facilities Advocacy & Development</i>					
1505 Build a Pool Conference	9,939	68,781	62,700	(6,081)	-9.70%
1507 Aquatic Industry Relations	1,293	23,355	21,500	(1,855)	-8.63%
1590 Travel & Program Support	2,409	4,345	11,200	6,855	61.21%
Program Group Total	13,640	96,481	95,400	(1,081)	-1.13%

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Periods Ended December 31, 2017

	Quarter Actual	2017 Actual	2017 Budget	Favorable (Unfavorable)	Percentage
Membership Growth and Diversity					
1638 Diversity Management Support	7,871	58,164	84,100	25,936	30.84%
1640 Community Swim Team Development	14,438	43,164	48,300	5,136	10.63%
1645 Zone Diversity Camps & Meetings	0	24,748	22,700	(2,048)	-9.02%
1651 Diversity VIK	0	14,893	15,000	107	0.71%
1665 Diversity Select Camp	0	57,600	68,000	10,400	15.29%
Program Group Total	22,310	198,568	238,100	39,532	16.60%
Committees					
1823 Convention Education Committee	1,283	9,680	14,000	4,320	30.86%
1830 LSC Development Committee	4,341	23,054	25,100	2,046	8.15%
1841 Disability Swimming Committee	369	4,421	8,900	4,479	50.33%
1842 Diversity Committee	4,005	18,055	12,000	(6,055)	-50.46%
1851 Age Group Development Committee	329	1,014	900	(114)	-12.65%
1856 Club Development Committee	636	670	400	(270)	-67.43%
1860 Governance Committee	559	9,432	10,700	1,268	11.85%
1885 Senior Development Committee	9,526	9,609	7,700	(1,909)	-24.80%
Program Group Total	21,047	75,934	79,700	3,766	4.72%
Administration & Operational Support					
1990 Administration & Operational Support	75,465	286,488	267,800	(18,688)	-6.98%
1999 Salary and Benefits	519,583	2,011,799	2,165,200	153,401	7.08%
Program Group Total	595,048	2,298,287	2,433,000	134,713	5.54%
TOTAL CLUB DEVELOPMENT	981,838	4,455,110	4,718,800	263,690	5.59%

**BUSINESS OPERATIONS & EVENTS
DIVISION**

Events					
2005 Olympic Trials	0	250	10,000	9,750	97.50%
2010 Duel in the Pool	0	0	147,800	147,800	100.00%
2018 Winter National Championships	92,340	96,191	123,900	27,709	22.36%
2019 National Championships/Trials	40,000	332,069	241,500	(90,569)	-37.50%
2023 US Open	0	83,313	94,100	10,787	11.46%
2024 College Invitational	1,882	1,882	0	(1,882)	0.00%
2025 Arena Pro Swim Series	45,037	204,616	214,900	10,284	4.79%
2026 National Team vs NCAA	156,506	163,806	100,000	(63,806)	-63.81%
2027 Speedo Sectionals	25,000	210,000	215,000	5,000	2.33%
2028 IM Xtreme Games	2,000	8,000	24,000	16,000	66.67%
2029 Zone Championships	40,000	100,395	100,000	(395)	-0.40%
2035 Futures Championships	20,000	124,200	134,200	10,000	7.45%
2040 Jr. Pan Pacific Championships	8,337	8,337	0	(8,337)	0.00%

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Periods Ended December 31, 2017

	Quarter Actual	2017 Actual	2017 Budget	Favorable (Unfavorable)	Percentage
2045 Jr. National Championships (Summer LC)	5,388	74,147	101,800	27,653	27.16%
2050 Jr. NTL. Champ. (Winter SC) & Long Course Inv.	128,419	147,960	126,300	(21,660)	-17.15%
2055 FINA Jr. World Championships	43,485	1,260,358	1,008,500	(251,858)	-24.97%
2069 Open Water Championships	(790)	92,042	93,600	1,558	1.66%
2077 National Events Uniforming VIK	15,300	31,500	40,000	8,500	21.25%
2076 Bag Tags VIK	2,019	17,175	10,000	(7,175)	-71.75%
2716 Omega Timing Systems VIK	412,272	436,850	331,500	(105,350)	-31.78%
Program Group Total	1,037,194	3,393,090	3,117,100	(275,990)	-8.85%
Member Programs					
2411 Member Dues and Services	205	7,841	28,900	21,059	72.87%
2412 Technology Projects	0	563	40,000	39,437	98.59%
2418 SWIMS 2.0	17,487	62,357	150,000	87,643	58.43%
2421 Membership Directory	0	5,593	9,000	3,407	37.86%
2423 Rulebook	0	100,463	122,000	21,537	17.65%
2431 Swimposium	41,205	101,113	138,000	36,887	26.73%
2432 Zone Workshops	0	209,601	148,300	(61,301)	-41.34%
2434 On-Line Registration	6,415	6,415	100,000	93,585	93.59%
2498 Awards	1,771	9,939	14,300	4,361	30.50%
Program Group Total	67,081	503,885	750,500	246,615	32.86%
Member Programs - Officials					
2433 Officials Training Sessions	1,303	127,311	96,500	(30,811)	-31.93%
2437 Officials On-Line Testing	0	0	5,100	5,100	100.00%
2438 Officials Certification Program	0	2,564	37,400	34,836	93.15%
2440 Officials Clinic	0	1,045	3,200	2,155	67.35%
2441 Officials International Travel	0	10,803	19,800	8,997	45.44%
2450 Officials Mentoring & Training	200	502	5,200	4,698	90.35%
Program Group Total	1,503	142,225	167,200	24,975	14.94%
Other Programs and Services					
2501 Publications and Video Sales	11	23,665	40,000	16,335	40.84%
2502 Mailing Service	17	280	600	320	53.41%
2518 Altitude Camps	76,500	537,523	510,000	(27,523)	-5.40%
2519 Times Projects	18,110	54,368	67,100	12,732	18.97%
2715 TV/Web Cast Production	249,789	1,154,685	977,000	(177,685)	-18.19%
Program Group Total	344,427	1,770,521	1,594,700	(175,821)	-11.03%
Committees & Governance					
2801 Convention	17,846	86,771	99,700	12,929	12.97%
2802 Convention - Athletes	3,860	102,175	101,800	(375)	-0.37%
2825 Registration / Membership	125	12,411	18,500	6,089	32.91%
2832 Awards	0	0	400	400	100.00%

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Periods Ended December 31, 2017

	Quarter Actual	2017 Actual	2017 Budget	Favorable (Unfavorable)	Percentage
2835 Credentials / Elections	353	1,952	1,400	(552)	-39.45%
2836 Rules and Regulations	3,629	37,241	35,400	(1,841)	-5.20%
2850 Open Water Development	1,041	1,063	10,500	9,437	89.88%
2857 Times & Recognition Committee	13,476	15,935	23,200	7,265	31.31%
2862 Championship Evaluation	0	2,045	5,500	3,455	62.81%
2866 Officials	323	17,540	19,000	1,460	7.69%
<i>Program Group Total</i>	<i>40,653</i>	<i>277,133</i>	<i>315,400</i>	<i>38,267</i>	<i>12.13%</i>
Administration & Operational Support					
2990 Administration & Operational Support	74,787	291,477	236,000	(55,477)	-23.51%
2995 Information Technology Support	81,095	435,438	414,000	(21,438)	-5.18%
2999 Salary and Benefits	575,505	2,189,640	2,109,100	(80,540)	-3.82%
<i>Program Group Total</i>	<i>731,387</i>	<i>2,916,554</i>	<i>2,759,100</i>	<i>(157,454)</i>	<i>-5.71%</i>
TOTAL BUS. OPERATIONS & EVENTS	2,222,245	9,003,408	8,704,000	(299,408)	-3.44%

NATIONAL TEAM DIVISION

Competitions

3001 Olympic Games	213	9,446	100	(9,346)	-9346.04%
3015 World University Games	851	254,557	302,400	47,843	15.82%
3020 NT vs. NCAA	92,671	97,259	95,000	(2,259)	-2.38%
3031 Long Course World Championships	416	329,497	341,000	11,503	3.37%
3033 Short Course World Championships	0	1,867	0	(1,867)	0.00%
<i>Program Group Total</i>	<i>94,151</i>	<i>692,627</i>	<i>738,500</i>	<i>45,873</i>	<i>6.21%</i>

Junior Team Programs

3009 Jr. Team International Competition	66,382	76,818	145,900	69,082	47.35%
3012 Jr. Pan Pacific Championships	2,900	2,900	0	(2,900)	0.00%
3045 Junior Team Camps	0	34,598	64,800	30,202	46.61%
3050 FINA World Junior Championships	80,874	208,847	245,800	36,953	15.03%
3051 Jr. Team Pro Swim Series	11,491	23,874	40,000	16,126	40.31%
3992 Ntl. Jr. Team Program Support	5,323	22,747	37,800	15,053	39.82%
<i>Program Group Total</i>	<i>166,970</i>	<i>369,784</i>	<i>534,300</i>	<i>164,516</i>	<i>30.79%</i>

Open Water Programs

3040 FINA Open Water Jr. Championships	22,222	23,690	46,400	22,710	48.94%
3061 Open Water World Championships	(2,771)	65,004	64,000	(1,004)	-1.57%
3063 Open Water University Games	2	3,427	27,400	23,973	87.49%
3065 Open Water World Cup	44,197	77,774	82,500	4,726	5.73%
3067 Open Water Camps	0	42,887	0	(42,887)	0.00%
3075 Open Water International Camps	187	73,264	55,800	(17,464)	-31.30%
3495 Open Water Program Support	43	15,086	50,400	35,314	70.07%

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Periods Ended December 31, 2017

	<u>Quarter Actual</u>	<u>2017 Actual</u>	<u>2017 Budget</u>	<u>Favorable (Unfavorable)</u>	<u>Percentage</u>
<i>Program Group Total</i>	<u>63,881</u>	<u>301,131</u>	<u>326,500</u>	<u>25,369</u>	<u>7.77%</u>
Camps					
3071 Altitude Training Camps	5,454	31,984	60,000	28,016	46.69%
3073 National Team Camps	0	43,323	17,500	(25,823)	-147.56%
3076 National Team International Camps	166	366,532	237,100	(129,432)	-54.59%
3479 Advance Team Visits	(85)	29,962	21,800	(8,162)	-37.44%
<i>Program Group Total</i>	<u>5,535</u>	<u>471,802</u>	<u>336,400</u>	<u>(135,402)</u>	<u>-40.25%</u>
Athlete Services					
3101 Athlete Support-Stipends & Grants	356,218	1,294,337	1,576,800	282,463	17.91%
3103 Athlete Support-Medals & Records	3,750	708,750	450,000	(258,750)	-57.50%
3107 Athlete Support-Op Gold Qualification Bonus	21,861	309,111	251,300	(57,811)	-23.00%
3024 Swim Squads	12,000	12,000	0	(12,000)	0.00%
3025 Arena Pro Swim Athlete Support	32,226	352,689	530,900	178,211	33.57%
3021 World Cup Athlete Support	(14,338)	2,801	50,000	47,199	94.40%
3127 National Team Investment Grant	64,640	216,421	300,000	83,579	27.86%
3106 ConocoPhillips Athlete Support	43,307	94,313	108,000	13,687	12.67%
3110 National Team Uniforming (VIK)	109,392	263,754	325,000	61,246	18.85%
3120 Athlete Support-Olympic Prep	444	13,632	20,000	6,368	31.84%
3130 Foundation Travel & Training Endowment Programs	21,422	38,782	50,000	11,218	22.44%
3131 Foundation Athlete Endowment Programs	27,500	27,500	0	(27,500)	0.00%
3200 Athlete Life Skills	50	50	1,000	950	95.00%
3310 USOC Service Provider Travel	0	38,617	0	(38,617)	0.00%
3155 Elite Athlete Accident Coverage	24,300	34,222	50,000	15,778	31.56%
<i>Program Group Total</i>	<u>702,772</u>	<u>3,406,979</u>	<u>3,713,000</u>	<u>306,021</u>	<u>8.24%</u>
Coach Services					
3203 Coach Incentive & Reward Program	1	330,001	330,000	(1)	0.00%
3210 Olympic Team Prep - Coaches	1,830	7,370	10,000	2,630	26.30%
3460 Olympic Staff Recognition	0	31,110	20,000	(11,110)	-55.55%
3010 Coach Education	9,112	27,986	38,000	10,014	26.35%
3077 National Team Coaches Meeting	0	97,612	128,500	30,888	24.04%
<i>Program Group Total</i>	<u>10,943</u>	<u>494,080</u>	<u>526,500</u>	<u>32,420</u>	<u>6.16%</u>
Performance Support					
3301 National Team Performance Support	44,615	145,877	183,000	37,123	20.29%
3351 Athlete Testing & Lab Expenses	7,268	22,140	19,100	(3,040)	-15.92%
<i>Program Group Total</i>	<u>51,883</u>	<u>168,018</u>	<u>202,100</u>	<u>34,082</u>	<u>16.86%</u>
High Performance Network					
3353 Sport Medicine & Science Network	22,731	48,896	81,700	32,804	40.15%

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Periods Ended December 31, 2017

	Quarter Actual	2017 Actual	2017 Budget	Favorable (Unfavorable)	Percentage
3453 Drug Control Program	7,640	28,515	35,000	6,485	18.53%
<i>Program Group Total</i>	<i>30,371</i>	<i>77,411</i>	<i>116,700</i>	<i>39,289</i>	<i>33.67%</i>
Other Programs and Services					
3481 National Team Equipment	0	12,402	28,500	16,098	56.48%
3496 National Team Selection	162	164	5,700	5,536	97.12%
<i>Program Group Total</i>	<i>162</i>	<i>12,566</i>	<i>34,200</i>	<i>21,634</i>	<i>63.26%</i>
Committees					
3846 Sports Medicine	0	517	5,300	4,783	90.25%
3868 Open Water Committee	4,910	11,471	19,700	8,229	41.77%
3882 National Steering Committee	3,553	4,310	14,100	9,790	69.43%
3887 Athletes Executive Committee	0	14,964	12,000	(2,964)	-24.70%
3888 National Team Ath Committee	575	3,739	11,000	7,261	66.01%
<i>Program Group Total</i>	<i>9,038</i>	<i>35,001</i>	<i>62,100</i>	<i>27,099</i>	<i>43.64%</i>
Administration & Operational Support					
3990 Administration & Operational Support	62,741	237,761	216,600	(21,161)	-9.77%
3991 NT Division Travel	(36)	36,147	82,900	46,753	56.40%
3999 Salary and Benefits	353,738	1,714,898	2,049,500	334,602	16.33%
<i>Program Group Total</i>	<i>416,443</i>	<i>1,988,806</i>	<i>2,349,000</i>	<i>360,194</i>	<i>15.33%</i>
TOTAL NATIONAL TEAM	1,552,148	8,018,204	8,939,300	921,096	10.30%
BUSINESS DEVELOPMENT & PROMOTIONS DIVISION					
Corporate Partnerships					
5901 Marketing & Contract Fulfillment	22,141	189,187	158,000	(31,187)	-19.74%
5905 Sales Development Support	11,537	51,690	60,000	8,310	13.85%
<i>Program Group Total</i>	<i>33,678</i>	<i>240,876</i>	<i>218,000</i>	<i>(22,876)</i>	<i>-10.49%</i>
Communications					
5711 Splash Magazine	390,050	899,812	1,149,400	249,588	21.71%
5714 PR-USA Swimming Programs	0	39,476	75,000	35,524	47.37%
5718 usaswimming.org - Web site	114,475	360,683	527,700	167,017	31.65%
5724 Communication Operations	27,171	134,675	230,000	95,325	41.45%
5730 USA Swimming Productions	193,643	566,173	828,200	262,027	31.64%
<i>Program Group Total</i>	<i>725,339</i>	<i>2,000,820</i>	<i>2,810,300</i>	<i>809,480</i>	<i>28.80%</i>
Marketing					
5109 Athlete Partnership Fulfillment	6,234	23,083	50,000	26,917	53.83%

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Periods Ended December 31, 2017

	Quarter Actual	2017 Actual	2017 Budget	Favorable (Unfavorable)	Percentage
5620 Family Program	(6,881)	24,183	30,000	5,817	19.39%
5710 Membership/Recruiting Promotion (SwimToday)	18,732	364,895	500,000	135,105	27.02%
5713 Deck Pass	8,166	71,305	200,000	128,695	64.35%
5715 SwimBiz	1,349	71,214	100,300	29,086	29.00%
5716 Swimjitsu	67,649	283,423	316,000	32,577	10.31%
5740 America's Swim Team/ Membership Card	0	0	25,000	25,000	100.00%
5720 Video Production Services	915	9,418	25,000	15,582	62.33%
5913 Multicultural Promotions	12,060	147,192	130,100	(17,092)	-13.14%
5902 Merchandise Program	13,209	20,628	25,000	4,372	17.49%
5904 Marketing Contract Labor	0	19,212	25,000	5,788	23.15%
5911 Aqua Zone - Olympic Trials 2016	0	5,408	0	(5,408)	0.00%
Program Group Total	121,433	1,039,961	1,426,400	386,439	27.09%
Committees					
Administration & Operational Support					
5990 Administration & Operational Support	85,327	234,767	209,300	(25,467)	-12.17%
5999 Salary and Benefits	320,639	1,656,369	1,823,700	167,331	9.18%
Program Group Total	405,966	1,891,136	2,033,000	141,864	6.98%
TOTAL BUS. DEVELOPMENT & PROMOTIONS	1,286,417	5,172,794	6,487,700	1,314,906	20.27%
FOUND. & MAKE A SPLASH SUPPORT					
6000 Foundation Support and Travel and Training Endowment	334,064	525,371	550,000	24,629	4.48%
TOTAL FOUNDATION & MAS SUPPORT	334,064	525,371	550,000	24,629	4.48%
EXECUTIVE DIVISION					
Other Executive Division					
7920 CEO Contingency	1,030	186,358	75,000	(111,358)	-148.48%
7930 President's Travel/Contingency	4,200	27,412	40,000	12,588	31.47%
7945 CSCAA Grant	30,000	100,005	125,000	24,995	20.00%
7971 Organizational Relations - Domestic	7,058	59,302	125,000	65,698	52.56%
7984 Organizational Relations - Internat'l	3,900	27,582	75,000	47,418	63.22%
7981 International Relations Expense	5,946	45,743	100,000	54,257	54.26%
7937 Splash Makers II	0	1,321	0	(1,321)	0.00%
Program Group Total	52,133	447,723	540,000	92,277	17.09%
Safe Sport					

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Periods Ended December 31, 2017

	Quarter Actual	2017 Actual	2017 Budget	Favorable (Unfavorable)	Percentage
7385 Safe Sport Programs	60,047	228,824	275,000	46,177	16.79%
7387 Safe Sport - USOC Center for Safe Sport	0	42,900	55,000	12,100	22.00%
7388 Safe Sport - Leadership Conference	0	62,373	66,000	3,627	5.50%
7389 Safe Sport - SwimAssist	4,749	23,047	158,000	134,953	85.41%
7335 Safe Sport - Background Check	18,791	54,612	41,200	(13,412)	-32.55%
<i>Program Group Total</i>	<i>83,586</i>	<i>411,754</i>	<i>595,200</i>	<i>183,446</i>	<i>30.82%</i>
Legal and NBR					
7495 Legal	35,130	204,469	250,000	45,531	18.21%
7492 National Board of Review	29,239	131,617	235,000	103,383	43.99%
7480 Human Resources	10,038	42,626	41,300	(1,326)	-3.21%
7490 Legal - Admin. & Oper. Support	5,400	13,829	25,000	11,171	44.68%
<i>Program Group Total</i>	<i>79,807</i>	<i>392,542</i>	<i>551,300</i>	<i>158,758</i>	<i>28.80%</i>
Committees & Governance					
7803 Board of Directors	71,152	168,291	131,000	(37,291)	-28.47%
7805 Executive Committee	0	10,436	15,000	4,564	30.42%
7806 Committee Chairs	0	31,149	35,000	3,851	11.00%
7807 Zone Administration	2,512	2,532	0	(2,532)	0.00%
7808 Task Force & Other Committees	44,514	173,306	145,000	(28,306)	-19.52%
7810 Safe Sport Committee	1,189	21,093	28,200	7,107	25.20%
7811 International Relations Committee	1,004	29,734	35,000	5,266	15.05%
<i>Program Group Total</i>	<i>120,370</i>	<i>436,541</i>	<i>389,200</i>	<i>(47,341)</i>	<i>-12.16%</i>
Administration & Operational Support					
7990 Administration & Operational Support	43,511	149,966	128,000	(21,966)	-17.16%
7999 Salary and Benefits	1,359,104	2,980,660	2,518,500	(462,160)	-18.35%
<i>Program Group Total</i>	<i>1,402,615</i>	<i>3,130,626</i>	<i>2,646,500</i>	<i>(484,126)</i>	<i>-18.29%</i>
TOTAL EXECUTIVE	1,738,512	4,819,186	4,722,200	(96,986)	-2.05%

FINANCIAL AFFAIRS DIVISION

Other Programs

8500 LSC/Club Financial Resources	430	36,344	35,800	(544)	-1.52%
<i>Program Group Total</i>	<i>430</i>	<i>36,344</i>	<i>35,800</i>	<i>(544)</i>	<i>-1.52%</i>

Committees

8895 Investment Committee	137	280	500	220	44.05%
8880 Audit Committee	11	23	500	477	95.43%
<i>Program Group Total</i>	<i>147</i>	<i>303</i>	<i>1,000</i>	<i>697</i>	<i>69.74%</i>

USA Swimming, Inc.
Quarterly Statement of Expenses - By Program
For the Periods Ended December 31, 2017

	Quarter Actual	2017 Actual	2017 Budget	Favorable (Unfavorable)	Percentage
Administration & Operational Support					
8990 Administration & Operational Support	53,769	204,697	194,400	(10,297)	-5.30%
8999 Salary and Benefits	235,860	1,122,819	1,096,800	(26,019)	-2.37%
<i>Program Group Total</i>	<u>289,628</u>	<u>1,327,516</u>	<u>1,291,200</u>	<u>(36,316)</u>	<u>-2.81%</u>
TOTAL FINANCIAL AFFAIRS	<u>290,206</u>	<u>1,364,162</u>	<u>1,328,000</u>	<u>(36,162)</u>	<u>-2.72%</u>
RISK MANAGEMENT					
Insurance Programs					
9413 Insurance Premiums	145,296	2,909,865	3,387,500	477,635	14.10%
9415 Other Risk Management	2,645	24,270	31,200	6,930	22.21%
<i>Program Group Total</i>	<u>147,941</u>	<u>2,934,135</u>	<u>3,418,700</u>	<u>484,565</u>	<u>14.17%</u>
Committees					
9827 Operation Risk Committee	203	48,050	46,600	(1,450)	-3.11%
<i>Program Group Total</i>	<u>203</u>	<u>48,050</u>	<u>46,600</u>	<u>(1,450)</u>	<u>-3.11%</u>
Administration & Operational Support					
9990 Administration & Operational Support	3,679	22,246	30,900	8,654	28.01%
<i>Program Group Total</i>	<u>3,679</u>	<u>22,246</u>	<u>30,900</u>	<u>8,654</u>	<u>28.01%</u>
TOTAL RISK MANAGEMENT	<u>151,823</u>	<u>3,004,431</u>	<u>3,496,200</u>	<u>491,769</u>	<u>14.07%</u>
GRAND TOTALS	<u>\$8,557,254</u>	<u>\$36,362,665</u>	<u>\$38,946,200</u>	<u>\$2,583,535</u>	<u>6.63%</u>

USA Swimming 2017 Capital Budget Report

		Computer Hardware and Equipment	Office Furniture & Equipment	Leasehold Improvements	TOTAL
2017 Budget		147,500	10,000	10,000	167,500
Total Budget		147,500	10,000	10,000	167,500
Purchases:					
Month	Description				
3/31/17	Furniture/Accounting		3,500		3,500
6/30/17	Power Edge Servers	43,966			43,966
6/30/17	Power Vault Tape Library	8,807			8,807
6/30/17	Video Editing Computer System	1,781			1,781
6/30/17	Dell 5520 Laptop	2,740			2,740
9/30/17	PowerEdge Server R630	10,727			10,727
9/30/17	Tripp Lite Local Remote Switches	4,674			4,674
9/30/17	Dell 5520 laptops	13,204			13,204
9/30/17	Zotoc Zbox w/monitors	4,530			4,530
9/30/17	Upgrade audio/visual-Dirks Room			6,877	6,877
12/31/17	Microsoft Surface Pro	2,275			2,275
Total Purchases		92,703	3,500	6,877	103,081
Budget Remaining		54,797	6,500	3,123	64,419

**USA SWIMMING, INC.
AND AFFILIATES**

**Financial Statements and
Supplemental Schedules**

For the Years Ended December 31, 2017 and 2016

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INDEPENDENT AUDITOR'S REPORT

To the Board of Directors
USA Swimming, Inc.
Colorado Springs, Colorado

We have audited the accompanying consolidated financial statements of USA Swimming, Inc. and Affiliates (collectively, the Organization), which comprise the consolidated statements of financial position as of December 31, 2017, and the related consolidated statements of activities and cash flows for the year then ended, and the related notes to the consolidated financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of consolidated financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these consolidated financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the consolidating financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the consolidated financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the Organization's preparation and fair presentation of the consolidated financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Organization's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the consolidated financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the consolidated financial statements referred to above present fairly, in all material respects, the consolidated financial position of USA Swimming, Inc. and Affiliates as of December 31, 2017, and the changes in its net assets and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Report on Summarized Comparative Information

The consolidated financial statements of USA Swimming, Inc. as of December 31, 2016, were audited by other auditors whose report dated June 29, 2017, expressed an unmodified opinion on those statements. In our opinion, the summarized comparative information presented herein as of and for the year ended December 31, 2016, is consistent, in all material respects, with the audited financial statements from which it has been derived.

Report on Supplemental Information

Our audit was conducted for the purpose of forming an opinion on the consolidated financial statements as a whole. The supplemental information on pages 19 through 22 is presented for purposes of additional analysis and is not a required part of the consolidated financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the consolidated financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the consolidated financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the consolidated financial statements as a whole.

Waugh & Goodwin, LLP
Colorado Springs, Colorado
April 20, 2018

USA SWIMMING, INC.
AND AFFILIATES
Consolidated Statements of Financial Position
December 31, 2017 and 2016

ASSETS

	<u>2017</u>	<u>2016</u>
CURRENT ASSETS:		
Cash and cash equivalents	\$ 2,979,133	\$ 12,031,813
Short-term investments	7,187,924	
Accounts receivable, net	1,059,232	1,416,814
Short-term pledges receivable	1,061,715	825,000
Prepaid expenses and deferred charges	<u>1,606,238</u>	<u>1,475,038</u>
Total current assets	13,894,242	15,748,665
PROPERTY AND EQUIPMENT		
Less accumulated depreciation	<u>(8,226,150)</u>	<u>(7,354,884)</u>
Property and equipment, net	4,041,554	3,968,387
LONG-TERM INVESTMENTS		
	52,630,178	45,637,091
LONG-TERM PLEDGES RECEIVABLE, net		
	2,680,625	2,864,395
OTHER ASSETS:		
Prepaid rent	2,334,832	2,487,647
Olympic trials joint venture	154,170	370,542
Swim-A-Thon	<u>120,000</u>	<u>120,000</u>
Total other assets	<u>2,609,002</u>	<u>2,978,189</u>
TOTAL ASSETS	<u>\$ 75,855,601</u>	<u>\$ 71,196,727</u>

LIABILITIES AND NET ASSETS

CURRENT LIABILITIES:		
Accounts payable	\$ 1,196,931	\$ 1,393,196
Accrued expenses and other liabilities	2,544,039	2,999,339
Deferred revenue	<u>14,404,277</u>	<u>14,241,279</u>
Total current liabilities	18,145,247	18,633,814
NET ASSETS:		
Unrestricted	37,179,264	35,039,492
Board designated	13,457,745	11,190,508
Temporarily restricted	1,423,345	1,282,913
Permanently restricted	<u>5,650,000</u>	<u>5,050,000</u>
Total net assets	<u>57,710,354</u>	<u>52,562,913</u>
TOTAL LIABILITIES AND NET ASSETS	<u>\$ 75,855,601</u>	<u>\$ 71,196,727</u>

USA SWIMMING, INC.

AND AFFILIATES

Consolidated Statements of Activities and Changes in Net Assets

For the Years Ended December 31, 2017 and 2016

	<u>2017</u>	<u>2016</u>
CHANGES IN UNRESTRICTED NET ASSETS:		
REVENUE:		
Membership	\$ 22,483,811	\$ 20,745,938
Investment income	6,553,803	1,499,674
Sponsorships	5,296,236	7,273,933
USOC grants	5,259,700	6,050,189
Events and registrations	1,496,751	5,496,409
Contributions	960,326	795,103
Swim-A-Thon	355,405	372,323
Other income	239,485	339,005
Publications and fulfillment	117,052	164,272
Trials VIP income		237,706
Satisfied program restrictions	<u>868,740</u>	<u>2,866,446</u>
Total revenue	43,631,309	45,840,998
EXPENSES:		
Program services:		
National Team	7,983,203	9,645,902
Promotion	6,086,604	8,098,803
Club development	4,379,177	4,099,984
Member services	4,214,842	3,544,236
Events	3,936,589	2,535,573
Risk Management	2,956,381	3,295,323
Foundation programs	1,549,840	1,605,563
Athlete protection and safety	411,754	345,470
Organizational relations	<u>252,632</u>	<u>285,190</u>
Total program services	31,771,022	33,456,044
Supporting services:		
Executive division	3,718,260	2,739,326
Financial affairs	1,327,518	1,157,746
Fundraising	1,293,661	1,325,763
Committees and governance	872,962	683,086
Sponsor relations	<u>240,877</u>	<u>673,387</u>
Total supporting services	<u>7,453,278</u>	<u>6,579,308</u>
Total expenses	<u>39,224,300</u>	<u>40,035,352</u>
CHANGE IN UNRESTRICTED NET ASSETS FROM OPERATIONS	4,407,009	5,805,646

USA SWIMMING, INC.
AND AFFILIATES
Consolidated Statements of Cash Flows
For the years ended December 31, 2017 and 2016

	<u>2017</u>	<u>2016</u>
CASH FLOWS FROM OPERATING ACTIVITIES:		
Change in net assets	\$ 5,147,441	\$ 852,293
Adjustments to reconcile change in net assets to net cash provided (used) by operating activities:		
Depreciation and amortization	984,142	707,585
Net realized and unrealized gains on investments	(5,679,912)	(1,718,305)
Loss on sale of assets		1,216,671
Loss on sale of affiliate		3,640,814
Change in operating assets and liabilities:		
(Increase) decrease in assets:		
Accounts receivable	357,582	440,608
Pledges receivable	(52,945)	300,293
Prepaid expenses and deferred charges	(131,200)	(136,046)
Olympic trials joint venture	216,372	
Increase (decrease) in liabilities:		
Accounts payable, accrued expenses and other liabilities	(651,577)	290,919
Deferred revenue	162,998	(67,071)
Contributions restricted for long-term investments	(400,000)	
Provision for losses and loss expenses		(169,808)
Total adjustments	<u>(5,194,540)</u>	<u>4,505,660</u>
Net cash provided (used) by operating activities	(47,099)	5,357,953
CASH FLOWS FROM INVESTING ACTIVITIES:		
Short-term investments, net	(7,187,924)	
Change in restricted cash equivalents		93,618
Proceeds from sale of long-term investments	27,455,174	90,186,250
Purchase of long-term investments	(28,768,337)	(95,229,152)
Decrease in prepaid rent	152,815	136,809
Proceeds from sale of affiliate, net		1,954,914
Acquisition of property and equipment	<u>(1,057,309)</u>	<u>(2,198,142)</u>
Net cash used by investing activities	(9,405,581)	(5,055,703)
CASH FLOWS FROM FINANCING ACTIVITIES:		
Collection of pledges receivable restricted for endowment	<u>400,000</u>	<u>250,000</u>
Net cash provided by financing activities	<u>400,000</u>	<u>250,000</u>
NET INCREASE (DECREASE) IN CASH	(9,052,680)	552,250
CASH AND CASH EQUIVALENTS, beginning of year	<u>12,031,813</u>	<u>11,479,563</u>
CASH AND CASH EQUIVALENTS, end of year	<u>\$ 2,979,133</u>	<u>\$ 12,031,813</u>

See Notes to Consolidated Financial Statements

USA SWIMMING, INC.,
AND AFFILIATES
Notes to Consolidated Financial Statements
For the Year Ended December 31, 2017

A. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Organization

The accompanying financial statements include USA Swimming, Inc., USA Swimming Foundation, Inc., and its once wholly owned subsidiary, United States Sports Insurance Company, Incorporated (USSIC).

USA Swimming, Inc. is a Colorado non-profit corporation. USA Swimming is the national governing body for amateur swimming, making it responsible for the conduct and administration of amateur swimming in the United States.

The USA Swimming Foundation, Inc. (the Foundation), is a Colorado non profit corporation. The purpose of the Foundation is to operate for charitable and educational purposes, to foster national or international amateur sports competition, and to serve as a supporting organization for USA Swimming, Inc.

United States Sports Insurance Company, Inc. (USSIC) was a wholly owned captive insurer of USA Swimming, Inc. USSIC provided insurance protection on a run off basis to USA Swimming, Inc. and its committees and clubs located throughout the United States of America. Effective September 22, 2016, USA Swimming, Inc. entered into an Equity Purchase Agreement, selling all of the issued and outstanding equity membership interest in USSIC (See Note J).

Basis of Presentation

The financial statements of USA Swimming, Inc. are presented on a consolidated basis with USA Swimming Foundation, Inc. and United States Sports Insurance Company, Incorporated (the Organization) in order to conform to the requirements of Financial Accounting Standards Board ASC 958.

Transactions between the entities are shown as eliminating entries and removed in order to properly reflect consolidated totals.

Notes to Consolidated Financial Statements

A. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - Continued

Income Taxes

USA Swimming, Inc. and USA Swimming Foundation, Inc. are exempt from federal income taxes under Section 501(c)(3) of the Internal Revenue Code. In addition, these entities qualify for the charitable contribution deduction and have been classified as organizations that are not private foundations.

USA Swimming, Inc. and USA Swimming Foundation, Inc.'s Forms 990, Return of Organization Exempt from Income Tax, are subject to examination by various taxing authorities, generally for three years after the date they were filed.

USSIC was organized as a limited liability company (LLC), and Federal tax law provides an election for single member LLCs to be taxed as either associations or disregarded entities. USSIC chose to be treated as a disregarded entity. As such, USSIC's revenues and expenses were reported as part of USA Swimming, Inc.

Management of the Organization believes that it does not have any uncertain tax positions that are material to the financial statements.

Cash and Cash Equivalents

The Organization considers all liquid investments with original maturities of three months or less, and which are not held for long-term investment purposes, to be cash equivalents. Cash and highly liquid financial instruments held for long-term investment purposes, regardless of original length to maturity, are reported as investments and excluded from this definition. In the unlikely event of a bank or brokerage firm failure, USA Swimming, Inc. might only be able to recover the amounts insured.

Accounts Receivable

Accounts receivable are stated at the amount management expects to collect from balances outstanding at year-end. Based on management's assessment of the credit history with customers having outstanding balances and current relationships with them, it has concluded that no allowance for doubtful accounts was necessary at December 31, 2017 and 2016.

The delinquency and collectability of receivables is determined on a case by case basis and receivables are charged to bad debt expense when determined to be uncollectible.

Notes to Consolidated Financial Statements

A. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - Continued

Pledges Receivable

Pledges receivable consist of unconditional promises to give that are expected to be collected in current and future periods. Pledges expected to be collected within one year are recorded at their estimated net realizable values. Pledges receivable expected to be collected in more than one year are recorded at the present value of their estimated future cash flows, computed using risk-adjusted interest rates. Amortization of the discount is included in contribution revenue. Pledges receivable are reported as either temporarily restricted or permanently restricted support unless the donor stipulations or circumstances surrounding the pledge make clear the donor intended it to be used to support activities in the current period. Pledges receivable are considered by management to be fully collectible and, accordingly, no allowance for doubtful accounts is considered necessary.

Revenue Recognition

Gifts of cash and other assets are reported as restricted support if they are received with donor stipulations that limit the use of donated assets. When a restriction expires, that is, when a stipulated time restriction ends, or a purpose restriction is accomplished, temporarily restricted net assets are reclassified to unrestricted net assets and reported in the statement of activities as satisfied program restrictions. Temporarily restricted contributions and grants are reported as unrestricted support and revenues if the restriction is met in the same year that the gift is received.

Sponsorship and other related revenues are recognized in the period in which they are earned.

Contributed Services

USA Swimming, Inc. and USA Swimming Foundation, Inc. receive a substantial amount of donated services in carrying out their programs. No amounts have been reflected in the financial statements for those services since they do not meet the criteria for recognition under FASB ASC 605.

Donated Materials

Donated materials are recorded as both a revenue and expenditure in the accompanying statements of activities at their estimated values.

Notes to Consolidated Financial Statements

A. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - Continued

Functional Allocation of Expenses

The costs of providing various programs and other activities have been summarized on a functional basis in the statement of activities. Accordingly, certain costs have been allocated among the programs and supporting services benefited.

Use of Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions. This will affect the reported amounts of assets and liabilities, disclosure of contingent assets and liabilities at the date of the financial statements, and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from these estimates.

Prior-Year Comparisons

The financial statements include certain prior-year summarized comparative information in total but not by net asset or functional expense class. Such information does not include sufficient detail to constitute a presentation in conformity with accounting principles generally accepted in the United States of America. Accordingly, such information should be read in conjunction with USA Swimming, Inc.'s financial statements for the year ended December 31, 2016, from which the summarized information was derived.

Certain reclassifications have been made to the prior-year amounts in order to conform to the current year financial statement format.

Supplemental Cash Flow Disclosure

The Organization paid no interest or income taxes during either of the years ended December 31, 2017 and 2016.

Date of Management's Review

In preparing the financial statements, the Organization has evaluated events and transactions for potential recognition or disclosure through April 20, 2018, the date that the financial statements were available to be issued.

Notes to Consolidated Financial Statements

B. FAIR VALUE MEASUREMENTS

The Organization applies Generally Accepted Accounting Principles (GAAP) for fair value measurements of financial assets that are recognized or disclosed at fair value in the financial statements on a recurring basis. GAAP establishes a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (Level 1 measurements) and the lowest priority to measurements involving significant unobservable inputs (Level 3 measurements). The three levels of fair value hierarchy are as follows:

- Level 1 inputs are quoted prices (unadjusted) in active markets for identical assets or liabilities that the Organization has the ability to access at the measurement date.
- Level 2 inputs are inputs other than quoted prices included within Level 1 that are observable for the asset or liability, either directly or indirectly.
- Level 3 inputs are unobservable inputs for the asset or liability.

The level in the fair value hierarchy within which a fair measurement in its entirety falls is based on the lowest level input that is significant to the fair value measurement in its entirety.

The following tables present assets that are measured at fair value on a recurring basis at December 31, 2017 and 2016:

Notes to Consolidated Financial Statements

B. FAIR VALUE MEASUREMENTS - Continued

Assets at Fair Value as of December 31, 2017

	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>	<u>Total</u>
Fixed income securities:				
Corporate and other notes	\$	\$ 20,022,536	\$	\$ 20,022,536
US Treasury and agencies	6,804,777			6,804,777
Exchange traded funds	19,658,878			19,658,878
Mutual funds	12,806,755			12,806,755
Money market	<u>525,161</u>			<u>525,161</u>
	<u>\$ 39,795,556</u>	<u>\$ 20,022,536</u>	<u>\$</u>	<u>\$ 59,818,102</u>

Assets at Fair Value as of December 31, 2016

	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>	<u>Total</u>
Fixed income securities:				
Corporate and other notes	\$	\$ 15,553,560		\$ 15,553,560
US Treasury and agencies	1,606,849			1,606,849
Exchange traded funds	15,377,296			15,377,296
Mutual funds	11,882,215			11,882,215
Money market	<u>1,217,171</u>			<u>1,217,171</u>
	<u>\$ 30,083,531</u>	<u>\$ 15,553,560</u>	<u>\$</u>	<u>\$ 45,637,091</u>

Investments are included in the consolidated statement of financial position under the following categories as of December 31:

	<u>2017</u>	<u>2016</u>
Short-term investments	\$ 7,187,924	\$
Long-term investments	<u>52,630,178</u>	<u>45,637,091</u>
Total	<u>\$ 59,818,102</u>	<u>\$ 45,637,091</u>

Investment income included in the consolidated statement of activities for the years ended December 31, 2017 and 2016 consists of the following:

Notes to Consolidated Financial Statements

B. FAIR VALUE MEASUREMENTS - Continued

	<u>2017</u>	<u>2016</u>
Interest and dividends	\$ 1,412,827	\$ 1,195,837
Less investment fees	(124,119)	(123,544)
Net realized and unrealized gains	<u>5,679,912</u>	<u>1,718,305</u>
Total investment income	<u>\$ 6,968,620</u>	<u>\$ 2,790,598</u>

USA Swimming, Inc. and USA Swimming Foundation, Inc. record realized gains and losses in their financial statements based on historical cost basis.

C. PLEDGES RECEIVABLE

As of December 31, 2017 and 2016, the Foundation had pledges receivable of \$3,742,340 and \$3,689,395, respectively, representing unconditional promises to give made during the current and prior years. The pledges will be received by the Foundation during future years and have been discounted using the risk-free rate for the year in which they were received ranging from .11% to 2.69%.

Total pledges receivable at December 31, 2017 and 2016 were as follows:

	<u>2017</u>	<u>2016</u>
Short-term pledges receivable	\$ <u>1,061,715</u>	\$ <u>825,000</u>
Pledges receivable in future years	\$ 2,680,625	\$ 2,875,000
Less discount to net present value	<u> </u>	<u>(10,605)</u>
Long-term pledges receivable	<u>\$ 2,680,625</u>	<u>\$ 2,864,395</u>

At December 31, 2017 and 2016, three and two donors account for 82% and 89% of the pledges receivable, respectively.

D. PREPAID EXPENSES AND DEFERRED CHARGES

Prepaid expenses and deferred charges consist of the following at December 31, 2017 and 2016:

	<u>2017</u>	<u>2016</u>
Prepaid insurance	\$ 1,023,618	\$ 1,014,401
Deferred charges	<u>582,620</u>	<u>460,637</u>
	<u>\$ 1,606,238</u>	<u>\$ 1,475,038</u>

Notes to Consolidated Financial Statements

D. PREPAID EXPENSES AND DEFERRED CHARGES - Continued

Expenses incurred in connection with events are recognized in the year the events take place. Membership expenses incurred in connection with the subsequent membership year are deferred.

Other non-current assets include prepaid rent of \$2,334,832 and \$2,487,647 at December 31, 2017 and 2016, respectively.

In 1996 and 1997 USA Swimming, Inc. paid approximately \$3,400,000 to construct a headquarters office building at the Olympic Training Center. The building is owned by the United States Olympic Committee (USOC). In consideration for USA Swimming, Inc.'s payment of the construction costs, the USOC agreed that USA Swimming, Inc. would be allowed to occupy the building free of any obligation to pay rent or operating costs for a 30-year period commencing March 1, 1997.

The building construction costs were recorded as prepaid rent, which are being amortized over the 30-year life of the agreement. USA Swimming, Inc. has recorded rent at fair market rates and interest income to reflect the discount received from the prepayment.

Rent expense recorded in 2017 and 2016 amounted to \$327,197 and \$320,781 and interest income recorded in 2017 and 2016 amounted to \$174,382 and \$183,972, respectively.

E. PROPERTY AND EQUIPMENT

Property and equipment are stated at cost and depreciation is recorded using the straight-line method over the estimated useful lives of three to 10 years. Acquisitions with an initial cost over \$1,000 and a useful life of over one year are capitalized. Expenditures for repairs and maintenance which do not materially prolong the useful lives of the assets are charged to expense as incurred.

Property and equipment consists of the following at December 31, 2017 and 2016:

	<u>2017</u>	<u>2016</u>
Software and website	\$ 8,481,531	\$ 7,294,141
Building and leasehold improvements	2,334,855	2,334,855
Furniture and equipment	1,423,625	1,666,582
Vehicles	<u>27,693</u>	<u>27,693</u>
	12,267,704	11,323,271
Less accumulated depreciation	<u>(8,226,150)</u>	<u>(7,354,884)</u>
Property and equipment - net	<u>\$ 4,041,554</u>	<u>\$ 3,968,387</u>

Notes to Consolidated Financial Statements

E. PROPERTY AND EQUIPMENT - Continued

Depreciation expense for the years ended December 31, 2017 and 2016 was \$984,142 and \$707,585, respectively.

F. DEFERRED REVENUE

Deferred revenue consists of the following at December 31, 2017 and 2016:

	<u>2017</u>	<u>2016</u>
Membership	\$ 14,260,035	\$ 14,177,060
Other	93,417	32,809
Corporate sponsorships	<u>50,825</u>	<u>31,410</u>
	<u>\$ 14,404,277</u>	<u>\$ 14,241,279</u>

Membership revenue is recognized on a calendar year basis. Corporate sponsorships are recognized over the term of the related agreement.

G. TEMPORARILY RESTRICTED NET ASSETS

Temporarily restricted net assets are available for the following purposes at December 31:

	<u>2017</u>	<u>2016</u>
Purpose restrictions	\$ 848,345	\$ 707,913
Time restrictions	<u>575,000</u>	<u>575,000</u>
Total	<u>\$ 1,423,345</u>	<u>\$ 1,128,913</u>

Net assets are released from donor restrictions by incurring expenses that satisfy the restricted purpose. During the year ended December 31, 2017, net assets were released from temporary restrictions by satisfying the following restricted purposes:

	<u>2017</u>	<u>2016</u>
Time restrictions	\$ 556,399	\$ 350,000
Make A Splash program	181,716	202,800
National team	80,625	2,263,646
Golden Goggles	<u>50,000</u>	<u>50,000</u>
Total	<u>\$ 868,740</u>	<u>\$ 2,866,446</u>

Notes to Consolidated Financial Statements

H. PERMANENTLY RESTRICTED NET ASSETS

During the year ended December 31, 2008, the Foundation received a permanently restricted pledge of \$5,000,000. This pledge was recorded at the present value of \$4,967,466, net of a discount in the amount of \$32,534. Funds collected under the pledge are recognized as endowment funds. During the year ended December 31, 2017 and 2016, the Foundation received permanently restricted contributions of \$600,000 and \$50,000, respectively. The contributions were recognized as endowment funds.

Permanently restricted net assets consist of the following at December 31:

	<u>2017</u>	<u>2016</u>
Endowment funds	\$ 2,950,000	\$ 2,550,000
Pledge receivable	<u>2,700,000</u>	<u>2,500,000</u>
Total	<u>\$ 5,650,000</u>	<u>\$ 5,050,000</u>

I. ENDOWMENTS

The Foundation's endowment funds consist of unrestricted funds functioning as endowments through designations by the Board and donor restricted endowment funds. The earnings of the Board designated endowment are designated for athlete support. The earnings of the permanently restricted endowment support Make a Splash and the USA Swimming Dirks/Gould Coaches Incentive Program.

The Foundation has adopted investment and spending policies based on the Uniform Prudent Management of Institutional Funds Act (UPMIFA). The Foundation has interpreted UPMIFA as requiring the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. As a result of this interpretation, the Foundation classifies as permanently restricted net assets (a) the original value of gifts donated to the permanent endowment, and (b) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time of accumulation is added to the fund. The remaining portion of the donor-restricted endowment funds that is not classified in permanently restricted net assets is classified as temporarily restricted net assets until those amounts are appropriated for expenditure by the Foundation in a manner consistent with the standard of prudence prescribed by UPMIFA. Each year, the Foundation is required to spend no less than 3% and no more than 5% of the donor restricted endowment funds for specific purposes.

Notes to Consolidated Financial Statements

I. ENDOWMENTS - Continued

The Foundation does not include uncollected pledges receivable, that are permanently restricted, as part of endowment net assets. Amounts are included with endowment net assets as the pledges receivable are collected. As of December 31, 2017 and 2016, permanently restricted uncollected pledges were \$2,700,000 and \$2,500,000, respectively.

	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>Permanently Restricted</u>
Endowment net assets, January 1, 2016	\$ 5,655,342	\$	\$ 2,250,000
Investment return:			
Investment income	191,349	28,426	
Net appreciation (net realized and unrealized)	<u>330,176</u>	<u>90,175</u>	
Total investment return	521,525	118,601	
Contributions	4,112,091		300,000
Expenditures	<u>(300,000)</u>	<u>(118,601)</u>	
Endowment net assets, December 31, 2016	9,988,958		2,550,000
Investment return:			
Investment income	241,596	63,226	
Net appreciation (net realized and unrealized)	<u>1,312,631</u>	<u>345,192</u>	
Total investment return	1,554,227	408,418	
Contributions	1,264,310		400,000
Expenditures	<u>(430,000)</u>	<u>(146,250)</u>	
Endowment net assets, December 31, 2017	<u>\$ 12,377,495</u>	<u>\$ 262,168</u>	<u>\$ 2,950,000</u>

From time to time, the fair value of assets associated with individual donor-restricted endowment funds may fall below the level that the donor or UPMIFA requires the Foundation to retain as a fund of perpetual duration. In accordance with GAAP, a deficiency of this nature is reported in unrestricted net assets of \$0 and \$6,399 as of December 31, 2017 and 2016.

Notes to Consolidated Financial Statements

I. ENDOWMENTS - Continued

The Foundation has adopted investment and spending policies for endowment assets that attempt to provide a predictable stream of funding to programs supported by its endowment while seeking to maintain the purchasing power of the endowment assets. Endowment assets include those assets of donor-restricted funds that the Foundation must hold in perpetuity or for a donor-specified period as well as board-designated funds. Under this policy the endowment assets are invested in a manner that is intended to produce maximum results while assuming a moderate level of investment risk. The Foundation expects its endowment funds, over time, to provide a rate of return sufficient to keep pace with the rate of inflation. Actual returns in any given year may vary from this amount.

To satisfy its long-term rate-of-return objectives, the Foundation relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized) and current yield (interest and dividends). The Foundation targets a diversified asset allocation that places a great emphasis on equity-based investments to achieve its long-term return objectives within prudent risk constraints.

J. USSIC PROVISION FOR LOSSES

The USSIC provision for insurance losses and loss expenses was based on circumstances reported and a review of individual cases for each respective policy year and an actuarial study which takes into account the past loss experience and the potential of significant losses which might arise.

As these provisions are necessarily based on estimates, the ultimate liability may be significantly in excess of or less than the amounts provided. The methods of making such estimates and for establishing the resulting provisions are continually reviewed and any adjustments resulting therefrom are reflected in current earnings. The reserve for losses was transferred as part of the sale of USSIC on September 22, 2016.

In accordance with the Equity Purchase Agreement, USA Swimming obtained a letter of credit (the LOC) for benefit of the buyer in the amount of \$5,000,000. The LOC collateralizes indemnity reserves and allows the buyer to draw against the LOC once per quarter for the payment of claims that exceed \$3,265,599, which is the referenced loss reserves as defined in the agreement. If on the fifth anniversary of the date of sale the estimated ultimate losses of USSIC are equal to or greater than \$5,000,000 USA Swimming may, but is not obligated to, release the entire LOC to the buyer. If on the fifth anniversary of the date of sale

Notes to Consolidated Financial Statements

J. USSIC PROVISION FOR LOSSES - Continued

the estimated ultimate losses of USSIC are less the \$5,000,000 USA Swimming may release a portion of the LOC to the buyer or reduce the LOC amount. The LOC will be terminated on the tenth anniversary of the date of sale.

K. RELATED PARTY TRANSACTIONS

The United States Olympic Committee (USOC) provides grants to USA Swimming, Inc. for sports development, international competition, and team preparation. In addition, the USOC designates a portion of their funding for athlete support, and this amount is paid directly to eligible athletes.

Total grants from the USOC for the years ended December 31, 2017 and 2016 consist of the following project categories:

	<u>2017</u>	<u>2016</u>
NGB Funding	\$ 3,082,200	\$ 2,832,624
Direct athlete support	1,997,500	1,997,500
International relations	130,000	11,000
Other USOC support	50,000	49,065
Olympic trials support	<u> </u>	<u>1,160,000</u>
	<u>\$ 5,259,700</u>	<u>\$ 6,050,189</u>

During the years ended December 31, 2017 and 2016, NGB funding provided as value-in-kind was \$60,000 and \$60,424, respectively. At December 31, 2017 and 2016, payables to the USOC amounted to \$324,478 and \$1,172,106, respectively.

L. PENSION PLAN

USA Swimming, Inc. and USA Swimming Foundation, Inc.'s 401(k) retirement plan covers all employees over 18 years of age with one year of service. During the years ended December 31, 2017 and 2016, contributions to the plan were \$668,133 and \$688,851, respectively.

Effective January 1, 2004, USA Swimming, Inc. entered into a deferred compensation agreement under Section 457 of the Internal Revenue Code with its former Chief Executive Officer. The purpose of the plan is to provide retirement benefits for this individual. This plan contains two components, a Qualified Deferred Compensation account, and a Nonqualified account. All amounts credited to the Qualified Deferred Compensation account are fully vested. In January 2013, all funds held in the non-qualified account were distributed to the former Chief Executive Officer.

Notes to Consolidated Financial Statements

L. PENSION PLAN - Continued

As of December 31, 2012, the deferred compensation plan was fully funded, and no additional contributions have been made. However, earnings of 8% are added to the fund annually. At December 31, 2017 and 2016, the vested balance in the Qualified Deferred Compensation account was \$305,923 and \$339,944, respectively.

M. INVESTMENT IN JOINT VENTURE

USA Swimming, Inc. is a party to a joint venture agreement with Omaha Sports Commission (OSC) for the purpose of operating, promoting, and managing the US Olympic Team Trials (the Trials). The two parties agree to share equally the difference between the Trials revenues and the Trials expenses from the operation of the Trials. The joint venture agreement states that any amounts received from the USOC and certain sponsors will accrue solely to the benefit of USA Swimming, Inc. and likewise any amounts paid to OSC from various Nebraska municipalities will accrue to the benefit of OSC.

The following is an unaudited condensed balance sheet of the joint venture as of December 31:

	<u>2017</u>	<u>2016</u>
<u>ASSETS</u>		
Cash	\$ 86,412	\$ 404,837
Accounts receivable		9,156
Property and equipment, net	<u>221,929</u>	<u>327,091</u>
Total assets	<u>\$ 308,341</u>	<u>\$ 741,084</u>
<u>LIABILITIES AND EQUITY</u>		
Liabilities	\$	\$
Equity	<u>308,341</u>	<u>741,084</u>
Total liabilities and equity	<u>\$ 308,341</u>	<u>\$ 741,084</u>

N. COMMITMENT

During the year ended December 31, 2017, the former Chief Executive Officer's contract was amended, and the updated contract included a severance provision. Upon his passing during 2017, this provision was activated and the related expense was realized in the financial statements. The related liability was fully satisfied subsequent to December 31, 2017.

USA SWIMMING, INC.
USA SWIMMING FOUNDATION, INC.
Consolidating Statement of Financial Position
December 31, 2017
(With Consolidated Totals for 2016)

ASSETS

	<u>USAS</u>	<u>USASF</u>	<u>Eliminations</u>	Consolidated Totals <u>2017</u>	Consolidated Totals <u>2016</u>
CURRENT ASSETS:					
Cash and cash equivalents	\$ 2,312,498	\$ 666,635	\$	\$ 2,979,133	\$ 12,031,813
Short-term investments	5,987,818	1,200,106		7,187,924	
Accounts receivable, net	947,381	111,851		1,059,232	1,416,814
Due from USA Swimming, Inc.		31,437	(31,437)		
Short-term pledges receivable		1,061,715		1,061,715	825,000
Prepaid expenses and deferred charges	<u>1,584,398</u>	<u>21,840</u>		<u>1,606,238</u>	<u>1,475,038</u>
Total current assets	10,832,095	3,093,584	(31,437)	13,894,242	15,748,665
PROPERTY AND EQUIPMENT	12,037,741	229,963		12,267,704	11,323,271
Less accumulated depreciation	<u>(8,054,463)</u>	<u>(171,687)</u>		<u>(8,226,150)</u>	<u>(7,354,884)</u>
Property and equipment - net	3,983,278	58,276		4,041,554	3,968,387
LONG-TERM INVESTMENTS	37,079,340	15,550,838		52,630,178	45,637,091
LONG-TERM PLEDGES & OTHER RECEIVABLES		2,680,625		2,680,625	2,864,395
OTHER ASSETS:					
Prepaid rent	2,334,832			2,334,832	2,487,647
Olympic trials joint venture	154,170			154,170	370,542
Swim-A-Thon		<u>120,000</u>		<u>120,000</u>	<u>120,000</u>
Total other assets	<u>2,489,002</u>	<u>120,000</u>		<u>2,609,002</u>	<u>2,978,189</u>
TOTAL ASSETS	<u>\$ 54,383,715</u>	<u>\$ 21,503,323</u>	<u>\$ (31,437)</u>	<u>\$ 75,855,601</u>	<u>\$ 71,196,727</u>

LIABILITIES AND NET ASSETS

CURRENT LIABILITIES:

Accounts payable	\$ 1,166,573	\$ 30,358	\$	\$ 1,196,931	\$ 1,393,196
Due to USA Swimming, Inc.	31,437		(31,437)		
Accrued expenses and other liabilities	2,484,458	59,581		2,544,039	2,999,339
Deferred revenue	<u>14,391,860</u>	<u>12,417</u>		<u>14,404,277</u>	<u>14,241,279</u>
Total current liabilities	18,074,328	102,356	(31,437)	18,145,247	18,633,814

NET ASSETS:

Unrestricted	36,309,387	869,877		37,179,264	35,039,492
Board designated		13,457,745		13,457,745	11,190,508
Temporarily restricted		1,423,345		1,423,345	1,282,913
Permanently restricted		<u>5,650,000</u>		<u>5,650,000</u>	<u>5,050,000</u>
Total net assets	<u>36,309,387</u>	<u>21,400,967</u>		<u>57,710,354</u>	<u>52,562,913</u>

TOTAL LIABILITIES AND NET ASSETS	<u>\$ 54,383,715</u>	<u>\$ 21,503,323</u>	<u>\$ (31,437)</u>	<u>\$ 75,855,601</u>	<u>\$ 71,196,727</u>
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USA SWIMMING, INC.
USA SWIMMING FOUNDATION, INC.
Consolidating Statements of Activities and Changes in Net Assets
For the Year Ended December 31, 2017
(With Consolidated Totals for 2016)

	<u>USAS</u>	<u>USASF</u>	<u>Eliminations</u>	Consolidated Totals <u>2017</u>	Consolidated Totals <u>2016</u>
CHANGES IN UNRESTRICTED NET ASSETS:					
REVENUE:					
Membership	\$ 22,483,811	\$	\$	\$ 22,483,811	\$ 20,745,938
Investment income	4,992,488	1,561,315		6,553,803	1,499,674
Sponsorships	4,775,147	521,089		5,296,236	7,273,933
USOC grants	5,259,700			5,259,700	6,050,189
Events and registrations	1,496,751			1,496,751	5,496,409
Contributions	612,500	1,060,326	(712,500)	960,326	795,103
Swim-A-Thon	120,000	355,405	(120,000)	355,405	372,323
Other income	217,368	82,117	(60,000)	239,485	339,005
Publications and fulfillment	117,052			117,052	164,272
USA Swimming support		1,525,371	(1,525,371)		
Trials VIP income					237,706
Satisfied program restrictions		868,740		868,740	2,866,446
	<hr/>	<hr/>	<hr/>	<hr/>	<hr/>
Total revenue	40,074,817	5,974,363	(2,417,871)	43,631,309	45,840,998
EXPENSES:					
Program services:					
National Team	7,983,203			7,983,203	9,645,902
Promotion	6,086,604			6,086,604	8,098,803
Club development	4,379,177			4,379,177	4,099,984
Member services	4,214,842			4,214,842	3,544,236
Events	4,036,589		(100,000)	3,936,589	2,535,573
Risk Management	2,956,381			2,956,381	3,295,323
Foundation programs	1,525,371	2,282,340	(2,257,871)	1,549,840	1,605,563
Athlete protection and safety	411,754			411,754	345,470
Organizational relations	252,632			252,632	285,190
	<hr/>	<hr/>	<hr/>	<hr/>	<hr/>
Total program services	31,846,553	2,282,340	(2,357,871)	31,771,022	33,456,044

Supporting services:					
Executive division	3,718,260			3,718,260	2,739,326
Financial affairs	1,327,518			1,327,518	1,157,746
Fundraising		1,353,661	(60,000)	1,293,661	1,325,763
Committees and governance	872,962			872,962	683,086
Sponsor relations	240,877			240,877	673,387
	<u>6,159,617</u>	<u>1,353,661</u>	<u>(60,000)</u>	<u>7,453,278</u>	<u>6,579,308</u>
Total supporting services					
	<u>6,159,617</u>	<u>1,353,661</u>	<u>(60,000)</u>	<u>7,453,278</u>	<u>6,579,308</u>
Total expenses	<u>38,006,170</u>	<u>3,636,001</u>	<u>(2,417,871)</u>	<u>39,224,300</u>	<u>40,035,352</u>
CHANGE IN UNRESTRICTED NET ASSETS FROM OPERATIONS	2,068,647	2,338,362		4,407,009	5,805,646
CHANGE IN TEMPORARILY RESTRICTED NET ASSETS:					
Contributions		594,355		594,355	345,929
Investment income		414,817		414,817	236,979
Satisfied program restrictions		(868,740)		(868,740)	(2,866,446)
CHANGE IN TEMPORARILY RESTRICTED NET ASSETS		140,432		140,432	(2,283,538)
CHANGE IN PERMANENTLY RESTRICTED NET ASSETS:					
Contributions		600,000		600,000	53,778
CHANGE IN PERMANENTLY RESTRICTED NET ASSETS		600,000		600,000	53,778
CHANGE IN NET ASSETS, FROM CONTINUING OPERATIONS	2,068,647	3,078,794		5,147,441	3,575,886
LOSS FROM DISCONTINUED OPERATIONS, INCLUDING LOSS ON SALE OF \$3,640,814					(2,723,593)
CHANGE IN NET ASSETS	2,068,647	3,078,794		5,147,441	852,293
NET ASSETS, beginning of year	34,240,740	18,322,173		52,562,913	51,710,620
NET ASSETS, end of year	<u>\$ 36,309,387</u>	<u>\$ 21,400,967</u>	<u>\$</u>	<u>\$ 57,710,354</u>	<u>\$ 52,562,913</u>

USA SWIMMING, INC.
USA SWIMMING FOUNDATION, INC.
Schedule of Program Services
For the Year Ended December 31, 2017

	National Team	Promotion	Club Development	Member Services	Events	Risk Management	Foundation Programs	Athlete Protection and Safety	Organizational Relations	Total
Salaries	\$ 1,339,438	\$ 1,189,282	\$ 1,515,024	\$ 1,672,883	\$	\$	\$ 458,532	\$	\$	\$ 6,175,159
Travel and hospitality	1,872,667	264,243	931,961	977,995	900,964	1,724	96,093	66,381	50,889	5,162,917
Professional fees and honoraria	130,602	823,292	146,305	121,066	1,292,230	21,600	368,002	167,740	2,700	3,073,537
Insurance	34,222			-	11,090	2,909,865				2,955,177
Direct athlete support	2,897,000	49,500		41,000	5,000					2,992,500
Television and production	9,769	1,334,200	39,150	(71)	199,746		17,794			1,600,588
Employee benefits	284,473	383,349	389,950	417,357						1,475,129
Grants	135,408		467,447		50,000		494,737		120,000	1,267,592
Dues, fees and tickets	25,268	212,806	89,310	31,251	651,482	975	2,101	48,696	21,935	1,083,824
Software, gear and equipment	86,154	228,577	49,548	106,449	425,600			5,710		902,038
Depreciation and amortization	71,810	347,313	232,638	150,515			5,247	34,722		842,245
Office supplies and exper	134,242	458,193	67,302	79,714	56,973	5,591	23,408	2,940	1,422	829,785
Printing and duplication	7,822	454,525	28,028	87,859	48,580	2,666	3,903	3,939	27	637,349
Awards and gifts	407,795	1,305	63,408	8,081	74,714		21,426			576,729
Rent and lease expense	83,259	90,995	143,713	77,747	123,975		10,788	4,278	442	535,197
Apparel	339,008	28,459	58,422	5,077	36,775	10,220	2,465	3,501		483,927
Payroll taxes	90,987	83,739	108,672	101,899						385,297
Repairs and maintenance	330	765	421	178,134			9,257	60,000		248,907
Telephone and internet service	22,166	21,167	27,510	133,282	9,471	1,299	2,750	2,375	2,917	222,937
Protocol	7,219	17,807	16,191	20,901	49,489	2,441		11,122	52,300	177,470
Advertising		82,280	100				32,463			114,843
Miscellaneous expenses	3,564	14,807	4,077	3,703	500		874	350		27,875
	<u>\$ 7,983,203</u>	<u>\$ 6,086,604</u>	<u>\$ 4,379,177</u>	<u>\$ 4,214,842</u>	<u>\$ 3,936,589</u>	<u>\$ 2,956,381</u>	<u>\$ 1,549,840</u>	<u>\$ 411,754</u>	<u>\$ 252,632</u>	<u>\$ 31,771,022</u>

USA SWIMMING, INC.
USA SWIMMING FOUNDATION, INC.
Schedule of Supporting Services
For the Year Ended December 31, 2017

	Executive Division	Financial Affairs	Fundraising	Committees & Governance	Sponsor Relations	Total
Salaries and employee benefits	\$ 2,639,982	\$ 815,754	\$ 719,364	\$	\$	\$ 4,175,100
Travel and hospitality	72,771	1,498	120,935	607,805	88,691	891,700
Professional fees and honoraria	475,231	47,995	109,942	132,885	61,770	827,823
Other employee benefits	265,422	255,682				521,104
Rent and lease expense	37,282	39,833	6,185	71,829	27,495	182,624
Payroll taxes	78,775	53,624	34,024			166,423
Depreciation and amortization	43,082	47,000	51,816			141,898
Printing and duplication	6,200	6,982	92,624	11,518	2,111	119,435
Office supplies and expense	14,347	12,062	54,154	15,578	4,233	100,374
Dues, fees and tickets	59,278	4,828		24,213	2,616	90,935
Apparel	214		43,007			43,221
Miscellaneous expenses	4,070	26,565	1,665	735	6,609	39,644
Recognition and fulfillment			29,116			29,116
Software, gear and equipment	434	6,477	4,705	3,720	12,334	27,670
Telephone and internet service	9,695	4,731	5,475	3,492	383	23,776
Protocol	11,155	208			11,112	22,475
Awards and gifts	120		18,136	1,187	123	19,566
Direct athlete support					16,000	16,000
Television and production					7,400	7,400
Advertising		2,270	1,550			3,820
Repairs and maintenance	202	2,009	963			3,174
	<u>\$ 3,718,260</u>	<u>\$ 1,327,518</u>	<u>\$ 1,293,661</u>	<u>\$ 872,962</u>	<u>\$ 240,877</u>	<u>\$ 7,453,278</u>

April 20, 2018

To the Board of Directors
USA Swimming, Inc.
Colorado Springs, Colorado

We have audited the financial statements of USA Swimming, Inc. (the Organization), for the year ended December 31, 2017 and have issued our report thereon dated April 20, 2018. As a part of our audit, we made a study and evaluation of the USAS's system of internal accounting control to the extent we considered necessary to evaluate the system as required by generally accepted auditing standards. Under these standards, the purposes of such evaluations are to establish a basis for reliance on the system of internal accounting control in determining the nature, timing and extent of other auditing procedures that are necessary for expressing an opinion on the financial statements and to assist us in planning and performing our audit of the financial statements.

The objective of internal accounting control is to provide reasonable, but not absolute, assurance as to the safeguarding of assets against loss from unauthorized use or disposition, and the reliability of financial records for preparing financial statements and maintaining accountability for assets. The concept of reasonable assurance recognizes that the evaluation of these factors necessarily requires estimates and judgments by management.

There are inherent limitations that should be recognized in considering the potential effectiveness of any system of internal accounting control. In the performance of most control procedures, errors can result from misunderstanding of instructions, mistakes of judgment, carelessness or other personal factors. Control procedures whose effectiveness depends upon segregation of duties can be circumvented intentionally by management either with respect to the execution and recording of transactions or with respect to the estimates and judgments required in the preparation of financial statements. Further, projection of any evaluation of internal accounting control to future periods is subject to the risk that the procedures may become inadequate because of changes in conditions and that the degree of compliance with the procedures may deteriorate.

USA Swimming, Inc.
April 20, 2018
Page 2

Our audit, including the study and evaluation of USAS's system of internal accounting control that was made for the purposes set forth in the first paragraph of this report, would not necessarily disclose all weaknesses in the system because it was based on selective tests of accounting records and related data. Such study and evaluation disclosed no conditions that we believe to be material weaknesses.

Recommendations

We noted no areas of concern in the Organization's procedures that need to be addressed at this time.

* * * * *

The preceding comments are based on observations made incident to our normal auditing procedures.

If you have any questions regarding any of the above comments, please contact us. We will be pleased to assist you in any way with respect to these or other matters.

Sincerely,

Waugh & Goodwin, LLP

April 20, 2018

To the Board of Directors
USA Swimming, Inc.
Colorado Springs, Colorado

We have audited the consolidated financial statements of USA Swimming, Inc. for the year ended December 31, 2017, and have issued our report thereon dated April 20, 2018. Professional standards require that we provide you with information about our responsibilities under generally accepted auditing standards, as well as certain information related to the planned scope and timing of our audit. We have communicated such information in our engagement letter to you dated December 8, 2017. Professional standards also require that we communicate to you the following information related to our audit.

SIGNIFICANT AUDIT FINDINGS

Qualitative Aspects of Accounting Practices

Management is responsible for the selection and use of appropriate accounting policies. The significant accounting policies used by USA Swimming, Inc. are described in Note A to the financial statements. No new accounting policies were adopted and the application of existing policies was not changed during 2017. We noted no transactions entered into by the Corporation during the year for which there is a lack of authoritative guidance or consensus. All significant transactions have been recognized in the financial statements in the proper period.

Accounting estimates are an integral part of the financial statements prepared by management and are based on management's knowledge and experience about past and current events and assumptions about future events. Certain accounting estimates are particularly sensitive because of their significance to the financial statements and because of the possibility that future events affecting them may differ significantly from those expected.

The financial statement disclosures are neutral, consistent, and clear.

Difficulties Encountered in Performing the Audit

We encountered no significant difficulties in dealing with management in performing and completing our audit.

Corrected and Uncorrected Misstatements

Professional standards require us to accumulate all misstatements identified during the audit, other than those that are clearly trivial, and communicate them to the appropriate level of management. There were no material misstatements detected as a result of audit procedures.

Disagreements with Management

For purposes of this letter, a disagreement with management is a financial accounting, reporting, or auditing matter, whether or not resolved to our satisfaction, that could be significant to the financial statements or the auditor's report. We are pleased to report that no such disagreements arose during the course of our audit.

Management Representations

We have requested certain representations from management that are included in the management representation letter dated April 20, 2018.

Other Audit Findings or Issues

We generally discuss a variety of matters, including the application of accounting principles and auditing standards, with management each year prior to retention as the Corporation's auditors. However, these discussions occurred in the normal course of our professional relationship and our responses were not a condition to our retention.

USA Swimming, Inc.
April 20, 2018
Page 3

Other Matters

With respect to the supplementary information accompanying the financial statements, we made certain inquiries of management and evaluated the form, content, and methods of preparing the information to determine that the information complies with U.S. generally accepted accounting principles, the method of preparing it has not changed from the prior period, and the information is appropriate and complete in relation to our audit of the financial statements. We compared and reconciled the supplementary information to the underlying accounting records used to prepare the financial statements or to the financial statements themselves.

* * * * *

This information is intended solely for the use of the Board of Directors and management of USA Swimming, Inc. and is not intended to be and should not be used by anyone other than these specified parties.

Sincerely,

Waugh & Goodwin, LLP



FIRSTwestern

Quarterly Investment Review

USA SWIMMING, INC.

&

USA SWIMMING FOUNDATION, INC.

1ST QUARTER 2018

Activity Summary

	USA Swimming, Inc.	USA Swimming, Inc. (Sterling)	Consolidated Accounts		
	Quarter to Date	Quarter to Date	Quarter to Date	Year to Date	Since Inception 6/26/2008
Beginning Value^{(1),(2)}	\$23,167,696	\$13,906,528	\$37,074,224	\$37,074,224	\$0
Net Contributions/Withdrawals ⁽³⁾	-\$1,519,167	\$1,189,017	-\$330,150	-\$330,150	\$27,026,533
Gain/Loss	-\$27,378	-\$193,256	-\$220,634	-\$220,634	\$9,496,907
Ending Value^{(1),(2)}	\$21,621,151	\$14,902,288	\$36,523,440	\$36,523,440	\$36,523,440

Performance

Time Weighted/Net of Fees	-0.59%	-0.59%	5.36%
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Asset Allocation

	Market Value	Portfolio %	Target %
US Large Cap Equities	\$8,479,336	23.22%	25.00%
US Small Cap Equities	\$1,422,467	3.89%	5.00%
International Equities	\$9,471,076	25.93%	23.00%
REITs	\$1,194,320	3.27%	4.00%
Commodities	\$909,295	2.49%	3.00%
High Yield Bonds	\$121,822	0.33%	0.00%
Fixed Income	\$14,512,284	39.73%	39.00%
International Fixed Income	\$29,192	0.08%	0.00%
Cash & Equivalents	\$383,647	1.05%	1.00%
	\$36,523,440	100.00%	100.00%

(1) Values include Accrued Income.

(2) Values do not include Non-Discretionary or Non-Reportable Assets.

	Market Value ^{(1),(2),(4)} As Of 3/31/2018	Portfolio ⁽⁵⁾ Weight	QTD	YTD	1Yr	3Yr	5Yr	10Yr	Since ^{(3),(4)} Inception	Inception Date
Broad Equity Market Index										
MSCI ACW Index NR			-0.96	-0.96	14.85	8.12	9.20	5.57		
US Large Cap Equities	\$8,479,336	23%	-0.89	-0.89	13.99	10.61	12.76		8.93	6/26/2008
S&P 500 Index			-0.76	-0.76	13.99	10.78	13.31	9.49		
Russell 1000 Index			-0.69	-0.69	13.98	10.39		9.61		
US Small Cap Equities	\$1,422,467	4%	-0.97	-0.97	10.78	7.66	11.55		8.56	6/26/2008
Russell 2000 Index			-0.08	-0.08	11.79	8.39	11.47	9.84		
International Equities	\$9,471,076	26%	1.18	1.18	21.11	7.04	6.46		2.70	6/26/2008
MSCI ACW Index Ex-US			-1.18	-1.18	16.53	6.18	5.89	2.70		
MSCI EAFE Index			-1.53	-1.53	14.80	5.55	6.50	2.74		
MSCI Emerging Markets Index			1.42	1.42	24.93	8.81	4.99	3.02		
REITs	\$1,194,321	3%	-3.41	-3.41	7.74	2.61	4.88		5.04	6/26/2008
FTSE EPRA/NAREIT Developed Index			-4.53	-4.53	3.23	1.52	4.10	3.41		
Commodities	\$909,295	2%	-0.37	-0.37	4.13	-2.84			-7.34	7/11/2013
Bloomberg Commodity Index			-0.40	-0.40	3.71	-3.21	-8.32	-7.71		
High Yield Bonds	\$121,822	0%	-4.99	-4.99	2.95	2.35	3.50		5.02	7/12/2011
BofAML HY Master II Index			-0.91	-0.91	3.69	5.18	5.02	8.12		
Fixed Income	\$14,512,284	40%	-1.31	-1.31	1.96	1.86	2.27		4.14	6/26/2008
Barclays Cap Aggregate Bond Index			-1.46	-1.46	1.20	1.20	1.82	3.63		
International Fixed Income	\$29,192	0%	-0.61	-0.61	3.79	3.30			5.43	7/23/2013
Cash & Equivalents	\$383,647	1%	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
BofAML US 3 Month T-Bill Index			0.35	0.35	1.10	0.53	0.34	0.34		
Total Portfolio	\$36,523,440	100%	-0.59	-0.59	10.03	5.35	5.98		5.38	6/26/2008
Blended Benchmark ⁽⁶⁾			-1.21	-1.21	8.50	4.87	5.61			
Inflation + 3%			3.82	3.82	5.11	5.01	4.41	4.58		

(1) Values include Accrued Income.

(2) Values do not include Non-Discretionary, Non-Reportable or Managed Alternative Assets.

(3) Returns are Annualized for periods over 1 year.

(4) Certain Sectors may not have been held for the entire reporting period of the Portfolio.

(5) Portfolio Weights reflect current holdings as of period end. Portfolio may have had varying sectors weightings over historical periods.

(6) Blended Benchmark Index is based on 53% MSCI ACW1 + 4% NAREIT Dev Index + 3% Bloomberg Commodity Index + 40% Barclay AggBond

**Investment Policy Statement
For
USA Swimming, Inc.
May 2018**

Overview

USA Swimming, Inc. is a not-for-profit organization with its national headquarters located in Colorado Springs, Colorado. USA Swimming, Inc. maintains an investment portfolio for the benefit of its members.

Purpose of Investment Policy Statement

The purpose of this Investment Policy Statement is to assist the Investment Committee of USA Swimming, Inc. (sometimes referred to herein as the “Committee”) in effectively establishing, supervising, monitoring and evaluating the investments maintained in the portfolio (referred to as “The Portfolio” which includes all USA Swimming portfolio assets, including operating funds, unless specifically stated otherwise.)

The Policy:

1. Defines the investment goals and objectives of The Portfolio;
2. Documents the material facts considered and the process used to arrive at the investment decisions reached;
3. Establishes an asset allocation and investment management strategy designed to have a high probability of meeting the goals and objectives of The Portfolio;
4. Establishes a disciplined decision-making process to be followed by the investment advisors and managers in implementing the investment strategies decided upon;
5. Establishes a criterion for evaluating the success of the investment management of The Portfolio; and
6. Documents the procedural prudence followed by the Committee in taking the investment course of action followed.

With respect to the investment portion of the portfolio (referred to as “the Investments”) that are managed by the Investment Advisor “Advisor,” this statement also establishes a clear understanding between the Investment Committee and the Advisor concerning the investment policies and objectives of USA Swimming, Inc. It is contemplated that the Advisor will employ Investment Managers “Manager(s)” to manage specific segments of the Investments. The Advisor will be responsible for overseeing the Investments, monitoring individual manager performance and compliance with this document with respect to the Investments, and making asset allocation recommendations.

Goals and Objectives

Portfolio Goals

It is a primary goal of USA Swimming, Inc. to invest the financial assets of the organization, in excess of funds needed for current operations, and to provide maximum earnings growth, based on a total return, consistent with a policy of prudent investment and protection of assets. It is also the policy of the organization to maintain operating funds to provide for liquidity to meet current operating and capital expenditure needs.

Investment Objectives

A. Investment Funds

The invested assets of USA Swimming, Inc. are invested and maintained in a balanced investment program. The primary objective is to provide maximum growth consistent with a policy of prudent investment and protection of assets. Growth will be attained through appreciation of assets, the inclusion of additional funds when available, and from retention of earnings of the fund except earnings caused to be withdrawn as hereinafter provided.

B. Short Term Operating Account

The Short Term Operating Account is comprised of primarily operating funds that could reasonably be expected to be spent over the next 3 to 12 months. The account will be managed by the Chief Financial Officer. The securities in the account will be limited to the following investment vehicles and restrictions:

	Single Security <u>Limit</u>	Minimum <u>Quality</u>	Maximum <u>Maturity</u>
Money Market Funds	None	N/A	N/A
CD's – brokered, adj. rate	\$1,000,000	N/A	1 yr
US Treasuries	None	N/A	1 yr
Agency Discount Notes	None	N/A	1 yr
Commercial Paper	\$1,000,000	A2/P2	1 yr
Corporate Bonds	\$1,000,000	A3/A-	1 yr

Asset Allocation

The asset allocation under the Investment Policy will meet the stated goals and objectives. The asset allocation is based upon the following:

- A. That it is not productive to “time” the markets. Rather, long-term strategic asset allocation, based upon the principles of Modern Portfolio Theory, is the most prudent investment approach. That is, effective diversification can reduce risk. In utilizing this methodology, it is important to diversify into all the major asset classes as set out below, and to diversify by investment style and money manager.
- B. That gains and losses have a significant impact upon the Investments’ growth objective.
- C. That portfolios with a greater amount of stock allocations and a lesser amount of bond allocations have a higher probability of short-term losses and of long-term higher returns than portfolios with lesser amounts of stocks.

Therefore, since long-term higher returns are very important in meeting the objectives of the Investments, the asset allocation shall contain a mixture of stocks and bonds that subject the portfolio to the potential of moderate, but not devastatingly large short-term losses, and provide the potential for higher long-term returns.

<u>Asset Allocation Mix</u>	<u>Minimum</u>	<u>Target</u>	<u>Maximum</u>
Stocks	43%	53%	63%
Real Estate	0%	4%	7%
Commodity	0%	3%	7%
Bonds	28%	39%	48%
Cash	0%	1%	5%

Historic* and Expected Returns

The long-term un-audited historic rate of return on the Investments is shown below. It is based on the historic expected long-term total return for each asset class, and then adjusted for interest rate environment and each asset class' percentage weighting in your portfolio. This is compared against the assumed long-term average rate of inflation (as measured by the Consumer Price Index). The difference between the nominal rate of return and the inflation rate is your real (after-inflation) expected return. Actual performance will vary from these assumed rates and there is no guarantee that this return objective will be achieved either in any single year or over the longer term. The portfolio return will also be reduced by the deduction of advisory and money management fees.

	Year 1	Year 3	Year 5	Year 10	Year 20
95th Percentile	26.08	17.36	14.68	12.28	10.77
Expected Value	6.64	6.57	6.68	6.47	6.48
5th Percentile	-9.00	-2.97	-0.87	1.35	2.68

*Mathematically calculated returns are based on historic asset class returns. Based on First Western Investment Advisor's capital market assumptions, the expected value returns are believed to be in the 4.85% - 7.1% range gross of investment advisory fees.

At least two benchmarks for each asset class shall be selected to compare future performance against. One or more passive indices that are reflective of the universe of securities within that asset class shall be selected. In addition, one or more active manager benchmarks will be used to compare relative performance of the investment vehicle used herein to other managers investing within a particular asset class.

It will be the objective of the Portfolio to outperform a blended benchmark consisting of 48% MSCI All Country World Index, 4% NAREIT Dev Index, 3% Dow Jones-UBS Commodity Index and 45% Barclays Aggregate Bond Index over a three year rolling period after fees. A secondary objective of the Portfolio will be to earn inflation (CPI) plus 3%. The Committee recognizes that any particular investment strategy will have periods where it will fall short of achieving its goal. During such period, the Committee expects rational explanations for such under-performance.

Risk will be measured by standard deviation and may be more or less risky than the blended index benchmark. Risk in excess of 15% plus or minus the benchmark may require additional examination. Returns will also be monitored on a risk adjusted basis as measured by the Sharpe Ratio. (Return of the portfolio minus the risk free rate divided (the risk free rate is measured by the 5 year Treasury note) by the standard deviation.

Investment Vehicles

In implementing the asset allocation policy, it is intended that there be extensive diversification by investment style. Mutual Funds, Exchange Traded Funds, and an individually managed fixed income portfolio have been selected as the primary methods of effectively implementing the asset allocation.

First Western Investment Advisors, the registered investment advisor to the Investments, will monitor the performance of each fund or manager and report to the Committee. First Western Investment Advisors will recommend replacement funds or managers.

Rebalancing

The asset allocation shall be rebalanced to the target allocations set out above after any quarter in which one or more of the minimum or maximum allocations are exceeded. Furthermore, in the event of a sudden or significant change in the asset allocation attributable to market conditions, the asset allocation may be rebalanced between quarters.

Costs

The costs associated with the management of each asset class shall be reviewed at least annually. It is the Investments' objective that the total costs of managing the funds, including the investment advisory fees, shall be average or below when compared to the average fees for a similar mix of mutual funds. Averages from Morningstar Analytical Service shall be used for determining the appropriate average.

Communications

Unless otherwise requested, the Advisor must furnish the Investment Committee with a quarterly account review detailing investment performance (time-weighted), portfolio holdings, an investment strategy, and the value of the Investments. The Investment Committee will also receive timely information about changes in investment philosophy, management, ownership, and key personnel of investment vehicles.

Investment Committee meetings will be held quarterly.

The Investment Committee may call more frequent meetings if significant concerns arise about the Advisor's investment strategy or performance of the Investments.

Execution

This Investment Policy Statement is hereby approved and adopted on _____.

By: _____

Printed Name: _____

Title: _____

By: _____

Printed Name: _____

Title: _____

**Investment Policy Statement
For
USA Swimming, Inc.
~~May Draft, August 2017~~**

Overview

USA Swimming, Inc. is a not-for-profit organization with its national headquarters located in Colorado Springs, Colorado. USA Swimming, Inc. maintains an investment portfolio for the benefit of its members.

Purpose of Investment Policy Statement

The purpose of this Investment Policy Statement is to assist the Investment Committee of USA Swimming, Inc. (sometimes referred to herein as the “Committee”) in effectively establishing, supervising, monitoring and evaluating the investments maintained in the portfolio (referred to as “The Portfolio” which includes all USA Swimming portfolio assets, including operating funds, unless specifically stated otherwise.)

The Policy:

1. Defines the investment goals and objectives of The Portfolio;
2. Documents the material facts considered and the process used to arrive at the investment decisions reached;
3. Establishes an asset allocation and investment management strategy designed to have a high probability of meeting the goals and objectives of The Portfolio;
4. Establishes a disciplined decision-making process to be followed by the investment advisors and managers in implementing the investment strategies decided upon;
5. Establishes ~~a criteria~~ a criterion for evaluating the success of the investment management of The Portfolio; and
6. Documents the procedural prudence followed by the Committee in taking the investment course of action followed.

With respect to the investment portion of the portfolio (referred to as “the Investments”) that are managed by the Investment Advisor “Advisor,” this statement also establishes a clear understanding between the Investment Committee and the Advisor concerning the investment policies and objectives of USA Swimming, Inc. It is contemplated that the Advisor will employ Investment Managers “Manager(s)” to manage specific segments of the Investments. The Advisor will be responsible for overseeing the Investments, monitoring individual manager performance and compliance with this document with respect to the Investments, and making asset allocation recommendations.

Goals and Objectives

Portfolio Goals

It is a primary goal of USA Swimming, Inc. to invest the financial assets of the organization, in excess of funds needed for current operations, and to provide maximum earnings growth, based on a total return, consistent with a policy of prudent investment and protection of assets. It is also the policy of the organization to maintain operating funds to provide for liquidity to meet current operating and capital expenditure needs.

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Investment Objectives

A. Investment Funds

The invested assets of USA Swimming, Inc. are invested and maintained in a balanced investment program. The primary objective is to provide maximum growth consistent with a policy of prudent investment and protection of assets. Growth will be attained through appreciation of assets, the inclusion of additional funds when available, and from retention of earnings of the fund except earnings caused to be withdrawn as hereinafter provided.

B. Short Term Operating Account

The Short Term Operating Account is comprised of primarily operating funds that could reasonably be expected to be spent over the next 3 to 12 months. The account will be managed by the Chief Financial Officer ~~with all transactions approved by the Treasurer except money market transfers~~. The securities in the account will be limited to the following investment vehicles and restrictions:

	Single Security <u>Limit</u>	Minimum <u>Quality</u>	Maximum <u>Maturity</u>	
Money Market Funds	None	N/A	N/A	
Brokered-CD's – brokered, adj. rate			\$1,250,000	N/A 1 yr
US Treasuries	None	N/A	1 yr	
Agency Discount Notes	None	N/A	1 yr	None
Commercial Paper	\$1,002,500	A2/P2	1 yr	9 mo
Corporate Bonds	\$1,000,000	A3/A-	1 yr	
Adjustable Rate Certificates	\$250,000	N/A	5 wk	

Asset Allocation

The asset allocation under the Investment Policy will meet the stated goals and objectives. The asset allocation is based upon the following:

- A. That it is not productive to “time” the markets. Rather, long-term strategic asset allocation, based upon the principles of Modern Portfolio Theory, is the most prudent investment approach. That is, effective diversification can reduce risk. In utilizing this methodology, it is important to diversify into all the major asset classes as set out below, and to diversify by investment style and money manager.
- B. That gains and losses have a significant impact upon the Investments’ growth objective.
- C. That portfolios with a greater amount of stock allocations and a lesser amount of bond allocations have a higher probability of short-term losses and of long-term higher returns than portfolios with lesser amounts of stocks.

Therefore, since long-term higher returns are very important in meeting the objectives of the Investments, the asset allocation shall contain a mixture of stocks and bonds that subject the portfolio to the potential of moderate, but not devastatingly large short-term losses, and provide the potential for higher long-term returns.

<u>Asset Allocation Mix</u>	<u>Target</u> Minimum	<u>Minimum</u> Target	<u>Maximum</u>
Stocks	54 3%	45 3%	63%
Real Estate	04 5%	43 %	7%
Commodity	30 %	30 %	7%
Bonds	2839 8%	3928 %	48%
Cash	10 %	01 %	55 %

Historic* and Expected Returns

The long-term un-audited historic rate of return on the Investments is shown below. It is based on the historic expected long-term total return for each asset class, and then adjusted for interest rate environment and each asset class' percentage weighting in your portfolio. This is compared against the assumed long-term average rate of inflation (as measured by the Consumer Price Index). The difference between the nominal rate of return and the inflation rate is your real (after-inflation) expected return. Actual performance will vary from these assumed rates and there is no guarantee that this return objective will be achieved either in any single year or over the longer term. The portfolio return will also be reduced by the deduction of advisory and money management fees.

	<u>Year 1</u>	<u>Year 3</u>	<u>Year 5</u>	<u>Year 10</u>	<u>Year 20</u>
95th Percentile	26.08 28.95 27.5	17.36 19.37 18.668	16.56 15.91 4.68	13.28 12.28	11.28 10.77
Expected Value	8.08 6.64	7.63 6.57	7.55 6.68	7.48 6.47	7.45 6.76 48
5th Percentile	-9.00 -10.53 -10.8	-3.34 -2.97	-1.40 -0.87	-1.38 -0.13 52	3.11 2.52 68

*Mathematically calculated returns are based on historic asset class returns. Based on First Western Investment Advisor's capital market assumptions, the expected value returns are believed to be in the 4.85% - 7.1% range gross of investment advisory fees.

At least two benchmarks for each asset class shall be selected to compare future performance against. One or more passive indices that are reflective of the universe of securities within that asset class shall be selected. In addition, one or more active manager benchmarks will be used to compare relative performance of the investment vehicle used herein to other managers investing within a particular asset class.

It will be the objective of the Portfolio to outperform a blended benchmark consisting of ~~48~~48% MSCI All Country World Index, 4% NAREIT Dev Index, 3% Dow Jones-UBS Commodity Index and 45% Barclays Aggregate Bond Index over a three year rolling period after fees. A secondary objective of the Portfolio will be to earn inflation (CPI) plus 3%. The Committee recognizes that any particular

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investment strategy will have periods where it will fall short of achieving its goal. During such period, the Committee expects rational explanations for such under-performance.

Risk will be measured by standard deviation and may be more or less risky than the blended index benchmark. Risk in excess of 15% plus or minus the benchmark may require additional examination. Returns will also be monitored on a risk adjusted basis as measured by the Sharpe Ratio. (Return of the portfolio minus the risk free rate divided (the risk free rate is measured by the 5 year Treasury note) by the standard deviation.

Investment Vehicles

In implementing the asset allocation policy, it is intended that there be extensive diversification by investment style. ~~Frank Russell Investment Management Company funds, through First Western Investment Advisors, have been selected as the primary method of effectively implementing the asset allocation. Mutual Funds, Exchange Traded Funds, and an individually managed fixed income portfolio have been selected as the primary methods of effectively implementing the asset allocation.~~

First Western Investment Advisors, the registered investment advisor to the Investments, will monitor the performance of each fund or manager and report to the Committee. First Western Investment Advisors will recommend replacement funds or managers.

Rebalancing

The asset allocation shall be rebalanced to the target allocations set out above after any quarter in which one or more of the minimum or maximum allocations are exceeded. Furthermore, in the event of a sudden or significant change in the asset allocation attributable to market conditions, the asset allocation may be rebalanced between quarters.

Costs

The costs associated with the management of each asset class shall be reviewed at least annually. It is the Investments' objective that the total costs of managing the funds, including the investment advisory fees, shall be average or below when compared to the average fees for a similar mix of mutual funds. Averages from Morningstar Analytical Service shall be used for determining the appropriate average.

Communications

Unless otherwise requested, the Advisor must furnish the Investment Committee with a quarterly account review detailing investment performance (time-weighted), portfolio holdings, an investment strategy, and the value of the Investments. The Investment Committee will also receive timely information about changes in investment philosophy, management, ownership, and key personnel of investment vehicles~~Frank Russell Investment Management Company.~~

Investment Committee meetings will be held quarterly.

The Investment Committee may call more frequent meetings if significant concerns arise about the Advisor's investment strategy or performance of the Investments.

Execution

This Investment Policy Statement is hereby approved and adopted on _____.

By: _____

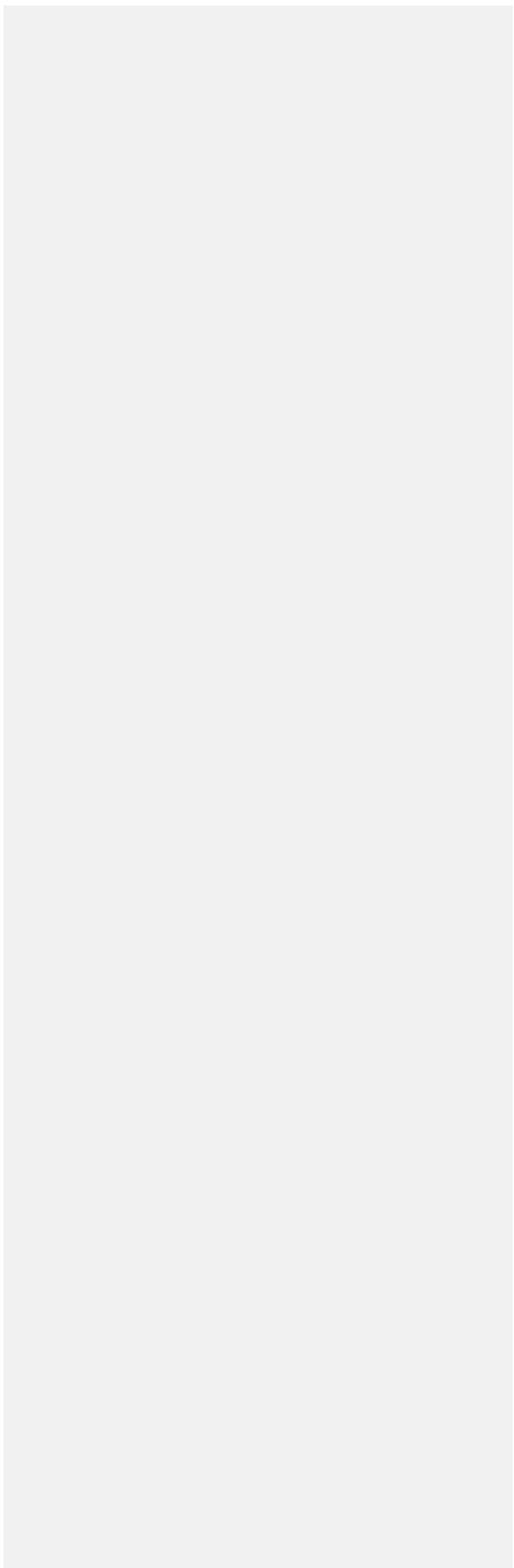
Printed Name: _____

Title: _____

By: _____

Printed Name: _____

Title: _____



USA Swimming Foundation 2017 Financial Report

2017 HIGHLIGHTS

- \$169,825 operating surplus exceeded budget by \$405,825.
- \$1,441,876 major gifts/grants exceeded budget and 2016.
- \$702,200 Annual Campaign exceeded budget and 2016 results by 21.3%.
- \$871,089 sponsorship including Phillips 66 \$625,000.
- \$15,550,838 endowments increased \$3,068,279 for the year including +14.81% return.
- \$732,500 grants to USA Swimming from endowments, Phillips 66, and Swim-a-thon.
- \$494,737 grants to Make a Splash local partners.

SUMMARY

2017 was the best fundraising year for the Foundation since 2008 when Carolyn Dirks pledged \$5 million. Major gifts and grants of \$1,441,876 exceeded the \$680,000 budget substantially and included a \$583,750 commitment from the Copses family. The annual campaign followed the 2016 Olympic year with a 21.3% increase. Sponsor revenue of \$871,089 continued to be a major funding source. Investment returns of +14.81% helped increase the endowment portfolios to \$15,550,838.

Total expenses of \$3,636,002 were under budget and divided between 62.8% programs and 37.2% supporting expenses. Grants to Make a Splash local partners increased 23% from 2016 to \$494,737.

The \$169,825 operating surplus exceeded the amended budget by \$405,825. Total net assets grew by \$3,078,794 to \$21,400,968.

Fundraising and Endowments (Charts) – Pages 1

- \$1,441,876 major gifts/ grants
 - Including \$500,000 trustees (four renewals and one new commitment), and \$600,000 of National Team athlete endowments.
 - \$258,126 unrestricted, \$1,183,750 restricted (\$583,750 temporarily and \$600,000 permanently).
- \$702,200 annual campaign
 - \$334,554 Champions Club, \$124,000 performance camps, and \$147,252 silent auction.

- \$15,550,838 Endowments
 - Athlete \$5,989,414
 - USA Swimming \$5,876,180
 - Dirks \$3,007,491
 - National Team Travel & Training (forfeited FINA) \$473,076
 - Other athlete \$204,677

Balance Sheet – Page 2

- \$1,866,742 - Cash down (\$140,932) for the year after moving \$220,000 to the USA Swimming Endowment.
- \$15,550,838 - Endowments increased \$3,068,279 aided by investment returns of +14.81% and \$1,000,000 from USA Swimming (USA Swimming Endowment).
- \$869,877 - Undesignated Operating Funds – in excess of required operating reserves.
- \$14,327,622 - Unrestricted net assets increased \$2,338,362.
- \$21,400,968 – Total net assets increased by \$3,078,794 from the end of 2016.

Income Statements – Pages 3, 4 and 5

Surplus:

- \$169,825 operating surplus
- \$3,078,794 total net surplus

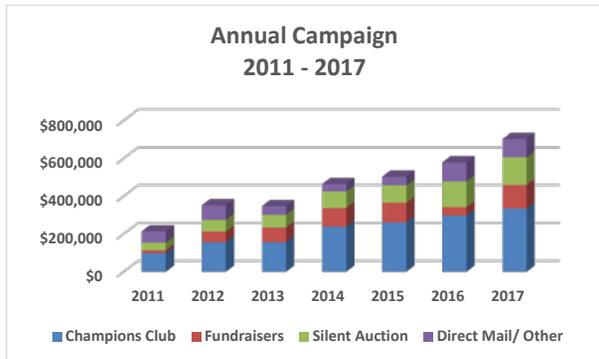
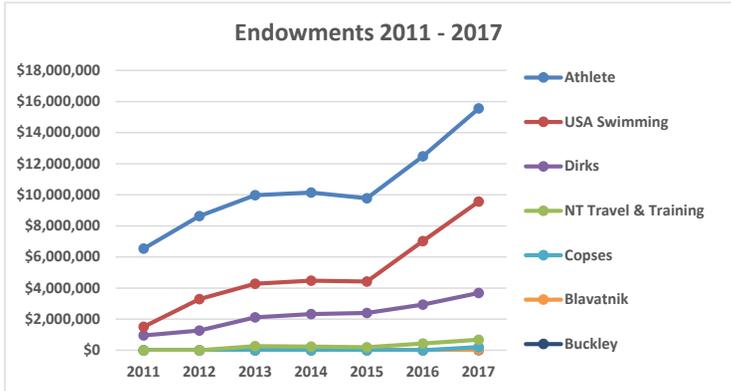
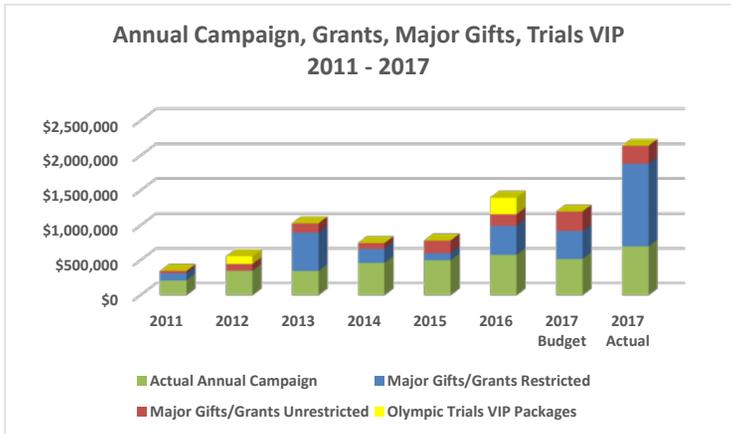
Revenue:

- \$702,200 annual campaign (see above).
- \$1,441,876 major gifts/ grants (see above).
- \$576,250 endowment distributions.
- \$871,089 sponsorship - (detail on supplement page 2).
- \$355,405 Swim-a-Thon – missed goal and down 4% from 2016.
- \$150,000 Golden Goggle Awards – event lost (\$87,050) for USA Swimming.
- USA Swimming support:
 - \$250,000 cash unrestricted support
 - \$1,000,000 donation for USA Swimming Endowment
 - \$44,310 forfeited FINA funds for Travel & Training Endowment
 - \$231,061 allocation of USA Swimming staff time
- \$1,976,133 investment income +14.81%

Expenses (Page 6 additional detail):

- \$1,353,663 supporting expenses – 37.2%
- \$2,282,339 program expenses – 62.8%.
 - \$494,737 grants to Make a Splash local partners.
 - \$612,500 for National Team athlete and coach incentive support.
 - \$120,000 Swim-a-Thon royalties provided grant to USA Swimming for Club Development programs.

**USA Swimming Foundation
Fundraising and Endowments
December 31, 2017**



2017:

MAJOR GIFTS:

Donor #1
Donor #2
Donor #3
Donor #4
Donor #5
Donor #6
Donor #7
Donor #8
Donor #9
Donor #10
Donor #11
Donor #12

	Unrestricted	Restricted	Total 2017	Budget 2017	Favorable (Unfavorable)
Donor #1	\$ -	\$ 583,750	\$ 583,750	\$ -	\$ -
Donor #2		200,000	200,000		
Donor #3		150,000	150,000		
Donor #4		100,000	100,000		
Donor #5		100,000	100,000		
Donor #6	100,000		100,000		
Donor #7	15,000	50,000	65,000		
Donor #8	25,000		25,000		
Donor #9	25,000		25,000		
Donor #10	15,000		15,000		
Donor #11	19,012		19,012		
Donor #12	10,000		10,000		
			-		
			-		
	209,012	1,183,750	1,392,762	580,000	812,762

GRANTS:

Donor #13
Donor #14
Donor #15
Donor #16
Donor #17

Donor #13	25,000		25,000		
Donor #14	10,000		10,000		
Donor #15	7,914		7,914		
Donor #16	5,000		5,000		
Donor #17	1,200		1,200		
			-		
	49,114	-	49,114	100,000	(50,886)

TOTAL MAJOR GIFTS/ GRANTS

	\$ 258,126	\$ 1,183,750	\$ 1,441,876	\$ 680,000	\$ 761,876
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2017:

ANNUAL CAMPAIGN:

Champions Club \$ 334,554
Fundraisers 124,000
Silent Auction 147,252
Direct Mail/ Other 96,394

TOTAL ANNUAL CAMPAIGN

	Annual Campaign
TOTAL ANNUAL CAMPAIGN	\$ 702,200

USA Swimming Foundation, Inc.
Balance Sheet
As of December 31, 2017 and 2016

	<u>12/31/2017</u>	<u>12/31/2016</u>	<u>\$ Change</u>
ASSETS			
CURRENT ASSETS:			
Cash and cash equivalents	\$1,866,742	\$2,007,674	(\$140,932)
Accounts receivable	111,851	101,626	10,225
Pledges receivable - current	1,036,715	825,000	211,715
Due from (to) USA Swimming	31,437	(42,912)	74,348
Prepaid expenses and deferred charges	21,840	8,763	13,077
Total Current Assets	3,068,584	2,900,151	168,434
FIXED ASSETS:			
Equipment and Software	229,963	213,773	16,190
Accumulated depreciation & amortization	(171,687)	(114,624)	(57,063)
Total Fixed Assets	58,277	99,150	(40,873)
LONG-TERM INVESTMENTS:			
Long-term Investments	15,550,838	12,482,559	3,068,279
OTHER ASSETS:			
Pledges receivable - long-term	2,705,625	2,864,395	(158,770)
Swim-A-Thon	120,000	120,000	0
Total Other Assets	2,825,625	2,984,395	(158,770)
TOTAL ASSETS	\$21,503,324	\$18,466,254	\$3,037,070
LIABILITIES AND NET ASSETS			
CURRENT LIABILITIES:			
Accounts payable	\$30,358	\$88,196	(\$57,838)
Accrued expenses and other liabilities	59,581	53,384	6,197
Deferred revenue	12,417	2,500	9,917
Total Current Liabilities	102,356	144,080	(41,725)
NONCURRENT LIABILITIES:			
Total Liabilities	102,356	144,080	(41,725)
NET ASSETS:			
Unrestricted:			
Undesignated Operating Funds	869,877	798,752	71,125
Board Designated Operating Reserves	1,080,250	1,201,550	(121,300)
Board Designated Endowments	12,377,495	9,988,958	2,388,537
Total Unrestricted	14,327,622	11,989,261	2,338,362
Temporarily Restricted	1,423,346	1,282,913	140,432
Permanently Restricted	5,650,000	5,050,000	600,000
Total Net Assets	21,400,968	18,322,174	3,078,794
TOTAL LIABILITIES & NET ASSETS	\$21,503,324	\$18,466,254	\$3,037,070

USA Swimming Foundation, Inc.
Income Statement
For the Year Ended December 31, 2017

	2017	2017	2017	2017	2017
	Unrestricted	Board Desig.	Temp Restr	Perm Restr	TOTAL
Revenue:					
Annual Campaign	\$702,200	\$0	\$0	\$0	\$702,200
Major Gifts	258,126	0	583,750	600,000	1,441,876
Major Gifts - Trustee Satisfied Restrictions	200,000	0	(200,000)	0	0
Major Gifts - Other Satisfied Restrictions	122,490	0	(122,490)	0	0
Endowment Distributions	576,250	(430,000)	(146,250)	0	0
Sponsorship	871,089	0	(350,000)	0	521,089
Swim-a-thon	355,405	0	0	0	355,405
Golden Goggle Awards	150,000	0	(50,000)	0	100,000
USA Swimming Support	250,000	1,044,310	0	0	1,294,310
USA Swimming Support - Staff Allocation	231,061	0	0	0	231,061
Other Income	82,117	0	0	0	82,117
Present Value Earned (Discount)	0	0	10,605	0	10,605
Investment Income (Loss)	7,089	1,554,227	414,817	0	1,976,133
Total Revenue	3,805,827	2,168,537	140,432	600,000	6,714,796
Expenses:					
Supporting Expenses:					
Annual Campaign	393,535	0	0	0	393,535
Major Gifts	353,937	0	0	0	353,937
Swim-a-thon	225,788	0	0	0	225,788
Marketing	456	0	0	0	456
Operational and Administrative	379,947	0	0	0	379,947
Total Supporting Expenses	1,353,663	0	0	0	1,353,663
Program Expenses:					
Make A Splash - Grants	494,737	0	0	0	494,737
Make A Splash - Programs	870,290	0	0	0	870,290
Total Make A Splash Expenses	1,365,027	0	0	0	1,365,027
Building Champions - National Team Grants	612,500	0	0	0	612,500
Building Champions - Club Development Grants	120,000	0	0	0	120,000
Building Champions - Other Programs	93,158	0	0	0	93,158
Building Champions - Alumni Programs	91,654	0	0	0	91,654
Total Building Champions Expenses	917,312	0	0	0	917,312
Total Program Expenses	2,282,339	0	0	0	2,282,339
Total Expenses	3,636,002	0	0	0	3,636,002
Operating Surplus (Deficit)	169,825	2,168,537	140,432	600,000	3,078,794
Transfers to/from USA Swimming Endowment	(220,000)	220,000	0	0	0
Transfers to/from - Operating Reserve	121,300	(121,300)	0	0	0
NET CHANGE IN TOTAL NET ASSETS	\$71,125	\$2,267,237	\$140,432	\$600,000	\$3,078,794

USA Swimming Foundation, Inc.
Income Statement
For the Years Ended December 31, 2017 and 2016

	Quarter Actual	Year-To-Date 2017	Budget 2017	Budget Remaining	Year-To-Date 2016	Favorable (Unfavorable)
UNRESTRICTED:						
Revenue:						
Annual Campaign	\$382,058	\$702,200	\$520,500	\$181,700	\$578,873	\$123,327
Major Gifts - Unrestricted	25,886	258,126	280,000	(21,874)	165,000	93,126
Major Gifts - Trustee Satisfied Restrictions	25,000	200,000	200,000	0	200,000	0
Major Gifts - Other Satisfied Restrictions	27,172	122,490	75,000	47,490	86,314	36,176
Endowment Distributions	276,250	576,250	567,500	8,750	2,522,050	(1,945,800)
Sponsorship	32,500	871,089	910,000	(38,911)	846,411	24,678
Swim-a-thon	122,990	355,405	370,000	(14,595)	372,323	(16,918)
Olympic Trials VIP Packages	0	0	0	0	237,706	(237,706)
Golden Goggle Awards	100,000	150,000	150,000	0	300,000	(150,000)
USA Swimming Support	62,500	250,000	250,000	0	440,000	(190,000)
USA Swimming Support - Staff Allocation	231,061	231,061	300,000	(68,939)	327,344	(96,283)
Alumni Income	0	0	0	0	44,397	(44,397)
Other Income	9,006	82,117	25,000	57,117	39,848	42,269
Investment Income (Loss)	(1,595)	7,089	5,000	2,089	1,935	5,154
Total Unrestricted Revenue	1,292,829	3,805,827	3,653,000	152,827	6,162,201	(2,356,375)
Expenses:						
Supporting Expenses:						
Annual Campaign	269,358	393,535	407,100	13,565	341,325	(52,210)
Major Gifts	311,032	353,937	412,300	58,363	309,442	(44,495)
Swim-a-thon	126,011	225,788	237,800	12,012	219,459	(6,329)
Olympic Trials VIP Packages	0	0	0	0	105,953	105,953
Marketing	49	456	15,300	14,844	49,856	49,400
Operational and Administrative	(459,708)	379,947	423,100	43,153	359,733	(20,213)
Total Supporting Expenses	246,741	1,353,663	1,495,600	141,937	1,385,768	32,105
Program Expenses:						
Make A Splash - Grants	11,597	494,737	480,000	(14,737)	403,383	(91,354)
Make A Splash - Programs	437,109	870,290	981,900	111,610	915,739	45,450
Total Make A Splash Expenses	448,706	1,365,027	1,461,900	96,873	1,319,122	(45,904)
Building Champions - National Team Grants	212,500	612,500	585,000	(27,500)	2,584,550	1,972,050
Building Champions - Club Development Grants	30,000	120,000	120,000	0	120,000	0
Building Champions - Other Programs	88,158	93,158	129,600	36,442	147,390	54,232
Building Champions - Alumni Programs	61,499	91,654	96,900	5,246	139,043	47,389
Total Building Champions Expenses	392,157	917,312	931,500	14,188	2,990,984	2,073,672
Total Program Expenses	840,863	2,282,339	2,393,400	111,061	4,310,106	2,027,768
Total Unrestricted Expenses	1,087,604	3,636,002	3,889,000	252,998	5,695,874	2,059,873
Operating Surplus (Deficit)	205,225	169,825	(236,000)	405,825	466,327	(296,502)
Transfers to/from USA Swimming Endowment	0	(220,000)	(220,000)	0	(1,000,000)	780,000
Transfers to/from - Operating Reserve	0	121,300	0	121,300	(1,201,550)	1,322,850
CHANGE IN UNDESIGNATED FUNDS	\$205,225	\$71,125	(\$456,000)	\$527,125	(\$1,735,223)	\$1,806,348

USA Swimming Foundation, Inc.
Income Statement
For the Years Ended December 31, 2017 and 2016

	<u>Quarter Actual</u>	<u>Year-To-Date 2017</u>	<u>Budget 2017</u>	<u>Budget Remaining</u>	<u>Year-To-Date 2016</u>	<u>Favorable (Unfavorable)</u>
BOARD DESIGNATED:						
Endowment Distributions	(\$130,000)	(\$430,000)	(\$430,000)	\$0	(\$300,000)	(\$130,000)
Donation from USA Swimming	0	1,000,000	1,000,000	0	3,047,050	(2,047,050)
Transfer to/from USA Swimming Endowment	0	220,000	220,000	0	1,000,000	(780,000)
Transfer to/from Operating Reserves	0	(121,300)	0	(121,300)	1,201,550	(1,322,850)
USA Swimming - Forfeited Prize Money	44,310	44,310	0	44,310	65,041	(20,731)
Investment Income	444,792	1,554,227	430,000	1,124,227	469,113	1,085,114
Change in Board Designated Net Assets	\$359,102	\$2,267,237	\$1,220,000	\$1,047,237	\$5,482,754	(\$3,215,517)
CHANGE IN UNRESTRICTED NET ASSETS	\$564,327	\$2,338,362	\$764,000	\$1,574,362	\$3,747,531	(\$1,409,169)
TEMPORARILY RESTRICTED:						
Major Gifts - Temporarily Restricted	\$150,000	\$583,750	\$400,000	\$183,750	\$366,919	\$216,831
Satisfied Restrictions	(198,422)	(868,740)	(812,500)	(56,240)	(2,908,364)	2,039,624
Present Value Discount Earned	0	10,605	10,600	5	20,929	(10,324)
Investment Income	117,658	414,817	137,500	277,317	236,979	177,839
Change in Temp. Restricted Net Assets	\$69,236	\$140,432	(\$264,400)	\$404,832	(\$2,283,538)	\$2,423,970
PERMANENTLY RESTRICTED:						
Major Gifts - Permanently Restricted	\$0	\$600,000	\$0	\$600,000	\$50,000	\$550,000
Present Value Discount Earned	0	0	0	0	3,778	(3,778)
Change in Perm. Restricted Net Assets	\$0	\$600,000	\$0	\$600,000	\$53,778	\$546,222
NET CHANGE IN TOTAL NET ASSETS	\$633,563	\$3,078,794	\$499,600	\$2,579,194	\$1,517,772	\$1,561,023

USA Swimming Foundation, Inc.
Expense Detail
For the Year Ended December 31, 2017

	SUPPORTING EXPENSES	PROGRAM EXPENSES	2017 YTD EXPENSES	2016 YTD EXPENSES	Variance
EXPENSES:					
Salaries and Benefits	\$564,992	\$381,843	\$946,835	\$899,139	(\$47,697)
Professional Services	109,942	368,002	477,944	476,205	(1,739)
Salaries and Benefits - USAS	154,372	76,689	231,061	327,344	96,283
Travel	92,733	86,815	179,548	191,709	12,161
Printing and Duplication	92,624	3,903	96,527	62,197	(34,330)
Freight and Postage	45,031	18,958	63,990	83,872	19,882
Rent and Overhead	60,000	0	60,000	60,000	0
Recognition and Fulfillment	29,116	30,703	59,819	75,953	16,134
Depreciation and Amortization	51,816	5,247	57,063	57,271	208
Apparel	43,008	2,465	45,473	36,894	(8,579)
Awards and Gifts	18,136	21,426	39,562	42,703	3,141
Catering and Entertainment	27,935	9,592	37,527	99,813	62,286
Video and Photography	4,705	17,635	22,340	18,673	(3,667)
Miscellaneous Expenses	16,420	2,233	18,653	29,265	10,612
Credit Card/ Blackbaud Fees	17,604	27	17,631	23,557	5,926
Space/Equipment Rental	5,434	10,788	16,222	27,641	11,419
Office Supplies and Expense	9,064	4,135	13,199	15,773	2,573
Repairs and Equipment	963	9,257	10,220	24,004	13,785
Telephone and Internet Service	5,475	2,750	8,225	8,349	124
Advertising	1,550	1,760	3,310	5,631	2,321
Graphics and Art Work	1,384	775	2,159	775	(1,384)
Tickets	1,077	0	1,077	20,975	19,898
Dues & Subscriptions	281	99	380	199	(181)
Subtotal	<u>1,353,663</u>	<u>1,055,102</u>	<u>2,408,765</u>	<u>2,587,941</u>	<u>179,176</u>
Grants - MAS	0	494,737	494,737	403,383	(91,354)
Grants - USA Swimming	0	732,500	732,500	2,704,550	1,972,050
Total Grants	<u>0</u>	<u>1,227,237</u>	<u>1,227,237</u>	<u>3,107,933</u>	<u>1,880,696</u>
TOTAL EXPENSES	<u><u>\$1,353,663</u></u>	<u><u>\$2,282,339</u></u>	<u><u>\$3,636,002</u></u>	<u><u>\$5,695,874</u></u>	<u><u>\$2,059,873</u></u>

USA Swimming Foundation 2018 Q1 Financial Report

2018 Q1 HIGHLIGHTS

- \$275,000 major gifts/grants including \$100,000 new trustee and \$100,000 athlete support gift, up from Q1 2017.
- \$44,075 annual campaign including \$31,904 Champions Club, both up from 2017.
- \$127,500 sponsor support including \$115,000 apparel sponsors, but does not include Phillips 66 (see below).
- \$37,815 Swim-a-thon receipts, up from 2017.
- \$15,777,524 investments increased \$226,686 for the year including \$250,000 Dirks annual contribution and (.54%) investment loss.
- \$100,000 National Team grants from endowments.

SUMMARY

The first quarter reports tend to reflect the least fundraising activity of the year. Major gifts/grants and annual campaign were off to a faster start than 2017. However, the operating deficit of (\$32,854) was (\$111,222) behind 2017's surplus of \$78,368 mainly due to the delayed receipt of Phillips 66's sponsor commitment. This resulted in a \$200,000 swing on the year-to-year operating surplus (deficit) comparison.

One new trustee \$100,000 was secured in the first quarter in addition to a \$100,000 athlete support donation and \$75,000 in other major gifts/grants. The annual campaign received \$44,075. Grants of \$100,000 were paid for National Team athlete support from endowment accounts. Investments returned (.54%) during a volatile quarter and ended the quarter at \$15,777,524.

Fundraising and Endowment (Charts) – Pages 1

- \$275,000 major gifts/ grants
 - Including \$100,000 trustees (one new commitment), and \$100,000 athlete support donation.
 - \$75,000 unrestricted.
- \$44,075 annual campaign
 - \$31,904 Champions Club.

Fundraising and Endowment (Charts) – Pages 1 (continued)

- \$15,777,524 Endowments
 - Athlete \$5,895,367
 - USA Swimming \$5,807,668
 - Dirks \$3,233,510
 - National Team Travel & Training (forfeited FINA) \$513,453
 - Other athlete \$327,526

Balance Sheet – Page 2

- \$1,963,598 - Cash up \$96,856 for the year.
- \$14,133,761 - Unrestricted net assets decreased (\$193,861) for the year.
- \$21,302,975 – Total net assets decreased (\$97,993) for the year.
- \$15,777,524 - Investments increased \$226,686 including investment loss of (.54%) and \$250,000 from Carolyn Dirks.

Income Statements – Pages 3, 4 and 5

Surplus (Deficit):

- (\$32,854) operating deficit - trailed 2017 mainly due to Phillips 66 (timing issue).
- (\$97,993) total net deficit – trailed 2017.

Revenue:

- \$44,075 annual campaign – ahead of 2017.
- \$275,000 major gifts/ grants – were \$75,000 unrestricted and \$200,000 restricted.
- \$78,000 trustee receipts from previous years' pledges.
- \$100,000 endowment distributions.
- \$127,500 sponsorship - (detail on supplement page 1).
- \$62,500 USA Swimming unrestricted support to underwrite fundraising.
- \$7,989 other income was less than 2017 primarily due to \$23,000 donation from USA Swimming's American Express program in 2017.

Expenses (Page 6 additional detail):

- \$326,072 supporting expenses – less than 2017.
- \$246,018 program expenses
 - \$100,000 for National Team athlete support
 - \$30,000 Swim-a-Thon royalties provided grant to USA Swimming for Club development programs.

USA Swimming Foundation, Inc.
Balance Sheet
As of March 31, 2018 and 2017

	<u>3/31/2018</u>	<u>3/31/2017</u>	<u>\$ Change</u>	<u>Audited 12/31/2017</u>	<u>\$ Change</u>
ASSETS					
CURRENT ASSETS:					
Cash and cash equivalents	\$1,963,598	\$2,142,483	(\$178,885)	\$1,866,742	\$96,856
Accounts receivable	(42)	0	(42)	111,851	(111,893)
Pledges receivable - current	733,715	150,000	583,715	1,061,715	(328,000)
Due from (to) USA Swimming	(22,924)	(11,957)	(10,968)	31,437	(54,361)
Prepaid expenses and deferred charges	0	0	0	21,840	(21,840)
Total Current Assets	<u>2,674,346</u>	<u>2,280,526</u>	<u>393,820</u>	<u>3,093,584</u>	<u>(419,238)</u>
FIXED ASSETS:					
Equipment and Software	229,963	213,773	16,190	229,963	0
Accumulated depreciation & amortization	(185,935)	(128,942)	(56,993)	(171,687)	(14,248)
Total Fixed Assets	<u>44,028</u>	<u>84,832</u>	<u>(40,803)</u>	<u>58,277</u>	<u>(14,248)</u>
LONG-TERM INVESTMENTS:					
Long-term Investments	15,777,524	13,148,282	2,629,242	15,550,838	226,686
OTHER ASSETS:					
Pledges receivable - long-term	2,755,625	2,950,000	(194,375)	2,680,625	75,000
Swim-A-Thon	120,000	120,000	0	120,000	0
Total Other Assets	<u>2,875,625</u>	<u>3,070,000</u>	<u>(194,375)</u>	<u>2,800,625</u>	<u>75,000</u>
TOTAL ASSETS	<u>\$21,371,524</u>	<u>\$18,583,640</u>	<u>\$2,787,884</u>	<u>\$21,503,324</u>	<u>(\$131,800)</u>
LIABILITIES AND NET ASSETS					
CURRENT LIABILITIES:					
Accounts payable	\$23,735	\$14,022	\$9,713	\$30,358	(\$6,623)
Accrued expenses and other liabilities	44,814	49,147	(4,333)	59,581	(14,767)
Deferred revenue	0	0	0	12,417	(12,417)
Total Current Liabilities	<u>68,549</u>	<u>63,169</u>	<u>5,380</u>	<u>102,356</u>	<u>(33,807)</u>
NONCURRENT LIABILITIES:					
Total Liabilities	<u>68,549</u>	<u>63,169</u>	<u>5,380</u>	<u>102,356</u>	<u>(33,807)</u>
NET ASSETS:					
Unrestricted:					
Undesignated Operating Funds	716,273	877,121	(160,847)	869,877	(153,604)
Board Designated Operating Reserves	1,201,000	1,201,550	(550)	1,080,250	120,750
Board Designated Endowments	12,216,488	10,251,022	1,965,466	12,377,495	(161,007)
Total Unrestricted	<u>14,133,761</u>	<u>12,329,693</u>	<u>1,804,069</u>	<u>14,327,622</u>	<u>(193,861)</u>
Temporarily Restricted	1,519,214	1,140,778	378,435	1,423,346	95,868
Permanently Restricted	5,650,000	5,050,000	600,000	5,650,000	0
Total Net Assets	<u>21,302,975</u>	<u>18,520,471</u>	<u>2,782,504</u>	<u>21,400,968</u>	<u>(97,993)</u>
TOTAL LIABILITIES & NET ASSETS	<u>\$21,371,524</u>	<u>\$18,583,640</u>	<u>\$2,787,884</u>	<u>\$21,503,324</u>	<u>(\$131,800)</u>

USA Swimming Foundation, Inc.
Income Statement
For the Quarter Ended March 31, 2018

	2018	2018	2018	2018	2018
	Unrestricted	Board Desig.	Temp Restr	Perm Restr	TOTAL
Revenue:					
Annual Campaign	\$44,075	\$0	\$0	\$0	\$44,075
Major Gifts	75,000	0	200,000	0	275,000
Major Gifts - Trustee Satisfied Restrictions	78,000	0	(78,000)	0	0
Endowment Distributions	100,000	(100,000)	0	0	0
Sponsorship	127,500	0	0	0	127,500
Swim-a-thon	37,815	0	0	0	37,815
USA Swimming Support	62,500	0	0	0	62,500
Other Income	7,989	0	0	0	7,989
Investment Income (Loss)	6,356	(61,007)	(26,132)	0	(80,783)
Total Revenue	539,236	(161,007)	95,868	0	474,097
Expenses:					
Supporting Expenses:					
Annual Campaign	10,504	0	0	0	10,504
Major Gifts	11,012	0	0	0	11,012
Swim-a-thon	34,343	0	0	0	34,343
Marketing	5,248	0	0	0	5,248
Operational and Administrative	264,964	0	0	0	264,964
Total Supporting Expenses	326,072	0	0	0	326,072
Program Expenses:					
Make A Splash - Programs	101,287	0	0	0	101,287
Total Make A Splash Expenses	101,287	0	0	0	101,287
Building Champions - National Team Grants	100,000	0	0	0	100,000
Building Champions - Club Development Grants	30,000	0	0	0	30,000
Building Champions - Other Programs	4,750	0	0	0	4,750
Building Champions - Alumni Programs	9,981	0	0	0	9,981
Total Building Champions Expenses	144,731	0	0	0	144,731
Total Program Expenses	246,018	0	0	0	246,018
Total Expenses	572,090	0	0	0	572,090
Operating Surplus (Deficit)	(32,854)	(161,007)	95,868	0	(97,993)
Transfers to/from - Operating Reserve	(120,750)	120,750	0	0	0
NET CHANGE IN TOTAL NET ASSETS	(\$153,604)	(\$40,257)	\$95,868	\$0	(\$97,993)

USA Swimming Foundation, Inc.
Income Statement
For the Years Periods Ended March 31, 2018 and 2017

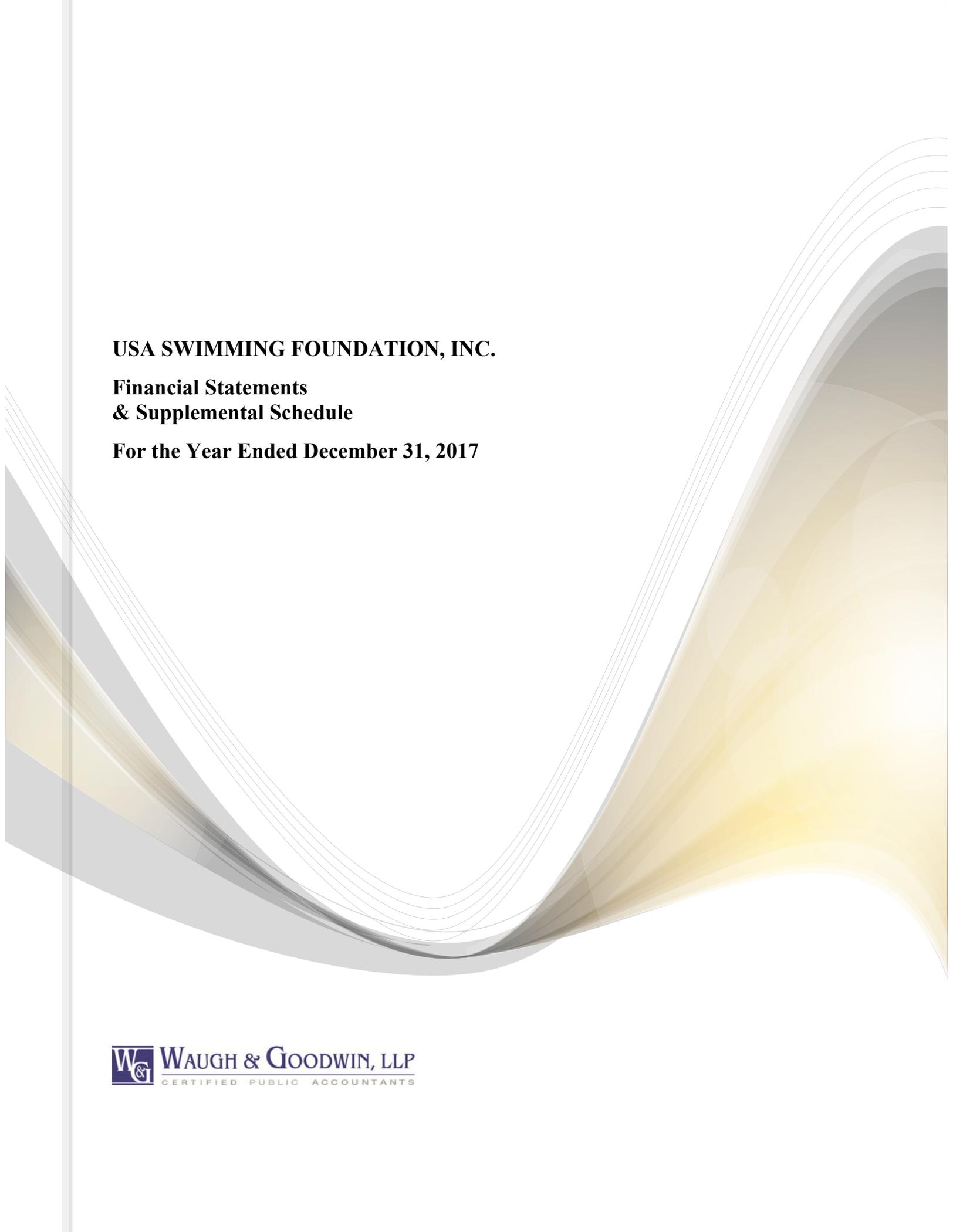
	Year-To-Date 2018	Budget 2018	Budget Remaining	Year-To-Date 2017	Favorable (Unfavorable)
UNRESTRICTED:					
Revenue:					
Annual Campaign	\$44,075	\$625,000	(\$580,925)	\$36,999	\$7,077
Major Gifts - Unrestricted	75,000	250,000	(175,000)	10,219	64,782
Major Gifts - Trustee Satisfied Restrictions	78,000	200,000	(122,000)	50,000	28,000
Major Gifts - Other Satisfied Restrictions	0	86,300	(86,300)	6,399	(6,399)
Endowment Distributions	100,000	618,700	(518,700)	100,000	0
Sponsorship	127,500	900,000	(772,500)	391,089	(263,589)
Swim-a-thon	37,815	400,000	(362,185)	32,862	4,954
Golden Goggle Awards	0	150,000	(150,000)	50,000	(50,000)
USA Swimming Support	62,500	250,000	(187,500)	62,500	0
USA Swimming Support - Staff Allocation	0	311,000	(311,000)	0	0
Other Income	7,989	50,000	(42,011)	39,378	(31,388)
Investment Income (Loss)	6,356	12,000	(5,644)	410	5,945
Total Unrestricted Revenue	539,236	3,853,000	(3,313,764)	779,855	(240,619)
Expenses:					
Supporting Expenses:					
Annual Campaign	10,504	266,600	256,096	5,553	(4,951)
Major Gifts	11,012	118,200	107,188	11,119	108
Swim-a-thon	34,343	132,400	98,057	48,272	13,928
Marketing	5,248	12,500	7,252	0	(5,248)
Operational and Administrative	264,964	1,506,100	1,241,136	277,784	12,820
Total Supporting Expenses	326,072	2,035,800	1,709,728	342,729	16,657
Program Expenses:					
Make A Splash - Grants	0	492,500	492,500	0	0
Make A Splash - Programs	101,287	638,600	537,313	114,533	13,246
Total Make A Splash Expenses	101,287	1,131,100	1,029,813	114,533	13,246
Building Champions - National Team Grants	100,000	640,000	540,000	200,000	100,000
Building Champions - Club Development Grants	30,000	120,000	90,000	30,000	0
Building Champions - Other Programs	4,750	44,500	39,750	3,000	(1,750)
Building Champions - Alumni Programs	9,981	46,600	36,619	11,225	1,244
Total Building Champions Expenses	144,731	851,100	706,369	244,225	99,494
Total Program Expenses	246,018	1,982,200	1,736,182	358,758	112,740
Total Unrestricted Expenses	572,090	4,018,000	3,445,910	701,486	129,396
Operating Surplus (Deficit)	(32,854)	(165,000)	132,146	78,368	(111,222)
Transfers to/from - Operating Reserve	(120,750)	0	(120,750)	0	(120,750)
CHANGE IN UNDESIGNATED FUNDS	(\$153,604)	(\$165,000)	\$11,396	\$78,368	(\$231,972)

USA Swimming Foundation, Inc.
Income Statement
For the Years Periods Ended March 31, 2018 and 2017

	Year-To-Date 2018	Budget 2018	Budget Remaining	Year-To-Date 2017	Favorable (Unfavorable)
BOARD DESIGNATED:					
Endowment Distributions	(\$100,000)	(\$450,000)	\$350,000	(\$100,000)	\$0
Transfer to/from Operating Reserves	120,750	0	120,750	0	120,750
Investment Income	(61,007)	450,000	(511,007)	362,064	(423,071)
Change in Board Designated Net Assets	(\$40,257)	\$0	(\$40,257)	\$262,064	(\$302,321)
CHANGE IN UNRESTRICTED NET ASSETS	(\$193,861)	(\$165,000)	(\$28,861)	\$340,432	(\$534,293)
TEMPORARILY RESTRICTED:					
Major Gifts - Temporarily Restricted	\$200,000	\$600,000	(\$400,000)	\$100,000	\$100,000
Satisfied Restrictions	(78,000)	(855,000)	777,000	(356,399)	278,399
Present Value Discount Earned	0	0	0	10,605	(10,605)
Investment Income	(26,132)	167,500	(193,632)	103,659	(129,791)
Change in Temp. Restricted Net Assets	\$95,868	(\$87,500)	\$183,368	(\$142,135)	\$238,003
PERMANENTLY RESTRICTED:					
NET CHANGE IN TOTAL NET ASSETS	(\$97,993)	(\$252,500)	\$154,507	\$198,297	(\$296,290)

USA Swimming Foundation, Inc.
Expense Detail
For the Quarters Ended March 31, 2018 and 2017

EXPENSES:	SUPPORTING EXPENSES	PROGRAM EXPENSES	2018 YTD EXPENSES	2017 YTD EXPENSES	Variance
Salaries and Benefits	\$224,704	\$0	\$224,704	\$231,596	\$6,892
Professional Services	19,368	79,500	98,868	132,051	33,183
Recognition and Fulfillment	2,609	15,203	17,812	4,567	(13,245)
Travel	13,126	2,914	16,040	21,170	5,130
Rent and Overhead	15,000	0	15,000	15,000	0
Depreciation and Amortization	14,248	0	14,248	14,318	69
Awards and Gifts	8,072	631	8,703	10,733	2,030
Apparel	8,037	0	8,037	16,217	8,180
Freight and Postage	5,603	2,144	7,747	6,363	(1,384)
Miscellaneous Expenses	2,472	4,243	6,715	4,273	(2,442)
Insurance	5,248	0	5,248	0	(5,248)
Repairs and Equipment	0	3,891	3,891	308	(3,583)
Space/Equipment Rental	0	3,125	3,125	2,977	(148)
Office Supplies and Expense	2,506	550	3,055	707	(2,348)
Telephone and Internet Service	1,767	547	2,313	1,854	(460)
Catering and Entertainment	1,161	720	1,881	2,070	188
Credit Card/ Blackbaud Fees	1,555	0	1,555	494	(1,062)
Advertising	0	1,360	1,360	1,760	400
Printing and Duplication	54	1,190	1,244	4,423	3,179
Dues & Subscriptions	283	0	283	199	(84)
Graphics and Art Work	260	0	260	409	149
Subtotal	326,072	116,018	442,090	471,486	29,396
Grants - USA Swimming	0	130,000	130,000	230,000	100,000
Total Grants	0	130,000	130,000	230,000	100,000
TOTAL EXPENSES	\$326,072	\$246,018	\$572,090	\$701,486	\$129,396



USA SWIMMING FOUNDATION, INC.

**Financial Statements
& Supplemental Schedule**

For the Year Ended December 31, 2017

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INDEPENDENT AUDITOR'S REPORT

To the Board of Directors
USA Swimming Foundation, Inc.
Colorado Springs, Colorado

We have audited the accompanying financial statements of USA Swimming Foundation, Inc. (a nonprofit corporation), which comprise the statement of financial position as of December 31, 2017, and the related statements of activities and changes in net assets and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control.

Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of USA Swimming Foundation, Inc. as of December 31, 2017, and the changes in its net assets and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Report on Summarized Comparative Information

The financial statements of USA Swimming Foundation, Inc. as of December 31, 2016, were audited by other auditors whose report dated April 17, 2017, expressed an unmodified opinion on those statements. In our opinion, the summarized comparative information presented herein as of and for the year ended December 31, 2016, is consistent, in all material respects, with the audited financial statements from which it has been derived.

Report on Supplementary Information

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The schedules of program and supporting services are presented for purposes of additional analysis and are not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

Waugh & Goodwin, LLP

Colorado Springs, Colorado

April 10, 2018

USA SWIMMING FOUNDATION, INC.
Statement of Financial Position
December 31, 2017
(With Comparative Amounts for 2016)

ASSETS

	<u>2017</u>	<u>2016</u>
CURRENT ASSETS:		
Cash and cash equivalents	\$ 666,635	\$ 2,007,674
Short-term investments	1,200,106	
Accounts receivable	111,851	132,114
Pledges receivable	1,061,715	825,000
Due from USA Swimming, Inc.	31,437	
Prepaid expenses	<u>21,840</u>	<u>8,763</u>
Total current assets	3,093,584	2,973,551
LONG-TERM INVESTMENTS	15,550,838	12,451,950
LONG-TERM PLEDGES RECEIVABLE - net	2,680,625	2,864,395
PROPERTY AND EQUIPMENT, at cost:		
Equipment and software	229,963	213,773
Less accumulated depreciation	<u>(171,687)</u>	<u>(114,624)</u>
Property and equipment - net	58,276	99,149
OTHER ASSETS:		
Swim-A-Thon	<u>120,000</u>	<u>120,000</u>
TOTAL ASSETS	<u>\$ 21,503,323</u>	<u>\$ 18,509,045</u>

LIABILITIES AND NET ASSETS

CURRENT LIABILITIES:		
Accounts payable	\$ 30,358	\$ 88,196
Accrued liabilities	59,581	53,264
Deferred revenue	12,417	2,500
Due to USA Swimming, Inc.	<u> </u>	<u>42,912</u>
Total current liabilities	102,356	186,872
NET ASSETS:		
Unrestricted	869,877	798,752
Unrestricted - Board designated	13,457,745	11,190,508
Temporarily restricted	1,423,345	1,282,913
Permanently restricted	<u>5,650,000</u>	<u>5,050,000</u>
Total net assets	<u>21,400,967</u>	<u>18,322,173</u>
TOTAL LIABILITIES AND NET ASSETS	<u>\$ 21,503,323</u>	<u>\$ 18,509,045</u>

See Notes to Financial Statements

USA SWIMMING FOUNDATION, INC.
Statement of Activities and Changes in Net Assets
For the Year Ended December 31, 2017
(With Comparative Totals for 2016)

	Unrestricted	Temporarily Restricted	Permanently Restricted	2017 Totals	2016 Totals
REVENUE:					
Contributions	\$ 963,536	\$ 594,355	\$ 600,000	\$ 2,157,891	\$ 1,185,500
Investment income	1,561,315	414,817		1,976,132	708,029
USA Swimming support	1,525,371			1,525,371	3,879,435
Sponsorship	521,089			521,089	496,411
Swim-A-Thon	355,405			355,405	372,323
Golden Goggles proceeds	100,000			100,000	250,000
Other income	78,907			78,907	84,245
Trials VIP income					237,706
Satisfied program restrictions	<u>868,740</u>	<u>(868,740)</u>			
Total revenue	5,974,363	140,432	600,000	6,714,795	7,213,649
EXPENSES:					
Program services:					
Make A Splash	1,365,027			1,365,027	1,319,129
Building Champions	825,658			825,658	2,851,940
Alumni - Programs	<u>91,655</u>			<u>91,655</u>	<u>139,044</u>
Total program services	2,282,340			2,282,340	4,310,113
Supporting services:					
Fundraising	973,256			973,256	870,223
General and administrative	380,405			380,405	409,587
Trials VIP					<u>105,953</u>
Total supporting services	<u>1,353,661</u>			<u>1,353,661</u>	<u>1,385,763</u>
Total expenses	<u>3,636,001</u>			<u>3,636,001</u>	<u>5,695,876</u>
CHANGE IN NET ASSETS	2,338,362	140,432	600,000	3,078,794	1,517,773
NET ASSETS, beginning of year	<u>11,989,260</u>	<u>1,282,913</u>	<u>5,050,000</u>	<u>18,322,173</u>	<u>16,804,400</u>
NET ASSETS, end of year	<u>\$ 14,327,622</u>	<u>\$ 1,423,345</u>	<u>\$ 5,650,000</u>	<u>\$ 21,400,967</u>	<u>\$ 18,322,173</u>

See Notes to Financial Statements

USA SWIMMING FOUNDATION, INC.
Statement of Cash Flows
For the Year ended December 31, 2017
(With Comparative Amounts for 2016)

	<u>2017</u>	<u>2016</u>
CASH FLOWS FROM OPERATING ACTIVITIES:		
Change in net assets	\$ 3,078,794	\$ 1,517,773
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Depreciation	57,063	57,271
Net realized and unrealized gains on investments	(1,653,557)	(468,373)
Decrease (increase) in operating assets:		
Accounts receivable	20,263	(14,452)
Pledges receivable	(52,945)	550,293
Due from USA Swimming, Inc.	(31,437)	122,801
Prepaid expenses	(13,077)	33,318
Increase (decrease) in operating liabilities:		
Accounts payable	(57,838)	46,356
Accrued liabilities	6,317	(89)
Deferred revenue	9,917	(107,911)
Due to USA Swimming, Inc.	(42,912)	67,912
Contributions restricted for long-term investments	<u>(400,000)</u>	<u>(250,000)</u>
Total adjustments	<u>(2,158,206)</u>	<u>37,126</u>
Net cash provided by operating activities	920,588	1,554,899
CASH FLOWS FROM INVESTING ACTIVITIES:		
Acquisition of property and equipment	(16,190)	(14,873)
Short-term investments, net	(1,200,106)	
Purchase of long-term investments	(10,582,271)	(19,295,610)
Proceeds from long-term investments	<u>9,136,940</u>	<u>17,069,524</u>
Net cash used by investing activities	(2,661,627)	(2,240,959)
CASH FLOWS FROM FINANCING ACTIVITIES:		
Collection of pledges receivable restricted for endowment	<u>400,000</u>	<u>250,000</u>
Net cash provided by financing activities	<u>400,000</u>	<u>250,000</u>
NET INCREASE (DECREASE) IN CASH	(1,341,039)	(436,060)
CASH AND CASH EQUIVALENTS, beginning of year	<u>2,007,674</u>	<u>2,443,734</u>
CASH AND CASH EQUIVALENTS, end of year	<u>\$ 666,635</u>	<u>\$ 2,007,674</u>

See Notes to Financial Statements

USA SWIMMING FOUNDATION, INC.
Notes to Financial Statements
For the Year Ended December 31, 2017

A. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Organization

The USA Swimming Foundation, Inc. (a nonprofit corporation) was incorporated on January 12, 2004. The purpose of the Foundation is to operate for charitable and educational purposes, to foster national or international amateur sports competition, and to serve as a supporting organization for USA Swimming, Inc.

Income Tax

The Foundation qualifies as a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code and, accordingly, is not subject to federal income tax. Accordingly, no income tax provision has been recorded.

The Foundation's Form 990, Return of Organization Exempt from Income Tax, is subject to examination by various taxing authorities, generally for three years after the date filed. Management of the Foundation believes that it does not have any uncertain tax positions that are material to the financial statements.

Cash and Cash Equivalents

Cash and cash equivalents consist of the Foundation's checking and money market accounts. The Foundation considers all liquid investments with original maturities of three months or less, and which are not held for investment purposes, to be cash equivalents. Cash and highly liquid financial instruments held for long-term investment purposes, regardless of original length to maturity, are reported as investments and excluded from this definition. The Foundation maintains its cash and cash equivalents at a commercial bank. In the event of a bank failure, the Foundation might only be able to recover the amounts insured.

Accounts Receivable

The Foundation considers its accounts receivable to be fully collectible; accordingly, no allowance for doubtful accounts is considered necessary. The delinquency and collectability of receivables is determined on a case by case basis and receivables are charged to bad debt expense when determined to be uncollectible.

Notes to Financial Statements

A. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - Continued

Supplemental Cash Flow Disclosure

The Foundation paid no interest or income taxes during either of the years ended December 31, 2017 and 2016.

Pledges Receivable

Pledges receivable consist of unconditional promises to give that are expected to be collected in current and future periods. Pledges expected to be collected within one year are recorded at their estimated net realizable values. Pledges receivable expected to be collected in more than one year are recorded at the present value of their estimated future cash flows, computed using risk-adjusted interest rates. Amortization of the discount is included in contribution revenue. Pledges receivable are reported as either temporarily restricted or permanently restricted support unless the donor stipulations or circumstances surrounding the pledge make clear the donor intended it to be used to support activities in the current period. Pledges receivable are considered by management to be fully collectible and, accordingly, no allowance for doubtful accounts is considered necessary.

Revenue Recognition

Gifts of cash and other assets are reported as restricted support if they are received with donor stipulations that limit the use of donated assets. When a restriction expires, that is, when a stipulated time restriction ends, or a purpose restriction is accomplished, temporarily restricted net assets are reclassified to unrestricted net assets and reported in the statement of activities as satisfied program restrictions. Temporarily restricted contributions and grants are reported as unrestricted support and revenues if the restriction is met in the same year that the gift is received.

Sponsorship and other related revenues are recognized in the period in which they are earned.

Contributed Services

The Foundation receives a substantial amount of donated services in carrying out their programs. No amounts have been reflected in the financial statements for those services since they do not meet the criteria for recognition under FASB ASC 605.

Notes to Financial Statements

A. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - Continued

Donated Materials

Donated materials are recorded as both a revenue and expenditure in the accompanying statements of activities at their estimated values.

Functional Allocation of Expenses

The costs of providing various programs and other activities have been summarized on a functional basis in the statement of activities. Accordingly, certain costs have been allocated among the programs and supporting services benefited.

Use of Estimates

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities, the disclosure of contingent liabilities, and the reported amounts of revenues and expenses. Actual results could differ from those estimates.

Prior-Year Comparisons

The financial statements include certain prior-year summarized comparative information in total but not by net asset or functional expense class. Such information does not include sufficient detail to constitute a presentation in conformity with accounting principles generally accepted in the United States of America. Accordingly, such information should be read in conjunction with the Foundation's financial statements for the year ended December 31, 2016, from which the summarized information was derived.

Certain reclassifications have been made to the prior-year amounts in order to conform to the current year financial statement format.

Date of Management's Review

In preparing the financial statements, the Foundation has evaluated events and transactions for potential recognition or disclosure through April 10, 2018, the date that the financial statements were available to be issued.

Notes to Financial Statements

B. FAIR VALUE MEASUREMENTS

The Foundation applies Generally Accepted Accounting Principles (GAAP) for fair value measurements of financial assets that are recognized or disclosed at fair value in the financial statements on a recurring basis. GAAP establishes a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (Level 1 measurements) and the lowest priority to measurements involving significant unobservable inputs (Level 3 measurements).

The three levels of fair value hierarchy are as follows:

- Level 1 inputs are quoted prices (unadjusted) in active markets for identical assets or liabilities that the Foundation has the ability to access at the measurement date.
- Level 2 inputs are inputs other than quoted prices included within Level 1 that are observable for the asset or liability, either directly or indirectly.
- Level 3 inputs are unobservable inputs for the asset or liability.

The level in the fair value hierarchy within which a fair measurement in its entirety falls is based on the lowest level input that is significant to the fair value measurement in its entirety. The following tables present assets that are measured at fair value on a recurring basis at December 31, 2017 and 2016:

	<u>Assets at Fair Value as of December 31, 2017</u>			
	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>	<u>Total</u>
Mutual funds	\$ 3,689,550	\$	\$	\$ 3,689,550
Exchange traded funds	5,854,357			5,854,357
Fixed income securities:				
US Treasury and Federal agencies	2,451,446			2,451,446
State and municipal agencies		386,075		386,075
Corporate		3,964,026		3,964,026
International		224,441		224,441
Money market	<u>181,049</u>	<u></u>	<u></u>	<u>181,049</u>
	<u>\$ 12,176,402</u>	<u>\$ 4,574,542</u>	<u>\$</u>	<u>\$ 16,750,944</u>

Notes to Financial Statements

B. FAIR VALUE MEASUREMENTS - Continued

<u>Assets at Fair Value as of December 31, 2016</u>				
	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>	<u>Total</u>
Mutual funds	\$ 3,298,260	\$	\$	\$ 3,298,260
Exchange traded funds	4,198,820			4,198,820
Fixed income securities:				
Corporate		2,606,930		2,606,930
Agency		794,867		794,867
State and municipal agencies		390,392		390,392
US Treasury	407,107			407,107
International		157,497		157,497
Money market	<u>598,077</u>			<u>598,077</u>
	<u>\$ 8,502,264</u>	<u>\$ 3,949,686</u>	<u>\$</u>	<u>\$ 12,451,950</u>

C. INVESTMENT INCOME

Investment income consists of the following for the years ended December 31, 2017 and 2016:

	<u>2017</u>	<u>2016</u>
Interest and dividends	\$ 357,604	\$ 264,259
Net realized and unrealized gains on investments	1,653,557	468,373
Investment management and custodial fees	<u>(35,029)</u>	<u>(24,603)</u>
	<u>\$ 1,976,132</u>	<u>\$ 708,029</u>

D. PLEDGES RECEIVABLE

As of December 31, 2017 and 2016, the Foundation had pledges receivable of \$3,742,340 and \$3,689,395, respectively, representing unconditional promises to give made during the current and prior years. The pledges will be received by the Foundation in future years and have been discounted using the risk-free interest rate for the year in which they were received. The interest rates used range from .11% to 2.69%.

Total pledges receivable at December 31, 2017 and 2016 were as follows:

	<u>2017</u>	<u>2016</u>
Short-term pledges receivable	<u>\$ 1,061,715</u>	<u>\$ 825,000</u>
Pledges receivable in future years	\$ 2,680,625	\$ 2,875,000
Less discount to net present value		<u>(10,605)</u>
Long-term pledges receivable	<u>\$ 2,680,625</u>	<u>\$ 2,864,395</u>

Notes to Financial Statements

D. PLEDGES RECIEVABLE - Continued

At December 31, 2017 and 2016, three and two donors account for 82% and 89% of the pledges receivable, respectively.

E. PROPERTY AND EQUIPMENT

Property and equipment are recorded at cost, if purchased, or if donated, at estimated fair market value at the date the gift was received. Acquisitions in excess of \$1,000 are capitalized. The cost of repairs and maintenance, which do not materially prolong the useful lives of the assets, are charged to expense when incurred.

Depreciation is computed using the straight-line method over an estimated useful life of 3 - 10 years. Depreciation expense for the years ended December 31, 2017 and 2016, was \$57,063 and \$57,271, respectively.

Property and equipment consists of the following at December 31:

	<u>2017</u>	<u>2016</u>
Software	\$ 192,813	\$ 207,686
Website	31,063	
Equipment	6,087	6,087
Less: accumulated depreciation and amortization	<u>(171,687)</u>	<u>(114,624)</u>
	<u>\$ 58,276</u>	<u>\$ 99,149</u>

F. OTHER ASSETS

USA Swimming, Inc. sold the rights, title and interest in Swim-A-Thon to USA Swimming Foundation, Inc. for \$120,000. This sale includes, but is not limited to, all goodwill and trademarks associated with Swim-A-Thon. The Foundation analyzes its indefinite-lived assets for impairment on an annual basis. The Foundation has determined there was no impairment as of December 31, 2017 and 2016. Swim-a-Thon is a trademarked program that swim teams utilize as a fundraiser for their competitive programs and activities. Participant teams pay royalties to the Foundation to support its mission.

Notes to Financial Statements

G. RELATED PARTY TRANSACTIONS

During the years ended December 31, 2017 and 2016, USA Swimming, Inc. provided support to the Foundation in the amounts of \$1,525,371 and \$3,879,435, respectively. During the years ended December 31, 2017 and 2016, the Foundation provided grants to USA Swimming, Inc. in the amounts of \$732,500 and \$2,704,550, respectively. The Foundation paid USA Swimming, Inc. office rent of \$60,000 in 2017 and 2016. At December 31, 2017, USA Swimming, Inc. owed USA Swimming Foundation, Inc. \$31,437. At December 31, 2016, USA Swimming Foundation, Inc. owed USA Swimming, Inc. \$42,912.

During the years ended December 31, 2017 and 2016, the Foundation received proceeds of \$100,000 and \$250,000, respectively, from the Golden Goggle Awards fundraising event which is conducted by USA Swimming, Inc. with the assistance of the Foundation.

H. TEMPORARILY RESTRICTED NET ASSETS

Temporarily restricted net assets are available for the following purposes at December 31:

	<u>2017</u>	<u>2016</u>
Purpose restrictions	\$ 848,345	\$ 1,007,913
Time restrictions	<u>575,000</u>	<u>275,000</u>
Total	<u>\$ 1,423,345</u>	<u>\$ 1,282,913</u>

Net assets are released from donor restrictions by incurring expenses that satisfy the restricted purpose. During the years ended December 31, net assets were released from temporary restrictions by satisfying the following restricted purposes:

	<u>2017</u>	<u>2016</u>
National team	\$ 80,625	\$ 2,263,646
Time restrictions	556,399	350,000
Make a Splash	181,716	202,800
Golden Goggles	<u>50,000</u>	<u>50,000</u>
	<u>\$ 868,740</u>	<u>\$ 2,866,446</u>

Notes to Financial Statements

I. PERMANENTLY RESTRICTED NET ASSETS

During the year ended December 31, 2008, the Foundation received a permanently restricted pledge of \$5,000,000. This pledge was recorded at the present value of \$4,967,466, net of a discount in the amount of \$32,534. Funds collected under the pledge are recognized as endowment funds. During the year ended December 31, 2017 and 2016, the Foundation received permanently restricted contributions of \$600,000 and \$50,000, respectively. The contributions were recognized as endowment funds.

Permanently restricted net assets consist of the following at December 31:

	<u>2017</u>	<u>2016</u>
Endowment funds	\$ 2,950,000	\$ 2,550,000
Pledges receivable	<u>2,700,000</u>	<u>2,500,000</u>
Total	<u>\$ 5,650,000</u>	<u>\$ 5,050,000</u>

J. ENDOWMENTS

The Foundation's endowment funds consist of unrestricted funds functioning as endowment through designations by the Board and donor restricted endowment funds. The earnings of the board-designated endowment are designated for athlete support. The earnings of the permanently restricted endowment support Make a Splash and the USA Swimming Dirks/Gould Coaches Incentive Program.

The Foundation has adopted investment and spending policies based on the Uniform Prudent Management of Institutional Funds Act (UPMIFA). The Foundation has interpreted UPMIFA as requiring the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary.

As a result of this interpretation, the Foundation classifies as permanently restricted net assets (a) the original value of gifts donated to the permanent endowment, and (b) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time of accumulation is added to the fund. The remaining portion of the donor-restricted endowment funds that is not classified in permanently restricted net assets is classified as temporarily restricted net assets until those amounts are appropriated for expenditure by the Foundation in a manner consistent with the standard of prudence prescribed by UPMIFA. Each year, the Foundation is required to spend no less than 3% and no more than 5% of the donor restricted endowment funds for specific purposes.

Notes to Financial Statements

J. ENDOWMENTS - Continued

The Foundation does not include uncollected pledges receivable, that are permanently restricted, as part of endowment net assets. Amounts are included with endowment net assets as the pledges receivable are collected. As of December 31, 2017 and 2016, permanently restricted uncollected pledges were \$2,700,000 and \$2,500,000, respectively.

	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>Permanently Restricted</u>
Endowment net assets, January 1, 2016	\$ 5,655,342	\$	\$ 2,250,000
Investment return:			
Investment income	191,349	28,426	
Net appreciation (net realized and unrealized)	<u>330,176</u>	<u>90,175</u>	
Total investment return	521,525	118,601	
Contributions	4,112,091		300,000
Expenditures	<u>(300,000)</u>	<u>(118,601)</u>	
Endowment net assets, December 31, 2016	9,988,958		2,550,000
Investment return:			
Investment income	241,596	63,226	
Net appreciation (net realized and unrealized)	<u>1,312,631</u>	<u>345,192</u>	
Total investment return	1,554,227	408,418	
Contributions	1,264,310		400,000
Expenditures	<u>(430,000)</u>	<u>(146,250)</u>	
Endowment net assets, December 31, 2017	<u>\$ 12,377,495</u>	<u>\$ 262,168</u>	<u>\$ 2,950,000</u>

From time to time, the fair value of assets associated with individual donor-restricted endowment funds may fall below the level that the donor or UPMIFA requires the Foundation to retain as a fund of perpetual duration. In accordance with GAAP, a deficiency of this nature is reported in unrestricted net assets of \$0 and \$6,399 as of December 31, 2017 and 2016.

Notes to Financial Statements

J. ENDOWMENTS - Continued

The Foundation has adopted investment and spending policies for endowment assets that attempt to provide a predictable stream of funding to programs supported by its endowment while seeking to maintain the purchasing power of the endowment assets. Endowment assets include those assets of donor-restricted funds that the Foundation must hold in perpetuity or for a donor-specified period as well as board-designated funds. Under this policy the endowment assets are invested in a manner that is intended to produce maximum results while assuming a moderate level of investment risk. The Foundation expects its endowment funds, over time, to provide a rate of return sufficient to keep pace with the rate of inflation. Actual returns in any given year may vary from this amount.

To satisfy its long-term rate-of-return objectives, the Foundation relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized) and current yield (interest and dividends). The Foundation targets a diversified asset allocation that places a great emphasis on equity-based investments to achieve its long-term return objectives within prudent risk constraints.

USA SWIMMING FOUNDATION, INC.
Schedule of Program Services
For the Year Ended December 31, 2017
(With Comparative Totals for 2016)

	Make A Splash	Building Champions	Alumni Programs	2017 Total	2016 Total
Advertising	\$ 1,760	\$	\$	\$ 1,760	\$ 880
Apparel	2,466			2,466	4,619
Awards and gifts	21,426			21,426	12,069
Catering and entertainment	6,899		2,693	9,592	38,454
Credit card fees	27			27	3,181
Depreciation	5,247			5,247	10,632
Dues and fees	2,074			2,074	3,605
Equipment and space rental	10,563		225	10,788	15,091
Freight and postage	19,238		36	19,274	17,853
Grants	494,737	732,500		1,227,237	3,107,933
Graphics and artwork	775			775	63
Miscellaneous	99			99	
Office supplies and expenses	4,134			4,134	5,077
Printing and duplication	3,903			3,903	4,065
Professional fees	307,002	26,000	35,000	368,002	358,003
Recognition and fulfillment	30,702			30,702	22,552
Repairs and equipment	9,257			9,257	20,261
Salaries and benefits	340,711	67,158	50,663	458,532	583,727
Telephone and internet	2,750			2,750	2,545
Travel	83,462		3,038	86,500	81,890
Video and photography	17,636			17,636	16,836
Website	159			159	777
	<u>\$ 1,365,027</u>	<u>\$ 825,658</u>	<u>\$ 91,655</u>	<u>\$ 2,282,340</u>	<u>\$ 4,310,113</u>

USA SWIMMING FOUNDATION, INC.
Schedule of Supporting Services
For the Year Ended December 31, 2017
(With Comparative Totals for 2016)

	Fundraising	General & Administrative	2017 Total	2016 Total
Advertising	\$ 1,550	\$	\$ 1,550	\$ 4,751
Apparel	38,142	4,866	43,008	32,274
Awards and gifts	18,059	77	18,136	30,634
Catering and entertainment	21,729	7,284	29,013	82,307
Credit card fees	17,604		17,604	20,376
Depreciation	46,639	5,177	51,816	46,639
Dues and fees	852	15,850	16,702	
Equipment and space rental	1,915	4,270	6,185	13,150
Freight and postage	44,298	1,533	45,831	67,068
Graphics and artwork	1,384		1,384	
Miscellaneous				23,294
Office supplies and expenses	6,427	1,887	8,314	10,096
Printing and duplication	90,455	2,169	92,624	58,132
Professional fees	37,171	72,772	109,943	118,207
Recognition and fulfillment	27,584	1,531	29,115	53,399
Rent		60,000	60,000	60,000
Repairs and equipment	655	308	963	3,742
Salaries and benefits	539,354	180,011	719,365	642,755
Telephone and internet	2,382	3,093	5,475	5,803
Travel	73,140	18,788	91,928	108,799
Video and photography	3,916	789	4,705	4,337
	<u>\$ 973,256</u>	<u>\$ 380,405</u>	<u>\$ 1,353,661</u>	<u>\$ 1,385,763</u>

April 10, 2018

To the Board of Directors
USA Swimming Foundation, Inc.
Colorado Springs, Colorado

We have audited the financial statements of USA Swimming Foundation, Inc., (the Foundation) for the year ended December 31, 2017 and have issued our report thereon dated April 10, 2018. As a part of our examination, we made a study and evaluation of the Foundation's system of internal accounting control to the extent we considered necessary to evaluate the system as required by generally accepted auditing standards. Under these standards, the purposes of such evaluations are to establish a basis for reliance on the system of internal accounting control in determining the nature, timing and extent of other auditing procedures that are necessary for expressing an opinion on the financial statements and to assist us in planning and performing our audit of the financial statements.

The objective of internal accounting control is to provide reasonable, but not absolute, assurance as to the safeguarding of assets against loss from unauthorized use or disposition, and the reliability of financial records for preparing financial statements and maintaining accountability for assets. The concept of reasonable assurance recognizes that the evaluation of these factors necessarily requires estimates and judgments by management.

There are inherent limitations that should be recognized in considering the potential effectiveness of any system of internal accounting control. In the performance of most control procedures, errors can result from misunderstanding of instructions, mistakes of judgments, carelessness or other personal factors. Control procedures whose effectiveness depends upon segregation of duties can be circumvented intentionally by management either with respect to the execution and recording of transactions or with respect to the estimates and judgments required in the preparation of financial statements. Further, projection of any evaluation of internal accounting control to future periods is subject to the risk that the procedures may become inadequate because of changes in conditions and that the degree of compliance with the procedures may deteriorate.

USA Swimming Foundation, Inc.
April 10, 2018
Page 2

Our audit, including the study and evaluation of the Foundation's system of internal accounting control that was made for the purposes set forth in the first paragraph of this report, would not necessarily disclose all weaknesses in the system because it was based on selective tests of accounting records and related data. Such study and evaluation disclosed no conditions that we believe to be material weaknesses.

Recommendations

We noted no areas of concern in the Foundation's procedures that need to be addressed at this time.

* * * * *

The preceding comments are based on observations made incident to our normal auditing procedures.

If you have any questions, please contact us. We will be pleased to assist you in any way with respect to these or other matters.

Sincerely,

Waugh & Goodwin, LLP

April 10, 2018

To the Board of Directors
USA Swimming Foundation, Inc.
Colorado Springs, Colorado

We have audited the financial statements of USA Swimming Foundation, Inc. (the Foundation) for the year ended December 31, 2017, and have issued our report thereon dated April 10, 2018. Professional standards require that we provide you with information about our responsibilities under generally accepted auditing standards, as well as certain information related to the planned scope and timing of our audit. We have communicated such information in our engagement letter to you dated December 8, 2017. Professional standards also require that we communicate to you the following information related to our audit.

SIGNIFICANT AUDIT FINDINGS

Qualitative Aspects of Accounting Practices

Management is responsible for the selection and use of appropriate accounting policies. The significant accounting policies used by USA Swimming Foundation, Inc. are described in Note A to the financial statements. No new accounting policies were adopted and the application of existing policies was not changed during 2017. We noted no transactions entered into by the Foundation during the year for which there is a lack of authoritative guidance or consensus. All significant transactions have been recognized in the financial statements in the proper period.

Accounting estimates are an integral part of the financial statements prepared by management and are based on management's knowledge and experience about past and current events and assumptions about future events. Certain accounting estimates are particularly sensitive because of their significance to the financial statements and because of the possibility that future events affecting them may differ significantly from those expected.

The financial statement disclosures are neutral, consistent, and clear.

Difficulties Encountered in Performing the Audit

We encountered no significant difficulties in dealing with management in performing and completing our audit.

Corrected and Uncorrected Misstatements

Professional standards require us to accumulate all misstatements identified during the audit, other than those that are trivial, and communicate them to the appropriate level of management. There were no material uncorrected misstatements as a result of audit procedures.

Disagreements with Management

For purposes of this letter, a disagreement with management is a financial accounting, reporting, or auditing matter, whether or not resolved to our satisfaction, that could be significant to the financial statements or the auditor's report. We are pleased to report that no such disagreements arose during the course of our audit.

Management Representations

We have requested certain representations from management that are included in the management representation letter dated April 10, 2018.

Other Audit Findings or Issues

We generally discuss a variety of matters, including the application of accounting principles and auditing standards, with management each year prior to retention as USA Swimming Foundation, Inc.'s auditors. However, these discussions occurred in the normal course of our professional relationship and our responses were not a condition to our retention.

* * * * *

This information is intended solely for the use of the Board of Directors and management of USA Swimming Foundation, Inc. and is not intended to be and should not be used by anyone other than these specified parties.

Sincerely,

Waugh & Goodwin, LLP

TO: USA Swimming Board of Directors
FROM: Tim Hinchey III, President & CEO
RE: Internal Report – Annual Monitoring on **Policy 3.2- External Relations**
DATE: May 9, 2018

I hereby present my monitoring report on Management Parameters Policy 3.2 “External Relations,” per the monitoring schedule set forth in Board policy. I certify that the information contained in this report is true as of this date.

Signed  _____, CEO

POLICY PROVISION: With respect to USA Swimming's interactions with other entities, the CEO will not operate without cultivating and maintaining senior leadership level relationships with all relevant national and international organizations, including but not limited to: USOC, FINA, NCAA, ASCA, CSCAA, ACES, USADA, etc.

CEO's INTERPRETATION: Maintaining the respect of and positive relations with key agencies is integral to long-term fulfillment of our Ends. I interpret this to also include local and swimming related media entities. While I am the official spokesperson for the operating organization, I also rely on and expect key staff members to actively contribute to and guide necessary relationship development (e.g. Mike Unger with swimming entities, Matt Farrell with media contacts, etc.)

REPORT: As reported to the Executive Committee in my “6 Month Evaluation and Scorecard” in January, I recognized having introductions to and developing relationships with allied/affiliated entities as a key priority early in my tenure, as they will continue to be.

Through ongoing efforts, I am pleased to have connections and positive rapport established with key constituents. Examples include:

- USOC – Acting CEO, Chief of NGB Org. Development, CMO, Chief of Sport Performance, Performance Director, etc. I also attended my first Olympic Assembly in October, participated in monthly NGBC calls, have had personal meetings with at least seven other NGB CEOs, and have interacted with many more.
- FINA – Executive Director, Cornel Marculescu. Mike Unger and I visited the FINA office in February of this year to visit Mr. Marculescu personally, and I will continue to cultivate this relationship through an annual visit, among other ways.
- NCAA – Executive Vice President of Regulatory Affairs, Oliver Luck. I have also cultivated relationships with key NCAA constituents, including Duke Athletic Director, Kevin White.
- ASCA – Executive Director, John Leonard.
- CSCAA – Executive Director, Joel Shinofield.
- ACES – Interim CEO, Rick Mack.
- USADA – Chief Executive Officer, Travis Tygart. I have meet with Mr. Tygart (most recently last month) to continue to develop our relationship with USADA and explore the best ways USA Swimming can support its anti-doping efforts.
- Congress – House Energy & Commerce Committee and Senate Commerce Committee. In connection with the ongoing Congressional investigations into sexual abuse in sport, I have visited the Hill and met with key Members and staffers of the House Energy & Commerce Committee. I have additional trips scheduled for May 14 and May 22 to prepare for the May 22 (Senate-tentative) and May 23 (House) hearings.

I will continue to prioritize maintaining strong media relations and developing rapport with key contacts at NBC, Sports Business Journal, SwimSwam, and Swimming World.

Extensive travel has offered me additional opportunities to build relationships, including with Swiss Timing while in Switzerland to see FINA, meeting the Mayor of Mesa, John Giles, while there for the TYR Pro Swim Series, meetings with potential partners while traveling to the Men's NCAA Championships, as well as exposure to stakeholders by presenting an award during the Women's NCAA Championships.

This is just a summary of the many opportunities I have had over the past few months. Looking ahead, cultivating more relationships with those interested in growing the sport of swimming and serving our athletes have already been identified as a priority. Some examples include potential partnerships I am developing with SportsEngine, Sportsdigita, Myrtha Pools, Orreco, and entities local to headquarters in Colorado, such as the University of Colorado, Colorado Springs, UC Health, and area swim teams.

Therefore, I am pleased to report COMPLIANCE.

TO: USA Swimming Board of Directors
FROM: Tim Hinchey III, President & CEO
RE: Internal Report – Annual Monitoring on **Policy 3.8: Emergency Management Succession**
DATE: May 7, 2018

I hereby present my monitoring report on Management Parameters Policy 3.8 “Emergency Management Succession,” per the monitoring schedule set forth in Board policy. I certify that the information contained in this report is true as of this date.

Signed , CEO

BROADEST PROVISION: The CEO will not operate without management succession planning processes to facilitate smooth and competent operation of the organization during key personnel transitions.

CEO’s INTERPRETATION: For purposes of this policy, “key personnel” is interpreted to include the four Strategy Team positions (see below).

As CEO, I am to ensure that personnel support and documentation is in place to preserve continuity of the responsibilities and key functions if and when any of these positions becomes vacant (either planned or unplanned). This capability is to guide and lead the respective departments, and to support and communicate with other staff and the CEO, while maintaining regular operations without material disruption.

REPORT: As of this report date, the CEO is primarily supported by four executives, which we refer to as the Strategy Team. These include:

Mike Unger, Chief Operating Officer

Matt Farrell, Chief Marketing Officer

Jim Harvey, Chief Financial Officer

Lucinda McRoberts, General Counsel & Vice President Business Affairs

Each Strategy Team member is supported by directors and managers who can work independently and function in a supporting role to their departmental executive. In the instance of sudden unavailability of an executive, the circumstances will dictate how the workload will be temporarily assigned among other business units, executives and relevant departmental employees.

As to CFO, CMO and Business Affairs, all of these departments have reasonable short-term capabilities in-house, and/or we can leverage outside support with relative ease.

However, an unanticipated departure by COO Mike Unger would create substantial disruption due to the current unique make-up of his position responsibilities and his historical knowledge and high-level relationships internationally with media, federation, and athletes. The COO position has five direct reports, none of whom would be immediately elevated to the position at this time. In such a circumstance, we would assign these direct reports to work with Lucinda McRoberts (Business Affairs), Matt Farrell (CMO) and me.

After the Jacksonville convention, we will be addressing a game plan for “bench strength” at the COO and other executive positions at USA-S. My intent is to fill all potential gaps, with individuals in place and up to speed by Tokyo 2020.

Since I joined USA Swimming last July, we have not had the departure of any executives, but we did have rather sudden departures of long-tenured staff directors (e.g. SafeSport, Club Development). As evidence of the depth and skill of our staff, we had very few member-facing disruptions in functions during that period.

The realigning of our management team is still relatively new, and we are continually refining functions and working to ensure we have “bench strength” in key positions. While it would be a heavy lift to immediately replace any of the “key personnel” listed above, the systems and depth of staff in place are sufficient to ensure smooth and competent operations if there were sudden disruption.

Therefore, I am pleased to report COMPLIANCE.

PROVISION #1: The CEO will not have fewer than two (2) other members of the management team sufficiently familiar with Board and CEO issues and processes to enable take over with reasonable proficiency as an interim successor.

CEO's INTERPRETATION: I interpret this as meaning I am to ensure that at least two senior executives (i.e. Strategy Team members) have the capability of filling in as an interim CEO, as may be designated by the Board of Directors if I become unavailable. This capability is to lead the operational organization and support and communicate with the Board with ability to fulfill the Board's expectations of the CEO (i.e. the Ends and Management Parameters policies) on an interim basis.

REPORT: Mike Unger, COO is already designated in our Bylaws as Interim CEO and can (and has) ably served in that role.

Our CMO, Matt Farrell, and our General Counsel / VP Business Affairs, Lucinda McRoberts, are also capable of filling in on an interim basis in the event of my unavailability. Matt has been with USA Swimming for 13 years and Lucinda for six (the first three as outside counsel and the last three in-house). Operationally, the entire Strategy Team work closely together, and over the past ten months have collaborated extensively in developing our business and operational plans. While Lucinda is an ex-officio Board member, all others attend Board meetings on a regular basis, and the team has worked with Bill Charney to help us integrate and align with the new governance policies and structure.

All four Strategy Team members will be working with me on the generation of these monitoring reports and looped in on other Board communications (and are specifically aware of the Board policy 3.9, “Board Awareness and Support”) and all share my commitment to assure their fulfillment.

As the down-sizing and significantly new composition of the Board will take effect after the Convention, we recognize the importance of further building on the partnership that has been established this past year.

Therefore, I am pleased to report COMPLIANCE.

Policy 1.0 Ends/Priority Results

Date of adoption / Last revision: February 3, 2018



1.0. Broadest/Purpose Statement:

USA Swimming exists for: The growth and success of swimming in the United States.
(with results optimizing use of available resources)

PRIORITY RESULTS:

1.1 COMPETITIVE SUCCESS: USA Swimmers achieve sustained competitive success at the Olympic Games and other high-level international competitions.

- A. National Team culture and environment promotes and cultivates sustained performance success, positive representation of the USA, and a productive partnership between USA Swimming and its best athletes.
- B. Strong and identifiable pathways and systems retain and develop talented athletes and coaches.
- C. USA Swimming is a recognized leader in promoting a clean sport environment.
- D. National Team athletes have resources and financial support contributing to successful careers both in and out of the water.

1.2 SUCCESSFUL ATHLETES, COACHES AND CLUBS: Members have resources for sustainable success.

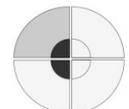
- A. Athletes have motivational, education, financial and leadership supports for success.
 - i. Participants derive benefits (physical, educational, leadership development and social) that lead to success in life.
- B. Coaches have tools and skills to be successful in the pool and in business.
- C. Clubs of all sizes and levels have and utilize resources and services for business and professional success.
 - i. Clubs are safe and inclusive environments.
 - ii. Educational opportunities support and engage non-athlete volunteers (e.g. parents, team leaders, and officials).
 - iii. Clubs have tools and resources for coach recruitment, development and retention.
 - iv. Facilities development and usage guidance and support contribute to clubs' success.
- D. LSCs have resources and services for business and professional success.
 - i. LSCs grow through competition programs that are developmentally sound and family friendly activities.

1.3 PUBLIC ENGAGEMENT WITH SWIMMING: There is growth in public awareness of and interest in swimming participation.

- A. Water safety awareness and swimming skills save lives.
- B. Swimming is recognized as an essential life skill and a "Sport for Life" for all.
- C. Swimming achieves sustained growth in participation at all levels.
 - i. Priority: Growth in participation in all cultures, ages, genders, economic backgrounds, and levels of ability.
 - ii. Non-members have access to educational/leadership resources to enhance swimmers' experience.
 - iii. Communities embrace swimming as an essential public service.
- D. There is growth in fan engagement.

1.4 RECOGNITION OF USA SWIMMING: USA Swimming is recognized as the "Best in Class" NGB.

- A. Members recognize the value and impacts of USA Swimming on their lives.
- B. USA Swimming is recognized as a leader in Safe Sport.



CEO MONITORING SCHEDULE			
POLICY	METHOD	FREQUENCY	SCHEDULE (BY END OF MONTH)
Ends/Priority Results			
1.0 Broadest: (Growth/Success of Swimming)	Internal	Annually	Winter
1.1 Competitive Success	Internal	Annually	Convention
1.2 Public Engagement with Swimming	Internal	Annually	Spring (2018 – Convention)
1.3 Successful Athletes, Coaches and Clubs	Internal	Annually	November
1.4 Recognition of USA Swimming:	Internal	Annually	November
Management Parameters			
3.0 General Management Constraint	Internal	Annually	November
3.1 Treatment of Members/Consumers	Internal	Annually	November
3.2 External Relations	Internal	Annually	Spring
3.3 Treatment of Staff	Internal	Annually	Winter
3.4 Financial Condition and Activities	Internal	Quarterly	Winter / Spring / Convention / Fall
	External	Annually	Spring (Audit)
3.5 Asset Protection	Internal	Annually	Spring
3.6 Financial Planning and Budgeting	Internal	Semi-annually	Convention – Mid-year update/re-forecast November – Annual Forecast
3.7 Compensation and Benefits	Internal	Annually	Winter
3.8 Emergency Management Succession	Internal	Annually	Spring
3.9 Board Awareness and Support	Internal	Annually	November
3.10 LSC Reporting Requirements	Internal	Annually	Convention
3.11 USA Swimming Foundation Management	Internal	Annually	November

FINA Bureau

The Bureau consists of the President, the Honorary Treasurer, five Vice Presidents one from each of the five Continents including the First Vice President and the Second Vice President, and eighteen additional members. The Honorary Life President, the Immediate Past President, the Immediate Past First Vice President, and the Immediate Past Honorary Treasurer are also members of the Bureau with voice, but without vote. The Chair of the Athletes Committee is a member of the FINA Bureau without vote.

From the 25 voting members of the Bureau, 17 are elected by the General Congress in accordance with the elections of their respective Continental Organisations and the following geographical representation: four from Africa, four from the Americas, four from Asia, four from Europe and one from Oceania. Another eight members are elected from the world at large, not exceeding one from Africa, two from Asia, one from Oceania, two from the Americas and two from Europe.

The General Congress elects from among these 17 members the President, the five Vice Presidents (including the First Vice President and the Second Vice President), and the Honorary Treasurer.

According to the FINA Constitution, the rights and duties of the Bureau shall include the following:

- to discuss and make decisions on all matters assigned to them by the Congresses,
- to interpret and enforce the FINA Rules,
- to decide and take action on any matter pertaining to the affairs of FINA,
- to submit proposals to the General Congress,
- to decide on and publish administrative by-laws, including time and manner of payment of any financial obligations,
- to decide on and publish regulations for FINA competitions,
- to decide on FINA awards,
- to make decisions in case of emergency,
- to approve the title of international referee, starter, or judge on presentation of registered and certified candidates by the FINA Technical Committees. These titles are to be awarded to the swimming, open water swimming, diving, high diving, water polo, and artistic swimming referees, starters, and judges who have received satisfactory marks for their officiating at major international competitions,
- to establish rules of order for the meetings of the General Congress, Technical Congress, Bureau, Committees, etc., provided that they will not be in opposition to the FINA Constitution,
- to determine the dates and sites of World Championships and other FINA competitions and to organise and control all swimming, open water swimming, diving, high diving, water polo, and artistic swimming competitions at the Olympic Games, World Championships, and other FINA competitions,
- to appoint and instruct the FINA Committees in accordance with FINA Rule C 19 as well as to control their activities,
- to appoint delegates to the Olympic Games, World Championships, other FINA competitions, and other international competitions. The Organising Committee must guarantee proper accreditation. The responsibilities of the delegates are to observe the organisation and to report back to the FINA Bureau,

- to appoint the FINA Executive Director on proposal of the FINA President. The FINA Executive Director shall attend all FINA meetings. The FINA Executive Director shall be an ex officio member of the Bureau without vote. The FINA Executive Director shall manage the FINA Office.
- to define FINA's mission, strategic direction, polices and values, in particular, with regard to the organisation and development of Aquatic sports at worldwide level and all related matters,
- to oversee the overall management of FINA by the Executive Director,
- to approve the budget and annual audited financial statement, including the consolidated financial statement, prepared by the Finance Committee and the annual report to be submitted to the FINA Congress for approval,
- to appoint the chairpersons, deputy chairpersons and members of the committees with the exception of those who are elected by the Congress, in accordance with this Constitution, as well as to control their activities,
- to propose to the Congress for election the chairpersons and members of the Ethics Panel and the Audit Committee.

The Bureau is not authorised to make any changes in the Constitution, General Rules, Technical Rules, Code of Ethics, Facilities Rules, Medical Rules and Doping Control Rules.

USA SWIMMING FINA BUREAU NOMINATION FORM

PLEASE TYPE RESPONSES – ONLY TYPED APPLICATIONS WILL BE CONSIDERED

SECTION I: Nominee Contact Information

Name: Janet Evans

Email: jevans@la28.org

Preferred Phone: 949-573-8118

Alternate Phone:

Home Address: 29 S. La Senda Drive

Home City/State/Zip: Laguna Beach, CA 92651

SECTION II: Profile & Visability

1. Is the nominee a current member of USA Swimming? _x_ yes ___ no
2. If yes, membership category?
___ Athlete
___ Coach
___ Official
x Other (Specify) Non-Athlete
3. If not currently a member of USA Swimming, what was nominee's past relationship with USA Swimming?
(Please describe, including leadership positions, governance experience)
USA Swimming Olympic Team Member, 1988, 1992, 1996
USA Swimming World Championship Team Member 1991, 1993 (SCM), 1994
USA Swimming Pan Pacific Team Member 1987, 1989, 1991
4. Notable positions or participation in:
FINA: Member, FINA Athlete Commission, 1992 - 2009
Chairman, FINA Athlete Commission 2000 - 2009
UANA:

USOC:

Olympics:

USA SWIMMING FINA BUREAU NOMINATION FORM

Other (Organizing committees, other USAS NGBs, etc.):

WADA: Athletes' Commission Member 2005 - 2007

LA2028 OCOG: Chief Athlete Officer, 2015 - present

SECTION III: Time Commitment

1. Is the nominee able to commit to the time requirements as described in the FINA Bureau Nomination Request; i.e., Bureau meetings, committee meetings, major international competitions, continental organization meetings?

(Please describe the nominee's current status with comments)

Employed

Retired

Volunteer Commitments

Family

2. Is the nominee able to travel internationally? (Please note any time or other restrictions.)

Yes, I can travel internationally, and currently attend many of the same events/meetings in my role as Chief Athlete Officer, LA2028.

3. Is the nominee able to attend all USAS NGBs Board meetings?

Yes, I can attend.

4. Can the nominee serve the 2021 – 2033 3-term limit? If not how many terms?

Yes, I can serve the three term limit.

USA SWIMMING FINA BUREAU NOMINATION FORM

SECTION IV: Empathy & Understanding

1. Has the nominee had experience working with other Aquatic Federations? (Please describe)

Most of my recent experience has been working with FINA on bid plans for the 2024 Games and now on the organizational plans for 2028. This has included understanding FINA's needs at an Olympic Games for their venues and athlete experience.

2. Does the nominee have organizational and technical experience or resources to share with other Federations? (Please describe)

In my role at LA2028, my team led the athlete experience for both the bid phase and now the organizing phase of our organization. In our bid process we oversaw the entire athlete experience across all sports - from venues to transportation to dining and beyond. My team and I met with the leaders from most every Summer International Federation to understand their athletes' needs and integrate those needs into our bid plans. Those plans will now be included in our OCOG plans as we look to integrate with every IF on their continued and future needs.

3. What professional relationships/associations does the nominee have that could be helpful to this position and to other Federations?

In the process of bidding for 2024/2028, I developed strong relationships within the IOC, USOC and numerous IFs.

SECTION V: Leadership

1. Based on past and current leadership positions, please briefly describe the nominee's approach to leadership and interpersonal skills.

As a long-time FINA athlete and FINA AC member, I believe that the athlete voice in FINA is a positive one that can greatly benefit FINA and all FINA stakeholders. In my current role I lead a team that oversees the planning of the athlete experience for the LA2028 Olympic and Paralympic Games. We take guidance from athlete voices while working through the strategic and operational expertise needed in delivering an Olympic and Paralympic Games.

USA SWIMMING FINA BUREAU NOMINATION FORM

2. Considering past and current organizations that the nominee has been associated with, briefly describe how these organizations approach transparency and integrity.

Athletes are at the heart of the LA2028 Olympic and Paralympic Games plan. Everything we do in our planning process is overseen by a team of athlete commission members who guide our organization in all things athlete related. Our series of town halls in the 2024 bid process gave athletes a voice in the bidding process, and we plan to do the same in our 2028 organizing process. We operate with full transparency in our OCOG, with the guiding principle that the IOC, IFs and athletes are our most important stakeholders - and that we will deliver the best Games ever to all of them.

PLEASE SUBMIT THE NOMINATION FORM TO:

Ron Van Pool –

E-mail: ronvp@aol.com

UANA Executive Committee

RIGHTS AND DUTIES OF THE EXECUTIVE COMMITTEE

ARTICLE 33 - RIGHTS OF EXECUTIVE COMMITTEE

The rights of the Executive Committee are to:

- A. Be the sole authority to represent UANA in the control and managements of its affairs between meetings of the Congress.
- B. Receive and consider applications for membership, in accordance with Article 7 of this Constitution.
- C. Receive from the Zones and affiliated Members, the annual dues that these must pay to UANA, as determined by the Congress.
- D. Issue whatever orders deemed necessary for the success of its plans of action.
- E. Appoint delegates and commissions to represent it.
- F. Intervene, if appealed to, in the solution of conflicts arising within the Zones or between the Zones and their members, in a conciliatory character.
- G. Appoint administrative personnel as required to better conduct the affairs of UANA. These will include the Director, Financial Manager and other positions deemed necessary by the UANA Executive.
- H. Convene Congresses as provided for in the Constitution.
- I. Take part in the sessions of Congress, with voice but not a vote, unless they are also Delegates to the Congress from a Member, in which case they will also have a vote.
- J. Make emergency decisions which will be immediately valid, except replacing Executive Committee member vacancies arising from resignation or otherwise, and which are to be submitted for confirmation by the Congress at its next session.
- K. Accept the resignation of any of its members or any of the affiliated Members or organizations.
- L. Appoint sub-commissions for special purposes, the President of which must be a member of the Executive Committee, and ratify the recommendations of these sub-commissions.
- M. The decisions of the Executive Committee must be approved by one half (1/2) of the members plus one. If this majority cannot be obtained at any meeting, absent members may vote by mail. The votes cast by mail will be accepted using the same procedures as FINA.

ARTICLE 34 - DUTIES OF EXECUTIVE COMMITTEE

The duties of the Executive Committee are to:

- A. Meet at least once every two years.
- B. Comply and enforce compliance of the Constitution of UANA, as well as of all resolutions passed by the Congress.
- C. Prepare the budget of UANA and submit it to the Congress for consideration and approval.
- D. Submit to the Congress a financial report of all income and expenditures of UANA during the period preceding the Congress.
- E. Submit to the Congress a report of its activities during the period preceding the Congress.
- G. Submit to the Congress a projected program for the following period.
- H. Give the widest possible publicity to events which will be organized under its sponsorship and management, or those that may be run by the affiliated Members and organizations.
- I. Prepare the minutes of its sessions containing the resolutions approved, which must be signed by the President or a Vice President and the Secretary-Treasurer, and recorded in the Executive Committee's Minute Book.
- J. Approve and circulate all Rules and Regulations for each competition of UANA, manage and control the conduct of these and decide regarding the site and date on where and when these competitions would be held.

To: USA Swimming IRC Nominating Task Force

I would like to nominate Van Donkersgoed for a position on the UANA Executive Committee. Van has been actively engaged in numerous support roles for UANA over the last five years, and he has both the knowledge of the political climate and the relationships necessary to make an immediate positive impact on UANA.

Throughout his 10+ years as an athlete representative with USA Swimming, Van has been a passionate leader and has had numerous opportunities to represent USA Swimming in an extremely favorable and cooperative manner to our partner federations in UANA.

Some of Van's notable UANA experiences include:

- Managed the UANA office in Budapest during the 2017 World Championships, sharing information on important issues before the congress to all UANA federations. He also collected dues and registered federations for the 2017 UANA Congress meeting. Throughout his time in Budapest, Van was able to successfully network with all of the UANA partner federations and build relationships necessary for any individual on the UANA Executive Committee.
- Assisted Mel Goldstein with the collection of UANA annual dues, which included communication with members of nearly every federation within UANA. Further, he set up online payment options through the UANA website and maintained the integrity of the UANA ledger.
- Managed attendance and registration of delegates at the 2015 UANA Congress, ensuring each federation was properly registered to vote and posted exhaustive pertinent material online prior to the congress.
- Acted as a key organizer of the 2018 UANA cup, including participation in site visits and ensuring a smooth start-to-finish experience for the 20+ federations that attended.
- Administered the UANA Website since 2013.

Van is an individual of the utmost character, and he operates with a dedication to our sport unlike any other. I truly believe the UANA Executive Committee would greatly benefit both from his experience and leadership as a representative of USA Swimming and from his experience volunteering for UANA.

Should Van be selected, his involvement with UANA will provide USA Swimming with a highly knowledgeable, effective representative to ensure USA Swimming's position of influence in the continental body given the planned retirement of current UANA President Dale Neuberger and UANA Director Greg Eggert.

Respectfully submitted,

Mark Weber

UANA Technical Committees

ARTICLE 46 - RIGHTS AND DUTIES

The rights and duties of the Standing Committees of UANA include, but are not limited to, the following:

- A. Discuss and take decisions on all matters assigned to them by the Executive Committee.
- B. Promote their disciplines in any possible way, for example, by collecting experiences, conducting clinics, circulating technical expertise to affiliated Federations, etc.
- C. Exchange continuously expertise and opinions with Members in regard to technical matters.
- D. **Consider and decide on all technical matters in their disciplines.**
- E. **Evaluate, promote and maintain the quality of referees, judges and officials and establish annually a list of UANA recognized officials in their disciplines.**
- F. **Co-operate in the technical preparation and holding of the competitions in their disciplines at the Pan American Games and other UANA events.**
- G. **Investigate the currently available equipment and specifications, relating to the facilities to be used at UANA competitions.**
- H. **Control the technical preparation and technical conduct of the Aquatics in the Pan American Games and other UANA competitions.**
- I. Consider and take decisions on applications for records of UANA.
- J. Appoint sub-committees, consisting of Committee Members, to investigate, study and make recommendations to the Committee related to any matter referred to them.
- K. **Establish and recommend for approval of the Executive Committee regulations for the conduct of UANA events.**
- L. Promote the holding of competitions in their respective disciplines, subject to approval by the Executive Committee.

CECIL CLIFTON GORDON, JR., MD
611 West 18th Street
Wilmington, Delaware 19802
(302) 658-3331

EDUCATION

Residency: Wilmington Medical Center, Department of Obstetrics and Gynecology - (July 1981 - June 1984)

Internship: Wilmington Medical Center - (July 1980 - June 1981)

University of North Carolina School of Medicine - (August 1976 - May 1980)

Board of Governors' Scholar

Kings' Fund Fellow - Summer 1977 (London, England) – Studied National Health Services

Student National Medical Association Project Committee Chair

Student Health Action Committee-Chair

University of North Carolina at Chapel Hill - B.S. in Psychology - (August 1971- May 1975)

Resident and Academic Advisor

Honor Court Justice

EMPLOYMENT

Private Practice - Obstetrics and Gynecology, Brandywine Women's Health Associates, Inc. (1984 - present)

Christiana Care Hospital Staff - (1984 - present)

St. Francis Hospital - Wilmington Staff - (1984 - present)

Jefferson Medical College Assistant Professor - (1984 - present)

State of Delaware – Department of Corrections - Comprehensive Obstetrical and Gynecological Services (1985-6/1991-2)

ORGANIZATIONAL MEMBERSHIPS (1990 – Present)

Founder and Medical Director of Volunteers for Adolescent Pregnancy Prevention, Inc. (1987-present)

Christiana Care Health System Board of Trustees (2012-present)

Nemours Health and Prevention Services – Advisory Council

USA Swimming – Diversity Committee Chair, Rules and Regulations Committee, Safe Sport Committee Chair, Official, IRC

FINA List—Starter and Referee

Starter (official) 2016 Rio Olympic Games

USA Swimming Foundation Board of Directors (2016-present)

Life Member of USA Swimming

Delaware Community Foundation Board

Life Member of NAACP

National Association of Guardsmen, Philadelphia Chapter (President 2007-08)

Kappa Alpha Psi Service Fraternity/Sigma Pi Phi Fraternity (Beta Eta Boule)

Thomas Edison Charter School Board Member (2001-2007)

President's Volunteer Summit (Delegate -1996)

Delaware Board of Medical Practice - 1991 - 1997 (Secretary 1996; Vice President 1997)

Vice Chairman for Governor's Minority Health Council (Castle Administration)

Greater Wilmington Urban League Co-Chair HPAC

Wilmington Rotary Club

March of Dimes Board

Delaware Health Resources Management Council

National Medical Association

Medical Society of Delaware

Big Brothers/Big Sisters Volunteer

Advisory Board for the Alliance for Adolescent Pregnancy Prevention

Delaware American Cancer Society Board

Visiting Nurses Advisory Council

Delaware Non-Profit Leadership

Christiana Care Quality Partners—Credentialing Committee

EastSide Charter School Board of Directors (2015-present)

Saints Andrew and Matthew Episcopal Church Vestry Member (2013-2016)

AWARDS

Metropolitan Wilmington Urban League James H. Gilliam, Jr. Humanitarian Award - 2010

Delaware Black Awards – Best Doctor 2008

McDonald's Dedicated Leadership Award - 1997

New Castle County Chamber of Commerce Wallace M. Johnson Community Service Award - 1997

Wilmington Branch - N.A.A.C.P. - Community Service Award - 1997

Tau Eta Chapter, Chi Eta Phi Sorority, Inc. - Community Service Award - 1991

Perinatal Association of Delaware - Distinguished Service Award - 1991

Brandywine Professional Association - Outstanding Service To Youth Award - 1990

Governor's Outstanding Volunteer Award - 1990

Afro-American Historical Society of Delaware - 1989 Physician Achievement and Service Award

KOOL Achiever Award-1989

Thomas Jefferson Award - 1989

Alpha Phi Alpha Fraternity, Inc. - Community Service Award – 1987

Jay Thomas

USA Swimming Volunteer Service

LSC Board of Directors – 2005-2016

National Times and Recognition Committee -2006-2010

National Rules and Regulations Committee – 2008-Present – Chair 2014-present

Board of Directors – 2010-2014

Swimming Official Background

USA Swimming official since 1995.

Certified at the national level in 2001.

In 2006 named to first FINA Officials List. Served on various lists through 2016.

Named to the UANA TSC in 2011 and continues to serve the TSC as the Co-Secretary.

Major Event Participation

2008, 2012, 2016 Olympic Team Trials

2006 – Junior Pan Pacific Championship – Maui, HI

2010 – Pan Pacific Championship – Irvine, CA

2010 – FINA Short Course World Championship - Dubai

2011 – FINA World Championship – Shanghai

2013 – FINA World Championship – Barcelona

2015 – Pan American Games – Toronto

2016 – Olympic Games – Rio de Janeiro

Andrew Gemmell

154 Gibbs St, Apt F531, Rockville, MD, 20850

CELL PHONE: 302-559-7014

EMAIL: adgemmell@gmail.com

EDUCATION

Georgetown University, Washington, DC

Masters in Applied Economics,

2017

GPA: 3.83/4.00

University of Georgia, Athens, GA

Bachelor of Business Administration in Economics,

2014

GPA: 3.86/4.00

USA SWIMMING NATIONAL TEAM ATHLETE

5/2009-7/2017

- Competed at the 2012 Olympic Games, four World Championships, and various other international competitions
 - Won two (One gold, one silver) World Championship medals and was a six-time US National Champion
- Trained and prepared to represent USA Swimming and the US Olympic Committee in premier meets across the world.
- Produced yearly and quadrennial training and competition plans that required implementing short term feedback in order to drive long term performance goals.
- Worked with USA Swimming analysts and coaching staff to conduct race and stroke review using video and numerical analysis
- Interacted with fans, marketers, and media to enhance both personal and USA Swimming/USOC branding

LEADERSHIP EXPERIENCE

- USA Swimming International Relations Committee. 8/2016-
 - Created policy guidance to continue to best facilitate USA Swimming's position as the world leader in international medal count at Olympics and World Championships.
 - Put forward legislation for the 2017 FINA congress on the use of wetsuits in Open Water Swimming to protect competitive integrity while promoting athlete safety.
- UGA Athletic Association Board of Directors. 7/2013-6/2014
 - Represented student-athletes' interests in the creation of the Board's \$99.8 million budget
- UGA Swimming and Diving 8/2009-5/2014
 - Team captain in 2014, leading the team to its highest NCAA finish (5th) in over 15 years.
- UGA Leadership Academy. 2010-2014
 - Interacted with local leaders in education, government, and business to improve the student-athlete experience by working to create opportunities for student-athlete community engagement in areas outside of their sport.

TECHNICAL SKILLS AND PROFESSIONAL TRAITS

- Experience with using Stata for data cleaning and regression analysis. Familiarity with SQL.
- Working with cleaning, merging, and analyzing large data sets (1,000,000+ observations) such as SIPP and CPS to replicate and conduct original research.
- Presenting and synthesizing current economic research with an eye towards possible policy implementations.
- Coursework in Economics of Education, Health, Public, and Labor Economics.
 - Conducted semester long research on peer-effect tutoring among college athletes that lead to improved academic outcomes among freshman football players.

ACADEMIC ACHIEVEMENTS

- NCAA Postgraduate Scholarship recipient. 2014
 - One of 174 given annually across all 460,000 NCAA athletes.
- McWhorter SEC Postgraduate Scholarship finalist. 2014
 - One of 14 finalists from all sports across all Southeastern Conference universities.
- UGA Outstanding Senior Thesis in Economics, Finalist. 2014
- Terry Excellence Award for Outstanding Achievement in Economics. 2014
- SEC Scholar Athlete of the year for Swimming and Diving. 2013
- Capital One Academic All-America Division I Second Team At-Large Team member. 2013, 2014
- UGA Student Athlete Advisory Committee. 2010-2014
 - Acted as an important liaison between senior administration officials and student athletes.
 - Volunteered at local schools talking on a variety of topics, such as bullying, the importance of reading, and teamwork

Rick Walker
UANA Open Water Nominee

Resume

- 12 years Director/Head Coach USA National Open Water Team
- Multiple Years as Chair of the Open Water Swimming Committee
- Chair of the USA Swimming Open Water Development Committee (following the Fran Crippen incident) 4 years
- FINA Officials List (through 2020)
- Member of the Current UANA Open Water Technical Committee
- Officiated multiple National and International Championships
- 16 years Head Coach for USA Swimming Open Water Development Camps
- Coach at Southern Illinois University 31 years (men and women)
- USA Swimming's Glen S Hummer Award (2 times)
- Awarded the Adolf Kiefer Safety Award for saving an athlete at the World Championships in Rome

Coaches Committee

The powers and duties of the Coaches Committee are:

- to fulfil UANA development programme requirements,
- to participate in the Coaches Certification programme for each discipline,
- to bring the coaches experience and requirements with occasion of UANA Competitions to the respective Management Committee of the event,
- to be in contact with and bring forward recommendations and proposals from the coaches around the Americas, and
- to advise on any proposal or amendments to Technical Rules for each discipline.

Michael Lawrence
IRC Leadership Development
May 2018

In the coming months we will be recommending individuals to assume positions of global and continental leadership and I would be honored and humbled to carry forward that responsibility. Throughout my career of volunteer leadership, I have served in many positions from LSC to USA Swimming Board of Directors. I am also a member (non-Executive) of the ASCA Board of Directors.

The international sport leadership waters are difficult to understand and particularly treacherous today. I believe my varied experiences have prepared me to be part of the leadership and governance team to achieve our objectives. Internally we have self-imposed a 3-term limit on our international leadership positions; however, because I believe that we need to mentor and be willing to pass leadership on I will self-impose a 2-term limit on myself. If asked to assume a position of leadership I further pledge to take whatever mentoring steps are needed to prepare successors.

My deepest commitment to USA Swimming is to always fight for clean sport, fair governance, and develop future leadership. With the support of USA Swimming I have educated myself on Anti-Doping at major conferences, forming friendships and relationships that I hope will drive a stronger Anti-Doping position. I have attended both UANA and FINA Congresses, working to develop a better understanding of the playing field. Last summer I proudly represented USA Swimming in the FINA Congress in Budapest.

I am appreciative of the investment and confidence USA Swimming has placed in me over the years and I am ready to repay that investment with Leadership.

I have the full support of my employer, the Lake Forest Swim Club, to travel as necessary and allocate significant "work hours" to any duties a position of leadership requires. This has always been the case for me and has allowed me to serve the National Team on many occasions, including the significant time required as support staff on the 2004 Olympic Team.

My further commitment to USA Swimming is to always act with integrity in making decisions and to carry forward our positions without regard to personal gain or personal political consequence. I believe we need a strong like-minded combination of coaches, athletes and non-athletes to affect change in global sport. I am well prepared to be part of that group.

Thank you for the time you have invested in your deliberations and my best to all of you personally.

Respectfully submitted.

Michael Lawrence

IRC Leadership Development

May 2018

International Governance Experience and Prep:

- FINA Congress and World Championships, Budapest (2017)
- FINA World Championships SC, Windsor (2016)
- UANA Congress and an American Games, Toronto (2015)
- Tackling Doping In Sport, London (2016 and 2017)

Domestic Leadership Experience includes:

- Chairman, International Relations Committee (2012 – present)
- USA Swimming Board of Directors (1999 – 2012)
 - Coordinator, Olympic International Operations Committee
 - Program Development Vice President
 - Central Zone Director
- LSC Board of Directors (1983 – present)
 - Past President (2002-2006)
 - Various Board and committee positions

Significant Domestic Initiative Accomplishments:

- Club Excellence Program (with many coaches including Dave Salo)
- Athlete Partnership Agreement (with Trent Staley, Tyler Storie, and Tim Liebhold)
- Major revisions of the LSC Bylaws (with Jim Devine and John Morse)
- Harmonization of FINA/USA Swimming Open Water rules (with Julie Bare)

National Team experience includes:

- Duel In The Pool (Glasgow, 2013)
- National Jr Team World Cup Tour (Berlin, Stockholm, Moscow -- 2009, 2011)
- World Jr Championships (Monterrey, 2008)
- National Jr Team (Melbourne, 2008)
- Olympic Games (Athens, 2004)
- Pan Pacific Games (Yokohama, 2002)
- World University Games (Beijing, 2001)
- World University Games (Fukuoka, 1995)

Other past volunteer leadership positions include:

- Rules and Regulations Committee
 - Steering Committee
 - Senior Committee
 - Age Group Planning Committee
 - Club Development Committee
-

Dr. Dilaawar (Danny) Mistry, MD, MS, ATC

Dr. Dilaawar (Danny) Mistry, MD, MS, ATC is board certified in Internal Medicine and practices Primary Care Sports Medicine. Dr. Mistry received his medical degree from the University of Madras, India in 1986. After moving to the U.S. in 1987, he completed a Master's degree in Exercise Science from the University of Massachusetts in 1991, and subsequently completed his Athletic Training certification in 1994. While completing his Athletic Training program, he also obtained a Massage Therapy certification.

He was a resident in Physical Medicine and Rehabilitation between 1995 and 1997 at the University of Virginia and then in Internal Medicine at the University of Virginia between 1997 and 2002. Following completion of residency training in 2002, he helped develop the Primary Care Sports Medicine program at the Department of Athletics, University of Virginia where he also served as Primary Care Team Physician until 2011. He also served as the Co-Medical Director at the Department of Athletics, University of Virginia between 2003 and 2011, and continues to serve as an Associate Visiting Professor at the Department of Physical Medicine and Rehabilitation, University of Virginia.

Between 2011 and 2017, he worked in Grand Junction, Colorado as a Primary Care Sports Medicine physician at Western Orthopedics and Sports Medicine. During that time he served as a volunteer Primary Care Team Physician for the Department of Athletics, Colorado Mesa University where he was instrumental in the development of Primary Care Sport Medicine programs – including comprehensive pre-participation physical evaluations, concussion management, and sports cardiology. He served as Primary Care Team Physician for the Grand Junction Rockies between 2012 and 2017. He also served as the Chair for the Grand Junction Concussion Task Force between 2013 and 2015, and with the help of Karen McAvoy and an educational grant from Grand Junction Community Hospital, he developed a concussion program for School District 51. He has been involved in peer reviewed research, has authored sports medicine books and articles, has lectured extensively on a variety of Primary Care Sports Medicine topics both locally and nationally as well as helped develop several conferences in Sports Medicine.

Since 2013, he has helped the Brain Injury Alliance of Colorado develop educational content for statewide education in Colorado and since 2014 he has served as a member of the Colorado Traumatic Brain Injury Trust Fund Board. He also served on the Credentials and CME Committees for the Community Hospital, Grand Junction, between 2013 and 2014 and was as a Member of the Board of Trustees for the hospital between 2014 and 2017.

In 1999, he served as Athletic Trainer and Massage Therapist for the US Soccer, Men's Junior National Team and between 1999 and 2000 he served as the Massage Therapist for the US Soccer, Women's National Team. He completed his Physician Internship program with the United States Olympic Committee in 2003 and since 2005, he has served as Primary Care Team Physician for USA Swimming, during which he has traveled to numerous domestic and international swimming competitions. Since 2015, he has served as Chair of the Concussion Task Force for USA Swimming.

The diversity of his clinical, education and academic experiences over the past three decades facilitates his ability and commitment to provide exceptional evidence-based, comprehensive Primary Care Sports Medicine care for recreational and high-performance athletes affected by a variety of medical issues. He has a particular passion for treating concussion and for non-surgical, orthopedic care of musculoskeletal injuries. In addition, he has a keen interest in Sports Cardiology and the prevention of sudden death in athletes by incorporating a systematic pre-participation screening program to exclude potential, life threatening medical conditions in athletes of all ages and from all walks of life. He is committed to the promotion of clinical and educational programs that enhance health and wellness in Fort Collins and surrounding areas.

Besides work, he is an avid chef and is currently authoring the "Whole Soul Cookbook", being written to support orphanages worldwide. He loves spending time with his family exploring the great outdoors and traveling worldwide.

USA Swimming International Relations Committee Meeting Agenda

Denver Airport Residence Inn / Friday, May 11, 2018

1:00pm – 5:00pm

A. SPECIAL GUESTS, TIME CERTAIN DISCUSSION

1. Rich Young, Bryan Cave

B. ACTION ITEMS, STRATEGIC PRIORITIES/ INITIATIVES/ DISCUSSION

1. Athlete Safety

2. Autonomy/Sovereignty

Mike Unger

- a. Olympic Trials Update
- b. International Swim League
- c. Hosting FINA Open Water event (2021-2014 quad)

3. Organizational Relationships

Bruce Stratton

- a. FINA Technical Rules Workgroup: Jay Thomas (Lead), Amy Hoppenrath, Cecil Gordon, Dan McAllen, Jeri Marshburn, Carol Zaleski, Anthony Ervin
- b. FINA OW Rules Workgroup: Sandy Drake (Lead), Andrew Gemmell, Catherine Vogt, Sid Cassidy, Matt Wilson, Tyler Fenwick

4. Leadership Development

Ron Van Pool

- a. FINA/UANA Nominations

5. Sport Development

Bill Schalz

- a. Haitian Federation Support
- b. International Clinic Initiative

6. Sport Fairness

Michael Lawrence

C. ORGANIZATIONAL REPORTS

1. FINA Bureau Update (Submitted) Dale Neuburger
2. UANA Update (Submitted) Dale Neuburger
3. FINA TSC Update Carol Zaleski
4. FINA TOWSC Update Sid Cassidy
5. FINA Sports Medicine Committee Update Dr. Jim Miller
6. FINA Athletes Commission Update Aaron Peirsol

D. ADDITIONAL REPORTS OR UPDATES

1. ASCA Report (Submitted) John Leonard
2. USOC AAC Update Natalie Hall
3. USOC Update (Submitted) Ron Van Pool
4. FISU Report Bill Wadley
5. FINA Coaches Commission
6. FINA & USAS Media Committee Updates Gregory Eggert

Next IRC Meeting / September 2018/ Convention – Jacksonville, FL



Minor Transgender Athlete Task Force

Board Report: May 12, 2018 Meeting
Submitted To: USA Swimming Board of Directors
From: Taskforce Chair

Overview

The “Minor Transgender Athlete Task Force”, referred to in this report as TTF, has undertaken a thorough review of current USA Swimming policies to address the competition needs of gender diverse athletes, in order to recommend updates related to participation, performance, competition, and selection. This 10-person task force was comprised of youth experts nationwide from medical, legal, and advocacy fields. Also included were representatives from USA Swimming and the USOC, plus a swim parent and a club swimming coach. To review the policies and practices of other sports organizations, research was conducted with multiple entities, including professional leagues, State High School Associations, NCAA, Human Rights Campaign, U.S. Soccer, and the IOC/USOC. A library of published material from a wide array of sources was shared to understand the climate around this topic. **The TTF is recommending fair, inclusive, and progressive updates across three areas: Rule Book, Policy Manual, and ‘Guidelines for Inclusion’.**

This group has met regularly from November 2017 until April 2018 via conference calls and an in-person 2-day meeting in Denver.

Task force members include:

- Athlete, Team USA
- Member, USA Swimming Rules & Regulations Committee
- Endocrinologist, Children’s Hospital of Colorado. Expert on puberty blockers
- Director of Diversity & Inclusion, USOC
- Social Worker with Gender Studies specialty
- Swim Parent of transgender NCAA student-athlete
- Transgender Expert & Advocate
- Sports Inclusion Lawyer, Human Rights Campaign
- Mental Health Professional / former athlete, Team USA
- USA Swimming Staff Liaison
- Club Head Coach / Task Force Chair

Included in Report (as Appendices):

- Proposed Rules Changes (App A)
- Proposed Policy Manual changes/additions (App B)
- Revised Guidelines for Inclusion (App C)
- Brief Medical Background (App D)
- Sources & References (App E)

Background: Gender & Sport in a Changing World

One of the most influential and visible institutions upholding a “gender binary” (male/female competition category) is sport. Participation is predominantly segregated by biological sex, and rooted in widely-held beliefs about fairness and the biological advantages associated with being male (i.e. men swim faster than women). Such beliefs, though still under-researched, can be over-simplified and legitimize discrimination for gender-diverse athletes. With the rapidly growing societal visibility of transgender people, there is an unprecedented need to both acknowledge this group and maintain competitive fairness for ALL swimming athletes. Given this trending issue in elite sport, the time is NOW to help Swimming stay progressive and in front of cultural shifts. **Establishing simple rules at the National level and creating nimble policies for our membership** will allow us to evolve as a governing body, as we begin to understand the changes in sport culture.

Fairness in Competition

Naturally competition issues and the perception of fairness are at the root of many doubts about inclusion, and with good reason. Competition issues are varied and complex. These include:

- ‘Gender non-specific’ athletes (i.e. no category for them to compete in)
- Fair timeframe to declare new gender (right before the local Championship meet?)
- Uniform/swimsuit issues (i.e. breast development for a transgender male)
- Competitive advantages (real and perceived)
- Abuse and/or long-term effect of hormone therapy (yet un-researched)



This TTF attempted rules/policy/guidelines that are FAIR for competition, inclusive, and reasonable enough to be supported by both the Board of Directors and our membership. One critical element is the continued offering of **clear and consistent criteria for competition: By “safeguarding the process” of athlete qualification for meets, selection for teams, and even protest procedures, fairness is preserved. By allowing for a change in competition category, inclusion is supported.** Summarized here are the basic recommendations of the TTF:

- Define & utilize a new term: Competition Category, to describe our current options for competing.
- Create a formal, easily understandable Intake Process for questions around gender marker changes
- Create Eligibility Review Panel to establish credibility of applicant request, and evaluate changes for SWIMS
- Standardize all criteria to encompass any athlete (“gender diverse”)
- Clearly present guidelines for elite level competition qualification/team selection in Meet information (as per IOC/USOC)
- Clearly present options for Protest/Appeal that protect an athletes’ ability to compete while ensuring competitive fairness

Competition Category

Currently Swimming offers pool events (varying distances) for two categories of athlete: male and female. Therefore any athlete wishing to compete in this sport MUST select one of these two categories. If an athlete desires to change competition category, a detailed, specific Process is needed. The actual recommended process can be reviewed in the Proposed Policy Manual in Appendix B.

- The TTF is **not recommending any change to the current competition structure, or addition of a non-binary category.**
- The TTF is **not recommending the regulation or assessment of hormone therapy in minor athletes competing locally.**
- The TTF recommends that a **change in competition category is possible for any athlete meeting the requirements.**
- The TTF recommends that this **process by which an athlete may request a change in category must be stringent.**

However, there are many complexities around a category change, and most of these are at the local level, such as:

- variances in tolerance and understanding by region/LSC/club/team
- physical/outward attributes which may affect swimsuit choice or local decency laws
- Privacy laws for medical treatment, gender re-assignment surgery, etc.
- variances in LSC policy, including legal paperwork requirements which can differ by state

Meet Qualification

The TTF recognizes gender diverse minor athletes may not always be protected by privacy laws for minors if contending for meets which are bound by policy from USOC/IOC (National level and beyond). Further, within our USA Swimming Senior Development competition pyramid for senior level competition, qualifying time (not age) is the only factor considered for participation in these meets. Regardless of age, an athlete must qualify for a meet in the competition category (gender) to which they are currently registered, by meeting those qualifying times for that competition. The TTF makes the following recommendations:

- **Local/Developmental/Age Group: No recommendation:** Athletes may compete locally in the Competition Category to which they are registered at a USA Swimming sanctioned meet, without medical intervention.
- **LSC/Regional: No recommendation:** Athletes may compete locally in the Competition Category to which they are registered at a USA Swimming sanctioned meet, without medical intervention. Qualification Procedure for meets with time standards will be as outlined in the meet information.
- **Jr/Sr National: Recommended:** Athletes may compete in the Competition Category to which they are registered. Qualification Procedure for National meets will be as outlined in the meet information by the NGB, and may include drug testing requirements/ disclosure of hormone therapy for the purpose of TUE request. All NGB qualification procedures default to guidelines governed by current USOC/IOC policy.
- **International: Recommended:** Athletes may compete in the Competition Category to which they are registered. Qualification Procedure for International meets will be as outlined in the meet information by the NGB, and may include drug testing requirements/ disclosure of hormone therapy. All qualification procedures default to guidelines governed by current USOC/IOC/FINA policy.
- Guidelines must be included in any formal Information Packet (meet information) provided by the NGB or Meet Host.
- If an athlete qualifies for any Meet with possible international Team selection, the athlete must also abide by IOC/FINA criteria set forth for that Team. Meeting all requirements for Team selection is the responsibility of the athlete and the family



Selection – Camps/Teams

Selection Criteria for camps/teams NOT governed by USOC/IOC: (LSC Camps, Natl Select Camp, Zone Select Camp, OW Select Camp) - **NO change recommended.** Qualifying criteria are set and include rank, citizenship, and USA Swimming membership. Selection criteria vary but are primarily performance-based. Currently guidelines allow a minor athlete to compete in the gender of their choice without restriction (minus any swimsuit waivers that may need to be granted) and also be selected for a USA Swimming camp also without any medical intervention.

Selection Criteria for camps/teams governed by IOC/USOC: (National Team, National Junior Team, Pan Pac, Olympic Team)

The following is **recommended:**

- An athlete must qualify for selection in the competition gender to which they are currently registered.
- The current IOC/USOC policy requires Trans females to provide medical results proving 1 year (12 consecutive months) of testosterone levels below a certain level (10 nmol) to compete, regardless of age. There are no hormone restrictions for Trans males.
- The medical guidelines must be reflected in any formal Information Packet (including meet information) provided by the NGB or the Meet Host as part of selection criteria
- Athletes intending on possible selection for any Team competing internationally must abide by USOC/IOC/FINA guidelines.
- Meeting all requirements for Team selection is the responsibility of the athlete and the family.

Athlete Performance Records (NAG or other Records)

The TTF kept this simple and the following is **recommended:**

- An athlete must swim an event 'brand new' to qualify in a new competition category.
- Race times will NOT be applied retroactively as NAG/or any records.
 - Athlete is still capable of achieving times the day before they switched competition category as the day after
 - Times achieved in different competition categories are considered different events (i.e. girls 50 free is different from boys 50 free)
 - Review Panel can determine eligibility during Intake, if possible competitive advantage or abuse of policy is suspected for the purpose of NAG achievement



Recommended Rule Changes (Appendix A)

A monumental challenge was to determine which competition/selection criteria should be proposed as rules vs. policy vs. guidelines. The proposed addition of language to the Rule Book centers around the new term “competition category” and places protest procedures at the national level. This sends a strong message about inclusion, but points to the current Policy & Procedures manual for most situations...thus allowing for “nimble” procedural changes that can evolve as the needs of our membership do. **The TTF does not recommend removal of existing USA Swimming legislation**, as our culture of inclusion is well-established. Below is an overview:

Current Rule/Location	Proposed Change
Page 14 – Official Glossary	<p>Defines Term: Competition Category</p> <p>COMPETITION CATEGORY – Defined as male or female for the purpose of athlete swimming eligibility, competition, selection, and records. An athlete’s stated competition category shall be referred to as “competition gender” in this rulebook.</p>
Page 92 - REGISTRATION (302.1)	<p>Adds: Stating/changing competition category in Rule Book</p> <p>Athletes must register in one of two competition categories offered by USA-Swimming</p> <p>.2 Competition Category:</p> <p>A An athlete shall state during registration a competition category as defined as male or female for the purpose of athlete swimming eligibility, competition, selection and records. Any athlete wishing to change his or her competition category may apply to do so following the procedures outlined in the current USA Swimming Policy Manual.</p> <p>B Protests lodged regarding an athlete’s competition category shall not prohibit the athlete from competing in the stated competition category. An athlete may swim under protest until such time as heard by the National Board of Review.</p>
Page 100 - JURISDICTION OF THE NATIONAL BOARD OF REVIEW (403.2)	<p>Adds: All competition category protests fall under the jurisdiction of the NBR</p> <p>Clarifies that any protest of: competition category assignment, athlete participation in meets, athletes records, camp selection or quals - all goes to National Board of Review under that current formal process.</p> <p>F. Any issues, protests or appeals involving an athlete’s competition category or category reassignment.</p>
Page 38 – TECHNICAL RULES / Protests (102.23)	<p>Adds: ('Blue Section' of Rule Book) Protests to an athletes' competition category during a meet will not prohibit that athlete from competing in that meet.</p> <p>0.2 Protests regarding an athlete’s competition category may only be heard by the National Board of Review. A protest shall not prohibit the athlete from competing in his or her stated competition category until such time as the National Board of Review has issued a decision.</p>
Page 94 – Code of Conduct (304.3)	<p>Adds Descriptor: 'gender identity'</p> <p>*Specify 'gender identity' as different from 'gender expression', to create a more comprehensive nondiscrimination statement</p> <p>0.2 Discrimination in violation of the Amateur Sports Act which requires that USA Swimming must provide an equal opportunity to athletes, coaches, trainers, managers, administrators, and officials to participate in the sport of swimming. Athletes must be allowed to participate and compete to the fullest extent allowed by the Rules and Regulations. Discrimination against any member or participant on the basis of age, gender, race, ethnicity, culture, religion, sexual orientation, gender expression, gender identity, genetics, mental or physical disability, or any other status protected by federal, state or local law, where applicable, is prohibited.</p>



Recommended Additions to Policy & Procedure Manual (Appendix B)

The proposed Rules point to this Policy Manual, in order to create a flexible process that can be adjusted as the needs of our membership change. Proposed policy will encourage inclusion, but inhibit abuse of the flexibility of the current process.

See Appendix B for complete document. Major additions include:

- Intake Procedure –Area where USA Swimming CAN require medical corroboration regardless of athlete age
 - Step-by-Step Process established
- Notification & Documentation procedure for USA Swimming
 - Includes communication with USA Swimming staff, short-term support
 - Includes Athlete Support Plan (industry standard), long-term support
- Eligibility Review Panel – represents a stringent vetting process
 - Safe Sport National Committee member
 - Diversity & Inclusion National Committee member
 - Rules & Regs National Committee Chair
 - Licensed Medical professional
- Protest Procedure – also proposed in Rule Book

Recommended changes to “Guidelines for Inclusion of Minor Transgender Athletes” Document (Appendix C)

This document has served as the best and the only source of guidance for teams until this Task Force. Groundbreaking at the time of its creation in 2012/13, and last revised in 2015, sweeping updates to this document are now suggested.

See Appendix C for complete document. Changes include:

- Re-title the Document “Best Practices for Gender-Diverse Minor Athletes”
- Adjust the document to reflect needs of ANY athlete, not just transgender athletes
- Expand glossary and include more resources
- Develop verbiage to reflect recent cultural changes such as gender-neutral locker rooms and swimsuit restrictions

Medical Complexities (Appendix D)

See Appendix D for some FAQ Information. In summary:

- The use and effect of hormones (testosterone and t-blockers) remains an under-researched area
- Testosterone levels vary widely by puberty and by individual, regardless of a gender transition
- It is difficult to ascertain whether an athlete is pre-pubescent or pubescent, given privacy laws
- Most hormone studies have NOT been on athletes
- USADA testing pool for minors is difficult to finance and to monitor

Additional priorities suggested by this TTF for general improvement:

- Easy accessibility of information on USASwimming.org site, include more search terms like ‘gender marker’
- Widespread distribution and online accessibility of Athlete Support Plan (on website)
- Addition of online resources such as GLAAD media guide, etc. (on website)
- D&I should create an additional Outreach Manual for gender diverse athletes
- Athlete, coach and club education is priority and should be ‘cross-marketed’ in Diversity & Inclusion and Safe Sport areas

Respectfully Submitted,
On behalf of the TTF



Appendix A:

PROPOSED AMENDMENTS TO RULES AND REGULATIONS

R-	ACTION:	Adopted	Defeated	Adopted/Amended	Tabled	Postponed	Pulled
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Location: Page 14 – **Official Glossary**
Page 38 – **(new) 102.23 Protests**
Page 92 – **(new) 302.1 Competition Category**
Page 94 – **304.3 Code of Conduct**
Page 100 – **(new) 403.2 Jurisdiction of the National Board of Review**

Proposed by: **Diversity & Inclusion Taskforce**

Purpose: To support a sport culture of inclusion and diversity, while assuring a fair competitive environment and seeking a national directive that does not permit modification at the local level (as local and state laws often differ by region).

Recommendation: *The Rules and Regulations Committee recommends _____.*

COMPETITION CATEGORY – As defined as male or female for the purpose of athlete swimming eligibility, competition, selection and records. An athlete’s stated competition category shall be referred to as “gender”.

102.23 PROTESTS

- .1 Protests against the judgment decisions of starters, stroke, turn, place and relay take-off judges can only be considered by the Referee and the Referee’s decision shall be final.
- .2 Protests regarding an athlete’s competition category may only be heard by the National Board of Review. A protest shall not prohibit the athlete from competing in his or her stated competition category until such time as the National Board of Review has issued a decision.

[re-number remaining]

302.1 REGISTRATION

- .1 **Athlete Members** – All swimmers practicing with a member club or competing in events sanctioned by USA Swimming must be registered as athlete members of USA Swimming. Athlete members must meet the rules of eligibility contained in Article 303. No swimmer alleged to be ineligible shall be denied the right to register and compete without being afforded the opportunity to refute the allegations relating to possible ineligibility, pursuant to Part Four.
- .2 **Competition Category**
 - A An athlete shall state during registration a competition category as defined as male or female for the purpose of athlete swimming eligibility, competition, selection and records. Any athlete wishing to change his or her competition category may apply to do so following the procedures outlined in the current USA Swimming Policy Manual. An athlete’s competition category shall be referred to as “gender” within the rulebook.
 - B Protests lodged regarding an athlete’s competition category shall not prohibit the athlete from competing in the stated competition category. An athlete may swim under protest until such time as heard by the National Board of Review.

304.3 The following shall be considered violations of the USA Swimming Code of Conduct:

Measures to be adjudicated by the USA Swimming National Board of Review

- .1 Violation of the right to compete provisions set forth in Article 301. [SEP]
- .2 Discrimination in violation of the Amateur Sports Act which requires that USA Swimming must provide an equal opportunity to athletes, coaches, trainers, managers, administrators, and officials to participate in the sport of swimming. Athletes must be allowed to participate and compete to the fullest extent allowed by the Rules and Regulations. Discrimination against any member or participant on the basis of age, gender, race, ethnicity, culture, religion, sexual orientation, gender expression, gender identity, genetics, mental or physical disability, or any other status protected by federal, state or local law, where applicable, is prohibited. [SEP]
- .3-17 [no changes]

403.2 JURISDICTION OF THE NATIONAL BOARD OF REVIEW

- .1 Original and Exclusive Jurisdiction — The National Board of Review has original and exclusive jurisdiction to hear:
 - A-E [no changes]
 - F Any issues, protests or appeals involving an athlete’s competition category or category reassignment.



Appendix B:

PROPOSED ADDITIONS TO THE USA-SWIMMING POLICIES & PROCEDURES MANUAL

***Note: 'redline' version not utilized for Section 27; proposed text is in addition to existing.**

SECTION 27: ATHLETE INCLUSION PROCEDURES (Proposed new section-all is new)

All eligible athletes will have the opportunity to participate in swimming in a manner that is consistent with their gender identity and expression. Should a situation arise regarding an athletes' intent to change competition category to one consistent with their gender identity, an athlete may seek eligibility review for participation in the different competition category, through the procedures set forth below:

27.1 Process to change Competition category – Applicant Intake Procedure

STEP 1: Contact USA Swimming with request (Phone: 719-866-4578, or Email: inclusion@usaswimming.org)

STEP 2: USA Swimming intake process interview

STEP 3: Required documentation provided to USA Swimming

STEP 4: Eligibility Panel reviews request

STEP 5: Panel decision will be communicated in writing, and in person when possible, to athlete/parent/coach.

STEP 6: Administrative change initiated in SWIMS

STEP 7: Compete in new category*

*Limit: 2 changes per year

*All eligibility rules apply for meets selection, NAG, etc.

*Elite athletes who may qualify for high-level or international meets must also refer to the guidelines provided by USADA, WADA, FINA, and IOC, regarding drug testing, qualifications, and other rules.

.1 Notification to USA-Swimming. The athlete, or someone on the athlete's behalf, shall contact USA Swimming at any time, indicating the athlete has a consistent gender identity different than the competition category in which the athlete was registered, and desires to participate in competition in a manner consistent with their gender identity. This is a formal process and can take up to 2-4 weeks from the time all required paperwork is submitted.

.2 USA Swimming intake process interview gathers information regarding the request and provides the member with required paperwork to complete and return.

.3 Required documentation provided by applicant. The written request to change competition category must include the following:

- 1) Name of person making the request
- 2) Relationship of requester to the member seeking the change
- 3) Athlete's USA Swimming ID number
- 4) Athlete's first, last, middle name as it currently appears in SWIMS
- 5) Current contact info: email, phone number
- 6) LSC, Team Contact Info (Team's Head Coach)
- 7) Athlete's Coach (if different from head coach)
- 8) The specific request, written out for clarity: example:
 - a) "My daughter's name in SWIMS is the following: First: Henry, Middle: John, Last: Smith"
 - b) "Her gender listed is: M. Please change to the following: First: Jane, Middle: blank, Last: Smith"
 - c) "Please Change competition gender to F."
- 9) Completed Athlete Support Plan
 - a) NOTE: USA Swimming will assist and facilitate the provision of resources and training for any member school seeking assistance regarding gender identity and expression procedures and requirements.
- 10) Letter of support from a health-care professional who has treated or is treating the applicant. This can include:
 - a) Licensed Medical provider (family physician, endocrinologist, pediatrician, etc.)
 - b) Licensed Mental health professional (psychiatrist, psychologist or licensed mental health professional such as school counselor, etc.)
- 13) Any other pertinent documentation or information which the applicant believes to be relevant and appropriate.



.4 Eligibility Panel reviews request. Once the required paperwork is received, it will be sent to a panel for review. Supporting documentation may be required if determined necessary by the review panel. The eligibility panel will have 1-2 weeks to provide a recommendation to USA Swimming staff. A written determination of the applicant's eligibility to participate in a new competition category will be provided by the intake staff member.

27.2 Eligibility Review Panel

.1 Panel members must include:

- 1) Safe Sport National Committee member
- 2) Diversity & Inclusion National Committee member
- 3) R&R National Committee Chair
- 4) Medical professional

.2 Medical Eligibility criteria: Medical professional defined as a board certified, licensed provider, preferably familiar with the World Professional Association for Transgender Health (WPATH) Standards of Care

27.3 Final Determination of Review. When there is sufficient documentation and confirmation, the Eligibility Review Panel will affirm the athlete's eligibility to participate in a new competition category. This eligibility is granted and binding for the duration of the athlete's participation in swimming. All discussion and documentation will be kept confidential, unless the applicant makes a specific request.

27.4 Athlete Support Plan: Copies should be distributed to USA Swimming, the athlete's coach as well as any other party involved in the safety and well-being of the athlete while still maintaining athlete privacy.

- 1) A complete list of all the student's prescribed, non-prescribed, or over the counter treatments or medications
- 2) ASP Follow-up (6 mos., 12 mos., 18 mos.) by USA Swimming Safe Sport or D & I representative

27.5 Protest Procedure: Any athlete denied participation by the Eligibility Review Panel has the right to Protest under the rules for the National Board of Review

SECTION 22: SWIMS MANUAL (Proposed, see redline edit below)

5.0 SWIMMING RECORDS

World Records and USA Swimming Records (including American and United States Open Records, National Age Group (NAG) Records, Zone Records, and LSC Records) must comply with the requirements stipulated under the Rules for Timing Records section of the Technical Rules portion of the USA Swimming Rules and Regulations. USA Swimming record applications shall be submitted to USA Swimming and shall be approved by the Times and Recognition Committee.

- 5.1. Applications for all USA Swimming records shall be posted on the USA Swimming website.
- 5.2. Applications and all required paperwork for American and United States Open Records must be submitted within 14 days of performance. An American Record may be established only by United States citizens eligible to compete under and achieving an official time in accordance with USA Swimming rules. Records may be established in or outside of the United States.
- 5.3. Applications and all required paperwork for NAG records must be submitted within 30 days of performance.
- 5.4. Specific requirements for Zone records and LSC records will be set by the appropriate Zone or LSC
- 5.5. **A Record will be recognized in the competition category in which it was earned.**



Appendix C:

PROPOSED CHANGES, BEST PRACTICES FOR THE INCLUSION OF MINOR TRANSGENDER ATHLETES

RECOMMENDED PRACTICES FOR THE INCLUSION OF MINOR TRANSGENDER ATHLETES **Gender Diverse Minor Athletes**

The following are recommended practices to assist USA Swimming member clubs who wish to develop a club policy for the inclusion of ~~transgender~~ **gender diverse minor** athletes. These recommendations are consistent with USA Swimming values of equal opportunity and the right for all members to participate. USA Swimming strongly encourages the use of this resource and offers assistance to teams that need guidance in its implementation. **Athletes qualifying for or competing in Elite level or senior competitions (with time qualifications) must follow current USA Swimming Policies and Procedures for selection, which also fall under the current IOC guidelines.**

DEFINITIONS (taken from transequality.org)

Transgender: a broad term that can be used to describe people whose gender identity is different from the gender they were thought to be when they were born

Gender identity: a person's internal knowledge of their gender

Gender expression: how a person presents their gender on the outside, often through behavior, clothing, hairstyle, voice or body characteristic

Sex: The classification of a person as male or female based on what our bodies look like at birth.

Gender Diverse: equitable or fair representation between genders, most commonly the ratio of men and women and may also include non-binary gender categories.

RECOMMENDED POLICY FOR PARTICIPATION

A minor transgender athlete member of a swim club should be allowed to participate in accordance with his/her/their gender identity, irrespective of the sex listed on the athlete's birth certificate or other records and regardless of whether the athlete has undergone any medical procedure. This means an athlete who is biologically female but identifies as a boy/man should be allowed to participate in men's events and an athlete who is biologically male but identifies as a girl/woman should be allowed to participate in women's events.

RECOMMENDED PRACTICES FOR CLUBS AND MEETS

1. When a current minor member athlete transitions and wishes to compete in his/her/their gender identity, the athlete or his/her/their designee should request a change of the athlete's gender in SWIMS by contacting Diversity & Inclusion staff at USA Swimming at inclusion@usaswimming.org. Once this [process \(hyperlink to the website where the process is outlined\)](#) is completed, the athlete will be able to be entered and compete in events that match his/her/their gender identity.

2. At all times, teammates, coaches, and all others should respect the confidentiality of an ~~transgender~~ athlete. Discussion or disclosure of an individual's gender identity should only take place after expressed permission is given by the individual or the individual's parent or another designee.

3. In all cases, teammates, coaches, and all others should refer to an ~~transgender~~ athlete **athlete's preferred by the name and pronoun they go by.** ~~Similarly, in all cases, pronoun references to a transgender athlete should reflect the athlete's gender and pronoun preferences.~~

4. An ~~transgender~~ athlete should be able to use the locker rooms, changing facility, and restroom that are consistent with his/her/their gender identity. **When requested and/or where available,** an ~~transgender~~ athlete should be provided access to a gender-neutral bathroom or changing facility (i.e., family restroom, gender neutral bathroom).

5. When overnight travel is involved, an ~~transgender~~ athlete should be assigned to share a hotel room based on his/her/their gender identity. An ~~transgender~~ athlete who requests extra privacy should be accommodated whenever possible.

6. An ~~transgender~~ athlete should be permitted to dress consistently with his/her/their gender identity, including warm-ups and team gear.



7. Per USA Swimming's Rule Book in article 102.8.1 B "In swimming competitions, the swimmer must wear only one swimsuit in one or two pieces, except as provided in 205.10.1. All swimsuits shall be made from textile materials. For men, the swimsuit shall not extend above the navel nor below the knees, and for women, shall not cover the neck, extend past the shoulder, nor extend below the knee" Any transgender athlete requesting a deviation from this policy must submit a swimsuit waiver to the Chair of Rules and Regulations Committee. The current Chair is Jay Thomas (jayfthomas@gmail.com). No exemption to the swimsuit rule will be made that gives a swimmer a competitive advantage (i.e. tech suits). It is important for all members to be aware of relevant state laws with regards to appropriate coverage.

8. Meet Directors and Club Leadership should identify and publicize available gender-neutral bathroom and changing room options at the host facility for meets and practice. Where possible, include information about availability and location of gender-neutral facilities in meet information and on the club's website.

9. Meet Directors and Club Leadership should be aware of and abide by the relevant state and local laws and the rules of the host facility for meets and practice.

10. Clubs should provide training to their staff and regular volunteers regarding their responsibilities to prevent, identify, and respond to bullying, harassment, and discrimination. Such topics should include terms and concepts of gender identity and expression and bystander intervention strategies related to bullying. Contact USA Swimming Diversity & Inclusion staff for training program recommendations.

The US Center for Safe Sport and USA Swimming prohibit discrimination against any member or participant on the basis of gender, sexual orientation, gender expression and gender identity is prohibited (304.3.3). In the event that a question should arise about whether an athlete's request to participate in a manner consistent with his/her/their gender identity is bona fide, USA Swimming will refer to the Code of Conduct and follow its standard procedures of enforcement.

ADDITIONAL RESOURCES

Trans*Athlete: a resource for students, athletes, coaches, and administrators to find information about transgender inclusion in athletics at various levels of play.

www.transathlete.com

NCAA Inclusion of Transgender Student-Athletes:

<http://www.ncaa.org/about/resources/inclusion/lesbian-gay-bisexual-transgender-and-questioning-lgbtq>

National Center for Transgender Equality:

<https://transequality.org/>

GLAAD Reference Guide (updated 2016):

<https://www.glaad.org/reference>



**Appendix D:
Medical Considerations to Inform the Discussion**

Policy:

- The 2015 **IOC** policy states that: 1) Those who transition from female to male are eligible to compete in the male category without restriction. 2) Those who transition from male to female are eligible to compete in the female category under the following conditions: The athlete has declared that her gender identity is female (cannot be changed for 4 years), serum total testosterone must be <10 nmol/L (288 ng/dL) for 12 months and must remain at that level throughout the time of eligibility.¹
- The broader, updated October 2017 **WADA** policy states that “transgender athletes may be granted a therapeutic use exemption (TUE) only once their eligibility and gender has been established with their sport federation” that includes a report by a health professional (medications include testosterone, anti-androgens and gonadotropin-releasing hormone analogues).²
- The 2011 **NCAA** policy states that for those student-athletes *not on hormones* “related to gender transition may participate in sex-separated sports activities in accordance with his or her assigned birth [sex].” For those student-athletes on hormones, a trans male may compete on a men’s team and a trans female may compete on a women’s team after 12 months of testosterone suppression (after changing team status to a mixed team).³
- Most transgender policies are made by applying research and data from cisgender individuals and policies on doping. There are almost no data on the impact of gender-affirming hormones for transgender adults and no data on the impact of puberty blockers with or without hormones for transgender adolescents. A recent systematic review of sport and transgender people found that: “the lack of inclusive and comfortable environments” was the “primary barrier to participation for transgender people” and that “transgender people had a mostly negative experience in competitive sports because of the restrictions the sport’s policy placed on them. The majority of transgender competitive sport policies reviewed was not evidence based.”⁵
- At least two states (Virginia and Florida) have established policies for participation that include input from medical professionals without strict rules about medications or blood concentrations of testosterone

Medical Considerations

Pre-Pubescent vs. Pubescent?

On a group level, there are clear differences in performance that emerge with the onset of puberty. Of course, not every individual will follow the pattern of group differences seen. In a study evaluating differences in swimming performance, and differences emerged between the sexes at 11-12 years of age, commensurate with the onset of male puberty. 50% of the difference between sexes occurred at age 12.8 years.⁴ There were also differences by stroke.

Who defines Pubescent? A medical doctor. For people born with female anatomy, puberty onset is defined as Tanner stage 2 when breast buds emerge. For people born with male anatomy, pubertal onset is defined as an increase in testicular size from 2-3 to 4mL. This does *not* apply to youth who are pre-pubertal or currently on a puberty blocker (without concurrent gender-affirming hormones).

What is a ‘typical’ procedure for transition? For individuals under the age of 18 years who desire gender-affirming hormones as a part of their transition, this generally requires parental consent, child assent, a letter from a behavioral health provider and a prescribing physician to start hormone therapy (testosterone or estradiol). Generally, testosterone or estradiol is prescribed to youth age 14 years and older. Younger patients who desire a puberty blocker will be prescribed one by a physician once puberty has begun (at least Tanner stage 2, around age 10-12 years) with parental consent and youth assent. At many of the major centers around the country, the prescribing physicians are pediatric endocrinologists or adolescent medicine providers. However, prescribing providers may also include pediatricians, family medicine doctors or mid-level providers (nurse practitioners or physician assistants) depending on the location. It is of note that not all athletes’ transition plan may include hormones.

Effect of Hormones?

Testosterone (endogenous or exogenous) provides a competitive advantage but it is unclear how much a certain blood testosterone level matters compared with the overall effects of long-standing testosterone (factors may include but are not limited to: muscle mass, bone structure, hematocrit, etc.) Guidelines for females vary from 5nmols to 10 nmols and more. This is changing regularly now.



Effects (long & short-term) of Hormone therapy on athletes? More research is needed for a full understanding of the effects of cross-sex hormone treatment (CHT) on sporting ability. It is also unknown how long it takes to achieve the defined level for participation, as it will vary for each athlete. Some policies have stated one year but it does not appear that that is based in science.

*A groundbreaking 3-year study is beginning in 2019, led by Dr. Gemma Witcomb at the Gender and Sport Centre for Doctoral Training, Loughborough University, England. It will seek to document, using qualitative and quantitative methodologies, the impact of hormone use on (real and perceived) strength, ability, opportunity and ease of sport participation. This represents the first attempt to track how changing levels of testosterone impacts performance – both subjectively and objectively. The Task Force Chair is liaising and supporting the study as needed.

When and what Hormone treatments are common? Youth age 14 years and above are generally eligible to begin treatment with gender-affirming hormones (with parental consent, a letter from a behavioral health provider and access to a prescribing physician). For trans males, this generally means injectable testosterone (there are other forms of testosterone available). For trans females, this generally means estradiol (oral, patch, injectable) plus a testosterone blocker (a weak testosterone blocker is a pill called spironolactone, a stronger blocker is also a “puberty blocker” called a gonadotropin releasing hormone analogue). GnRH analogues are incredibly expensive (many thousands of dollars per shot). Oral estradiol and injectable testosterone are relatively cheap (a few dollars to a hundred dollars or so). Insurance coverage varies widely. Access to an affirming and experienced provider also varies widely by location.

How does surgery come into play? Are there legal age standards? It should not come into play. *Both* the Endocrine Society Guidelines and the World Professional Association of Transgender Health (WPATH) Standards of Care version 7.0 recommend deferring genital surgery for trans youth until the age of 18 years. As youth are transitioning at increasingly younger ages, genital surgery is being performed on a case-by-case basis more frequently in minors. Specifically, the removal of the gonads or sex-affirming bottom surgery (e.g. vaginoplasty for trans females) is not available until the individual is over 18 years. Trans males may have top surgery (chest masculinization surgery) before age 18 but that would not impact competition.

Appendix E:

Source Citations & References

1. [PDF] IOC Consensus Meeting on Sex Reassignment - Olympic.org. Available from: https://stillmed.olympic.org/Documents/Commissions_PDFfiles/Medical_commission/2015-11_ioc_consensus_meeting_on_sex_reassignment_and_hyperandrogenism-en.pdf
2. [PDF] Transgender athletes - WADA. Available from: https://www.wada-ama.org/sites/default/files/resources/files/wada_transgender_athletes_v1.0_en.pdf
3. [PDF] NCAA Inclusion of Transgender Student-Athletes - NCAA.org. Available from: https://www.ncaa.org/sites/default/files/Transgender_Handbook_2011_Final.pdf
4. Handelsman DJ. Sex differences in athletic performance emerge coinciding with the onset of male puberty. *Clin Endocrinol* 2017;87(1):68–72.
5. Jones BA, Arcelus J, Bouman WP, Haycraft E. Sport and Transgender People: A Systematic Review of the Literature Relating to Sport Participation and Competitive Sport Policies. *Sports Med* 2017;47(4):701–16.
6. Loughborough University - Gender and Sport Centre for Doctoral Training, Dr. Gemma Witcomb, <https://www.findaphd.com/search/projectdetails.aspx?PJID=97224>
7. [PDF] GLAAD Media Guide, JASMYN Athlete Support Plan, FHSAA Manual on Gender identity

CHANGES TO REQUIRED LSC BYLAWS

In General: Simple and Flexible

- Removed redundant language
- Removed language in conflict with the USA Swimming Rule Book or the Corporate Bylaws
- Removed language to LSC Policies & Procedures for greater flexibility
- Moved boxed instructions to endnotes
- Organized HOD, BOD, Division and Committee Articles rationally

601 - NAME, OBJECTIVE, ETC.

- Added compliance with future agreements between USA Swimming and LSC

602 - MEMBERSHIP

- Removed redundant language
- Removed language in conflict with the USA Swimming Rule Book or the Corporate Bylaws

603 - DUES AND FEES

- Removed redundant language
- Removed language in conflict with the USA Swimming Rule Book or the Corporate Bylaws

604 - HOUSE OF DELEGATES

- Nominating Committee moved to Committee article
- Moved the athlete election process to 606
- Moved Order of Business to LSC P & P

605 - BOARD OF DIRECTORS

- Made Safety an optional Board position. If not a Board position, it becomes a mandated standing committees/coordinator
- Changed Finance Vice-Chair to a mandated Board position
- Secretary and/or Treasurer may be non-voting Board positions filled by staff, if permitted under the state of incorporation
- Moved Executive Committee to 607 as optional committee
- Moved Order of Business to LSC P&P

606 - OFFICERS AND DIRECTORS

- Clarified the list of officers, directors and committee chairs
- Provided options for election of athlete representatives, coach representatives and other directors
- Terms of all Board members are determined by the LSC and may be from one year to four years
- Only the General Chair and Vice-Chairs may not be exempted from term limits
- Term limits may be added for service on the Board of Directors
- Moved job descriptions to LSC P&P

607 - DIVISIONS, COMMITTEES AND COORDINATORS

- Simplified divisional structure
- Moved details of divisional structure to LSC P&P
- Listed only standing committees; other committee details moved to LSC P&P
- Provided options for either a Governance Committee or separate Governance & Nominating Committees
- Moved Order of Business to LSC P&P

608 - ANNUAL AUDIT, REPORTS AND REMITTANCES

- Consolidated under one general statement applicable to all articles

Old 609 - MEMBERS BILL OF RIGHTS

- Removed as redundant

Old 610 - ADMINISTRATIVE REVIEW BOARD

- Moved to end of bylaws for flexibility as optional Article 613

609 (old 611) - ORGANIZATION, AMENDMENT OF BYLAWS, DISSOLUTION

- No substantive changes

610 - (old 612) - INDEMNIFICATION

- No substantive changes

611 - (old 613) - PARLIAMENTARY AUTHORITY

- Consolidated under one general statement applicable to all articles

612 - (old 615) - MISCELLANEOUS

- Simplified

613 - (old 610) - ADMINISTRATIVE REVIEW BOARD

- No substantive changes

614 (old 616) - CONVENTION AND DEFINITIONS

- Removed redundant and unneeded definitions

Old 614 - PERMANENT OFFICE AND STAFF

- Removed as unnecessary

Generally, those items in italics represent optional wording. End notes may be read by hovering over the end note number. (Alternatively, end notes may be printed out and referenced as they are encountered.) End notes provide additional options, limitations, or information.

To the extent these required bylaws conflict with applicable law, applicable law prevails .

REQUIRED LSC BYLAWS

ARTICLE 601

NAME, OBJECTIVES, TERRITORY AND JURISDICTION

- 601.1 NAME - The name of the corporation shall be [insert full name of LSC] Swimming, Inc. (XXSI).¹
- 601.2 OBJECTIVES - The objectives and primary purpose of XXSI shall be the education, instruction and training of individuals to develop and improve their capabilities in the sport of swimming. XXSI shall promote swimming for the benefit of swimmers of all ages and abilities, in accordance with the standards, rules, regulations, policies and procedures of FINA, USA Swimming, and XXSI and its *Articles/Certificate* [select one] of Incorporation.
- 601.3 GEOGRAPHIC TERRITORY - The geographic territory of XXSI is as set forth in Article 603 of the USA Swimming Rules and Regulations. *XXSI shall be divided into regions as listed in the XXSI Policies and Procedures.*²
- 601.4 JURISDICTION - XXSI shall have jurisdiction over the sport of swimming as delegated to it as a Local Swimming Committee by USA Swimming to conduct swimming programs consistent with XXSI's objectives and those of USA Swimming and to sanction, approve, observe and oversee competitive swimming events within the Territory and to conduct competitive swimming events within the Territory, its Region and its Zone (as those terms are defined in Part Six of the USA Swimming Rules and Regulations). XXSI shall discharge faithfully its duties and obligations as a Local Swimming Committee of USA Swimming in accordance with these Bylaws, the USA Swimming Rules and Regulations and all applicable policies and procedures.
- 601.5 COMPLIANCE WITH USA SWIMMING AGREEMENTS - XXSI shall comply with all agreements between XXSI and USA Swimming.

ARTICLE 602

MEMBERSHIP

- 602.1 MEMBERS - The membership of XXSI shall consist of the clubs, organizations and individuals who have registered with XXSI as set forth in the USA Swimming Corporate Bylaws, *including the optional categories of seasonal athlete membership, seasonal club membership, flex membership, and single event open water athlete membership.*³
- .1 MEMBERS - A Member's status is subject to the Member's continued satisfaction of the criteria for membership and compliance with the Member's responsibilities under these Bylaws, the USA Swimming Rules and Regulations, the rules, regulations, policies, procedures and code of conduct of XXSI and USA Swimming.
- .2 MEMBERSHIP A PRIVILEGE NOT A RIGHT - Membership in XXSI and USA Swimming is a privilege and shall not be interpreted as a right. Membership may be terminated by the Zone Board of Review, the National Board of Review, or the U.S. Center for SafeSport in accordance with Part Four of the USA Swimming Rules and Regulations.
- 602.2 MEMBERS' RESPONSIBILITIES
- .1 COMPLIANCE - Each Group and Individual Member shall abide by the codes of conduct and ethics, policies, procedures, rules and regulations adopted by USA Swimming and XXSI, including its obligations and responsibilities set forth in these Bylaws.
- .2 RESPONSIBILITY FOR INFRACTIONS - A Group Member or Individual Member, as defined in USA Swimming Rules and Regulations, may be held responsible for infractions of the policies, procedures, rules, regulations or codes of conduct or ethics adopted by USA Swimming or XXSI, including its responsibilities as set forth in these Bylaws.

ARTICLE 603
DUES AND FEES

- 603.1 MEMBERSHIP FEES - Membership fees shall be as established in the USA Swimming Corporate Bylaws. Local fees, as permitted, shall be as established by the XXSI *House of Delegates or Board of Directors* [select one].
- 603.2 SANCTION, APPROVAL AND OTHER FEES
- .1 SANCTION AND APPROVAL FEES - The XXSI *House of Delegates or Board of Directors* [select one] shall establish reasonable fees, procedures, and documentation required of an applicant for a sanction or approval for, or observation of, a swimming competition to be conducted within the Territory.
 - .2 SERVICE CHARGES - In addition to, or in place of, a sanction or approval fee, the XXSI *House of Delegates or Board of Directors* [select one] may establish a reasonable service charge consistent with the nature of the event.
 - .3 PAYMENT - Each applicant for a sanction, approval or observation shall submit with its application the fees and any service charges specified by XXSI. If any of the sanction or approval fees or service charges are due at a time following the submission for sanction or approval, the applicant shall promptly pay those fees or service charges to XXSI when due in accordance with XXSI's fee schedule.
 - .4 FINES - The XXSI *House of Delegates or Board of Directors* [select one] may establish fines for noncompliance with policies adopted by the XXSI House of Delegates and/or the Board of Directors.
- 603.3 FAILURE TO PAY - Membership rights may be suspended in accordance with the USA Swimming Corporate Bylaws (Delinquent Dues and Fees).

ARTICLE 604
HOUSE OF DELEGATES

- 604.1 MEMBERS - The House of Delegates of XXSI shall consist of the Group Member Representatives, the Board of Director Members, *the committee chairs and coordinators*⁴, the Non-Athlete At-Large House Members, and a sufficient number of Athlete At-Large House Members *appointed or elected* [select one].
- .1 GROUP MEMBER REPRESENTATIVES⁵ - Each Group Member in good standing shall appoint from its membership *a Group Member Representatives and one or more alternates for each*. The appointment shall be in writing, addressed to the Secretary of XXSI and duly certified by the chief executive officer or secretary of the appointing Group Member. The appointing Group Member may withdraw *one or more of its Group Member Representatives or one or more of its alternates* and substitute *a new Group Member Representatives or new alternates* by written notice, addressed to the Secretary of XXSI and signed by the chief executive officer or secretary of the appointing Group Member. The representatives of any Group Member are not required to be Individual Members of XXSI or USA Swimming.
 - .2 BOARD OF DIRECTORS - Board of Director Members as designated in Section 605.⁶
 - .3 NON-ATHLETE AT-LARGE HOUSE MEMBERS - Up to *ten (10)* non-athlete members of the House of Delegates may be appointed as At-Large House Members by the General Chair with the advice and consent of the Board of Directors. At-Large House Members shall hold office from the date of appointment through the conclusion of the annual meeting of the House of Delegates following such appointment or until their successors are appointed to the House of Delegates.
 - .4 ATHLETE AT-LARGE HOUSE MEMBERS - A sufficient number of athletes to ensure that Athlete Members constitute at least 20% of the voting membership of the House of Delegates shall be *elected by the Athletes Committee or appointed by the General Chair with advice and consent of the Board of Directors or elected by the House of Delegates* [select one of the options] and shall hold office from the date of *appointment or election* [select one] through the conclusion of the annual meeting of the House of Delegates following such *appointment or election* [select one] or until their successors are *appointed or elected* [select one] to the House of Delegates.

- .5 *OTHER MEMBERS* - [List other members as defined in 604.1] *shall serve as members of XXSI House of Delegates.*
- 604.2 ELIGIBILITY - Only Individual Members in good standing shall be eligible to be elected or appointed as at-large members of the House of Delegates.
- 604.3 DOUBLE VOTE PROHIBITED - An Individual Member entitled to vote in House of Delegates meetings may only have one vote regardless of the number of positions held by such member.
- 604.4 VOICE AND VOTING RIGHTS OF MEMBERS - The voice and voting rights of members of the House of Delegates and of individuals shall be as follows:
- .1 GROUP MEMBER REPRESENTATIVES, BOARD MEMBERS, AT-LARGE HOUSE MEMBERS *AND OTHER MEMBERS* - Each of the Group Member Representatives⁷, the Board Members, the At-Large House Members *and other members* shall have both voice and vote in meetings of the House of Delegates.
 - .2 INDIVIDUALS - Individuals who are not members of the House of Delegates may attend open meetings of the House of Delegates and its committees and be heard at the discretion of the presiding officer.
- 604.5 DUTIES AND POWERS - The House of Delegates shall oversee the establishment of policies, procedures and programs. In addition to the duties and powers prescribed in the USA Swimming Rules and Regulations, USA Swimming Corporate Bylaws, or elsewhere in these Bylaws, the House of Delegates shall:
- .1 Elect the officers, *Athlete Representatives, Coach Representative(s), At-Large Board Members, and members of the Administrative Review Board, and the committee chairs and coordinators* listed in Articles 606 and 607;
 - .2 *Elect alternates to the USA Swimming House of Delegates in accordance with the USA Swimming Corporate Bylaws;*
 - .3 *Elect the members of the Nominating and/or Governance Committee;*
 - .4 Review, modify and adopt the annual budget of XXSI recommended by the Board of Directors;
 - .5 Call regular and special meetings of the House of Delegates;
 - .6 Ratify or prospectively modify or rescind policy and program established by the Board of Directors, except any action or authorization by the Board of Directors with respect to contracts or upon which any person may have relied shall not be modified or rescinded;
 - .7 Establish joint administrative committees, or undertake joint activities with other sports organizations where deemed helpful or necessary by XXSI;
 - .8 Amend the Bylaws of XXSI in accordance with Section 609.3; and
 - .9 Remove from office any persons elected by the House of Delegates (Board Members, *members of the Administrative Review Board*, or committee chairs or coordinators) who have failed to attend to their official duties or member responsibilities or have done so improperly, or who would be subject to penalty by the Zone Board of Review for any of the reasons set forth in Article 404.1.3 of USA Swimming Rules and Regulations. However, no such individual may be removed without receiving thirty (30) days' written notice by the Secretary or other officer designated by the House of Delegates specifying the alleged deficiency in the performance of the member's responsibilities or specific official duties or other reason and an opportunity to respond in writing within twenty (20) days to such allegations.
- 604.6 ANNUAL AND REGULAR MEETINGS - The annual meeting of the House of Delegates of XXSI shall be held in the *spring, summer, fall, winter* [select one]. Regular meetings of the House of Delegates may be held *in accordance with a schedule adopted by the House of Delegates or the Board of Directors*⁸.

- 604.7 SPECIAL MEETINGS - Special meetings of the House of Delegates may be called by the Board of Directors or the General Chair. Should the Board of Directors or the General Chair fail to call the annual or scheduled regular meetings or should a special meeting be appropriate or helpful, a meeting of the House of Delegates may be called by a petition signed by at least *five (5)* group members of the House of Delegates.
- 604.8 MEETING LOCATION AND TIME - All meetings of the House of Delegates shall take place at a site within the Territory. The House of Delegates or the Board of Directors shall determine the location and time of all meetings of the House of Delegates.
- 604.9 OPEN MEETINGS/CLOSED SESSIONS - House of Delegates meetings shall be open to all members of XXSI. Issues pertaining to personnel, disciplinary action, legal, tax or similar affairs of XXSI shall be deliberated and decided in a closed session which only House of Delegates members may attend. By a majority vote, the House of Delegates may decide to go into closed session on any matter deserving of confidential treatment or of personal concern to any member of the House of Delegates.
- 604.10 QUORUM - A quorum of the House of Delegates shall consist of those members present and voting.⁹
- 604.11 VOTING - Except as otherwise provided in these Bylaws or the Parliamentary Authority, all motions, orders and other propositions coming before the House of Delegates shall be determined by a majority vote.
- 604.12 PROXY VOTE - Voting by proxy in any meeting of the House of Delegates shall not be permitted.
- 604.13 NOTICES
- .1 TIME - Not less than *twenty (20)* days' written notice shall be given to each member of the House of Delegates for any annual, regular or special meeting of the House of Delegates. See Section 614.1.3 for the various permitted means of notice.
 - .2 INFORMATION - The notice of a meeting shall contain the time, date and site. For special meetings of the House of Delegates, the expected purpose (which may be general) of the meeting shall be stated. If an expected purpose is the amendment of the Bylaws, a copy of the proposed amendment shall be included in the notice. Failure to have included in the notice any germane amendments subsequently adopted by the House of Delegates at the noticed meeting shall not be the basis for any claim that the amendments as so adopted are invalid.

ARTICLE 605 BOARD OF DIRECTORS

- 605.1 MEMBERS - The Board of Directors shall consist of the following officers, committee chairs, *coordinators* and representatives of XXSI, together with those additional members designated in Sections 605.2 and 605.3:¹⁰
- .1 General Chair
 - .2 Administrative Vice-Chair
 - .3 Finance Vice-Chair
 - .4 Coach Representative(s)
 - .5 Athlete Representatives (2)
 - .6 Secretary¹¹
 - .7 Treasurer¹²
 - .8 Senior Vice-Chair¹³
 - .9 Age Group Vice-Chair¹⁴
 - .10 Safe Sport *Chair/Coordinator*
 - .11 At-Large Athlete Board Members [as needed]
- 605.2 AT-LARGE BOARD MEMBERS - *The House of Delegates may specify [insert a number] At-Large positions.¹⁵ Any reduction in the number of At-Large Board Members shall not take effect until the terms of office of the incumbents expire or become vacant¹⁶.* [Specify when and how at-large Board members are selected.] *Additionally, a sufficient number of athlete members shall be elected or appointed [select one] as At-Large Board Members such that athletes constitute at least twenty percent (20%) of the voting membership of the Board of Directors at any given time (taking into account the Athlete*

Representatives). The Athlete At-Large Board Members shall meet the same requirements *and be elected at the same time and place* as the Athlete Representatives set forth in Section 606.2.1. All At-Large Board Members shall hold office from the date of their election or appointment through the conclusion of the second annual meeting of the House of Delegates following such election or appointment, or until their successors are elected or appointed.

605.3 *EX-OFFICIO MEMBERS - The following persons shall be ex-officio members of the Board of Directors [list members]:*
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605.4 LIMITATIONS -

.1 *No more than [insert a number] Members of any Group Member shall serve on the Board of Directors at any time. This limitation shall be applied separately as to Athlete Members and Non-Athlete Members.*¹⁸

.2 No employee of XXSI may serve as a voting member of the Board of Directors.

605.5 VOICE AND VOTING RIGHTS OF BOARD MEMBERS - The voice and voting rights of Board Members and individuals shall be as follows:

.1 BOARD MEMBERS - Each Board Member (*other than the ex-officio members*) shall have both voice and vote in meetings of the Board of Directors and its committees.

.2 *EX-OFFICIO BOARD MEMBERS - Unless entitled to vote under another provision of these Bylaws, the ex-officio members shall have voice but no vote in meetings of the Board of Directors and its committees.*

.3 GENERAL - Anyone may attend open meetings of the Board of Directors and its committees and be heard at the discretion of the presiding officer.

605.6 DUTIES AND POWERS¹⁹ - The Board of Directors shall act for XXSI and the House of Delegates during the intervals between meetings of the House of Delegates, except that it shall not remove a Board Member, *an Administrative Review Board member*, or other person not appointed by the Board of Directors or amend these Bylaws. Any actions taken are subject to the exercise by the House of Delegates of its powers of ratification or prospective modification or rescission. In addition to the powers and duties prescribed in the USA Swimming Rules and Regulations or elsewhere in these Bylaws, the Board of Directors shall have the power and it shall be its duty to:

.1 Establish and direct policies, procedures and programs for XXSI;

.2 Oversee the conduct by the officers *and staff* of XXSI of the day-to-day management of the affairs of XXSI;

.3 *Elect Athlete At-Large Board Members if they are not elected in a timely fashion;*

.4 Provide advice and consent to appointments proposed by the General Chair as required under these Bylaws *or the XXSI Policies and Procedures;*

.5 Cause the preparation and presentation to the House of Delegates of the annual budget of XXSI and make a recommendation to the House of Delegates concerning the approval or disapproval thereof;

.6 Approve the annual review/audit;

.7 Call regular or special meetings of the Board of Directors or the House of Delegates;

.8 Retain such independent contractors and employ such persons as the Board shall determine are necessary or appropriate to conduct the affairs of XXSI;

.9 Appoint other officers, agents, or committees *or coordinators*, to hold office for the terms specified. These appointees shall have the authority and perform the duties as provided in these Bylaws, *the XXSI Policies and Procedures* or as may be provided in the resolutions appointing them, including any powers of the Board of Directors as may be specified, except as may be inconsistent with any other provision of these Bylaws. To the extent

not provided elsewhere in these Bylaws, the Board of Directors may delegate to any officer, agent, or committee *or coordinator* the power to appoint any such subordinate officers, agents, or committees *or coordinators* and to prescribe their respective terms of office, authorities and duties; and

- .10 Remove from office any Board Members, committee chairs, or committee members or coordinators of XXSI who were appointed/elected by the Board and who have failed to attend to their official duties or member responsibilities or have done so improperly, or who would be subject to penalty by the Zone Board of Review for any of the reasons set forth in Part Four of the USA Swimming Rules and Regulations. However, no At-Large Board Member, or committee chair or coordinator may be removed without receiving the thirty (30) days' written notice specifying the alleged deficiency in the performance of the member's responsibilities or specific official duties or other reasons and an opportunity to respond in writing within twenty (20) days to such allegations.

605.7 MEETINGS - Board of Directors meetings shall be open. Matters relating to personnel, disciplinary action, legal, taxation or similar affairs shall be deliberated and decided in a closed session which only Board Members are entitled to attend. By a majority vote on a motion of a question of privilege, the Board of Directors may decide to go into closed session on any matter deserving of confidential treatment or of personal concern to any member of the Board of Directors.

605.8 PARTICIPATION THROUGH COMMUNICATIONS EQUIPMENT - Members of the Board of Directors may participate in meetings of the Board of Directors through conference equipment by means of which all persons participating in the meeting can hear each other at the same time. *Participation by such means shall constitute presence at a meeting.*

605.9 REGULAR MEETINGS - Regular meetings of the Board of Directors shall be held in accordance with a schedule adopted by the Board of Directors.

605.10 SPECIAL MEETINGS - Special meetings of the Board of Directors may be called by the General Chair. Should the Board of Directors or the General Chair fail to call regular meetings or should a special meeting be appropriate or helpful, a meeting of the Board of Directors shall be called at the written request of any three (3) Board Members.

605.11 QUORUM - A quorum of the Board of Directors shall consist of a majority of the voting members.

605.12 VOTING - Except as otherwise provided in these Bylaws or the Parliamentary Authority, all motions, orders and other propositions coming before the Board of Directors shall be determined by a majority vote. *A motion, order or other proposal the effect of which is to override policy or program established by the House of Delegates shall be determined by a two-thirds vote after at least fourteen (14) days' written notice.*²⁰

605.13 PROXY VOTE - Voting by proxy in any meeting of the Board of Directors shall not be permitted.

605.14 ACTION BY WRITTEN CONSENT - Any action required or permitted to be taken at any meeting of the Board of Directors may be taken without a meeting if all the Board Members entitled to vote consent to the action in writing and the written consents are filed with the records of the respective meetings. These consents shall be treated for all purposes as votes taken at a meeting.

605.15 MAIL/EMAIL VOTE - Any action which may be taken at any regular or special meeting of the Board of Directors, except elections, or removals of appointed Board members, committee chairs and members, may be taken without a meeting. If an action is to be taken without a meeting, the Secretary, by first class mail, postage prepaid, or email, shall distribute a ballot to every Board Member entitled to vote on the matter. The ballot shall set forth the proposed action, provide an opportunity to specify approval or disapproval, and provide a reasonable time (but in no event less than the period specified in Section 605.16) within which to return the ballot to the Secretary. Action by ballot shall be valid only when the number of votes cast in favor of the proposed action within the time period specified constitutes a majority of the votes entitled to be cast.

605.16 NOTICES -

- .1 TIME - Not less than *six (6)* days' written notice shall be given to each Board Member for any annual, regular or special meeting of the Board of Directors. (See Section 614.1.3 for the permitted means of notice.)

- .2 INFORMATION - The notice of a meeting shall contain the time, date and site and in the case of special meetings,

the expected purpose.

ARTICLE 606
OFFICERS AND DIRECTORS

- 606.1 OFFICERS - The officers shall be as listed herein and shall be elected by the House of Delegates at its annual meeting²¹.
- .1 General Chair
 - .2 Administrative Vice-Chair
 - .3 Finance Vice-Chair
 - .4 Senior Vice-Chair²²
 - .5 Age Group Vice-Chair²³
 - .6 Secretary²⁴
 - .7 Treasurer²⁵

606.2 OTHER DIRECTORS

Two provisions are offered concerning the method of selection of the Athlete Representatives to the Board of Directors. Select one and delete the other.

.1 ATHLETE REPRESENTATIVES -

Provision A: Two (2) Athlete Representatives shall be elected, one each year for a two-year term, or until their respective successors are elected. At the time of election, the Athlete Representative must (a) be an athlete member in good standing; (b) be at least a sophomore in high school or at least 16 years of age, (c) be currently competing, or have competed within the three (3) immediately preceding years, in the program of swimming conducted by XXSI or another LSC; and (d) have his or her place of permanent residence in the Territory and expect to reside therein throughout at least the first half of the term (other than periods of enrollment in an institution of higher education). The balloting shall take place via electronic vote²⁶ and/or at a meeting called for that purpose by the Senior Athlete Representative or the Athletes Committee, or failing that, at a time and in a manner designated by the Board of Directors. At least *twenty (20)* days' written notice of the election shall be given to all clubs. The Athlete Representatives elected shall be determined by a majority of the [define the athlete voting members who elect the Athlete Representatives].

Provision B: Two (2) Athlete Representatives shall be elected by the House of Delegates, one each year, for a two-year term or until their respective successors are elected. At the time of election, the Athlete Representative must (a) be an athlete member in good standing; (b) be at least a sophomore in high school or at least 16 years of age, (c) be currently competing, or have competed within the three (3) immediately preceding years, in the program of swimming conducted by XXSI or another LSC; and (d) have his or her place of permanent residence in the Territory and expect to reside therein throughout at least the first half of the term (other than periods of enrollment in an institution of higher education).

Two provisions are offered concerning the method of selection of the Coach Representatives to the Board of Directors. Select one and delete the other.

.2 COACH REPRESENTATIVE(S)

Provision A: One (1) Coach Representatives shall be elected, *in even years* for a two-year term, or until a successor is elected.²⁷ The election of the Coach Representatives shall be conducted via electronic vote²⁸ and/or at a meeting called for that purpose by the Senior Coach Representative, the Coaches Committee or the Board of Directors, and determined by a majority of the Coach Members in good standing present and voting or, failing that, at a time and place and in a manner designated by the Board of Directors. At least *twenty (20)* days' written notice of the election shall be given to all clubs.

Provision B: One (1) Coach Representatives shall be elected, *in even years* for a two-year term, or until a successor is elected.²⁹ The election of the Coach Representatives shall be conducted at the annual meeting of the House of

Delegates and determined by a majority vote of the members of the House of Delegates present and voting, or, failing that, at a time and place and in a manner designated by the Board of Directors.

.3 COMMITTEE CHAIRS/COORDINATORS/AT-LARGE BOARD MEMBERS ³⁰

A. *The following committee chairs/coordinators/at-large Board members shall be elected by the House of Delegates:* [List as appropriate]

B. *The following committee chairs /coordinators/ at-large Board members shall be elected as follows:* [List as appropriate]

EXAMPLES:

(1) *The Officials Chair shall be elected by the Officials Committee in accordance with XXSI Policies and Procedures.*

(2) *At-Large Board members shall be elected by the regions they represent in accordance with the rules of each region or the XXSI Policies and Procedures.*

(3) *The Athlete At-Large Board members shall be elected by the athletes at the same time as the Athlete Representatives.*

C. *The following committee chairs/coordinators/ at-large Board members shall be appointed by the General Chair with advice and consent of the Board of Directors:* [List as appropriate]

606.3 ELIGIBILITY - Only Individual Members of XXSI in good standing shall be eligible to hold office and must maintain their eligibility throughout their term of office.

606.4 DOUBLE VOTE PROHIBITED - An Individual Member entitled to vote in Board of Directors meetings may only have one vote, regardless of the number of positions held by such Member.

606.5 OFFICES SPLIT OR COMBINED -

.1 OFFICE HELD BY TWO PERSONS - Any office other than General Chair, Finance Vice-Chair and Treasurer, may be held jointly by two Individual Members. Two individuals who are sharing an office shall share one vote.

.2 OFFICES COMBINED - Any office other than General Chair may be combined with any other office except that the offices of Finance Vice-Chair and Treasurer may not be combined.

606.6 TERMS OF OFFICE -

.1 TERM OF OFFICE - The terms of office of all members of the Board of Directors shall be [insert a number] years.³¹

.2 COMMENCEMENT OF TERM - Each person elected or appointed to a position shall assume office upon election or appointment and shall serve until a successor is chosen.³²

.3 CONSECUTIVE TERMS LIMITATION - *Except for the Secretary and Treasurer*, no Individual Member who has served two successive terms shall be eligible for re-election or appointment to the same position until a lapse of one term. A portion of any term served to fill a vacancy in the position shall not be considered in the computation of this successive terms limitation.³³

606.7 DUTIES - The duties of the officers and other Board Members shall be to attend and participate in all meetings of the House of Delegates and the Board of Directors and as defined in these Bylaws, the XXSI Policies and Procedures, and applicable state laws.

606.8 RESIGNATIONS - Any officer may resign by submitting a written resignation to the General Chair or the Board of Directors specifying an effective date of the resignation. In the absence of a specified effective date, any such resignation shall take effect upon the appointment or election of a successor.

606.9 VACANCIES AND INCAPACITIES -

- .1 OFFICE OF GENERAL CHAIR - In the event of a vacancy in the office of General Chair, or of the General Chair's temporary or permanent incapacity, the Administrative Vice-Chair shall become the acting General Chair until an election can be held at the next meeting of the House of Delegates to fill the remaining term, if any, of the former General Chair, or until the General Chair ceases to suffer from any temporary incapacity. While serving as acting General Chair, the Administrative Vice-Chair shall vacate the office of Administrative Vice-Chair, except in the case of the General Chair's temporary incapacity. If the General Chair is to be absent from the Territory, the General Chair may, but is not obligated to, designate the Administrative Vice-Chair as acting General Chair for the duration of the absence.
- .2 OFFICES OF ATHLETE OR COACH REPRESENTATIVES OR ANY POSITION ELECTED - In the event of a vacancy or of the permanent incapacity of a person holding the office of Athlete Representative or Coach Representative, or person who has been elected, the General Chair may appoint, with the advice and consent of the Board of Directors, an eligible member to serve the remainder of the term of office or until the respective body shall elect a successor.
- .3 DETERMINATION OF VACANCY OR INCAPACITY - The determination of when an office becomes vacant or an officer becomes incapacitated shall be within the discretion of the Board of Directors or the House of Delegates with the advice and consent of the electing body. The determination as to when the General Chair is temporarily incapacitated shall be made, where the circumstances permit, by the General Chair and otherwise shall be within the discretion of the Board of Directors, subject to any subsequent action by the House of Delegates.

606.10 REMOVAL OF DIRECTORS - Directors may be removed in accordance with 604.5.9 and 605.6.10 of these Bylaws.

606.11 OFFICERS' POWERS GENERALLY -

- .1 AUTHORITY TO EXECUTE CONTRACTS, ETC. - *The General Chair, Administrative Vice-Chair, Senior Vice-Chair, Age Group Vice-Chair and Finance Vice-Chair* each may sign and execute in the name of XXSI deeds, mortgages, bonds, contracts, agreements or other instruments duly authorized by the XXSI Policies and Procedures, the Board of Directors or the House of Delegates, except in cases where the signing and execution thereof shall be expressly delegated by the Board of Directors to another officer or agent, expressly requires two or more signatures or is required by law to be otherwise executed. Additional signing authority may be provided by standing resolutions of the Board of Directors or the House of Delegates.³⁴
- .2 ADDITIONAL POWERS AND DUTIES - Each officer shall have other powers and perform other duties as prescribed *in the XXSI Policies and Procedures* or by the House of Delegates, the Board of Directors, the General Chair, the respective division chair, the delegating officer, or these Bylaws.
- .3 DELEGATION - Officers of XXSI may delegate any portion of their powers or duties to an individual or a committee, except that neither the Finance Vice-Chair nor the Treasurer may delegate duties to the other without the consent of the Board of Directors. In addition, the authority to sign checks, drafts, orders of withdrawal or wire transfers shall not be delegated other than by the Board of Directors. *Except as otherwise provided in these Bylaws and with the consent of the Board of Directors or Personnel Committee, [select one] any officer may delegate any portion of that officer's powers or duties to the paid staff of XXSI.* A delegation of powers or duties shall not relieve the delegating officer of the ultimate responsibility to see that these duties and obligations are properly executed or fulfilled.

606.12 DEPOSITORIES AND BANKING AUTHORITY -

- .1 DEPOSITORIES, ETC. - All receipts, income, charges and fees of XXSI shall be deposited to its credit in the banks, trust companies, other depositories or custodians, investment companies or investment management companies as the Board of Directors determines.
- .2 SIGNATURE AUTHORITY - All checks, drafts or other orders for the payment or transfer of money, and all notes or other evidences of indebtedness issued in the name of XXSI shall be signed by the General Chair, the

Treasurer or other officer or officers or agent or agents of XXSI, and in the manner, as shall be determined by *the Finance Vice-Chair, the Finance Committee or the Board of Directors.*

ARTICLE 607
DIVISIONS, COMMITTEES AND COORDINATORS

607.1 DIVISIONAL ORGANIZATION AND JURISDICTIONS, STANDING COMMITTEES AND COORDINATORS - The divisions of XXSI shall each be chaired as indicted below with respective duties, jurisdiction and responsibilities described in the XXSI Policies and Procedures.³⁵

- .1 ADMINISTRATIVE DIVISION - Administrative Vice-Chair
- .2 AGE GROUP DIVISION - Age Group Vice-Chair³⁶
- .3 SENIOR DIVISION - Senior Vice-Chair³⁷
- .4 FINANCE DIVISION - Finance Vice-Chair
- .5 ATHLETES DIVISION - Senior Athlete Representative
- .6 COACHES DIVISION - *Senior* Coach Representative

607.2 ELECTED, EX OFFICIO AND APPOINTED CHAIRS AND COORDINATORS

- .1 ELECTED CHAIRS AND COORDINATORS - Committee chairs and coordinators who are not Board members, but are elected by the House of Delegates, a committee or division, are as follows: [list members]
- .2 EX-OFFICIO CHAIR - Certain other committee chairs are designated ex-officio by virtue of an office currently held.
- .3 APPOINTED CHAIRS AND COORDINATORS - The chairs of all other committees and all other coordinators shall be appointed by the General Chair with the advice and consent of the Board of Directors and the respective division chair. The appointed committee chair or coordinator shall assume office upon appointment or the date designated by the General Chair and shall serve until a successor is appointed and assumes office.

607.3 COMMITTEES - In addition to the standing committees listed herein, the Board of Directors and the House of Delegates are each authorized to establish additional committees to meet programming needs.³⁸ Except as otherwise provided in these Bylaws or the XXSI Policies and Procedures, members of each committee shall be appointed by the General Chair with the advice and consent of the respective division chair and the chair of the committee. Athlete members of each committee shall be appointed by the General Chair with the advice of the Senior Athlete Representative. Athlete membership shall constitute at least twenty percent (20%) of the voting membership of every committee. The division chair shall be an ex-officio member, with voice and vote, of each committee within the respective division.

607.4 STANDING COMMITTEES & COORDINATORS

- .1 ATHLETES COMMITTEE -
 - A. CHAIR - The Senior Athlete Representative or his/her designee shall be the chair of the committee.
 - B. MEMBERS - The Athletes Committee shall consist of the Athlete Representatives, the Athlete At-Large Board members *and* [include any additional athlete members].
 - C. DUTIES - The Athletes' Committee shall have general charge of the business and affairs of the Athletes of XXSI, and shall undertake such activities (a) delegated to it by the Board of Directors or the General Chair or (b) undertaken by the Committee as being in the best interests of the Athlete Members, XXSI, USA Swimming and the sport of swimming
- .2 FINANCE COMMITTEE -
 - A. CHAIR - The chair shall be the Finance Vice-Chair.
 - B. MEMBERS - The members of the Finance Committee shall be the Finance Vice-Chair, the Treasurer, [include additional defined members] and a sufficient number of athletes so as to constitute at least twenty percent (20%) of the voting membership of the Committee.

C. DUTIES -

- (1) To develop, establish where so authorized, or recommend to the Board of Directors, and supervise the execution of policy regarding the investment of XXSI's working capital, funded reserves and endowment funds, within the guidelines, if any, established by the Board of Directors or the House of Delegates. The Finance Committee shall also regularly review XXSI's equipment needs (both operational and office) and the various methods available to finance the acquisition of any needed equipment, and make a determination and recommendation of the best financing method.
- (2) To conduct a review or audit or recommend an independent auditor to conduct the required annual review or audit of the books of XXSI.³⁹ If conducted internally, a minimum of three (3) committee members with a sufficient number of athletes to constitute at least 20% of the voting membership, must conduct the review or audit. The Treasurer cannot be a member of the group performing the audit, but can be present to provide clarification, information and answer questions.
- (3) To submit the review or audit and other reports and make recommendations to the Board of Directors with regard thereto.
- (4) To consult with the officers, committee chairs and coordinators and prepare and present a proposed budget for consideration and approval by the Board of Directors and the House of Delegates. The officers, committee chairs and coordinators shall provide promptly such financial information (current and projected) and budget proposals as the Finance Committee may request.⁴⁰ The proposed budget may contain alternatives.
- (5) To complete and submit any state and local reports and filings.

Two provisions are offered with respect to Governance or Nominating Committees. Select one and delete the other.

Provision A (combined Governance & Nominating Committee)

.3 GOVERNANCE COMMITTEE -

- A. CHAIR - The chair shall be elected annually by the Governance Committee from among its own members.

Two options are offered concerning the method of selection of the Governance Committee members. Select one and delete the other.

B. *Option 1* MEMBERS -

The Governance Committee members shall be appointed by the General Chair with advice and consent of the Board of Directors. The Committee shall be comprised of [list the number in factors of 3 or 4, in alignment with the term of office] with a sufficient number of athletes so as to constitute at least twenty percent (20%) of the voting membership of the Committee. Each member shall serve a *three or four-year* [select one] term, staggered so that *one-third (1/3) or one-fourth (1/4)* [select one to coincide with factor selected above] of such members are appointed each year. No more than one-half (1/2) of the Governance Committee members shall be members of the XXSI Board of Directors at any given time. After completion of two consecutive terms, members are not eligible for re-appointment to the Governance Committee until after a lapse of two years. A portion of any term served to fill a vacancy in the position shall not be considered in the computation of the successive term limitation. In no case shall the General Chair serve on the Governance Committee.

Option 2 MEMBERS -

The Governance Committee shall be elected by the House of Delegates and shall be comprised of at least [insert a number] members, with a sufficient number of athletes so as to constitute at least twenty percent (20%) of the voting membership of the Committee. No more than one half of the Committee shall be members of the XXSI Board of Directors. If any member of the Governance Committee resigns or otherwise becomes unable to participate in its affairs, the General Chair, with the advice and consent of the Board of Directors, shall appoint a successor to serve until the next meeting of the House of Delegates. In no case shall the General Chair serve on the Governance Committee. Members shall serve two-year terms, staggered so that approximately one-half of the members are elected each year. After completion of three consecutive terms, members are not eligible to be elected or appointed to the Governance Committee until after a lapse of two years. A portion of any term served to fill a vacancy in the position shall not be considered in the computation of the successive term limitation.

- C. QUORUM - When making nominations, a quorum for any meeting of the Governance Committee shall consist of a majority of its voting members. For all other meetings, a quorum shall consist of those members present and voting.
- D. DUTIES
 - (1) To assist in periodic evaluation of the mission and vision statements and the Bylaws of XXSI;
 - (2) To aid in the development of operating policies regarding conflict of interest (Board and staff), document retention, ethics, whistle-blower, procurement, contract review, grievance and other employment-related practices, etc.;
 - (3) To aid in the development of personnel practices procedure including job descriptions and annual review of staff;
 - (4) To ensure that the Board's focus remains on the strategic plan;
 - (5) To aid in the development of expectations and processes for accountability of Board members;
 - (6) To develop criteria for the qualities and required characteristics of Board officers;
 - (7) To lead Board succession planning by assessing current and anticipated needs for Board composition and identifying and recruiting potential Board members;
 - (8) To nominate Board members, *Administrative Review Board members, and other coordinator or chair positions to be elected by the House of Delegates* consistent with the matrix of skills, demographics, and talents needed;
 - (9) To publish the slate of candidates to the XXSI membership at least *twenty (20)* days prior to the election. Additional nominations may be made from the floor of the House of Delegates by voting members of the House of Delegates;
 - (10) To design and implement Board orientation and an ongoing program of Board education and development; and
 - (11) To lead periodic assessment of the Board's performance (as a whole and of individual members) and make recommendations to enhance Board effectiveness.

Provision B (separate Governance & Nominating Committees)

.3 NOMINATING COMMITTEE -

- A. CHAIR - The Chair shall be elected annually by the Nominating Committee from among its own members.
- B. MEMBERS - The House of Delegates shall annually elect at least [insert a number] individuals to the Nominating Committee to serve a one-year term, with a sufficient number of athletes so as to constitute at least twenty percent (20%) of the voting membership of the Committee. Terms shall commence at the conclusion of the meeting at which members were elected and end when their successors assume office. If any member of the Nominating Committee resigns or otherwise becomes unable to participate in its affairs, the General Chair, with the advice and consent of the Board of Directors, shall appoint a successor to serve until the next meeting of the House of Delegates. No individual shall be eligible to serve more than six (6) consecutive years on the Nominating Committee until after a lapse of two years. A portion of any term served to fill a vacancy in the position shall not be considered in the computation of the successive term limitation. In no case shall the General Chair serve on the Nominating Committee.
- C. QUORUM - A quorum for any meeting of the Nominating Committee shall consist of a majority of its voting members.
- D. DUTIES –
 - (1) To nominate Board members, *Administrative Review Board members, and other coordinator or chair positions* to be elected by the House of Delegates consistent with the matrix of skills, demographics, and talents needed.
 - (2) To publish the slate of candidates to the XXSI membership at least *twenty (20)* days prior to the election. Additional nominations may be made from the floor of the House of Delegates by voting members of the House of Delegates.

.4 GOVERNANCE COMMITTEE -

- A. CHAIR - The Chair shall be elected annually by the Governance Committee from among its own members.
- B. MEMBERS - The Governance Committee members shall be appointed by the General Chair with advice and consent of the Board of Directors. The Committee shall be comprised of at least [insert a number] members with a sufficient number of athletes so as to constitute at least twenty percent (20%) of the voting membership of the Committee. Each member shall serve a *three or four-year* [select one] term. Terms shall be staggered such that approximately *one-third (1/3) or one-fourth (1/4)* [select one to coincide with term selected above] of members are appointed each year.
- C. DUTIES– It shall be the duty of the Governance Committee to:
 - (1) Assist in periodic evaluation of the mission and vision statements and the Bylaws of XXSI;
 - (2) Aid in the development of operating policies regarding conflict of interest (Board and staff), document retention, ethics, whistle-blower, procurement, contract review, grievance and other employment-related practices, etc.;
 - (3) Aid in the development of personnel practices procedure including job descriptions and annual review of staff;
 - (4) Assist in shaping the Board’s agenda based on the strategic plan;
 - (5) Aid in the development of expectations and processes for accountability of Board members;
 - (6) Develop criteria for the qualities and required characteristics of Board officers;
 - (7) Lead Board succession planning by working with the Nominating Committee to assess current and anticipated needs for Board composition;
 - (8) Design and implement Board orientation and an ongoing program of Board education and development; and
 - (9) Lead periodic assessment of the Board’s performance (as a whole and of individual members) and make recommendations to enhance Board effectiveness.

.4⁴¹ SAFETY COMMITTEE/COORDINATOR⁴²

- A. CHAIR - *The chair shall be the Safety Committee Chair.*
- B. MEMBERS - *The Committee shall be comprised of the Safety Committee Chair, at least [insert a number]⁴³ members with a sufficient number of athletes so as to constitute at least twenty percent (20%) of the voting membership of the Committee.*
- C. DUTIES - The duties shall be as outlined in the XXSI Policies and Procedures.

.5 EXECUTIVE COMMITTEE⁴⁴

- A. AUTHORITY AND POWER - The Executive Committee shall have the authority and power to act for the Board of Directors and XXSI between meetings of the Board and the House of Delegates. Limitations to the authority and power of the Executive Committee shall be determined by the Board of Directors and included in the XXSI Policies and Procedures.
- B. MEMBERS - The members of the Executive Committee shall be the
 - (1) General Chair, who shall act as chair,
 - (2) Administrative Vice-Chair,
 - (3) Senior Vice-Chair⁴⁵
 - (4) Age Group Vice-Chair⁴⁶
 - (5) Secretary,
 - (6) Finance Vice-Chair,
 - (7) *Senior* Coach Representative,
 - (8) Senior Athlete Representative, and
 - (9) Junior Athlete Representative.

- C. MEETINGS AND NOTICE - Meetings of the Executive Committee shall be held at any time or place within the Territory when called by the General Chair or any three (3) members of the Committee with a minimum of *five (5) days'* notice required.
 - D. QUORUM - A quorum of the Executive Committee shall consist of a majority of the members of the Committee.
 - E. REPORT OF ACTION TO BOARD OF DIRECTORS - At the next regular or special meeting of the Board of Directors, the Executive Committee shall make a report of its activities since the last Board of Director's meeting for ratification or prospective modification or rescission, provided, however, that any action of the Executive Committee upon which a third party may have relied (*e.g.*, by signing, or authorizing the signing of a contract) may not be modified or rescinded by the Board of Directors or the House of Delegates.
- 607.5 DUTIES OF CHAIRS AND COORDINATORS GENERALLY - The duties of the General Chair, the division chairs, committee chairs, and coordinators (in addition to those provided elsewhere in these Bylaws) shall be as follows:
- .1 Preside at all meetings of the respective division, committee or subcommittee;
 - .2 See that all duties and responsibilities of the *coordinator or* the respective division, committee or sub-committee in his or her charge are properly and promptly carried out;
 - .3 Appoint such committees or sub-committees as may be necessary to fulfill the duties and responsibilities of the *coordinator or* division or committee, respectively;
 - .4 Communicate with the General Chair, respective division, *coordinator*, committee or subcommittee members and the *staff or Secretary* [select one] to keep them fully informed;
 - .5 Appoint a member as secretary of the committee or subcommittee charged with taking minutes of each meeting and forward reports or minutes of all meetings to the *staff or Secretary* [select one]; and
 - .6 Perform the other specific duties listed in XXSI's Policies and Procedures or as may be delegated by the General Chair, the respective division chair or committee chair, the Board of Directors or the House of Delegates.
- 607.6 DUTIES OF COMMITTEES GENERALLY - Except as otherwise provided in these Bylaws, the duties of the committees shall be prescribed by the XXSI Policies and Procedures.
- 607.7 REGULAR AND SPECIAL MEETINGS - Regular and special meetings of committees or sub-committees of XXSI shall be held as determined by the respective Vice-chairs or committee or sub-committee chair.
- 607.8 OPEN MEETING/CLOSED SESSIONS - Meetings of committees and sub-committees, other than a Personnel Committee meeting, shall be open to all members of XXSI. Matters relating to personnel, disciplinary action, legal, taxation and similar affairs shall be deliberated and decided in a closed session which only the respective members are entitled to attend. By a majority vote, a committee or sub-committee may decide to go into closed session on any matter deserving of confidential treatment or of personal concern to any member of the committee or sub-committee.
- 607.9 VOICE AND VOTING RIGHTS OF COMMITTEE MEMBERS - Each Committee member shall have both voice and vote in their respective meetings.
- 607.10 ACTION BY WRITTEN CONSENT - Any action required or permitted to be taken at any meeting of a committee may be taken without a meeting if all the committee members entitled to vote consent to the action in writing and the written consents are filed with the records of the meetings. These consents shall be treated for all purposes as a vote taken at a meeting.
- 607.11 PARTICIPATION THROUGH COMMUNICATIONS EQUIPMENT - Members of any committee may participate in a meeting of the committee or through conference equipment by means of which all persons participating in the meeting can hear each other at the same time. *Participation by such means shall constitute presence at a meeting.*

- 607.12 QUORUM - Except as otherwise provided in these Bylaws or in the resolution or other action establishing a committee, a quorum of any committee shall consist of those members present.
- 607.13 VOTING - Except as otherwise provided in these Bylaws or the Parliamentary Authority, all motions, orders and other propositions coming before a committee shall be determined by a majority vote.
- 607.14 PROXY VOTE - Voting by proxy in any meeting of a committee shall not be permitted.
- 607.15 NOTICES
- .1 TIME - Except as otherwise provided in these Bylaws or the resolution or other action establishing a committee, not less than *five (5) days'* written notice shall be given for any meeting of a committee.
 - .2 INFORMATION - The notice of a meeting shall contain the time, date, and site.
- 607.16 RESIGNATIONS - Any committee chair or member or coordinator may resign by submitting a written resignation to the General Chair or the Board of Directors specifying an effective date of the resignation. If such date is not specified, the resignation shall take effect upon the appointment of a successor.
- 607.17 VACANCIES - The determination of when the position of an appointed committee chair, committee member or a coordinator becomes vacant or the person becomes incapacitated, if not made by the person, shall be within the discretion of the Board of Directors. In the event of a vacancy or permanent incapacity, the General Chair, with the advice and consent of the Board of Directors and the respective division chair, shall appoint a successor to serve until the conclusion of the incumbent's term. A temporary incapacity may be left unfilled at the discretion of the General Chair or an appointment may be made for the duration of the temporary incapacity.
- 607.18 DELEGATION - With the consent of the Board of Directors or the respective division chair, a committee chair or a coordinator may delegate a portion of their powers or duties to another officer of XXSI, or to another committee, subcommittee, or coordinator, or with the consent of the Board of Directors *and the Personnel Committee*, to the paid staff of XXSI. Notwithstanding any delegation, the ultimate responsibility for the delegated duties and obligations shall remain with the delegator.
- 607.19 APPLICATION TO COMMITTEES AND ADMINISTRATIVE REVIEW BOARD - Sections 607.5 through 607.18 shall apply to all committees, unless otherwise provided in these Bylaws, in the resolution creating the committee *or in the XXSI Policies and Procedures. These provisions shall also apply to Administrative Review Board meetings, but shall not apply to its hearings or deliberations.*

ARTICLE 608
ANNUAL AUDIT, REPORTS AND REMITTANCES

XXSI shall submit any reports and remittances required by the USA Swimming Corporate Bylaws, by the USA Swimming Board of Directors, the President/CEO of USA Swimming or by any agreement between XXSI and USA Swimming. Reports required to be submitted to USA Swimming by XXSI include annual financial and federal tax reports and the annual audit or review.

ARTICLE 609
ORGANIZATION, AMENDMENT OF BYLAWS AND DISSOLUTION

- 609.1 NON-PROFIT AND CHARITABLE PURPOSES - XXSI is organized exclusively for charitable and educational purposes and for the purpose of fostering national or international amateur sports competition within the meaning of section 501(c)(3) of the IRS Code. Notwithstanding any other provision of these Bylaws, XXSI shall not, except to an insubstantial degree, (1) engage in any activities or exercise any powers that are not in furtherance of the purposes and objectives of XXSI or (2) engage in any activities not permitted to be carried on by: (A) a corporation exempt from federal income tax under such section 501(c)(3) of the IRS Code or (B) a corporation to which contributions, gifts and bequests are deductible under sections 170(c)(2), 2055(a)(2) and 2522(a)(2) of the IRS Code.
- 609.2 DEDICATION OF ASSETS, ETC. - The revenues, properties and assets of XXSI are irrevocably dedicated to the purposes

set forth in Sections 601.2 and 609.1 of these Bylaws. No part of the net earnings, properties or assets of XXSI shall inure to the benefit of any private person or any member, officer or director of XXSI.

- 609.3 AMENDMENTS - Any provision of these Bylaws not mandated by USA Swimming may be amended at any meeting of the XXSI House of Delegates by a two-thirds (2/3) vote of the members present and voting. Amendments so approved shall not take effect until reviewed and approved by the USA Swimming Rules and Regulations Committee. Changes to Required LSC Bylaws shall be effective on the date established in the amending USA Swimming legislation.
- 609.4 DISSOLUTION - XXSI may be dissolved only upon a two-thirds (2/3) vote of all the voting members of the House of Delegates. Upon dissolution, the net assets of XXSI shall not inure to the benefit of any private individual, unincorporated organization or corporation, including any member, officer or director of XXSI, but shall be distributed to USA Swimming, to be used exclusively for educational or charitable purposes. If USA Swimming, is not then in existence, or is not then a corporation which is exempt under section 501(c)(3) of the IRS Code and to which contributions, bequests and gifts are deductible under sections 170(c)(2), 2055(a)(2) and 2522(a)(2) of the IRS Code, the net assets of XXSI shall be distributed to a corporation or other organization meeting those criteria and designated by the House of Delegates at the time of dissolution, to be used exclusively for educational or charitable purposes.

ARTICLE 610 INDEMNIFICATION⁴⁷

- 610.1 INDEMNITY - XXSI shall indemnify, protect and defend, in the manner and to the full extent permitted by law, any Indemnified Person in respect of any threatened, pending or completed action, suit or proceeding, whether or not by or in the right of XXSI, and whether civil, criminal, administrative, investigative or otherwise, by reason of the fact that the Indemnified Person bears or bore one or more of the relationships to XXSI specified in Section 610.3 and was acting or failing to act in one or more of those capacities or reasonably believed that to be the case. Where specifically required by law, this indemnification shall be made only as authorized in the specific case upon a determination, in the manner provided by law, that indemnification of the Indemnified Person is proper in the circumstances. XXSI may, to the full extent permitted by law, purchase additional insurance to that provided by USA Swimming, and maintain insurance on behalf of any Indemnified Person against any liability that could be asserted against the Indemnified Person.
- 610.2 EXCLUSION - The indemnification provided by this Article 610, shall not apply to any Indemnified Party whose otherwise indemnified conduct is finally determined to have been in bad faith, self-dealing, gross negligence, wanton and willful disregard of applicable laws, rules and regulations, of the USA Swimming Rules and Regulations, of the USA Swimming Code of Conduct or these Bylaws or who is convicted of a crime (including felony, misdemeanor and lesser crimes) involving sexual misconduct, child abuse, violation of a law specifically designed to protect minors or similar offenses, or who is found by the Zone Board of Review, the National Board of Review, or the U.S. Center for SafeSport to have committed actions which would be the basis for such a conviction and, in each case, the otherwise indemnifiable conduct (or failure to act) was, or was directly related to, the predicate acts of the conviction or finding.
- 610.3 INDEMNIFIED PERSONS - As used in this Article 610, "Indemnified Person" shall mean any person who is or was a Board Member, [Administrative Review Board member], Group Member Representative, officer, official, coach, committee chair or member, coordinator, volunteer, employee or agent of XXSI, or is or was serving at the direct request of XXSI as a director, officer, Group Member Representative, meet director, official, coach, committee chair or member, coordinator, volunteer, employee or agent of another person or entity involved with the sport of swimming.
- 610.4 EXTENT OF INDEMNITY - To the full extent permitted by law, the indemnification provided in this Article shall include expenses (including attorneys' fees, disbursements and expenses), judgments, fines, penalties and amounts paid in settlement, and, except as limited by applicable laws, these expenses shall be paid by XXSI in advance of the final disposition of such action, suit or proceeding. If doubt exists as to the applicability of an exclusion to XXSI's obligation to indemnify, XXSI may require an undertaking from the Indemnified Person obliging him to repay such sums if it is subsequently determined that an exclusion is applicable. In the case of any person engaged in the sport of swimming for compensation or other gain, if XXSI determines that there is reasonable doubt as to such person's ability to make any repayment, XXSI shall not be obligated to make any payments in advance of the final determination. This indemnification shall not be deemed to limit the right of XXSI to indemnify any other person for any such expenses to the full extent permitted by law, nor shall it be deemed exclusive of any other rights to which any Indemnified Person may be entitled under any agreement, vote of members or disinterested directors or otherwise, both as to action in an official capacity and as to action in another capacity while holding such office.

- 610.5 SUCCESSORS, ETC. - The indemnification provided by this Article shall continue as to an Indemnified Person who has died or been determined to be legally incompetent and shall apply for the benefit of the successors, guardians, conservators, heirs, executors, administrators and trustees of the Indemnified Person.

ARTICLE 611
PARLIAMENTARY AUTHORITY

ROBERT'S RULES - Robert's Rules of Order Newly Revised shall govern XXSI and any of its constituent or component parts, committees, etc., in the conduct of meetings in all cases to which they apply and in which they are not inconsistent with these Bylaws and any special rules of order XXSI, the House of Delegates, the Board of Directors or its divisions, committees, etc., may adopt.

ARTICLE 612
MISCELLANEOUS

- 612.1 EFFECT OF STATE LAW CHANGES (SEVERABILITY) - If any portion of these Bylaws shall be determined by a final judicial decision to be, or as a result of a change in the law of the *State or Commonwealth* of [insert the name of the state of incorporation] become, illegal, invalid or unenforceable, the remainder of these Bylaws shall continue in full force and effect.
- 612.2 FISCAL YEAR - The fiscal year of XXSI shall end on the last day of [fill in the ending month].
- 612.3 TAX STATUS; INTERPRETATION OF BYLAWS - It is intended that XXSI shall have and continue to have the status of an organization which is exempt from federal income taxation under section 501(c)(3) of the IRS Code and to which contributions, bequests and gifts are deductible for federal income, estate and gift tax purposes under sections 170(c)(2), 2055(a)(2) and 2522(a)(2) of the IRS Code, respectively. Similarly, it is intended that XXSI shall have that or similar status under the applicable state and local laws as will exempt it from taxation to the maximum extent possible to the extent not contrary to applicable federal requirements. These Bylaws shall be interpreted accordingly.

ARTICLE 613
*ADMINISTRATIVE REVIEW BOARD*⁴⁸

- 613.1 INTRODUCTION - USA Swimming was organized as the National Governing Body for the sport of swimming under the Amateur Sports Act of 1978, as amended by the Ted Stevens Olympic and Amateur Sports Act of 1998, both federal laws. These laws require USA Swimming to establish and maintain provisions for the swift and equitable resolution of all disputes involving any of its members. This Article, together with Section 602.2 and Part Four of the USA Swimming Rules and Regulations, are intended to provide a mechanism for resolving in an orderly and fair way all manner and kinds of disputes that may arise among its members in connection with the sport of swimming. Accordingly, XXSI has established the Administrative Review Board to hear complaints and appeals regarding administrative matters within XXSI which do not rise to the level of Code of Conduct violations and are not appeals of sanction decisions. The Administrative Review Board shall have no jurisdiction to hear complaints regarding conduct that may violate the USA Swimming Code of Conduct or otherwise violate the policies, procedures, rules and regulations adopted by USA Swimming, or conduct that may bring USA Swimming, XXSI or the sport of swimming into disrepute. This Article, together with Part Four of the USA Swimming Rules and Regulations, is intended to provide a fair hearing before a group of independent and impartial people. This Article and Part Four of the Rules shall be construed accordingly.
- 613.2 ADMINISTRATIVE REVIEW BOARD ORGANIZATION -
- .1 Establishment - The Administrative Review Board of XXSI shall be independent and impartial.
 - .2 Members - The Administrative Review Board shall have at least [insert a number] regular members⁴⁹, with a sufficient number of athlete members to constitute at least 20% of the voting membership. At least three members of the Administrative Review Board shall hear each case, with a sufficient number of athlete members to constitute

at least twenty percent (20%) of its membership. No hearing shall proceed without the required athlete representation. The House of Delegates may increase the number of regular *or alternate* members by resolution but subsequent to the adoption of these Bylaws may only decrease the number of regular *or alternate* members upon the expiration of the term of office of any incumbent members.

.3 Election; Term of Office; Eligibility -

- A. Election - The House of Delegates shall biennially elect regular *and alternate* members of the Administrative Review Board:
- B. Term of Office - The term of office shall be two (2) years. Each member *and alternate member* shall assume office upon election and shall serve until a successor takes office.
- C. Eligibility - Each regular *and alternate* member of the Administrative Review Board shall be an Individual Member of XXSI and USA Swimming. In no case shall members of the Board of Directors serve on the Administrative Review Board.

.4 Chair Elected by Board; Other Officers - The Chair of the Administrative Review Board (the "Chair") who must be a regular member, shall be elected biennially by a majority vote of the regular members of the Administrative Review Board. The Chair shall biennially appoint a Vice-Chair and a Secretary of the Administrative Review Board, each of whom must be regular members.

.5 Meetings - The Administrative Review Board shall meet for administrative purposes as necessary, to elect the Chair, to adopt rules and procedures and to conduct other business as may be helpful or necessary to achieve the purposes of the Administrative Review Board and efficiently exercise its duties and powers. Other meetings may be called by the Chair or any two regular members. When meeting for administrative purposes, Section 607.19 shall apply to the Administrative Review Board.

.6 Participation Through Communications Equipment - Members of the Administrative Review Board may participate in a meeting or hearing of the Administrative Review Board, and any hearing may be conducted, in whole or in part, through conference telephone or similar equipment by means of which all persons participating in the meeting can hear each other at the same time. Participation by these means shall constitute presence in person at such a meeting or hearing.

.7 Quorum - A quorum for any administrative meeting of the Administrative Review Board shall be fifty percent (50%) of its regular members.

.8 Resignations - Any regular *or alternate* member of the Administrative Review Board may resign by submitting a written resignation to the Chair, the General Chair or the Board of Directors specifying an effective date of the resignation. In the absence of a specified effective date, any such resignation shall take effect upon the appointment or election of a successor.

.9 Determination of Vacancy or Incapacity - The determination of when an office becomes vacant or an officer becomes incapacitated shall be in accordance with 606.9.

.10 Substitutions for Member - In the event that a regular member of the Administrative Review Board is unable or unwilling to promptly act for any reason, recuses herself or himself or is disqualified in any particular circumstance, the Chair (or, if the person so unable or unwilling to act or recused or disqualified is the Chair, the Vice-Chair; or failing that, the General Chair) shall appoint an alternate *member* to act in the regular member's place in respect of that circumstance.

613.3 GENERAL -

.1 Administrative Powers - The Administrative Review Board shall have the powers and the duty to:

- A. administer and conduct the affairs and achieve the purposes of the Administrative Review Board,
- B. establish policies, procedures and guidelines,

- C. elect the Chair,
 - D. call regular or special meetings of the Administrative Review Board,
 - E. retain attorneys, agents and independent contractors and employ those persons which the Administrative Review Board may determine are appropriate, necessary or helpful in the administration and conduct of its affairs, and
 - F. take such action as may otherwise be appropriate, necessary or helpful in the administration and conduct of its affairs, the achievement of its purposes and the efficient exercise of its duties and powers.
- .2 Rule Making Powers - The Administrative Review Board shall have the power and the duty to promulgate reasonable rules and procedures consistent with the corporation laws of XXSI with respect to any matter within its jurisdiction or appropriate, necessary or helpful in the administration and conduct of its affairs. Such rules and procedures shall have the same force and effect as if they had been adopted as part of these Bylaws.
- .3 Exercise of Powers and Decisions - Except for authority and power granted to the Chair, the exercise of the authority and powers of the Administrative Review Board and the decision of matters which are the subject of a hearing shall be decided by a majority vote of the Administrative Review Board. The views of any dissenters shall be included in the record of the proceeding if requested by the dissenters. The exercise of the Administrative Review Board's authority and power shall be solely in its discretion and the interests of justice and the sport of swimming.
- .4 Timeliness of Petition - The Administrative Review Board need not exercise its jurisdiction with respect to a complaint the subject matter of which occurred, or concerns or is founded on events which occurred, more than ninety (90) days prior to the date the complaint is received. A determination not to exercise its jurisdiction as a result of the untimeliness of a complaint may be made by the Chair alone and may be the subject of a request for rehearing and, thereafter, appeal to the Zone Board of Review pursuant to Part Four of the USA Swimming Rules and Regulations.

ARTICLE 614
CONVENTIONS AND DEFINITIONS

614.1 CONVENTIONS -

- .1 TERMS GENERALLY - Whenever the context may require, any pronoun or official title shall include the corresponding masculine, feminine and neuter forms. The words "include", "includes" and "including" shall be deemed to be followed by the phrase "without limitation". The singular shall include the plural and the plural shall include the singular as the context may require. Where the context permits, the term "or" shall be interpreted as though it were "and/or". Captions have been used for convenience only and shall not be used in interpreting the Bylaws.
- .2 CAPITALIZED TITLES - Capitalized titles, such as Secretary or Treasurer, when appearing alone shall refer to XXSI positions and not to USA Swimming or another organization.
- .3 NOTICE DEEMED GIVEN; LAST KNOWN ADDRESS -
- A. Notice by Mail - Notice given and other writings delivered by first class mail, postage prepaid, and addressed to the last known address shall be deemed given or delivered upon the postmark date for all purposes under these Bylaws.
 - B. Notice by Email - Notice given and writings delivered by electronic mail to the last known email address shall be deemed given or delivered for all purposes under these Bylaws.
 - C. Last Known Mail or Email Address - For all purposes under these Bylaws, the last known mail or email address of a member of XXSI shall be the mail or email address on file with XXSI or in SWIMS.
- .4 TIME PERIOD CONVENTION - In computing time periods established by these Bylaws, the initial time period (days or hours) shall not be included but the last period shall be included.
- .5 WAIVER OF NOTICE CONVENTION - Untimely or insufficient notice for any meeting held under the authority of these Bylaws shall be considered to have been waived if a member attends or participates in the meeting to which

such notice referred or to which notice was lacking without, at the earliest opportunity, raising an objection of untimely or insufficient notice having been given for such meeting. If the member is a Group Member Representative, then the relevant Group Member shall be treated as having waived the untimely or insufficient notice to the same extent.

614.2 DEFINITIONS⁵⁰ - When used in these Bylaws, the following terms shall have the meanings indicated in this Section, and the definitions of such terms are equally applicable both to the singular and plural forms.

- .1 ARTICLE - a principal subdivision of these Bylaws.
- .2 *[ARTICLES OR CERTIFICATE]* OF INCORPORATION - the document filed with [insert the title of the office and the state in which the document was filed; usually the Secretary of State] pursuant to which XXSI was formed.
- .3 ATHLETE REPRESENTATIVE - an Athlete Member elected to represent athletes in the House of Delegates and on the Board of Directors.
- .4 BOARD MEMBER - a member of the Board of Directors, including the At-Large Board Members.
- .5 BOARD OF DIRECTORS - the Board of Directors of XXSI.
- .6 BYLAWS - these bylaws as adopted and amended from time to time by, and in effect for, XXSI.
- .7 COACH REPRESENTATIVE - a Coach Member elected to represent the coaches in the House of Delegates and on the Board of Directors.
- .8 FINA - the Federation Internationale de Natation, the international governing body for the sport of swimming.
- .9 GROUP MEMBER REPRESENTATIVE - an individual appointed to represent a Group Member in the House of Delegates.
- .10 HOUSE OF DELEGATES - the House of Delegates of XXSI as established by Article 604 of these Bylaws.
- .11 *IMMEDIATE PAST GENERAL CHAIR* - the individual who is the immediate past General Chair of XXSI.
- .12 IRS CODE - the current United States Internal Revenue Code.
- .13 LOCAL SWIMMING COMMITTEE / LSC - XXSI as defined by the USA Swimming Corporate Bylaws.
- .14 MEMBER - a Group Member or an Individual Member.
- .15 NATIONAL BOARD OF REVIEW - the National Board of Review of USA Swimming established pursuant to Part Four of the USA Swimming Rules and Regulations. Where the context requires, a reference to the National Board of Review shall include a reference to the USA Swimming Board of Directors when that body is acting upon an appeal from the National Board of Review.
- .16 POLICIES AND PROCEDURES - the principles, rules, and guidelines of XXSI, as amended and adopted by the Board of Directors or the House of Delegates.
- .17 SECTION - a subdivision of the Articles of these Bylaws.
- .18 TERRITORY - the geographic territory over which XXSI has jurisdiction as a Local Swimming Committee.
- .19 USA SWIMMING - USA Swimming, Inc., a Colorado nonprofit corporation which is the national governing body for the United States for the sport of swimming.
- .20 XXSI - the *[state of incorporation]* not-for-profit corporation to which these Bylaws pertain.
- .21 ZONE BOARD OF REVIEW - the Board of Review of the Zone in which XXSI is located, which Zone Board of Review is established pursuant to Part Four of the USA Swimming Rules and Regulations. Where the context requires, a reference to the Zone Board of Review shall include a reference to the National Board of Review when that body is acting upon an appeal from the Zone Board of Review.

1 *Substitute the LSC code assigned in Article 603 of the USA Swimming Rulebook for “XX.”*
2 *Wherever Policies and Procedures is listed throughout this document, the LSC should replace with the appropriately titled*
3 *document for that context (such as LSC Rules and Regulations, Board Policy Manual, etc.).*
4 *If the LSC offers optional membership categories, list as appropriate.*
5 *The LSC may add all, none, or specific chairs/coordinators or other members to the House of Delegates.*
6 *The LSC may vary the number of representatives accorded Group Members, either by absolute number or by a formula*
7 *determining the number that is based on the number of swimmers registered to the Group Member relative to the number of*
8 *swimmers registered in the LSC. The LSC may deny Affiliated Group Members or Seasonal Club Members the right to be*
9 *represented. The LSC may designate categories of its voting delegates, such as athlete, coach, non-coach.*
10 *If Ex-officio members listed in Section 605.3 are not members of the House of Delegates, list those exceptions here.*
11 *An LSC may deny the Group Member Representatives of Affiliated Group Members or Seasonal Club Members the right to*
12 *vote. This can be accomplished with the addition of the following clause after “Group Member Representatives” and before*
13 *the comma: “(other than those of Affiliated Group Members.)”*
14 *An LSC may specify a specific schedule here.*
15 *An LSC may vary this provision to provide a higher quorum of either general or limited applicability, but this is not generally*
16 *recommended.*
17 *Each LSC may add to this list other positions in accordance with its needs, but may not remove any of the listed positions.*
18 *Typical positions on many Boards include: Officials Chair, Registration/Membership Coordinator, Technical Planning Chair,*
19 *Diversity Chair, Disability Chair, Safety Chair/Coordinator, and Non-Athletes At-Large.*
20 *If permitted under the laws of the state of incorporation, a staff member may serve as Secretary with voice but no vote.*
21 *If permitted under the laws of the state of incorporation, a staff member may serve as Treasurer with voice but no vote.*
22 *Program Operations Vice-Chair may be substituted.*
23 *Program Development Vice-Chair may be substituted.*
24 *The number of At-large Board positions may not exceed a number equal to or greater than half of the voting members of the*
25 *Board.*
26 *The House of Delegates may create classes of At-Large Board Members, such as an At-Large Board membership to be*
27 *held by a Coach Member or representatives of the division of XXSI.*
28 *An LSC may include the provisions for ex-officio members of the Board of Directors such as the Immediate Past General Chair.*
29 *Although not recommended, this provision may be omitted if desired. Alternatively, or in addition to the club affiliation*
30 *limitation, an LSC may impose a limitation based on geography. In order to preserve continuity across the LSCs, if an LSC*
31 *elects to omit this provision, the Section number and heading should remain with the addition of the following commentary:*
32 *“This Section is reserved for future use.”*
33 *This list of duties and powers may be expanded by an LSC, but not contracted. However, an LSC may add a provision that the*
34 *Board of Directors may not override policy or program established by the House of Delegates either (a) at all or (b) unless the*
35 *vote reflects a two-thirds or greater majority. In addition, the LSC may not expand the Board’s duties and powers to include*
36 *removal of persons not appointed by the Board.*
37 *A LSC may omit the italicized sentence or modify it to remove or reduce the length of the notice required or prohibit the Board*
38 *from overriding policy established by the House of Delegates.*
39 *It is recommended that approximately half of the elected positions be elected in odd-numbered and half in even-numbered years*
40 *using two-year terms of office. This section may be further varied to allow for other terms of office. If staggered, the election*
41 *year for each office should be specified adjacent to each position listed in 606.1.1 thru 606.1.7.*
42 *Program Operations Vice-Chair may be substituted.*
43 *Program Development Vice-Chair may be substituted.*
44 *If permitted under the laws of the state of incorporation, a staff member may serve in the position of secretary with voice*
45 *but no vote and should be indicated in adjacent parentheses that the position is filled by staff and not elected by HOD.*
46 *If permitted under the laws of the state of incorporation, a staff member may serve in the position of treasurer with voice*
47 *but no vote and should be indicated in adjacent parentheses that the position is filled by staff and not elected by HOD.*
48 *Delete the electronic vote option if not permitted under the LSC state law of incorporation.*
49 *LSCs may substitute this language “Two (2) Coach Representatives shall be elected, one each year for a two-year term, or*
50 *until their respective successors are elected.”*
51 *Delete the electronic vote option if not permitted under the LSC state law of incorporation.*
52 *LSCs may substitute this language “Two (2) Coach Representatives shall be elected, one each year for a two-year term, or*
53 *until their respective successors are elected.”*

30 *An LSC may choose the methods of selection for all non-officer Board positions. The Athlete & Coach Representatives must be selected in accordance with provisions A or B. Any single-person position, other than General Chair, that has been listed as a chair should be changed to “coordinator”.*

31 *The term of office shall not exceed 4 years.*

32 *An LSC may vary this to provide that the officers shall assume their duties upon the start of the fiscal year of XXSI, a date corresponding to the end or beginning of the competitive season cycle, or another convenient date specified herein. If a date is specified, then “is chosen” should be deleted and replaced with “takes office.”*

33 *An LSC may include all, some, or none of the Board Members listed in italics or add other Board Members. No exception may be made for the terms of office of the General Chair or the Vice-Chairs. Consecutive term limits may also be established for service on the Board of Directors, with the exception of the person ascending to the office of the General Chair.*

34 *The number of officers empowered to sign in the name of the LSC may be changed as deemed appropriate or as mandated by applicable laws and regulations of the state of incorporation or its Articles/Certificate of Incorporation.*

35 *LSCs are authorized to establish additional divisions to align with their programming needs.*

36 *Program Development may be substituted for Age Group (Division and Vice-Chair).*

37 *Program Operations may be substituted for Senior (Division and Vice-Chair).*

38 *These committees must be defined as standing committees in these Bylaws or as operational committees in the XXSI Policy and Procedures.*

39 *These duties may be assigned to a separate Audit Committee, which must be defined as a standing committee in these Bylaws.*

40 *These duties may be assigned to a separate Budget Committee, which must be defined as a standing committee in these Bylaws.*

41 *Number accordingly.*

42 *If a Safety Coordinator is a Board member, it should not be included in this section. Otherwise, the committee (chair, members, and duties) must be listed here. If a coordinator but not a Board member, the position and duties must be listed here.*

43 *The LSC may define specific positions (such as a coach or, official) as members.*

44 *Existence of an LSC Executive Committee is optional. An LSC may add additional members to an Executive Committee, while maintaining 20% athlete representation. The resulting size at some point defeats the purpose of having an Executive Committee which can be quickly assembled to deal with urgent matters. A high quorum requirement may have the same practical effect.*

45 *Program Operations Vice-Chair may be substituted.*

46 *Program Development Vice-Chair may be substituted.*

47 *The wording of this Article may be changed to comply with applicable laws and regulations in the jurisdiction of incorporation, but the substance of this Article is mandatory. In certain jurisdictions, this provision may need to be added to Articles/Certification of Incorporation. Advice of an attorney in such jurisdiction should be sought in connection with the adoption or modification of this Article. A copy of such advice and notice of the corresponding changes to this Article shall be furnished to USA Swimming Rules and Regulations Committee. The indemnity provided by this Article is or may be broader than the insurance presently provided by USA Swimming to the LSCs.*

48 *Each LSC may (but is not required to) adopt the following Article to allow the LSC to internally handle administrative matters which do not rise to the level of a Code of Conduct violation. LSCs which do not adopt this Article should retain the Article 613 numbering and note: “[Intentionally Deleted.]” where the Article title would otherwise be.*

49 *The Administrative Review Board must have at least three (3) regular members. Alternate members may be elected.*

50 *Subsections should be properly alphabetized and numbered within the list of definitions.*

General Athlete Transfer Policy Change

Introduction

At its March 2018 meeting, the Membership/Registration Committee had a discussion about the requirement of a mandatory transfer form as the mechanism for initiating and/or finalizing an athlete transfer between clubs (either inter-LSC or intra-LSC). As we move forward toward a paperless registration environment (we do not require registration forms any longer and accept electronic registrations), the mandate of a transfer form was questioned by some members of the committee. The committee did agree to entertain a policy change to eliminate the mandatory nature of the transfer form, while preserving its use for those LSCs which have established procedures built around its use. This document is intended to present those changes to the athlete transfer policy to allow for electronic transfer requests.

Current Policy

Pertinent sections from the Year-Round Athlete handbook (page 4A) are listed here

USA Swimming Rules and Regulations:

203.5 When transferring between LSCs or clubs within the same LSC, the swimmer shall submit a completed transfer form in accordance with USA Swimming procedures. LSCs may not establish procedures for transfers, which effectively deny a swimmer the right to transfer from one LSC or club to another.

Forms and Record Retention:

1. USA Swimming transfer form must be used by all LSCs. Remember that 203.5 requires a transfer request be completed. LSC contact and fees can be added to the USA Swimming transfer form.
2. Although there are no set guidelines, National Headquarters suggests that you keep transfer records for three years only because of some outside chance that within that period of time there would be a need for confirmation of membership.

Proposed Policy Change

Pertinent sectional changes to the Year-Round Athlete handbook (page 4A) are listed here

USA Swimming Rules and Regulations:

203.5 When transferring between LSCs or clubs within the same LSC, the swimmer shall submit a completed transfer ~~form~~ **request** in accordance with USA Swimming procedures. LSCs may not establish procedures for transfers, which effectively deny a swimmer the right to transfer from one LSC or club to another.

Forms and Record Retention:

1. USA Swimming transfer form ~~must~~ **may** be used by ~~all~~ **any** LSCs. Remember that 203.5 requires a transfer request be completed. LSC contact and fees can be added to the USA Swimming transfer form. ***Regardless of how a transfer request is transmitted, it should include, at a minimum, the following information to properly identify the athlete and the receiving club:***

- a. Full name and preferred name (if any)*
- b. Address (new address if relocation is involved)*
- c. Contact phone number*
- d. USA Swimming ID Number*
- e. Date of Birth*
- f. Gender*
- g. New club information (LSC code, club code)*

LSCs may request additional information in order to properly follow LSC transfer policies.

2. Although there are no set guidelines, National Headquarters suggests that you keep transfer records for three years only because of some outside chance that within that period of time there would be a need for confirmation of membership.

Note: If the policy change is adopted, then a rules change will need to be submitted to the Rules and Regulations Committee for the proposed word change to section 203.5. This submitted change needs to be made by May 15, 2018.

Flex Membership Transfer Policy

Introduction

When the Flex Athlete Membership was submitted by Club Development, the legislation mandated that the membership type be offered by all LSCs. As such there would be no reason not to allow inter-LSC transfers. On the floor of the House of Delegates meeting at the September 2017 USA Swimming Convention, the legislation was amended to make it optional as to whether or not the Flex Membership is offered by an LSC. This amendment thus created an issue about whether or not to allow inter-LSC transfers specifically from one LSC that offers the membership to one LSC that does not. The Membership/Registration Committee, at its March 2018 meeting recommended (albeit not unanimously) to not allow inter-LSC transfers for Flex Members.

This document is submitted to the USA Swimming Board of Directors to establish an inter-LSC transfer policy, and its focus is on the transfer of a Flex member from an LSC that offers Flex memberships to one that does not.

Arguments in Favor

1. The Flex membership is a year round membership type and as such does not have the inherent issues revolving around the seasonal membership types, those being that a receiving LSC either does not offer the 150 day membership type or, if it does, the corresponding season (season 1 or 2) has different start and end dates.
2. Pre-meet membership verification processes are being modified to flag Flex members if they have already competed in 2 sanction meets or the meet is at the LSC Championship level or higher at which the member is ineligible to compete. An LSC that does not offer Flex memberships automatically be screening out-of-LSC competitors for the two sanctioned meet competitive limitation of the Flex membership. (As the Flex membership is intended as an introductory membership to club swimming, it is not expected that there will be significant travel by these members, but it could happen.) So if an inter-LSC flex transfer occurs, no additional pre-meet administration is required by the receiving LSC.
3. Current SWIMS processing may not allow the receiving LSC to re-register a transferring member into one of its authorized membership types (Annual or Seasonal) because the Flex member is already a year round member. Currently if an attempt to reregister a currently registered Annual member for the current membership year, we get an error message indicating that the swimmer is already registered, and all we can do is update their personal information and/or transfer them. It is expected that the same issue will arise when trying to reregister a Flex member in the same registration year. SWIMS may have to be modified to solve this problem if inter-LSC transfers are not allowed. On the other hand, if Flex members are allowed to transfer then there are no immediate reregistration issues or programming needs.

Arguments Against

1. While a Flex membership is year round, it could be considered a “lower level” membership type relative to the Seasonal membership. This consideration is based on the 2 sanctioned meet limitation and the ineligibility to compete at an LSC championship meet. Neither of these two restrictions exist for a Seasonal member within their seasonal period. The argument

against would be that since Seasonal memberships cannot be transferred, neither should Flex memberships.

2. The intent of the Flex membership is introductory to entry level competitive swimming. And while scenarios are envisioned in which the membership is used for other purposes, it is expected that the vast majority of Flex members will be registered as intended, and as such the need for inter-LSC transfer will be minimal as it is not expected that the Flex member will remain in this membership type for very long. They will either stop swimming or they will outgrow the membership type. (Additionally, the alternate envisioned scenarios are short term, inexpensive membership alternatives the members of which are unlikely to transfer).
3. The upgrade provision of the Flex membership to an Annual membership is problematic. SWIMS has an option for the LSC to indicate whether or not it accepts Flex members.

An interface (API) has been created to allow 3rd party vendors to access SWIMS to validate registration information. The LSC option to accept the Flex membership or not is necessary for the 3rd party vendors to know whether to allow or not the membership type to the club/families when registering athletes. While an LSC membership coordinator of an LSC not offering the Flex membership will know to never to select that Flex membership type even if is a live option, parents/clubs will see the \$20 price tag and may select the membership type without exploring the limitations thereof.

If the LSC opts out of the Flex membership, than the upgrade functions are turned off. So, generally the receiving LSC cannot upgrade the Flex membership to the Annual membership when the member wishes to compete either in more than 2 meets or at the LSC championship level. That being said, the LSC membership coordinator can temporarily turn the “accepts Flex members” option on to complete the upgrade, and then turn the option back off. There will be some exposure where during that “open” period when a club could register Flex members and thus additional administrative time will be needed to correct that problem.

4. The introductory program that is being offered by a particular club will most likely be specific to that club. That specific program which attracted the Flex member is most likely unique and most likely not replicated by a club in the receiving LSC. This assumption may further limit the transfer requests of Flex members, because the Flex member may not quickly find a program in which to enroll.

Summary

Whether or not the policy is to allow or not to allow inter-LSC transfers of Flex members, the impact on LSCs should be minimal because of volume. That being said, either decision has “negative” implications. This Summary tries to distill the implications of either decision.

1. To reiterate, the Membership/Registration Committee voted not to allow the inter-LSC transfers of Flex members.
2. If the decision is NOT allow inter-LSC transfers of Flex Members, SWIMS may have to be modified to allow reregistration of an existing year round Flex member to either an Annual or Seasonal membership.
3. If the decision is to allow inter-LSC transfers of Flex Members, then, when the athlete reaches the 2 sanctioned meet limit and is now ineligible to compete, a **secondary policy decision** needs to be made:

- Require that the receiving LSC honor the Flex membership type and its upgrade provision and upgrade the Flex member to the Annual membership (this will not require an immediate program change as noted in Arguments Against #3)
- OR allow the receiving LSC to renew the member to one of its accepted membership types at full price, thus creating the same programmatic issue noted in Summary #2.

The Membership/Registration Committee requests an universal policy for all combinations of LSCs that opt in or out of allowing the Flex membership. Specifically, don't make a policy that allows Flex membership between two LSCs that allow the Flex membership type while at the same time not allowing the transfer between an LSC that allows the Flex membership type to an LSC that does not.

Waiver of Second Membership Fee Policy

Introduction

When the Junior Coach legislation was submitted to the USA Swimming House of Delegates at the 2017 Convention, the assumption was that a Junior Coach would be an athlete who would be performing coaching duties in some supervised environment (i.e. a temporary summer league developmental coach). The stated intent by Pat Hogan was not to burden that Junior Coach with an additional membership fee for the non-athlete membership type needed to be a coach. He assumed that the Junior Coach would be a registered athlete and he recommended waiving the non-athlete membership fee for dual membership. During the course of the debated on the legislation at the House of Delegates, Pat Hogan agreed to expand the waiver to all members with dual athlete/non-athlete memberships. This document is presented for the purpose of establishing a policy to address the waiver of a membership fee when the member needs dual athlete/non-athlete memberships.

Discussion

- The original proposal of a fee waiver contemplated trying to minimize the financial burden on a youth who is an athlete and wants to be a part time coach. Other than a background check the youth will be required to meet all other coach membership requirements many of which have a financial cost associated with them. The waiver tries to reduce the financial barriers against a youth trying to become a coach.
- Dual membership fees were instituted due to the fact, in part, that the insurance pools for athletes and non-athletes were separate. That separation no longer exists.
- The number of dual memberships (athlete/non-athlete) for legal adults (18 or older, and hence not Junior Coaches) should be minimal, so loss of revenue should be minimal.
- The original view of the Junior Coach membership was that a currently registered athlete would subsequently register as a coach, and as such, the waiver would be for the non-athlete membership fee. But what if a young coach wishes to return to athletic competition after a short hiatus? Or an official wishes to join a club sponsored masters' program for morning workouts. We might have a situation where the non-athlete is already registered and the waiver would be for the athlete registration fee.
- It is believed that the Junior Coach legislation contemplated an athlete with an Annual (year round with full competitive rights) membership. But what if the athlete has a different membership type, i.e. Seasonal or Flex? Scenario:
 - A college athlete who did not compete in USA Swimming competition while away at college, comes home for the summer and wishes to compete minimally within the LSC to stay fit.
 - Swimmer registers as a Seasonal or Flex member for cost reasons and the limited nature of the contemplated summer competitions.
 - Summer job is a coach with a local team.
 - Swimmer will return to college at the end of the summer, again not contemplating USA Swimming competition while attending college.

The question then becomes:

- Do we waive either membership fee?
- If we waive a fee do we waive the lesser fee and require the member to pay the more expensive one?
- If we do waive the lesser fee, but the less expensive fee has already been paid, do we simply charge the difference?

Recommendation

The Membership/Registration, at its March 2018 meeting, voted to recommend waiver of the second registration fee for dual athlete and non-athlete members regardless of the order in which the membership request were submitted. That being said, the committee contemplated that the athlete would have an Annual membership and did not entertain scenarios where a lesser athlete membership type could be involved.

PROGRAM & EVENTS COMMITTEE

Mission Statement: TBD

Membership: The Program & Events Committee will have five members as follows:

- Three non-athletes with experience as a meet referee at national championship meets or other experience that provides familiarity with the conduct of national championship events.
- A coach with material national event experience
- An athlete who has competed at the national level

The terms for the non-athletes shall be staggered so that no two will have a term expiring in the same year. The Chair shall be selected by the designated staff member in consultation with the current committee members and others as appropriate. *For the first year that consultation will be with the Vice Chair for Program Operations*

USA Swimming Staff Liaison: TBD

Responsibilities:

- Perform all responsibilities for national events as prescribed in the Rules & Regulations
 - For the purpose of this committee, national events include Trials class, national championships, Junior championships, U.S. Open, and Pro Series meets. These include both pool and open water events.
 - At least one of the committee members (or a designee) will be at each national event to perform the above functions.
 - Based on experiences at the above events, develop and maintain a best practices document that can be used as a guide for future events.
- Perform oversight of the Officials Committee
 - Work with the designated staff member in the naming of the Officials Committee Chair
 - Work with the Officials Committee Chair in the following:
 - Naming new members of the Officials Committee
 - Naming meet referees and the assigned team for national events
 - Nominating candidates for international officials lists (FINA and UANA)
 - Nominating officials to work at international events
 - The Chair will be an ex officio member of the Officials Committee
- The Chair or designee will be an ex officio member of the Senior Development Committee.



TO: Board of Directors
FROM: Tim Hinchey III
COPY: LSC General Chairs
Committee Chairs
Staff & Selected Others
DATE: May 7, 2018
SUBJECT: General Update

TECHNICAL/SPORT

Sport Development

This spring Sport Development has been very busy with conferences/clinics/workshops/camps:

- Two workshops for the Eastern & Southern Zone and Central & Western Zone were held for General Chairs/Safe Sport Chairs/Diversity & Inclusion Chairs.
- A Women's Leadership Summit in Colorado Springs.
- "She Leads", a program designed to teach leadership skills to female athletes who are sophomores, juniors or seniors in high school. This was also held in Colorado Springs.
- Four Regional Coaching clinics were held in Jacksonville, Wichita, Denver and Long Island, reaching 305 coaches. The vast majority of these coaches had never attended an in-person coaching clinic.
- The National Diversity Select camp was held in Colorado Springs.
- Around Memorial Day weekend, the first step in the USA Swimming National Camp system, the Zone Select Camps, will be held. These camps are the first introduction to National Team culture for 232 athletes. They also provide leadership opportunities for 28 coaches and managers.
- Video Review service for athletes and coaches was offered at the NCSA meet and YMCA Nationals.

National Events

TYR Pro Swim Series - We are looking to change the model that is used in selecting our TYR Pro Swim Series hosts. Currently, USA Swimming pays hosts a \$20,000 management fee, but we are now developing a Request for Proposals (RFP) to send to interested parties in which we will solicit a rights fee from potential host cities for these events. The RFP will explain the technical requirements required in hosting but will also extoll the value of the USA Swimming brand and detail the benefits and potential income opportunities in hosting these events. Our intent is to distribute the RFPs early this summer and award the 2019-20 sites by convention this fall.

COMMERCIAL

Merchandise

We have finalized a partnership renewal with SwimOutlet.com to be the official store of USA Swimming. We are also working with the USOC and its ecommerce partner Fanatics on a second merchandise opportunity. We also added a new partnership with Swaponz to create custom USA Swimming and National Team athlete phone covers.

Corporate Partnership Sales

We have started discussions with Phillips 66 on a renewal of our partnership. In 2008, we struck a 10-year-deal that expires this year and we are proposing to extend the partnership through the Olympic Games in LA in 2028. If successful, we will also be celebrating the 50-year anniversary of the relationship in 2023. We are progressing on another renewal with CIPRODEX, the prescription medication for swimmer's ear. This is the second renewal from the initial partnership. We also have agreed upon a 3-year extension through 2020 with MilkPEP.

Phillips 66 Sentiment Analysis

We commissioned Nielsen Sports to do a "sentiment analysis" of how social media coverage and traditional media coverage is improved by their association with USA Swimming. A sentiment analysis looks to evaluate positive, negative or neutral tones in social media coverage. The sentiment of coverage improved for Phillips 66 when connected to USA Swimming and the USA Swimming Foundation. This report was well received by the Phillips 66 leadership and will be a keystone as we pursue the renewal.

Sales Agency

We have contracted with Impression Sports and Entertainment of Denver to support commercial growth and new sponsorship sales. They will start to engage dozens of brands and companies and their work experience includes clients in college sports, professional sports, marathons, stadium naming rights and more.

Brand Perception Research

In 2012, 2014 and 2016 we have worked with Sponsorship Research International (SRi) to conduct research to understand awareness and impact of corporate sponsorship on the USA Swimming membership community. For example, we find out if members of USA Swimming think more highly of our partners and if their intent to purchase their product is raised by their association. Spoiler: it does! We will conduct the same study this summer to help our partners and gauge perception of athletes, coaches and officials about the overall organization of USA Swimming. This research will begin in July and August and will be commissioned yearly moving forward.

How Families Choose Swimming Research

We have just fielded an additional research study in late April that will survey parents of non-swimmers and parents of former USA Swimming members for additional information on why they chose the sport, why some kids & families quit, how they make equipment decisions and more. This is being conducted by Sports Marketing Surveys, which is the official survey provider of the Sports & Fitness Industry Association. We expect results by summer.

Splash Magazine

After meeting with an internal group to look at the future of *Splash* magazine and conducting a survey to determine the media consumption habits of our readership, *Splash* will move in the direction of specifically targeting swimmers between the ages of 12 and 14. The new design – a hybrid of sports lifestyle magazines and teen magazines – will be in place by Fall of 2019. An internal editorial board is in place to help determine content. The new focus will focus much more on imagery.

USASwimming.org

We have a few navigation changes coming for the web site. Safe Sport will be moved to the main navigation bar of the website. In addition, a link to the store for USA Swimming merchandise will be moved to the red navigation bar, where “Find a Team” and Deck Pass information now stands. Recommendations from the first round of user testing earlier this year will be implemented. Changes to be made by mid-May.

USA Swimming Productions

USA Swimming’s premier live desk show, Deck Pass Live, has more than quadrupled viewership by averaging almost 250,000 viewers per day during live event coverage in a combination of our web site and on Facebook Live. This past year, we covered 22 live events, produced 19 hours of content reaching 7.2 million people, with 2.8 million video views, 3.8 million minutes watched accumulating 18.8 million impressions across all platforms.

Phillips 66 Nationals Activation

Our events, marketing and sponsorship team did a site visit to Irvine and invited corporate partners Phillips 66, Arena, Speedo and Xfinity in March to increase their on-site activation and provide some turn-key options at the Phillips 66 National Championships. Opportunities for partners ranged from fan promotions, fan zone activations to hospitality.

Staff Updates

We have several updates in implementing our staffing plan for the Commercial Division:

- Ellison Elledge ... formerly with Professional Bull Riders (PBR) and the USOC; Manager of Partnership Marketing
- Melissa Katz ... formerly with USOC and Denver Broncos; Manager of Organizational Communications
- Mike Lawson ... freelance videographer and editor working in film and post-production in LA; Videographer in USA Swimming Productions
- Senior Director of Sales & Marketing ... we are working with executive recruiter Marquee Search to fill this position for summer

BUSINESS AFFAIRS

Risk Management

In April, USA Swimming held individual meetings to update our insurers at the Risk & Insurance Management Society (RIMS) Annual Conference in San Antonio. Despite recent publicity, the insurers are still comfortable with our risk profile and intend to offer us renewal terms well before expiration. Several other insurers still have us on their list as target accounts in the event of unexpected changes to our existing program.

Human Resources

USA Swimming is in the process of hiring a Director of Human Resources to replace the previous Human Resources Manager.

Information Technology:

Online Membership Services Project

The Online Member Services project establishes the integration of club databases hosted by third-party club management software vendors such as Team Unify and Active/HyTek with the SWIMS member database. The primary goals of phase one, the Member Data Validation Service, are to:

- 1) Design, develop and deploy the technology required to allow for the database integration to facilitate the exchange of athlete member registration data.
- 2) Design, develop, and deploy features to improve the quality of athlete member registration data for the clubs and for USA Swimming.

Work completed on phase one includes:

- 1) Development of the required technology infrastructure (Application Program Interfaces or APIs), security, and test system.
- 2) Meetings with all vendors to review the technology, associated documentation, and testing procedures. All vendors have agreed to try to get changes to their software in place by August for club registrar training with the goal of having phase one features ready to go into production by September 1.
- 3) Development of features to improve the quality of athlete data including:
 - a) Improvements to the SWIMS holding tank that give LSC Registrars the ability to compare club member names, DOBs, and other registration data submitted by the club against the same data in SWIMS to accept or reject changes to a member record. Discrepancies go back to the club registrar for cleanup. Webinars were held for all the LSC Registrars to learn about using the new features in the SWIMS holding tank.
 - b) The ability to accept member contact updates such as email, phone, and address throughout the year.

The technology implemented in phase one will be leveraged in a future phase for the development of features that will give non-athlete members the ability to register online.

Customer Relationship Management (CRM) and Digital Marketing

Responses to our Request for Information to select a consultant to conduct Discovery were received from 15 companies. Each company was thoroughly evaluated on a variety of criteria that included proposed budget, experience with similar projects, and their understanding of our specific needs and goals. Semi-finalists were invited to Colorado Springs for in-person interviews. Amberleaf (<http://www.amberleaf.net>) based in Chicago, IL was selected as the firm to conduct the Discovery phase of the project. A project kick-off meeting was held on April 11 and in-person and virtual meetings are scheduled to begin on May 1.

Discovery is expected that last about six weeks and includes an evaluation of USA Swimming's current databases, data collection methods, marketing strategies and donor cultivation methods (ways data is coming in or going out of the organization) and recommending future technology infrastructure needed. The goal of Discovery is an action plan for the selection and implementation of Customer Relationship Management (CRM) and digital marketing technology. The plan will outline the project steps, costs, technology recommendations, and staffing required to build out the information technology infrastructure over multiple phases.

FOUNDATION

USA Swimming Foundation Grants

Awarded \$436,000 in USA Swimming Foundation funding to 78 Make a Splash Local Partners across 33 states, to serve more than 16,000 children

Make a Splash Tour dates and locations

- **Washington, DC - June 1 & 2:** Cullen Jones, Rowdy Gaines, Missy Franklin (other athletes TBD)
- **Seattle, WA - June 4:** Nathan Adrian and Rowdy Gaines
- **San Francisco, CA - June 6:** Cullen Jones, Ryan Murphy, Rowdy Gaines (and keeping our fingers crossed for some Stanford female swimmers!)
- **Orlando, FL - June 13:** Cullen Jones, Rowdy Gaines (celebrities and other athletes TBD)

Major Gifts & Grants

To-date in 2018, \$275,000 in major gifts and \$35,000 in grants have been secured. Of the six major gifts secured, the USA Swimming Foundation gained two new trustees, including the first-ever National Team alumni member. Another gift will provide \$12,500 to National Team athletes each year from 2018-2025.

Annual Campaign Financial Overview

As of April 26, 2018, the Annual Fund received more than \$62,100 in donations. This is more than \$25,500 above this time last year. This is very encouraging, considering last year was a record-breaking year.

Swim-a-Thon

Three months into our current Swim-a-Thon year (Swim-a-Thon's FY begins February 1), swim clubs hosting swim-a-thons have raised \$61,862 towards the foundation's \$400,000 revenue goal for 2018, compared to \$48,389 of \$370,000 revenue goal this time last year.

Please share the word with your local clubs about how hosting a Swim-a-Thon can support their efforts to hire coaches, purchase equipment, pay for travel, etc. AND support the USA Swimming Foundation!

2018 USA Swimming Foundation Events

Date	Location	In Conjunction With	Type of Event	Athletes
January 12	Austin, TX	TYR Pro Swim Series – Austin	Influencer and VIP Experience	Chase Kalisz
March 2	Atlanta, GA	TYR Pro Swim Series – Atlanta	Influencer and VIP Experience	None
March 24	Minneapolis, MN	NCAA Men's DI National Championships	National Team Alumni Social	Nathan Adrian
April 14-15	Phoenix, AZ	TYR Pro Swim Series – Mesa	Donor-Hosted (Bart Wear) and VIP Experience	Chase Kalisz, Matt Grevers
May 4	Phoenix, AZ	Open Water National Championships	VIP Experience	
May 19	Carmel, IN	TYR Pro Swim Series – Indianapolis	Donor-Hosted (Todd Adams) and VIP Experience	Gunnar Bentz
June 1	Washington, DC	MAS Tour – DC Stop	MAS Tour	Missy Franklin, Cullen Jones, Rowdy Gaines, Reece Whitley
June 4	Seattle, WA	MAS Tour – Seattle Stop	MAS Tour	Nathan Adrian, Rowdy Gaines
June 6	Palo Alto, CA	MAS Tour – San Francisco Stop	MAS Tour	Cullen Jones, Ryan Murphy, Rowdy Gaines
June 8-9	Santa Clara, CA	TYR Pro Swim Series – Santa Clara	Influencer, National Team Alumni Social, and VIP Experience	Simone Manuel, Sarah Gibson
June 13	Orlando, FL	MAS Tour – Orlando Stop	MAS Tour	Cullen Jones, Rowdy Gaines
July 26-28	Irvine, CA	Phillips 66 Nationals	Influencer, National Team Alumni Social, and VIP Experience	Kelsi Dahlia and TBD
August TBD	Omaha, NE		Donor-Hosted (Pat DiBiase)	TBD
August 31 – September 3	Colorado Springs, CO		Youth Performance Camp	TBD
September 28	Fort Lauderdale, FL	USAS Convention	Convention Luncheon	TBD
October 5 – 7	Colorado Springs, CO		Adult Performance Camp	TBD
November TBD	TBD	College Challenge	Influencer and VIP Experience	TBD
November 18-19	New York, NY	Golden Goggles	VIP and Champions Club Receptions	TBD



Board Chair's Report - April 30, 2018

Governance Committee - Frank Swigon, Chair

Please find below the report on the activities of the Governance Committee for the Board of Directors Meeting:

- The work of the task force assembled for revising the required LSC Bylaws continues. As a reminder, the primary goal of the task force is to clarify and simplify the required bylaws.
- As previously reported, Jim Sheehan provided the committee a study performed by a professor from the University of Colorado of the governance practices of the NGB's. The study reviewed and rated various categories / areas and USA Swimming received a low score in 18 categories. A subcommittee was formed to examine the relevance of the findings. A report was generated by the subcommittee and has been presented to USAS leadership for follow up as appropriate.
- The committee as currently structured will sunset at the end of the 2018 convention and transition to a board committee. The committee's final initiative will be to support passage of the modified LSC required bylaws as proposed by the task force formed for that purpose.

National Board of Review - Buddy Pylitt, Chair

There are no active cases before the National Board of Review nor are there any appeals to the Board of Directors at this time.



Board Chair's Report - April 30, 2018

Safe Sport Committee - George Geanon, Chair

Safe Sport Mission: *To inspire a culture of athlete and member protection at all levels of USA Swimming.*

I. Upcoming Meetings:

Meeting/Date: Safe Sport Business Meeting, United States Aquatic Sports Convention, September 25-30, 2018, Jacksonville, FL.

II. Primary Committee Efforts:

1. 2018 Zone Workshops
 - a. Created draft document: "Five Things That a Safe Sport Athlete Can Do – Thoughts and Actions"
 - b. Preliminary review of document: "Five Things General Chairs Can Do for Safe Sport"
 - c. Revisions/refinements to "Safe Sport Meet in a Box"
 - How to Activate Safe Sport at Your Meet
 - Deck Access Strategy Guide
 - Locker Room Monitoring Best Practices for Meets
 - Model Response Plan
 - Coaches Briefing document
 - Marshals Briefing document
 - Officials Briefing document
 - Timers Briefing document
 - Meet Director's Check List
 - Meet Director Resource document
 - d. Survey on Train the Trainers Needs distributed
2. Safe Sport Certified Club Program Subcommittee (ongoing)
 - a. Rationale: To advance the culture of Safe Sport at the Club level and increase the participation of Parents and Athletes in Safe Sport training initiatives.
 - b. Policy revisions
 - c. Certification criteria revisions
 - d. Club Safe Sport Self-Assessment program
 - e. Club Safe Sport Checklist
 - f. Soft roll-out July
 - g. Official roll-out at the US Aquatic Sports Convention
3. Train the Trainers Planning Team
 - a. Rationale: to create a pool of qualified Safe Sport Trainers available to provide In-person training to LSCs, Clubs, Camps, Swimposiums, etc.
 - b. Develop training curriculum
 - c. Identify Trainer candidates
4. Assessment of personnel and budget support needs for advancement of the USA



Board Chair's Report - April 30, 2018

Swimming Safe Sport

- a. Additional USA Swimming Safe Sport staff
- b. Increased funding to support the Safe Sport Certified Club program
- c. Funding to support the Train the Trainers program, provide for travel/lodging support for in-person training to LSCs, clubs, Swimposiums, etc.
- d. IT support: Safe Sport program development and Safe Sport Modules for LEARN Online Course Library

III. Items that Require Board Action or Input:

1. Safe Sport Certified Club Program Update

IV. Future Focus of Committee(s):

1. *SwimAssist* Program Overview: revision/clarification (for presentation as a future Board Action item)
2. Explore opportunities for collaboration with other committees, such as Diversity and Inclusion and Operational Risk, to increase efficiencies and develop joint projects/programs.
3. Review/revise Safe Sport policies, procedures, and best practices.

V. Rational to support the recommended decisions:

1. To bring Safe Sport education and engagement to the local, club level.
2. To develop tools for LSC Safe Sport Chairs to accomplish local engagement.
3. To support ongoing education/training for athlete and member protection at the local and national level.

VI. Challenges that were considered as well:

1. Time commitment required of volunteers to accomplish goals at the national and local level.
2. Evaluate the success of current programming and areas of improvement.
3. Provide fresh and relevant content to maintain engagement with Safe Sport and prevent complacency that could adversely affect the Safe Sport mission.

Respectfully submitted,

James J. Sheehan
Board Chair



May 2018
Administration Committee Reports
Robert Broyles
National Administration Vice Chair

Awards Committee: Ellaine Cox, chair

No committee activity to report

Convention Education Committee: Jayne Spittler, chair / Morgan Weinberg, staff liaison

Working with Gina Mensay to craft a Convention Schedule from Staff Liaison/Committee Chair requests for time slots. Moving forward the tighter scheduling of using Wednesday for Committee Meetings, Thursday for Workshops and Friday for Governance.

Working with Convention Review Task Force to identify role of a keynote speaker, and find suitable/available/affordable candidates.

Committee member Jessica Cooper working with Gina to tap into the power of on-line scheduling tool SCHED to avoid work duplication and stay on top of schedule changes.

Flyers for workshops in SCHED

Use SCHED to disseminate a streamlined version of the nightly Psych Sheet & No Convention Workshop Guide as a separate entity

Working with LSC Development to create a Pre-Convention document with suggestions as to how LSCs can better inform their delegates about their Convention experience and facilitate dissemination back to LSC level.

Beginning to flesh out ConvEd workshop ideas/activities for 2018:

Convention First Timers Coaches/Officials Dialog
College Recruiting
Happy2Help Desk activities, including an LSC Scavenger Hunt
Bloggers identified and ready to go

Next Conference Call to discuss ideas about disseminating "The New Look of Convention" to attendees

Willing to provide any help and guidance to Nominating Committee for Candidates' Forum(s)

Credentials/Elections Committee: Laurie Benton, chair

No committee activity to report

Operational Risk Committee: Mary Jo Swalley, chair / George Ward, staff liason

Committee met by conference call April 24.

Participants: George Ward, Mary Jo Swalley, Starre Haney, Jennifer Ridge, Adam Zeichner, John Kline, Mike Seip, George Sampson, Lynne Shine, Sandi Blumit (The Risk People), Connie Harvey (ARC), Josh Rowland (ARC), Mike Espino (The Y)

Discussed:

- Operational Risk Manual - The Committee revisions submitted to staff over a year ago have now been approved. Manual needs to be posted on USA Swimming website as soon as possible and distributed to LSCs. Manual is a living document that Committee and Risk Management will edit and/or supplement as needed.
- Safety Training for Swim Coaches - American Red Cross is on schedule to complete new STSC by August. Roll out of new course will be subject of OpRisk workshop at September Convention.
- OpRisk Officer for Sanctioned Meets - Committee will submit legislation to add requirement of an Operational Risk Officer at all sanctioned meets.
- Hammerhead caps - Cap is designed to reduce risk of concussion in water. Now reaching production. Will include in Convention workshop.
- Concussion education for Officials - Committee believes this should be offered through the Officials' Committee. State laws are now requiring proof of concussion education for coaches and others in youth sports. Committee will support and assist Officials' Committee in education.
- 2018 Kiefer Safety Commendation - Committee members will reach out to their assigned LSCs to solicit nominations for this year's award.

Registration/Membership Committee: Mark Brown, chair / Denise Thomas, Staff liaison

The committee has been focusing on the Online Membership Services (OMS) data validation, the newly adopted Flex membership and Jr. Coach membership.

Online Membership Services (OMS) Member Data Validation: The OMS project establishes the integration of club databases hosted by third-party software vendors such as Team Unify and Active/HyTek with the SWIMS member database. Phase One of this project, the Member Data Validation Service, will allow for the exchange of data from the vendor club record to SWIMS and from SWIMS to the vendor club record. The goal of this phase is to improve the quality of data for the clubs and for USA Swimming.

Phase One includes:

A feature to allow the upload of a club member registration file from the vendor to a queue, one for each LSC, in SWIMS (data flow from vendor club record to SWIMS). This will replace the current process of emailing registration files to the LSC, and the LSC then uploading the file into SWIMS.

Improvements to the SWIMS holding tank that give the LSC registrar the ability to compare club members' names, DOBs, and other registration data against the same data in SWIMS to accept or reject changes to a member record. Discrepancies go back to the club registrar for cleanup (data flow from the SWIMS record to the vendor club record).

The ability to accept member contact updates such as email, phone, and address throughout the year (data flow from vendor club record to SWIMS).

Webinars were held for all the LSC registration chairs to learn about using the new features in the SWIMS holding tank. Vendors have been provided the documentation they need to start making the necessary changes to their

software. All vendors have agreed to try to get changes to their software in place by August for club registrar training with the goal of having everything ready to go in production by September 1.

FLEX Membership: The new registration type, FLEX, will go into effect starting September 1, 2018. Statera and USA Swimming's IT division are in the process of developing the changes in the membership database (SWIMS) where LSC registration chairs will be able to register FLEX members. The key elements of FLEX are as follows:

- FLEX is optional for LSC's and clubs
- FLEX is an annual membership
- Registration fee - \$10 USA Swimming fee and LSC's can charge up to \$10 for a total fee of \$20
- FLEX members can compete in only two (2) sanctioned competitions
- FLEX members can upgrade to a year-round membership, where the FLEX member pays the difference from a year-round membership fee and the FLEX membership fee
- FLEX membership is non-transferrable between LSC's

Along with developing the registration process, development is currently taking place on the reporting side. LSC registration chairs as well as USA Swimming staff members will need the ability to generate various reports/statistics on the FLEX membership.

The 2019 FLEX Athlete Registration Application has been created and can be modified as needed by the LSCs.

Jr. Coach Membership: The new registration type, Jr. Coach, will go into effect starting September 1, 2018. Again, Statera and USA Swimming's IT division are in the process of developing the changes in the membership database (SWIMS) where LSC registration chairs will be able to register Jr. Coach members. The key elements of the Jr. Coach registration are as follows:

- Members 16 and 17 years of age are eligible for this membership type
- Jr. Coach members are required to complete all the non-athlete coaching requirements except for the background check, which will be required upon turning 18 years of age. They will have 30 days to complete their background check. If they don't do it within the 30 days, their non-athlete coach member status is removed.
- Registration fees for Jr. Coach are the same as the non-athlete registration fees. Legislation will be presented at the 2018 USAS Convention as to whether the fees for this member type are waived for members who are current athlete members, or if they must pay both membership type fees.

The 2019 Non-Athlete Registration Application has been revised to include Jr. Coach membership type, which LSC's can modify as needed.

Rules Committee – Jay Thomas, chair

2018 Rules committee meeting scheduled for Dallas, TX, June 1-2



Eastern Zone Swimming Report

USA Swimming Board of Directors Meeting – May 12th 2018

Respectfully submitted by Tristan Formon and Mary Turner

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EZ Diversity and Inclusion Committee

Nadine J.-Jesioneck, Eastern Zone Diversity and Inclusion Coordinator, ezdiversityandinclusion@gmail.com

The EZ Diversity and Inclusion Committee continues to convene monthly via conference call. The Committee's continued challenge is to activate the D & I representatives within all 12 EZ LSCs. to support the athletes and provide programming.

The EZ D&I Committee Meeting held at the EZ SZ Workshop in Alexandria VA included the following discussion:

Review of what's happening in the various LSC's and the plan for 2017-18

Ideas and suggestions for the National Committee Task Force:

- Officials & Coaches Outreach or Assistance Criteria - The world of volunteerism is an ever-evolving challenge, initially getting adults to consider becoming volunteers and then encouraging volunteers to remain involved after their athletes move on. The potential inclusion of non-athletes into the LSC Outreach program would serve as a new, previously untapped source of potential volunteerism.

EZ Updates:

- Successes have been more program and assistance implementation within the various LSC's.
- Discussion of how to turn Challenges into opportunities within our LSC's.
- Aspen Institute - enrollment into organized sports has declined by 10 percent in past 10 years and is projected to decrease by another 10 percent in the next 10 years
- Exploring what's being done in other Zones (i.e. Central Zone Multi-Cultural Meet)
- Western Zone sent a Travel Team to EZ Black History Meet.
- LSC Camps & Clinics in this off year from D & I Camp & Regional Summit
- Working to get bid finalized from VA Swimming for the 2019 D & I Camp & Regional Summit
- Developing a proposal for an EZ Travel Team to attend multicultural meet – seeking funding support from Eastern Zone on the off years from the EZ D & I Camp & Summit
- Rave reviews regarding the USA Swimming Workshop held in April – Board Governance and specific areas D&I; Safe Sport, Officials & GC
- Congratulations to the Award winners “mostly from EZ” at the Diversity and Aquatics Convention.

The EZ D&I Committee's next meeting is scheduled for Monday, May 7, 2018

EZ Board of Review

Bud Rimbault and Ward Foley have nothing in hand at this time.



2018 EZ SZ Workshop

USA Swimming hosted the EZ SZ Workshop in Alexandria VA Friday April 13 – Sunday April 15. There were four tracks, General Chairs, Safe Sport, Diversity and Inclusion AND Officials. It was well received by those in attendance. The merging of the SZ and EZ workshops from 2017 provided the additional opportunity to network with a different population.

2018 EZ Championship Meets

2018 IM Extreme Games-NE

January 26-28, 2018, University of Maryland, College Park, MD (hosted by Potomac Marlins)
1192 Athletes / 6650 IE

2018 Speedo Sectionals Spring Long Course

March 22-25, 2018, Buffalo, NY (hosted by Star Swimming)

Meet Referee: Rich McMillen

391 Athletes / 1614 IE

Rich McMillen:

Number of Officials: 38

Evaluations: 15

Timelines: The longest prelims timeline was about 2:45. We always added a 10- minute break after relays that began a session and right before the relays that concluded a session.

Officials: Thirty-eight officials worked at least one session of the meet. Fifteen officials applied for and, received evaluations. Our evaluators, Jamie Cahn from Maryland Swimming and Fran Werner of Indiana Swimming did an outstanding job mentoring those who applied for evaluations. We lost two officials and two evaluations due to the weather event passing through the Mid-Atlantic area the day before the meet. The two officials' flights from Reagan National were cancelled the day before the meet. There is still a culture with the local area officials_ who intend to work the meet but don't sign-up using the google form on the Eastern Zone website. We had plenty of these walk-on officials and could have used some officials in assigned positions, if we had known ahead of time the overall numbers of officials we'd have to staff the deck.

Meet Management: Niagara Swimming and the host club, STAR Swimming did an outstanding job running the meet. Two areas of improvement for STAR are that they didn't have folks with expertise in putting the time trials meet together, so the Sectionals admin team took care of that Additionally, STAR didn't have someone to do check-in for teams arriving after the first day of the meet, so again the Sectionals admin team took care of check-ins for all subsequent days of the meet. Even with the extra responsibilities, it did not seem to detract from the admin team's tasks in support of the Sectional meet. Part of that is due to having a very experienced admin referee in Tim Husson. I appointed a meet referee for time trials to ease the burden of staffing the deck with officials, which normally falls on the team lead CJ, who has enough on his or her plate.



2018 Speedo Sectionals Region 2 (South)

March 22-25, 2018, Christiansburg, VA (hosted by Virginia Swimming)

Meet Referee: Dave DiNardo

567 Athletes / 1748 IE

Dave DiNardo: *In many ways this Meet was typical for an Eastern Zone Short-Course Sectional. There were, however, a few factors that made the Meet unique, and in my opinion exceptional. The Teams, Coaches, Meet Management and our Officials faced a significant weather event on Saturday that threatened to have an adverse impact on the Meet. Due to great teamwork, good planning, support from the local community and some old-fashioned good luck, we were able to conduct all Sessions and provide an opportunity for all of the Athletes to compete in all of their Events.*

Size: At 567 Athletes, the Meet was smaller than previous Sectionals held at this Venue. The smaller Athlete count allowed us to conduct Prelims and Finals in one, ten (10) lane Pool. Since the Athlete count was below 600, there were only three (3) Finals Heats (18 & U, Consolation and Championship), but the expansion to 10 lanes allowed 30 Athletes to make Finals in each Event.

Timelines: Due to the smaller number of competitors, timelines were extremely reasonable, at well under 3 hours every day. In order to keep the Finals from finishing too late, the Coaches voted at the General Meeting to move Finals from 6:00 pm to 5:30 pm on Friday and Saturday, and to 4:30 pm on Sunday. This decision was helpful when we had to deal with the weather on Saturday evening/Sunday morning. Finals included Awards presentations for the top-3 finishers in each Event and did not add significant time to the Sessions.

Officials: 39 Officials worked at least one Session of the Meet. 10 Officials received a total of 10 N2, N3 Initial, and N3 Final Evaluations, plus one Educational Evaluation. Our Evaluators, Jack Dowling from North Texas Swimming and Dan Demers of Virginia Swimming did an outstanding job mentoring those receiving Evaluations as well as the other Officials on Deck. Both were also excellent sounding boards for the Meet Referee as situations developed during the Meet.

Meet Management: Virginia Swimming and the Host Club, H2Oakie Aquatics did an outstanding job running the Meet. There were a couple of Sessions where we had to recruit timers from the Stands, but for the most part the Hosts were able to secure volunteers to staff all lanes. Hospitality was well-stocked and well received. The on-Site Staff of the Christiansburg Aquatic Center was fantastic. Ian Dye, Aquatics Tournament Supervisor, anticipated all of our needs and met them brilliantly.

Weather Event: As the Meet approached, we received reports of an impending winter storm that threatened as much as 15+” of snow on Saturday. After consulting with Tristan Formon and Jerry Adams of Eastern Zone Leadership, we formulated a Contingency Plan(s) for the weekend. Both Tristan and Jerry were very supportive, telling me to “Do what you and the Coaches believe is in the best interest of the Athletes.” As the forecast developed, it called for snow to start sometime Saturday after 2:00 to 4:00 pm, and end in the early morning Sunday. The wild card was the accumulation. At one point I had between 3 and 12 inches as possibilities! A Coaches Meeting was called before Friday Finals and the decision was made to run Saturday as scheduled with Sunday being either a 10:00 am Prelims/4:30 Finals or a 10:00 am Distance Session followed by Timed Finals for all Sunday Events. A committee of Bob Walker (PVS), Mike Salpeter (Virginia) and Jim Hutcheson (Maryland) was established by the Coaches and we established 7:00 am Sunday as the deadline for a decision.



Snow began to fall Saturday around 2:00 pm, and did not begin to accumulate until after Finals started at 5:30. There were around 4-5" after Finals and everyone was able to get to their Hotels. The Aquatics Staff and Town of Christiansburg did a super job clearing the roads, parking lots and sidewalks. They kept several staff members on site overnight to insure we could swim on Sunday. Fortunately, the snow ended about 3:00 am and when I drove over to the Pool at 6:00 am the roads were mostly wet. After consulting with Ian, Meet Management, and the Coaches Committee, the decision was made to go with 10:00 am Prelims and 4:30 pm Finals. We had very few No Shows or Declared False Starts during Prelims. All Teams opted to swim their Relays in the Prelims Session.

2018 Speedo Sectionals Region 1 (North)

March 22-25, 2018, Ithaca, NY (hosted by Syracuse Chargers)

Meet Referee: Kim Downs

754 Athletes / 2630 IE

Kim Downs: I was so impressed with both the facility in Ithaca and the meet hosts. The facility was wonderful, and the Chargers' staff were so accommodating and helpful. With about 750 athletes, our numbers were perfect. I thought the meet ran very smoothly and was a great meet. That was due in large part to how much work Adam and Will put into it, both before and during the meet. To put it simply, they were awesome partners.

Comments: This meet was the perfect size with 754 athletes. We ran 1 pool with 9 lanes for both prelims and finals. Timelines were very nice, about 3-3.5 hours. Starting blocks were located on the bulkhead, which worked great, and allowed us to walk stroke. I was a little worried at first about overcrowding behind the blocks, especially during 50's and relays. However, the only time we had an issue was during relays. The Chargers' staff was on top of it, though, and had the marshals only allow the teams swimming in that heat on the bulkhead, which limited overcrowding.

The facility is an awesome facility. Pool was great, meeting rooms were large, and air quality was very good throughout the meet. The Chargers' staff did a fantastic job. Volunteers were provided for timers, marshals were professional and diligent with their duties, and the Chargers' meet staff were extremely accommodating, and took care of anything we requested immediately and with a smile.

The General Meeting was well attended, and there were no issues. All said, I think coaches, athletes, and officials all enjoyed the meet.

2018 Short Course Age Group Championship

March 29-31, 2018, Webster, NY (hosted by Fairport Swimming)

Meet Referee: Rich Nolan

928 Athletes / 3639 IE

Rich Nolan: *Number of Officials: 55*

Evaluations: 13

This year's Zone Meet took on a whole new life from years past, with the changes made to the format and teams not traveling as the "Zone Team". There were quite a few obstacles that had to be looked at and considerations made starting from prior to even the meet entry deadline. The meet grew bigger than expectations of the size of the meet which created challenges for the location / facility and being able to manage the meet from personal perspective as well. With a lot of hard work from the Meet Host team, the Officials Team and the Facility Team



combined with all the cooperation of the Coaches and most of importantly all the Athletes to make the meet a success.

Meet Size: Original count for this meet was upward of 975 athletes prior to getting to the pool. The 11 & over athletes count had exceeded numbers well before the meet deadline (March 19) entry date and notification went out to all teams. With many meets still to happen a wait list had been implemented based on cut out times and teams backing out. When all was done and said and meet started there were 928 total athletes entered in the meet with a total of 3628 splashes. In Prelims the 11 & Over had to run 2 sessions due to the number of athletes. The 10 and Under sessions well within the athlete numbers to run through a single session.

Timelines: Due to the volume of athlete numbers and the facility capability this meet ended up going to a staggered start of sessions for the 11 & over prelims (2 sessions), Girls swimming in the 1st session and Boys coming in at a delayed time to start warm up in additional pool areas with a separate start for a 2nd session per day. The 10 & Under Athletes would be in the facility and warming up for the 3rd session as the Boys finished up last events of competition. Parades and Award ceremonies were completed after a combination of female / male events. From the 10 & under session into finals was no more than 15-20 minutes of calm water in the Completion Pool until finals warm up was in the water. There was a Final Heat only per age group with a parade for each for the Finals Session. All awards were held until the completion of the meet, no ceremonies except for High Point per Female and Male Athlete per Age Group and High Team Awards at completion of the Final Session on Saturday night.

Officials: 55 Officials worked one or all sessions through the 3 days of competition. This meet was originally sanctioned as a 9-session meet. With the volume of athletes and time lines for the individual sessions for the female and male athletes in prelims, the prelims sessions were broken into individual sessions. With the leadership and direction of our Lead Evaluator Paul Memont (NE Officials Chair) and other evaluators Bob Menck (EZ Officials Chair from NE), Genny Kimbel (TL CJ from VA) and myself Rich Nolan (Meet Referee from NE) there was a total of 13 Evaluations for this meet as well dozens of mentoring opportunities for others whom had traveled to their 1st Championship Meet out of their LSC's. And also, myself as 1st time Meet Referee for an out of LSC Championship Meet.

Meet Management: Niagara Swimming with the Host Team of Fast – Fairport Swim clubs were great to deal with through the weekend and did an absolutely great job, Meet Directors Marci Callan & Doug Evans are great to work with. The amount of time and efforts put into handling a meet of this size is no easy undertaking. During one of the pre-meet conference calls there was a quick number run to evaluate numbers/ bodies on deck, 276 Coaches, 970 +/- Athletes, 50 +/- Officials and a deck team of 60 +/- personnel working numerous positions from the check in table to the timing table and across the pool. This was no easy task of pre-meet planning to the balancing act of applying.

2018 Zone Open Water Championship

Host: Shoreline Aquatic Club, CT Swimming

To be held in conjunction with the Dave Parcels Open Water Festival

Saturday, June 30, 2018

Lake Quassapaug in Middlebury, CT

2018 Speedo Sectionals Long Course "Super Sectional"

No Bids Received



2018 Long Course Senior Zone Championship
August 2-5, 2018, Buffalo, NY (hosted by Star Swimming)

2018 Long Course Age Group Championship
August 8-11, 2018, Richmond, VA (hosted by Virginia Swimming)

2018 EZ Spring Meeting
Sunday, May 13 – Monday, May 14, 2018
Pink Shell Beach Resort and Marina
275 Estero Blvd.
Fort Myers, Florida

Building a World Anti-Doping Agency that is “Fit for the Future”

An Op-Ed by WADA President Sir Craig Reddie

Following all the turmoil before the 2016 Summer Olympic Games in Rio, which was caused by the Russian doping scandal and led to some suggesting that the global anti-doping system was in need of review, WADA consulted widely with its stakeholders. What emerged was a rather more balanced view that the anti-doping system had in fact succeeded in identifying the extreme manipulation in Russia; and, to WADA agreeing to examine the Agency’s processes that had been in place since its inception in 1999. Consequently, in November 2016, WADA’s Foundation Board endorsed a series of recommendations; which, when completed, would render WADA “Fit for the Future”. I am pleased to say that, 15 months later, extensive progress has been achieved across a range of activities.

The first of these activities – and perhaps the most significant – has been to strengthen WADA’s World Anti-Doping Code (Code) Compliance Monitoring. Over the years, much work had been done to ensure that all Code Signatories had Code compliant rules in place. The challenge was to evolve to a system that delivers excellent anti-doping process in practice; and then, to monitor these and ensure that they are maintained. In 2016, WADA launched its ISO-certified Compliance Monitoring Program. The first step was to seek current, accurate, information; and so, 307 Code Compliance Questionnaires (CCQs) were distributed to Signatories and all 307 were completed. This gave us the most up to date information on the current state of anti-doping ever assembled; and, the Agency followed up by proposing corrective actions for implementation by Signatories. Due to the limitations of self-assessment CCQs, WADA is also conducting in-person audits of Signatories – again, with a key component being the corrective action process.

In parallel, the Agency undertook a six-month, intense, stakeholder consultation process regarding a new International Standard for Code Compliance by Signatories (ISCCS), which was endorsed by the Foundation Board in November 2017 and will come into effect on 1 April 2018. The ISCCS is a real game changer, which was strongly proposed and supported by the athlete community worldwide -- that argued that Signatories should be held to the same high standard as them under the Code and that WADA should be empowered to determine their compliance. Under the ISCCS, WADA will monitor compliance and assist ►►►

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any Signatory that becomes non-compliant with steps to allow it to regain compliance. There is a range of graded, predictable and proportionate sanctions; and, in the most critical cases of non-compliance, with aggravating circumstances, WADA will be empowered to make the case of non-compliance; and, the ultimate sanction of removing the right to competition will be decided by the Court of Arbitration for Sport. The ISCCS will be one of six International Standards under the Code; and, will be applicable to all Signatories, i.e. International Federations, National Anti-Doping Organizations and Major Event Organizations. We believe that the Standard equips the Agency to deal better with serious circumstances of noncompliance such as Russia.

WADA has also strengthened its Intelligence and Investigations (I&I) activity under the leadership of its Director, Gunter Younger. The I&I Department operates independently from WADA Management and is subject to its own independent audit. It oversees the Agency's new Whistleblower program 'Speak UP!', which incentivizes more informants and whistleblowers to come forward and that has prompted well over 200 reports to date.

The Agency has also reviewed the Laboratory Model with the view of strengthening the Laboratory-accreditation process. As anti-doping becomes more and more complex, it is important that Laboratories are able to keep up with the issues that this presents. It is of course central to any good anti-doping system that athletes are assured that any necessary analysis is done well and without error. Over the past year, a Laboratory-Accreditation Working Group studied the issues and agreed that all accredited Laboratories must operate to the highest standard and that WADA's accreditation and quality assessment process should be fair and transparent.

With the view to increasing and enhancing research-led anti-doping education, in 2017, WADA initiated development of a new International Standard for Education and Information. Research has confirmed that more needs to be done to highlight the importance of education and to guide stakeholders on what developing an efficient and effective education program involves. Once again, this will involve a robust consultation process with stakeholders to ensure a multi-tiered approach; that roles and responsibilities are outlined; that best practices and guiding principles are articulated; and, that a plan is developed to implement all this effectively.

There are numerous other important activities that are underway; such as:

- **Working with ADOs to enhance anti-doping capacity worldwide;**
- **Further developing the Athlete Biological Passport;**
- **Broadening scientific-based knowledge; and**
- **Ensuring that the Anti-Doping Administration and Management System (ADAMS) works technically and securely.**

All of the above is additional to WADA's regulatory work and continued efforts with Russia to bring the Russian Anti-Doping Agency back to compliance so that the country can benefit from a fully robust and independent anti-doping system. Much work has been done to deliver all the steps agreed with the Russian authorities with the exception of two ►►►

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outstanding conditions requiring Russian authorities to acknowledge the McLaren Investigation outcomes, and now Schmid Reports; and, provide access to the Moscow Laboratory.

WADA currently operates on a budget of around USD 30 million per annum. There has been agreement by WADA's Foundation Board that a four-year plan, which was put forward by WADA Management, should be implemented. The Plan calls for budgetary increases of 8%, 15%, 15% and 5% for 2018-2021 respectively by Public Authorities, which would then be matched by the Olympic Movement. During the Olympic Winter Games in PyeongChang, I was able to meet with 18 individual Ministers of Sport; and, was pleased to hear that the principal of increased support to WADA is accepted and that Governments would take part in the current discussions to determine a new agreement on the distribution of Government funding. This is very encouraging as, in the absence of the necessary resources, WADA would have to reduce its activities – the very activities that were requested by its Government, Sport and other stakeholders in November 2016 and have been carried out over the past year.

The one piece of work that has yet to be finalised is that of the specially established WADA Governance Working Group. Formed in November 2016, this group is comprised of representatives from Government and Sport with an Independent Chair and two independent experts. The work has centred on the governance structure of the current Executive Committee and Foundation Board plus some additional structures. While final agreement has not yet been reached, it seems that the current hybrid 50/50 arrangement between Government and Sport may be found to be acceptable. There will be a, hopefully, final meeting of this Working Group in March and a report to the May Executive Committee and Foundation Board meetings in Montreal.

In December, WADA launched a 2021 Code Review Consultation Process, which involves simultaneous review of the International Standards. A final draft Code will be presented for consideration and approval at the fifth World Conference on Doping in Sport, to be held in November 2019 in Katowice, Poland; and the revised 2021 Code will enter into effect on 1 January 2021. It has been stated by high legal authority that the strength of the Code is based on the wide consultation process involved and it is important that this be undertaken responsibly yet again. While the Code review is more limited in scope than past reviews, the seven-member Code Drafting Team, which is comprised of senior WADA staff and external experts, will carefully consider all stakeholder feedback.

There is always an increased expectation on WADA and others to deliver good processes in an Olympic year. We are pleased that we have been able to help the International Olympic Committee in providing information, intelligence and advice as they developed their processes to deal with the issues arising from their own Oswald and Schmid Commissions, which carried out further investigations into the Russian doping scandal. After the Games, we will follow up with International Federations on the additional evidence that they will have been provided. And I, like others, will look forward to the day when these difficulties are behind us and we are able to re-attribute the time that is freed up to advancing Clean Sport and protecting the athletes that we serve.



• Lane One •

If Russia doesn't want to play, why should they have to stay?



Elaron via Wikipedia Commons

■ The strain between the West and Russia got heated this week, in two totally different venues: the World Anti-Doping Agency Annual Symposium in the Olympic capital of Lausanne and the British House of Commons in London.

What happens now? No one knows.

In Lausanne, the first day of the annual WADA Symposium, which included officials from medical, sports and governmental organizations, included considerable time talking about Russia. WADA President **Craig Reedie** (GBR) told the delegates that “We want to welcome an independent and efficient [Russian Anti-Doping

Agency] back in from the cold. It's just a pity it is taking so long for Russian authorities to make it happen.”

He noted that the process had stalled because the Russian side has not completed the last two requirements for return: (1) accepting the findings of a state-sponsored doping and cover-up program explained in the WADA-commissioned reports by Canadian law professor **Richard McLaren**, and (2) providing full access for WADA officials to the doping specimen stored at the Moscow lab where the doping cover-up program was executed. WADA has sent [four letters](#) to the Russians asking for a joint inspection of the lab, without results.

Reedie said that nothing had happened despite “a significant amount of work being carried out by WADA to persuade the Russian authorities to recognize and accept as true the systemic doping scheme as revealed by the McLaren Report.” Moreover, WADA Deputy Director General **Rob Koehler** noted in a follow-up session that as regards reinstatement, “That price is the road map, and that price is they have to accept [the McLaren findings].”

The current head of RUSADA, **Yuriy Ganus**, [told the audience](#), “It does not depend on us. Please understand us, we all do our best. This is a question for state officials.

“It is a question of negotiation. From one hand, it is a procedural question. It's part of a criminal investigation, so it's not a question of the Minister of Sport but for the Investigative Committee of Russian Federation [which reports to the Russian government]. We have to find a solution on this area.”

Moreover, the Russian Sports Minister **Pavel Kolobkov** was quoted in the Russian newspaper [SportExpress](#) (in translation) after a meeting with Reedie on Thursday that “We also discussed

everything that concerns McLaren's report, and we said on many occasions that Russia had problems with doping, as in other countries, but there was never a state system for supporting doping.

“There were no goals to achieve results by any illegal means, the key topics of our discussion. I believe we are moving towards understanding and will be heard by each other.”

So we're nowhere, and WADA – at least so far – is not backing down and as long as it maintains this stance, the IAAF is unlikely to walk away from its continuing suspension of Russia. But at least everyone was being polite.

Then there was the [continuing blowback](#) of an apparent Russian poisoning of former spy **Sergei Skirpal** and his daughter Yulia on 4 March, with both still in the hospital.

Member of Parliament **Ian Austin** [said](#) at a House of Commons committee hearing this week on the incident that “The idea of [Russian President **Vladimir**] **Putin** handing over the World Cup to the captain of the winning team; the idea of Putin using this as a PR exercise to gloss over the brutal, corrupt regime for which he is responsible; it fills me with horror,” adding that the England team should not attend the event.

British Foreign Minister **Boris Johnson**, the Mayor of London during the 2012 Olympic Games, went further and noted “Your characterization of what is going to happen in Moscow in the World Cup, in all the venues, yes, I think the comparison with 1936 [Olympic Games in Nazi Germany] is certainly right. I think it is an [emetic](#) prospect frankly to think of Putin glorying in this sporting event.”

Russia's ambassador to Britain, **Alexander Yakovenko** [called](#) Johnson's comments “unacceptable and totally irresponsible.

“The British government is free to make a decision about its participation in the World Cup. But nobody has the right to insult the Russian people, who defeated Nazism and lost more than 25 million people, by comparing our country to Nazi Germany.” Yakovenko did not mention, of course, those Russians [killed by the Communist state](#) in internal purges.

The comments at the WADA Symposium and the war of words over the Skirpal poisoning and the 2018 World Cup are two sides of the same coin. The [BBC noted](#), crucially, that:

“Drawing any sort of parallel between Vladimir Putin and Adolf Hitler is incendiary.

“Much of Russia's self-image is based on accounts of the Soviet Union's triumph over fascism and Nazism in ‘The Great Patriotic War’- never mind that there had been a Nazi-Soviet non-aggression pact until Hitler smashed it by attacking Soviet positions in 1941.”

Johnson was striking at the core of what Russia is and deflating one of its achievements in advance – the staging of the FIFA World Cup in June – without calling for a boycott by the English team (*insert your **Jimmy Carter** comment here*).

The WADA insistence on acceptance of the McLaren Reports does the same thing: calls out Russia for cheating, which is an unacceptable “insult” that can never be admitted to.

So now what?

The International Olympic Committee is clearly pushing for some sort of reinstatement for Russia, as it ended its own – brief – suspension of Russia after the PyeongChang Winter Games. WADA and the IAAF have stayed resolute that the re-integration of Russia requires the WADA conditions to be met.

Maybe the stand-off is beneficial and the best way to go.

The Russians will not yield and neither will WADA and the IAAF. The IOC can, in fact, do nothing of substance regarding actual competitions until the Tokyo Games in 2020. Do the Russians want to be lambasted for that long?

If so, why not? Isn't the Western embrace of democracy based on the value of choices, whether made individually or nationally? If Russia wants to stand apart, why not let them do so?

In fact, the Russian position is quite weak. There was one Russian athlete in the 2016 Rio track & field program and the events went on anyway. There were no American, German, Japanese or other athletes from more than 60 countries at the 1980 Games in Moscow, and the Games went on anyway.

What can the IOC do to the IAAF? The IAAF chief, **Sebastian Coe** (GBR), is not an IOC member, despite his high profile in international sport? The IOC could, in a fit of pique, demand that the IAAF restore Russia or withhold the IAAF's share of television revenues of nearly \$30 million. In response, the IAAF might withdraw from the Olympic Games, schedule a World Championships at the same time in 2020, and possibly cause an implosion of the IOC's television contracts for the Tokyo Games.

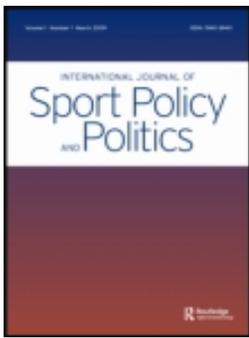
Or everyone can maintain the status quo and let the Russians stew in their own *au jus*. In December, after the IOC announced its suspension of the Russian National Olympic Committee for the PyeongChang Games, a Russian news outlet [reported](#) that (per Google Translate) “State Duma deputy **Vladimir Sysoev** prepared a request to the Minister of Sports **Pavel Kolobkov** to consider the possibility of holding Goodwill Games, which should become an alternative to the Olympic Games.”

Who would attend? **Ted Turner** is 79 and out of the television business; [his vision](#) of the Goodwill Games died in 2001. No one else cares and the Russian sphere of influence today does not carry the cache of the unlamented [Warsaw Pact](#).

Let freedom ring. If Russia doesn't want to play by the international anti-doping conventions that others are depending on, don't force them. Just don't let them play. We've seen this movie before. The USSR skipped the 1928-32-36-48 Games, but came back in 1952. *Deja vu*, all over again.



Rich Perelman
Editor



Good governance in international sport organizations: an analysis of the 35 Olympic sport governing bodies

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Good governance in international sport organizations: an analysis of the 35 Olympic sport governing bodies

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In this article, structural issues with regard to the quality of the self-governance of the 35 Olympic sport governing bodies (SGBs) are analysed. First, this article presents empirical evidence on the lack of accountability arrangements in SGBs. In particular, the watchdog function of their member organizations is severely undermined by the general absence of objective criteria and transparency in the distribution of funding to members. With regard to checks and balances, arguably the most topical issue is the complete lack of independent ethics committees. Second, our survey demonstrates that most SGBs have institutionalized athlete participation. However, in the overwhelming majority of the organizations, they have not been granted a share of formal decision-making power. Third, with regard to executive body members, there is the rather anachronistic dominance of the European continent and also the preponderance of male officials. In addition, the general lack of term limits poses serious threats with regard to the concentration of power, which is evidenced for instance by the overall number of years SGB presidents are in office. The empirical evidence clearly supports the recent calls for improved governance in sport, according to which SGBs need to agree upon, and act in accordance with, a set of well-defined criteria of good governance. Only then will the self-governance of sport be credible and the privileged autonomy of these organizations justifiable.

Keywords: good governance; international sports organizations; sports officials; stakeholder representation; equity; term limits

Introduction

In the last two decades, a significant body of governance literature has emerged. This has led to some considerable theoretical and conceptual confusion and therefore, ‘governance’ is often used very loosely to refer to rather different conceptual meanings. Van Kersbergen and van Waarden (2004), for example, distinguish no less than nine different meanings regarding ‘governance’, which may lead to the conclusion that the term simply has ‘too many meanings to be useful’ (Rhodes 1997, p. 653). Definitions of governance depend largely on the respective research agendas of scholars or on the phenomenon that is being studied. Perhaps the best way to find a useful clarification of the concept within the context of this article is by distinguishing it from, at least at first sight, similar concepts. For instance, Kooiman (1993) differentiates governance from governing, defining the first as those societal activities which make a ‘purposeful effort to guide, steer, control, or manage (sectors or facets of) societies’ (p. 2). Governance, then, is mainly concerned with

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describing ‘the patterns that emerge from the governing activities of social, political and administrative actors’ (p. 3). Another commonly described distinction is that between governance and government: while government usually refers to the formal and institutional top-down processes which mostly operate at the nation state level (Stoker 1998), governance is widely regarded as ‘a more encompassing phenomenon’ (Rosenau 1992, p. 4). Indeed, in addition to state authorities, governance also subsumes informal, non-governmental mechanisms and thus allows non-state actors to be brought into the analysis of societal steering (Rosenau 1992, Lemos and Agrawal 2006).

The governance debate has been increasingly prescriptive, hence the current global quest for so-called ‘good governance’. In the national realm, we witnessed the passing of absolute and exclusive sovereignty and with the end of the Cold War it became politically more acceptable to question the quality of a country’s political and economic governance system in international fora (Weiss 2000). Thus, what has been described as a ‘chorus of voices’ has been urging governments ‘to heed higher standards of democratic representation, accountability and transparency’ (Woods 1999, p. 39). In the corporate world, good governance is usually referred to as ‘corporate governance’ or ‘good corporate governance’, which relates to the various ways in which private or publicly owned companies are governed in ways which are accountable to their internal and external stakeholders (OECD 2004, Jordan 2008). The origins of the concerns with corporate governance derive from the early stages of capital investment and it regained prominence out of scepticism that market competition alone can solve the problems of corporate failures (Shleifer and Vishny 1997).

International institutions have issued checklists of factors that, in their experience, are useful indicators of good governance for both the private and the public sphere at national and international level (e.g. UNDP 1997, European Commission 2001, World Bank 2003, OECD 2004, IMF 2007). Such checklists serve as a yardstick for good governance and are oriented towards core features of governance structures and processes that are especially to be found in OECD countries (Hyden *et al.* 2004). They include key principles such as accountability, efficiency, effectiveness, predictability, sound financial management, fighting corruption and transparency. In addition, when they refer to the political area, they may also include participation and democratization, since a democratic environment is seen as a key background variable for good governance (e.g. Santiso 2001).

Only recently has the call for good governance finally reached the traditionally closed sporting world (e.g. Sugden and Tomlinson 1998, Katwala 2000, IOC 2008, Pieth 2011, Council of Europe 2012, European Commission 2012). That this happened in sport much more slowly than in other sectors has to do with the fact that the sports world has traditionally known a large autonomy and in that sense, it was subject to almost complete self-governance. The very essence of the construction of modern sport is rooted in classic liberalism, notably in the freedom of association (Szymanski 2006). Accordingly, the first international non-governmental sport organizations (INGSOs)¹ were established at the end of the nineteenth and the beginning of the twentieth century by a class of people who believed in the separation of sport and the state as a sacred principle as, in their minds, politicians could only violate the integrity of sport (Tomlinson 2000, Chappelet 2010). A plethora of arguments has since been produced by sports leaders, aimed at protecting the deeply rooted autonomy of the sports world from interventions from state authorities. Since the commercial side of sport remained only marginally important during the largest part of the twentieth century, the sporting world was able to exercise its self-governance without any significant interference from states. Today, INGSOs still cherish their

autonomy and generally eschew state interventions in their activities. Moreover, on the European continent, governments have been reluctant to intervene in the sports sector as they tend to regard it more as a cultural industry or leisure activity rather than a business (Halgreen 2004). In addition, since sport is very attractive to politicians, as it has an enormous appeal among voters, governments often grant the sports industry special treatment and even exemptions. Finally, the autonomy of sport is further enforced by the fact that the international organizations that regulate world sport, like many multinational corporations operating on a global playing field, are able to choose the optimal regulatory context for their operations and thus pick a favourable environment as the home base for their international activities (Forster and Pope 2004, Scherer and Palazzo 2011).

However, in recent years, the autonomy of INGSOs has been increasingly questioned due to the commercialization of sport, which exposed governance failures such as corruption and bribery, but also made sport subject to the more avaricious and predatory ways of global capitalism (Andreff 2000, 2008, Sugden 2002, Henry and Lee 2004). Indeed, the far-stretching autonomy of the sports world seems to have had a negative impact on the quality of the self-governance of INGSOs. A long list of rule or norm transgressions and ethical scandals in the sports world has accumulated in the last few decades and they seem to coalesce in their most visible and blatant form at the highest level of sports governance (Bruyninckx 2012). For instance, the International Olympic Committee (IOC) was rocked by the 2002 Olympic Winter Games bid scandal, which involved allegations of bribery used to win the rights to host the 2002 Winter Olympics in Salt Lake City (Mallon 2000). Another example of mismanagement was found within the International Volleyball Federation, where the Mexican Ruben Acosta allegedly got away with at least \$33 million in personal commissions in the last decade of his 24 years reign (Hoy 2005). However, the scandals in the International Federation of Association Football (FIFA) draw most attention and they seem to be the most voluminous of them all. For instance, in the so-called ISL affair, which is still regarded as the biggest corruption system in sport, high ranking sports officials are known to have taken personal commissions worth around \$100 million (Jennings 2006). Together with numerous other cases of mismanagement in sport, these issues seem to point to a widespread lack of good governance standards in INGSOs.

The importance of good governance in INGSOs cannot be underestimated. Analogous with the business world, economic sustainability ensures that INGSOs can achieve their long-term objectives as it ensures that they continue to operate in the long run (Bonollo De Zwart and Gilligan 2009). In that regard, it has been proven that adhering to good governance standards has a positive effect on firm performance and economic growth (Brown and Caylor 2009). Thus, the OECD stresses that good governance encourages firms 'to use resources more efficiently' and 'helps to provide a degree of confidence that is necessary for the proper functioning of a market economy' (OECD 2004, p. 11). Complying with good governance is also a means for making sure that an INGSO is capable of steering its sport in an increasingly complex sporting world (Geeraert *et al.* 2013). Moreover, in addition to enhancing public health through physical activity, sport has the potential to convey values, contribute to integration and economic and social cohesion, and to provide recreation (European Commission 2007). Sports events are also a tool for inspiring regions and nations and they may enable regeneration (Gratton *et al.* 2005). It has been argued that those important sociocultural values of sport are seriously undermined by corruption (Schenk 2011). Also, as sports commercialized significantly, particularly during the last two decades, the socioeconomic impacts on the wider society of rules devised and issued by sports bodies have increased accordingly (Katwala 2000).

Moreover, INGSOs increasingly govern substantial areas of social life through their administrative decisions and public derogations, mirroring the growing influence from international non-governmental organizations on what once had been almost exclusively matters of state policy (Weiss 2000). Thus, the lack of good governance in these organisations has the potential to have substantial negative repercussions on the wider society. Finally, since INGSOs are charged with taking care of a public good, it is paramount that they take care of their sports in a responsible and transparent manner (Katwala 2000, Henry and Lee 2004).

Notwithstanding the current internal and external efforts, the impression is that there still is inertia towards the achievement of better governance in the sports world (Katwala 2000, Play the Game 2011). This inertia can partly be attributed to the fact that, with regard to good governance in sports, there are important knowledge gaps, situated at two levels. First, although (voluntary) good governance codes exist for sports organizations both at national and international level, there is no generally accepted good governance code for international sports organizations. Good governance principles must always take account of the specificity of the relevant organization (Edwards and Clough 2005) and there are important differences in existing codes across international boundaries, both at a commercial and non-profit level (Licht *et al.* 2007). Therefore, codes from other sectors or for sports organizations at the national level cannot be applied blindly to sports, since INGSOs are in fact a very peculiar kind of organizations. In their capacity as regulators/promoters of their sports, they comprise elements of state, market and civil society actors, and this poses serious questions with regard to which elements from good governance checklists can and should be applied to the sports world. Moreover, there are many different structures to be discerned within INGSOs (Forster and Pope 2004), which only adds to the complexity of the issue. Hence, a set of core principles is still missing, despite efforts by a multitude of actors at different levels. Second, there is a clear lack of substantive empirical evidence of the internal workings of INGSOs (Forster and Pope 2004). High profile scandals related to corruption teach us that there probably is something wrong. But those are merely symptoms; the real question is: how bad is the disease?

In this article, we treat three issues which the literature defines as particularly problematic with regard to the governance of INGSOs. These are accountability and participation issues (e.g. Forster and Pope 2004, Houlihan 2004, Thibault *et al.* 2010, Pieth 2011, Geeraert *et al.* 2013, Pielke 2013), and the (perceived) conservatism and inertia in the people that govern INGSOs (Tomlinson 2000, Henry and Lee 2004). Often, a broad evidence base is lacking in academic literature as most of the time, the empirical focus is on one or only a few – usually larger – organizations (e.g. Sugden and Tomlinson 1998, Schenk 2011, Chappelet 2012) or a series of local sports organizations (e.g. Taylor and O’Sullivan 2009), but never on a broad range of INGSOs. This article presents empirical evidence in order to determine if the situation is as problematic as the literature and different pressure groups often suggest by identifying certain governance aspects that particularly deserve quality improvement.

Methodology

When investigating good governance in sport, one is confronted with the lack of a set of core and homogeneous principles and also a clear lack of substantive empirical evidence of the internal workings of INGSOs. In order to deal with those knowledge gaps, this study employs a triangulation of research methods (e.g. McNabb 2004). In order to determine whether the lack of good governance is indeed widespread among INGSOs,

there is a need for empirical evidence. However, the way in which that evidence is interpreted may vary, since conceptualizations of what constitutes good governance in INGSOs vary performance.

Our research focuses on sport governing bodies (SGBs) at the global level, arguably the most important type of INGSOs. In identifying this category, we use the following typology of INGSOs, based on that of Forster and Pope (2004), who identify four categories: Team Sports Governing Bodies, Solo Sports Governing Bodies, Sport Event Governing Bodies and Specialist Bodies such as the World Anti-Doping Agency (WADA), which is in fact a hybrid organization since it is governed and funded equally by the Sports Movement and governments (see Casini 2009). Our categorization is similar, but more detailed and hence, at least in our view, better suited to grasp the complexity of the sports world (see Figure 1).

For reasons of clarity, each of the four categories of INGSOs is subdivided into two sections. The distinctive features of the four categories of INGSOs are shown in Table 1.

First, an exploratory set of parameters was composed based on a review of the available literature on good governance, corporate governance, democratic governance and good governance in sports organizations. Since information on the internal functioning of SGBs is scarce, the focus was inevitably on parameters for which the data was actually publicly available. Attempts to contact SGBs via e-mail in order to obtain more comprehensive data were unsuccessful. Nevertheless, SGBs normally do publish their statutes, constitution or

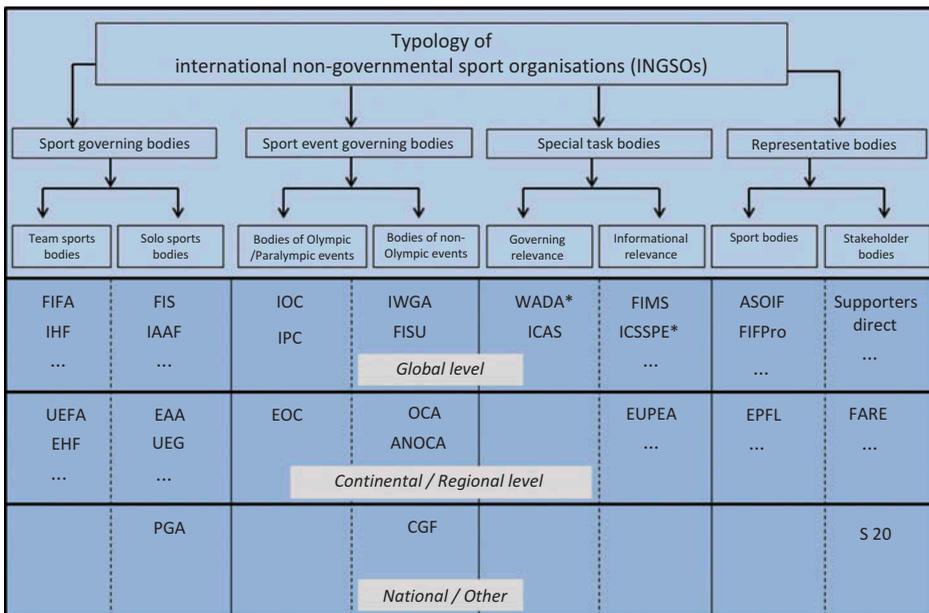


Figure 1. Typology of international non-governmental sports organizations.

Note: Key: * = Hybrid Organization; IHF = Int. Handball Federation; EAA = European Athletics Association; UEG = European Union of Gymnastics; IWGA = Int. World Games Association; FISU = Int. University Sports Federation; OCA = Olympic Council of Asia; ANOCA = Association of National Olympic Committees of Africa; CGF = Commonwealth Games Federation; ICAS = International Council of Arbitration for Sport; FIMS = Int. Federation of Sports Medicine; ICSSPE = Int. Council of Sports Science and Physical Education; EUPEA = European Physical Education Association; ASOIF = Association of Summer Olympic Associations; S 20 = Sponsors Voice Germany.

Table 1. Distinctive features of the four types of INGSOs.

INGSO	Distinctive feature
Sport governing bodies	Team Sports or Solo Sports ^a
Sport event governing bodies	Olympic/Paralympic events or Non-Olympic events
Special task bodies	Direct impact on governing or no direct impact
Representative bodies	Sport bodies or Stakeholder bodies

Note: ^aGiven the blurring boundaries between Solo Sports and Team Sports, we adhere to Forster and Pope's (2004, p. 91) view that Solo Sports are those for which one-against-one competition is intrinsic to the nature of the game.

bylaws online, so data for rules-based or *de jure* indicators of good governance could be gathered. Those were then supplemented with the more outcome based indicators available on the organizations' websites (Kaufman and Kraay 2007). The indicators for accountability were chosen on the basis of accountability theories, and literature on corporate governance and sports governance. For the issue of participation, we used rules-based indicators of good governance in order to determine which stakeholder groups have been given a place within their SGB's structures and whether they have been granted any form of formal decision-making power. In order to assess the conservatism and inertia in relation to senior officials in SGBs, we focused on the perceived lack of diversity among senior officials in SGBs in relation to nationality and gender (e.g. Katwala 2000, Tomlinson 2000, IOC 2008, Schenk 2011, Council of Europe 2012). Finally, we looked into the limits on terms of office in SGBs since a lack of such limitations is considered to be one of the main causes of inertia and the concentration of power in public governance (Cohen and Spitzer 1992, Thompson and Moncrief 1993, Oakley 1994, Smart and Sturm 2004). Subsequently, the scheme was applied to the 35 international SGBs of the Olympic summer and winter sports. That means that Sport Event Governing Bodies, Special Task Bodies and Representative Bodies such as the leagues in North-American sports that are often even more powerful than their corresponding SGBs, fall outside the scope of the research. In order to interpret the outcomes of the survey, the focus was on three issues which are defined in academic literature as particularly problematic with regard to the governance of SGBs. Conceptual and theoretical frameworks from political science were used where appropriate in order to analyse the data with the view of painting an objective picture on the current state of governance in SGBs.

Accountability

Accountability is a cornerstone of both public and corporate governance because it constitutes the principle that informs the processes whereby those who hold and exercise authority are held to account (Aucoin and Heintzman 2000). Bovens (2007) defines accountability in the narrow sense as 'a relationship between an actor and a forum, in which the actor has an obligation to explain and to justify his or her conduct, the forum can pose questions and pass judgement, and the actor may face consequences' (p. 450). As such, it requires three elements: the actor is obliged to inform the forum about his or her conduct; there needs to be a possibility for the forum to interrogate the actor and to question the adequacy of the information or the legitimacy of the conduct; and the forum may pass judgement on the conduct of the actor (Bovens 2007). Similar elements are to be found in most definitions of accountability (e.g. Stiglitz 2003, Grant and Keohane 2005). Figure 2 shows the three elements of an accountability relationship between an actor and a forum. Such relationships can, for instance, be

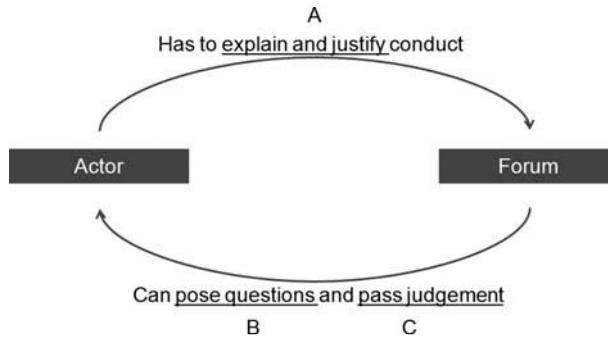


Figure 2. The three elements of an accountability arrangement.

found in liberal democracies, between parliamentarians and the people who have elected them, or in firms, between management and shareholders.

The governance of INGSOs is said to be characterized by accountability deficits – a lack of accountability arrangements (Forster and Pope 2004, Pielke 2013). That is not without danger since a lack of accountability brings with it, and constitutes a breeding ground for, issues related to corruption, the concentration of power, and the lack of democracy and effectiveness (Aucoin and Heintzman 2000, Mulgan 2003, Bovens 2007). Thus, the importance of accountability in public governance is usually explained in three ways, which all have their own separate theoretical perspective on the rationale behind accountability and a separate assessment of accountability relations. First, accountability is important to provide a democratic means to monitor and control government conduct ('the democratic perspective'); second, for preventing the development of concentrations of power ('the constitutional perspective'); and third, to enhance the learning capacity and effectiveness of public administration ('the learning perspective') (Aucoin and Heintzman 2000, Bovens 2007).

In this section, we apply those three perspectives in order to analyse the accountability issues that confront the governance of sport today. However, the accountability that is being demonstrated by SGBs should not be limited to the fora that are being discussed here (Pielke 2013). Since SGBs are charged with taking care of a public good and sport, both at amateur and professional level, relies heavily on public sector support, SGBs are also expected to demonstrate a high degree of accountability to their surrounding community (Katwala 2000, Henry and Lee 2004, Wyatt 2004). In fact, a growing public anger at individuals and institutions that are supposed to pursue the public's interests but refuse to answer to their grievances exists not only with regard to state authorities (Elchardus and Smits 2002, Mulgan 2003, Dalton 2004), but increasingly with regard to SGBs. Finally, with regard to SGBs, in many cases the absence of a government that is willing and able to hold them accountable by posing stricter organizational requirements is often regarded as an influential factor that may lead to bad (self-)governance (Forster and Pope 2004). The inter-related question of state (or European Union) intervention will not be discussed here (see Geeraert *et al.* 2013).

The democratic perspective: member federations

The democratic perspective of public accountability is extremely important since citizens should be able to control those holding public office (March and Olsen 1995, Mulgan

2003). In parliamentary democracy, the relation between citizens and popular representatives can be defined in accordance with the principal-agent model (Strøm 2000). That means that the people, who are the primary principals in a democracy, have given away their sovereignty to popular representatives. Accountability arrangements and mechanisms then help to provide the political principals with information about how their interests are represented and offer incentives to agents to commit themselves to the agenda of the people (Przeworski *et al.* 1999, Strøm 2000, Bovens 2007).

Such a form of accountability can be said to exist in corporate governance as well, although it is not always well developed (Jensen and Meckling 1976, Fama 1980, Hart 1995). Indeed, in (multi-national) companies, governance mechanisms are installed in order to ensure that the board and the management act in a manner that is consistent with the best interests of their principals, the shareholders. As such, there is a chain of control from the shareholders to the board of directors to the management (Jensen and Meckling 1976).

SGBs do not have shareholders or citizens as principals, but since they are membership organizations they have a membership-based control structure, which entails that the annual general meeting controls the activity of the board that they elected to oversee organization management and to hire personnel, and in which ultimate authority is vested (Hoye and Cuskelly 2007, Enjolras 2009). Indeed, the member federations of SGBs usually ‘own’ the organization since they have created it (Forster and Pope 2004, p. 107). However, in the largest SGBs, member federations are now partly dependent on the funds they receive from their corresponding SGB (Forster and Pope 2004, Schenk 2011). Moreover, SGBs often make vast sums of money and this has made them independent from their member federations (Forster and Pope 2004).

Our survey indicates that at least 18 (51%) SGBs give funding to their members, directly or through development programmes. For the others, we found no references to funding, but this does not necessarily mean that it is not being distributed (see Table 2). Of course, there is nothing wrong with funding member organizations per se. On the contrary, supporting member associations and confederations financially reflects solidarity and helps develop the sport. However, it also potentially entails certain risks, since associations may be influenced in the use of their powers within the organization (Pieth 2011) and/or become rather benevolent towards or even servants of their SGBs (Forster and Pope 2004). As such, funds could, for instance, be used to ensure votes, to support a certain agenda or to ensure the (re-)election of officers (Forster and Pope 2004). In that

Table 2. Funding, distributed among members.

	n	~ %
<i>Members receive funding</i>		
Yes	18	51
No/unknown	17	49
For 18 SGBs known to distribute funding:		
<i>Objective criteria for funding?</i>		
Yes	2	11
No	16	89
<i>Distributed funds available through website?</i>		
Yes	3	17
Partly	3	17
No	12	67

case, members will not hold their corresponding SGB accountable and turn from a watchdog into a lapdog for those who govern the organization.

Thus, it is paramount that funds are properly distributed by SGBs. For only 2 (10%) of the 18 organizations which grant funding, we found that funding was distributed according to objective criteria (see [Table 2](#)). In the absence of such criteria, SGBs can distribute financial means ad hoc, which increases the risk of haphazard, improper use. Nevertheless, the positive counter side is that SGBs can influence their members through the motivational aspect of subsidising. Still, given the potential risks involved, specific decisions related to the distribution of funding should be objectively justified, which would also make decisions understandable for members (Pieth 2011).

At the very least, the funds should be distributed in a transparent manner, which would make them open to outside scrutiny (Schenk 2011). We only managed to find three SGBs (17%) that provide more or less detailed information about the amounts distributed. Three others only gave partial information, while 12 SGBs (67%) did not provide any information at all (see [Table 2](#)).

Forster and Pope (2004) argue that a realistic interpretation of the relationship between SGBs and their members would be that SGBs operate independently of the national federations and not as their agent. In fact, according to Mulgan (2003) ‘the principal who holds the rights of accountability is often in a position of weakness against his or her supposed agent’ (p. 11). Such weakness provides the reason for accountability in the first place and underscores the importance of adequate arrangements. The main way in which member organizations can hold their SGB accountable is through their statutory powers. Most notably, these relate to the election of the people that govern the organization. In accordance with principles of corporate governance and democracy in general, the members should be able to choose their president and governing council.

According to our research, in all 35 SGBs the legislative body – usually named ‘congress’ – is competent to elect the president. In only 23 organizations (66%), the congress elects the governing council. Nevertheless, in 9 SGBs (26%) the congress is only partly involved, but often that is due to a number of mandatory seats for regional members (see [Table 3](#)). In the case of the World Taekwondo Federation (WTF) however, the president is allowed to arbitrarily choose 10 members of the governing council. In the cases where the congress has no voice in the election of the executive body (3 SGBs), members do have a seat, but the democratic character of the election procedure is doubtful.

The congress has an important monitoring function with regard to the executive body (Strøm 2000). Thus, it is important that the legislative bodies of SGBs come together frequently, so that their opinion is heard and those in senior executive positions within the SGB are obligated to defend their governance on a regular basis. As shown in [Table 4](#),

Table 3. Role of the congress in the election of president and executive body.

	n	~ %
<i>Does congress elect governing council?</i>		
Yes	23	66
Partly	9	26
No	3	9
<i>Does congress elect president?</i>		
Yes	35	100

Table 4. Frequency of congress meetings.

	n	~ %
<i>Frequency of congress meetings</i>		
Every 4 years	2	6
Every 2 years	15	43
Once	17	49
Unknown	1	3

most SGBs (17; 49%) organize a congress meeting on an annual basis. In 15 SGBs (40%), the congress meets every 2 years and in 2 (6%) only once every 4 years.

The organization of, and attendance at, congresses can of course be rather costly. As it is important that a high attendance rate is achieved, SGBs should make an effort to reimburse travel expenses and hotel stays for poorer members although this might be difficult for financially weaker SGBs. In that case, new communication technology might be used as an enabler. Nevertheless, as a minimum, the target should be set at one meeting per year in order to give the congress the possibility to scrutinize annually produced accounts and the general policy of the past year.

It is important that the congress, as principals, have complete and credible information on the accuracy of the accounting and financial reporting of the governing body, the agent. By virtue of their position within the organization, certain SGB officials can use their authority and control over funds to enhance their personal status at the cost of returns to sport stakeholders, notably their member federations. Such ‘on-the-job consumption’ may indeed occur when there is an information asymmetry between the principal and the agent (Fama 1980). In order to make sure the agent uses resources in accordance with the principal’s wishes, monitoring mechanisms such as a financial and audit committee, or external auditing, can be put in place (OECD 2004, Spanhove and Verhoest 2007). For reasons of objectivity, such committees should be sufficiently independent from the executive body of the organization (Hart 1995, p. 682). As Table 5 indicates, the vast majority of surveyed SGBs lacks such committees.

The constitutional perspective: checks and balances

The main rationale behind the constitutional perspective of accountability is to withstand the ever-present tendency towards power concentration and abuse of powers in the executive (Bovens 2007). Hence, one of the cornerstones of democracy is the systems of checks and balances in state authority, which limits the powers of the legislative,

Table 5. Presence of financial and audit committees.

	n	~ %
<i>Presence of financial committee</i>		
Yes	11	31
No	24	69
<i>Presence of audit committee</i>		
Yes	12	34
No	23	66

executive and judiciary branches of the state. For instance, the power to request that accounts be rendered over particular aspects is given to law courts or audit instances.

The separation of powers is also a good governance practice in non-governmental organizations or in the business world (OECD 2004, Enjolras 2009). For instance, the separation of power between the management and the board of an organization constitutes a system of checks and balances, and entails the implementation of internal control procedures (Enjolras 2009).

There seems to be growing agreement in the professional sports world that a system of checks and balances and control mechanisms are also needed in SGBs and that it constitutes good governance (IOC 2008, p. 4, Philips 2011, p. 26). Indeed, a checks and balances system is paramount to prevent the concentration of power in a SGB and it ensures that decision-making is robust, independent and free from improper influence (Arnaut 2006). In reality, the concept of separation of powers in sports governance usually implies separating the disciplinary bodies from the political and executive arms of a sports body. That means that active officials are usually excluded from the disciplinary body and – if present – the appeal body of the SGB, thus separating the disciplinary bodies from the political and executive arms of the organization.

According to Pieth (2011), that exclusion should be extended to the ethics committee of the SGB. Indeed, SGBs seem to have been pre-occupied with dealing with corruption and malpractice on the playing field ‘rather than with the quality of their own internal functioning’ (Forster and Pope 2004, p. 112). Nevertheless, checks and balances should also apply to staff working in the different boards and departments of an organization since they usually ensure that no manager or board member or department has absolute control over decisions, and clearly define the assigned duties, which is the very core of the concept. Taking the example of comparable bodies such as the World Bank or the IOC, Pieth recommends including external members on FIFA’s ethics committee. In the view of checks and balances, an ethics committee could in theory be called to adjudicate on the behaviour of members of the executive body of a SGB. Therefore, the committee should be objectively recruited and also appointed by the Congress rather than by the governing body. Moreover, the ethics committee should have the power to initiate proceedings *ex officio*, thus without referral by the executive body or president (Pieth 2011).

Our research indicates that only 17 organizations (49%) have adopted a code of ethics and only 12 (34%) have an ethics committee that monitors compliance with such a code. Only three organizations have an independent ethics committee, which means that they operate independently from the executive body of the organization.² If the latter is not the case, the committee cannot be expected to adjudicate appropriately on the behaviour of members of the executive body. In only one organization, namely the International Cycling Union (UCI), the ethics committee has the power to initiate proceedings on its own initiative. In most organizations, the president or the board must first refer a case to the committee before it can start investigations, which severely undermines the checks and balances with regard to the management of the organization. Table 6 summarizes these findings.³

The learning perspective: the impetus to change the status quo

One of the major purposes of public accountability is that it induces the executive branch to learn (van den Berg 1999, Aucoin and Heintzman 2000, Bovens 2007). The possibility of punishment in the event of errors and shortcomings motivates governments to search for more intelligent ways of organizing their business. In addition, accountability offers a

Table 6. Ethics committees.

	n	~ %
<i>Presence of code of ethics</i>		
Yes	17	49
No	18	51
<i>Presence of ethics committee</i>		
Yes	12	34
No	23	66
<i>Independent ethics committee</i>		
Yes	3	9
No	9	26
<i>Ex officio investigations</i>		
Yes	1	3
No	9	26
Unclear	2	6

mechanism to require administrators to reflect on the governance failures resulting from their past conduct (Bovens 2007).

The fact that most SGBs (de facto) are not representative bodies whose executive officers are clearly responsible and accountable to a democratically elected assembly means that as a consequence member organizations are unlikely to provide an impetus to change the status quo within the SGBs (Forster and Pope 2004, Schenk 2011). In fact, the lack of accountability mechanisms in SGBs constitutes a vicious circle as it prevents the impetus for change towards stronger accountability within the organizations.

Accountability and compliance issues

SGBs are able to choose the optimal regulatory context for their operations and as such they pick a favourable environment as the home base for their international activities (Forster and Pope 2004, Scherer and Palazzo 2011). Reportedly, this is mostly Switzerland, where they are embedded into a legal system that gives them enormous protection against internal and external examination (Forster and Pope 2004).⁴ Our research indicates that 27 SGBs (77%), including the largest organizations, are indeed based in Switzerland (see Table 7).

The absence of a state authority that can or will hold private self-regulated organizations accountable is not without danger to general principles of good governance. It is assumed that the potential threat of stricter regulations, unless the potentially affected actors adapt their behaviour to the expectations of the legislator, pushes those organizations which operate ‘in the shadow of hierarchy’ towards compliance. In the absence of such a ‘whip in the window’, the expectation is that the reliability of voluntary self-commitments to good governance – if they even exist – would suffer (Sharp 1994, Wolf 2008). According to Wolf (2008, p. 244), ‘even the most prominent functional equivalents to the checks and balances institutionalized within the political systems of democratic states (...) cannot be provided by private actors alone’. On the contrary, some authors even go so far as to suggest that hierarchical organizations which are not subject to (local) democratic control cannot be expected to have internal practices conducive to democratic manners (Hirst 2000).

Table 7. Registered offices of the surveyed sport governing bodies.

English name of the organization	Abbreviation	Summer/winter Olympic sport	Registered office	Country
International Boxing Association	AIBA	Summer	Lausanne	Switzerland
Badminton World Federation	BWF	Summer	Kuala Lumpur	Malaysia
International Federation for Equestrian Sports	FEI	Summer	Lausanne	Switzerland
International Basketball Federation	FIBA	Summer	Geneva	Switzerland
International Bobsleigh & Skeleton Federation	FIBT	Winter	Lausanne	Switzerland
International Fencing Federation	FIE	Summer	Lausanne	Switzerland
International Federation of Association Football	FIFA	Summer	Zürich	Switzerland
International Federation of Gymnastics	FIG	Summer	Lausanne	Switzerland
International Hockey Federation	FIH	Summer	Lausanne	Switzerland
International Luge Federation	FIL	Winter	Berchtesgaden	Germany
International Federation of Associated Wrestling Styles	FILA	Summer	Corsier-sur- Vevey	Switzerland
International Swimming Federation	FINA	Summer	Lausanne	Switzerland
International Ski Federation	FIS	Winter	Oberhofen am Thunerssee	Switzerland
International Federation of Rowing Associations	FISA	Summer	Lausanne	Switzerland
World Archery Federation	FITA	Summer	Lausanne	Switzerland
International Volleyball Federation	FIVB	Summer	Lausanne	Switzerland
International Association of Athletics Federations	IAAF	Summer	Monaco	Monaco
International Biathlon Union	IBU	Winter	Salzburg	Austria
International Canoe Federation	ICF	Summer	Lausanne	Switzerland
International Golf Federation	IGF	Summer	Lausanne	Switzerland
International Handball Federation	IHF	Summer	Basle	Switzerland
International Ice Hockey Federation	IIHF	Winter	Zürich	Switzerland
International Judo Federation	IJF	Summer	Lausanne	Switzerland
International Rugby Board	IRB	Summer	Dublin	Ireland
International Sailing Federation Limited	ISAF	Summer	Southampton	UK
International Shooting Sport Federation	ISSF	Summer	Munich	Germany
International Skating Union	ISU	Winter	Lausanne	Switzerland
International Tennis Federation Limited	ITF	Summer	London	UK
The International Table Tennis Federation	ITTF	Summer	Lausanne	Switzerland
The International Triathlon Union	ITU	Summer	Vancouver	Canada
International Weightlifting Federation	IWF	Summer	Budapest	Hungary
Union Cycliste Internationale	UCI	Summer	Aigle	Switzerland
Union International de Pentathlon Moderne	UIPM	Summer	Monaco	Monaco
World Curling Federation	WCF	Winter	Lausanne	Switzerland
World Taekwondo Federation	WTF	Summer	Seoul	Korea

Participation

Participation should be distinguished from accountability, since the former implies proactive input into the policy process, whereas the latter is by nature retrospective: ‘actors are to account to a forum after the fact’ (Harlow 2002, p. 185, Bovens 2007, p. 453). That is not to say that certain stakeholders, especially those who unite themselves into pressure groups, do not possess the power to scrutinize, criticize and demand changes from their corresponding SGBs (Mulgan 2003), but the distinction should be clear.

According to Arnstein (1969), ‘participation of the governed in their government is, in theory, the cornerstone of democracy – a revered idea that is vigorously applauded by virtually everyone’ (261). Everyone, that is, except SGBs. Their primary stakeholders, i.e. athletes and sometimes clubs, have traditionally been kept out of the policy processes that are decisive to the rules that govern their activities. Indeed, sport is traditionally governed through a hierarchical chain of command. That structure is undemocratic since those at the very bottom of the chain, i.e. clubs and athletes, are automatically subject to the rules and regulations of the governing bodies, often without being able to influence them to their benefit. As a consequence, sports policy is rarely carried out in consultation with athletes, and almost never in partnership with athletes (Houlihan 2004). That seems paradoxical and somewhat ironic, as sporting rules and regulations often have a profound impact on athletes’ professional and even personal lives. Moreover, hierarchic governance in sport is a major source of conflict, since those that are excluded from the decision-making process may want to challenge the federation’s regulations and decisions (Tomlinson 1983, Parrish and McArdle 2004, García 2007).

However, in recent years, we witness an increasing influence of athletes in the development of policies in SGBs (Thibault *et al.* 2010). Nevertheless, as Houlihan (2004) states, ‘the few governing bodies of sport that do provide a voice for athletes do so either through limited membership of the body’s decision-making forum or through the formation of an “athletes committee/commission” linked to the main forum, but safely quarantined from any significant decision-making opportunities’ (pp. 421–422).

As demonstrated in Table 8, our survey indicates that in 28 of the investigated SGBs (80%), stakeholders are in some way represented. In all of those cases the represented stakeholders include athletes, who are represented by means of an athlete’s committee in 24 SGBs (69%). However, our data clearly supports Houlihan’s (2004) view: only 4 SGBs (11%) grant athletes some sort of (very limited) decision-making power. In all other cases, with the exception of two SGBs that do not share information on the matter, athletes’ representatives have only been given a consultative status. Thus, while in most cases, athletes have been given a ‘voice’, they certainly do not have a ‘vote’. Or, to put it differently: institutionalized consultation does not equal actual participation, as the latter requires that affected parties have access to decision-making and power (Woods 1999, Young 2000).⁵

The commercialization of sport has made certain sports clubs, especially those in top-level professional football, big power players, and that has enhanced their position in the governance of their sport (Colucci and Geeraert 2012). Nevertheless, as Table 1 indicates, at the global level, that evolution only resulted in institutionalized consultation for clubs within FIFA. Of course, it must be noted that eight of the researched organizations govern purely individual sports.

As can be witnessed from Table 8, in general and with the exception of athletes, the SGBs clearly lack official channels through which the various stakeholders can participate in the decision-making processes. That is not to say that all stakeholders should be given institutionalized participation, nor that granting institutionalized participation necessarily

Table 8. Stakeholder representation.

	n	~ %
<i>Stakeholder representation</i>		
Yes	28	80
No	7	20
<i>Decision-making power for stakeholders</i>		
Representative athletes commission has a seat in the board	4	11
None	28	80
Undisclosed	3	9
<i>Categories of represented stakeholders</i>		
Athletes	28	80
Referees	2	6
Coaches	4	11
Clubs	1	3
Judges	1	3
Media	1	3
Veterinarians	1	3
<i>Existing stakeholder committees</i>		
Athletes	24	69
Coaches	4	11
Events	2	6
Clubs	1	3
Referee	1	3
Media	1	3
Marketing and TV	1	3

constitutes good governance. In any case, it is important that a balance of stakeholder interests is preserved in an SGB, certainly with regard to labour issues. For instance, analogous with collective bargaining practices, clubs (employers) and athletes (workers) inevitably have different interests and therefore should be equally represented within SGBs that govern team sports (Colucci and Geeraert 2012).

Sport organizations often complain about a lack of legal certainty, especially with regard to EU law. They worry that their rules, transfer rules in particular, might be contested over and over again by unsatisfied stakeholders and therefore, they ask for a special treatment of their sector (see, e.g. Infantino 2006, IOC and FIFA 2007, Hill 2009). It is important to realize that, regardless of questions of righteousness (either moral or legal), the legal uncertainty in the sports sector has its roots in the lack of 'vote', or even 'voice' of stakeholders. If stakeholders were to be included in the processes which determine the rules that regulate their activities, they would very likely experience a sense of 'ownership'. That means that they will come to see the decisions of the SGB as their own decisions, which will make policy implementation more effective (Woods 1999). Inclusion in decision-making would probably reduce the likelihood of challenge to these decisions – that is, if they perceive their representatives who are involved in the policy process as legitimate (Saward 2005, Sørensen and Torfing 2009). In order to obtain much-desired legal certainty, SGBs should therefore focus on actual participation for their stakeholders. Moreover, several scholars have noted that an equal representation of stakeholders in the policy process contributes to long-term effectiveness (e.g. Young 1992, 1994). In that regard, lessons could for instance be learned from the social dialogue in professional football (Colucci and Geeraert 2012).

Although the researched rules-based indicators may differ from the actual outcome, as informal processes may sometimes lead to actual decision-making power for stakeholders, it is safe to say that there still is ample room for improvement on the matter of stakeholder representation in SGBs. That goes in particular for athlete representation, since mere consultation offers no assurance that athletes' concerns and ideas will actually be taken into account (Arnstein 1969). Although there is nothing particularly efficient about making decisions jointly, actual participation by stakeholders may in fact lead to more effective governance when a policy setting is characterized by a multiplicity of actors, vague and incomplete problems, the need for specialized knowledge and conflicting policy objectives (Klijn and Koppenjan 2004).

Executive body members

This section presents empirical evidence on executive body members of SGBs. In particular, using a mixture of rules-based and outcome-based indicators, the focus is placed on nationality issues, gender balance, and age and term limits.

Nationality issues

There is no general geographic approach among the SGBs with regard to identifying confederations. Drawing inspiration from the structure of *inter alia* FIFA, we discern six regions when presenting the results on how the executive bodies are composed: Africa, Asia, Europe, NaCaCa,⁶ Oceania and South America.

Our survey data clearly demonstrates that Europe has a dominant role within the 35 SGBs. As shown in Table 9, the old continent has almost twice as many officers in the executive bodies as the other regions combined. Europe has on average 4 seats while the other regions have between 2 and 0.6. Thus, our data supports the calls for greater diversity among senior officials in SGBs (e.g. Katwala 2000, IOC 2008, Schenk 2011).

The European domination not only relates to the number of members on the executive body, but can also be witnessed with regard to the number of presidents and general secretaries. As Table 10 shows, 25 presidents (71%) and 26 general secretaries (74%) are European.

European athletes have always been well-represented at the Olympics and Europe has until now hosted 29 of the 48 Olympics and is also well-represented in the all-time Olympic medal table. Together with a great Olympic history, Europe has had great economic and political impact during the twentieth century and its combined historic influential role explains its current domination. Recently, other regions have developed

Table 9. Number of members on the executive bodies per region.

	n	~ %
<i>Executive body members</i>		
Africa	33	8
Asia	75	18
Europe	191	47
NaCaCa	58	14
Oceania	22	5
South America	26	6

Table 10. Number of presidents and secretary generals per region.

	n	~ %
<i>Number of presidents</i>		
Africa	2	6
Asia	4	11
Europe	25	71
NaCaCa	2	6
Oceania	0	0
South America	2	6
<i>Number of secretary generals</i>		
Africa	1	3
Asia	2	6
Europe	26	74
NaCaCa	6	17
Oceania	0	0
South America	0	0

economically, politically and also in sports. In that regard, Europe's dominant role could be labelled anachronistic.

In many ways, the United States remains the most dominant country in the world and this is clearly reflected in its sporting influence, although there is no American president within the SGBs. Since it has 31 of the regions' combined 58 seats in the 35 executive bodies, it is clear that the United States has a dominating role within the NaCaCa region. Moreover, the US has the most seats per nation worldwide, no other nation has more than its 19 seats and there is at least 1 American on 24 SGBs' executive bodies.

Another great power, China, has 'only' 10 seats in the executive bodies of the 35 SGBs. China does not even hold the most seats among the Asian countries since South Korea possesses 16 seats, while delivering 2 of the 4 Asian SGB presidents. Given the emerging economic status of the country, China's modest representation within SGBs is rather surprising.

France, Germany, Great Britain, Italy and Spain possess 89 of the 191 seats that Europe currently holds in the 35 SGBs and the same tendency can be witnessed with regard to presidents and general secretaries. Thirteen out of twenty-five European presidents and fifteen out of twenty-six European general secretaries are currently held by an official from the European 'big five'.

Contrasting with its size and performance on the global sporting scene, Switzerland has many prestigious posts within the SGBs. Although its five general secretary positions can, to some extent, be explained by the fact that the SGBs are often based in Switzerland, its five president posts are notable. In addition, two of the most prestigious SGBs, FIFA and IIHF, have a Swiss president.

Finally, 100 nations which have a National Olympic Committee recognized by the IOC are not represented within any of the surveyed SGBs. Economic reasons may be the primary explanation of this phenomenon.

Gender inequality

Equity issues in terms of positions within the organization have been raised within a number of INGSOs, in particular with regard to gender (Henry and Lee 2004).

Consequently, there have been calls for greater diversity within the executive bodies of INGSOs (Schenk 2011, Council of Europe 2012).

Studies have asserted that female inclusion in boards leads to improved governance. Boards with three or more women score better in implementing corporate strategy, conflict of interest rules and a code of conduct. Furthermore, they are likely to reduce the influence of the old boys' network and increase transparency of not-for-profit boards (Brown *et al.* 2002). Furthermore, women bring a different voice to debates and decision-making, which leads to better corporate governance since a broader and different range of experience and opinions are shared (Fondas and Sassalos 2000, Zelechowski and Bilimoria 2004). Finally, recent studies have found positive relationships between the presence of women directors and financial performance in firms (see Terjesen *et al.* 2009). Thus, it is important that female representatives are placed in decision-making positions in SGBs so that they can contribute their experiences and views. Moreover, women directors are role models who inspire other women and they are an important part of others' work identity development (Sealy and Singh 2006). Nevertheless, women still need to be objectively recruited on the basis of their individual skills.

Our survey indicates that there is an overwhelming over-representation of male members within the 35 SGBs' executive bodies. Only 12% of the executive members of all SGBs are female. Fifteen of the thirty-five analysed organizations do not have female representatives within the executive body and the same pattern can be discerned with the number of female presidents. As Table 11 indicates, only three of the surveyed SGBs have a female president and only four have a female secretary general.

As Table 12 shows, only 20 of the 35 SGBs have a female representative in the executive body and only 12 have more than 1 female representative. However, 16 organizations have some form of regulations in their statutes assuring female representation within the organization, such as a quota in the executive body or in some of the

Table 11. Female presidents and secretary generals.

	n	~ %
<i>Female president</i>		
Yes	3	9
No	32	91
<i>Female secretary general</i>		
Yes	4	11
No	31	89

Table 12. Female inclusion.

	n	~ %
<i>Female representatives</i>		
Yes	20	57
No	15	43
<i>More than one female representative</i>		
Yes	12	34
No	23	66

organization's commissions. Both FIH and ITU have introduced certain provisions into their statutes with the aim to achieve a gender balance and this has proven to be an important way of integrating more female representatives into the organizations' executive bodies.

Tenure issues

There have been calls for a limit on terms of office from outside the sports world (e.g. Council of Europe 2012, Schenk 2011). Katwala (2000) also calls for a term limitation, both for presidents and executive body members, and states that presidents that hold office for more than two 4-year terms may result in an unhealthy concentration of power. The idea of term limitation derives from antiquity (Oakley 1994). It is presumed that term limits constitute a remedy for several tenure issues. First, for high rates of re-election stemming directly from the tremendous advantages incumbents enjoy over challengers because with seniority comes power. Second, for apathetic voters due to the assumed certain re-election of incumbents, which results in politicians losing touch with voters. Hence, term limits make sure that elections are real contests about the issues, provide new ideas for solving problems and prevent the concentration of power (Cohen and Spitzer 1992).

Arguments against term limits are the waste of talent and experience and the presumption that more terms induces elected officials to undertake extensive and arduous enterprises for the public benefit instead of worrying about their prospects after leaving office (Cohen and Spitzer 1992). However, it has been argued that term limits in fact reduce the value of holding office, which induces 'truthful' behaviour by incumbents, which in turn enables the voter to selectively elect higher quality agents to a second term in office (Smart and Sturm 2004). From a democratic perspective, it is paramount that individuals have an *actual* possibility to be elected, enabling groups that might previously have been overseen and underrepresented to hold a position of power (Thompson and Moncrief 1993). Hence, democracy within sport organizations may deepen through a continuous renewal of the core of the organizations. Age limits have also been suggested as a means to such an end, but since they may lead to discrimination, we favour term limits.

As Table 13 outlines, only 8 out of 35 organizations have regulations outlined in their statutes regarding the number of terms allowed in office, and only 6 have rules stating that members must stand down when they reach a specific age. Only the FIH and the International Skating Union (ISU) have such limitations in place. Thus, it would certainly

Table 13. Age and term limits.

	n	%
<i>Age limit</i>		
Yes	6	17
No	29	83
<i>Average age limit: 73 years</i>		
<i>Term limit</i>		
Yes	8	23
No	27	77

be desirable for more international sport organizations to implement term limits into their statutes.

The monopolization of power due to a lack of term limits is evidenced for instance by the average number of years SGB presidents are in office, which can be witnessed in Table 14. Outliers are the International Luge Federation (FIL), which has only had one president in its 37-year existence, and the World Taekwondo Federation (WTF), whose president has been in office for the past 29 years (see Table 14).⁷ The IOC has had 7 presidents since its founding in 1894, who have been in office for an average of 15 years.

Table 14. Figures on tenures for sport governing body presidents.

Organization	Year founded	Number of former presidents	Average years in office for former presidents	Current presidency
FIL	1957	1	37	1994
WTF	1975	1	29	2004
FIS	1924	3	25	1998
IAAF	1912	4	22	1999
FIVB	1947	3	22	2012
FIBT	1923	4	22	2010
ITU	1989	1	19	2008
FISA	1892	5	19	1989
FILA	1905	5	19	2002
AIBA	1920	5	17	2006
FIG	1881	7	16	1996
ITTF	1926	5	15	1999
ISSF	1907	5	15	1980
IHF	1946	4	14	2000
UCI	1900	8	13	2005
FIFA	1904	7	13	1998
UIPM	1948	4	11	1993
ISU	1892	9	11	1994
ISAF	1907	6 ^a	11	2012
IWF	1905	10	10	2000
WA (FITA)	1931	8	9	2005
IJF	1951	9	8	2007
ICF	1924	10	8	2008
FIH	1924	10	8	2008
IIHF	1908	12	7	1994
FIE	1913	14	7	2008
FIBA	1932	11	7	2010
FEI	1921	12	7	2006
FINA	1913	16	6	2009
WCF	1966	9	5	2010
BWF	1934	17	4	2005
ITF	1913	28 ^b	2	1999
IRB	1886	–	–	2008
IGF	1958	–	–	–
IBU	1993	– ^c	–	1993
Average		8	14	

Notes: ^aFrom 1906 to 1946 a chairman was elected from time to time to orchestrate the annual meetings. ^bSince 1938. ^cAnders Besseberg has been president since IBU was founded in 1993.

Conclusion

The authors of this article do not claim to paint a comprehensive picture on governance issues in SGBs. Indeed, there still is a lot of data left to be uncovered and many research avenues are yet to be explored. For instance, future research could focus on outcome based indicators such as the actual influence stakeholders can exert in decision-making processes. Also, it might be worthwhile to compare performance outcomes of SGBs, using 'adherence to principles of good governance' as the independent variable. Finally, although the issue was present between the lines, the topical good governance concept of transparency was perhaps not given the attention it deserves.

Notwithstanding the obvious limitations of this article, the presented empirical evidence clearly supports the recent calls for improved governance in sport. In fact, we established that the recent high-profile corruption scandals have been institutionally induced. Indeed, the far-stretching autonomy of the sports world has had a negative impact on the quality of the self-governance of SGBs. Hence, the bigger question is whether a reform of international sporting governance is possible. In that regard, Katwala (2000) presents three possible scenarios: change from within, pressure from outside and change through collapse and crisis. In this article, we have discussed that accountability deficits in SGBs impede the impetus for change from within towards improved governance. Thus, we do not think the first scenario is likely to happen and if it did, the reliability of voluntary self-commitments to good governance would suffer in the absence of a state authority that pushes SGBs towards compliance. With regard to the third scenario presented by Katwala, we have seen that sporting crises have continued to emerge since the author published his work and, in certain cases, they have led to governance reforms. But how can we make sure these efforts adequately tackle the issues they are said to address and, moreover, are they even to be taken seriously or do they merely serve as window dressing? The main issue on that note is the lack of a generally agreed checklist for good governance in international SGBs and this precludes the benchmarking of the governance of these organizations. Katwala's second scenario seems to be the most plausible and certainly is the most likely to deliver. Indeed, increased pressure to reform from outside is needed in order to achieve improved governance in SGBs. Since SGBs ultimately need governments more than governments need SGBs and governments control many essential elements of SGBs' license to operate, political pressure for reform is likely to succeed. The feeling is that such pressure is growing, albeit slowly. The EU seems to have gained legitimacy to at least influence international sports governance and could be an influential actor in the quest for good governance in SGBs. However, it has a limited competence in the field of sport and the sports world has strong political lobbying powers (Geeraert 2013). Since political pressures could not take place in the pace we would wish, we envision an important role for actors from civil society, including sport fans and lobbying organizations, to push for reforms. In addition, sponsors may also increasingly put pressure on SGBs to enhance their governance out of concerns for (economic) sustainability and their public image.

In any case, SGBs need to agree upon, and act in accordance with, a set of well-defined and objectively established criteria of good governance that are also stringent enough. Only then will the self-governance of sport be credible and the privileged autonomy of these organizations justifiable.

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Notes

1. In this article, we use the term international non-governmental sport organization (INGSO) as an umbrella term for all types of international sport organizations chiefly because it relates to the terms International Governmental Organization (IGO) and International Non-Governmental Organization (INGO), which have a long tradition in the field of politics and political science.
2. Here, we used outcome rather than rules-based indicators. For instance, an organization may have enshrined in its statutes that its general assembly elects the members of the ethics committee, but when some of them also have a seat in the executive body of the organization, we do not deem the committee to be independent.
3. We did not include any budgeting information on ethics committees, since such information was extremely scarce.
4. Although the choice for Switzerland could initially be explained through ‘pioneer mover-follower’ and/or ‘dominant mover-follower’ models (Croci and Forster 2004, p. 9), Switzerland’s rather broad interpretation of the freedom of association while it is not subject to harmonizing EU law probably is the main reason for SGBs to keep it as the home base for their activities.
5. This contrasts with the situation in North-America, where collective bargaining agreements govern the employer–employee relationships between the owners of professional sports teams and players’ associations (Dryer 2008). In Europe, on the other hand, sport was for a long time regarded solely as a leisure activity and therefore, the ‘sports industry’ concept is not yet as developed and player unions have been relatively weaker and not equipped with the necessary bargaining powers (Halgreen 2004, p. 79).
6. North America, Central America and the Caribbean.
7. We could not find information for the International Rugby Board (IRB) and the International Golf Federation (IGF).

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ASOIF International Federation Governance Project Examples of Good Governance Practice

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Introduction

This document lists a number of examples of good governance practice among the International Federations (IFs) which are Full Members of the Association of Summer Olympic International Federations (ASOIF). The examples have been identified following the [First and Second Reviews of IF Governance](#) conducted by the ASOIF Governance Taskforce in 2016-17 and between November 2017 and March 2018.

About the good practice examples

The examples below all relate directly to one of the 50 questions in the 2017-18 edition of the [questionnaire](#) and are numbered accordingly. In most cases, there are two or three examples. In order to be included, the IF usually demonstrated that it fulfilled the criteria of the specific question in a “state of the art” way. An objective in compiling the list was to provide examples from a wide variety of IFs. The selected examples should therefore not be regarded as definitively the best in each category, nor should the omission of a particular IF example be understood as any kind of criticism – for many of the questions there were too many good examples to include them all. In other cases only one IF is cited, either because it provided the clearest good example, or because the criteria for the indicator in the questionnaire proved very difficult for IFs to fulfil.

Most of the examples have been checked with the IFs in question. As governance is an evolving process, it is likely that some of the web pages and documents referred to will be updated or replaced fairly soon.

It is the responsibility of any IF seeking to learn from or follow the lead of a good practice example in the list to determine whether, and to what extent, the method adopted by another IF is applicable to them. It is recognised that replicating a few of the structures and processes identified in the list would require disproportionate resources for some IFs.

List of good practice examples

Ref	Topic	IF	Example
			Section - Transparency
2.1	Publication of statutes	FEI	Marked up and “clean” versions of statutes and other documents published on website: http://inside.fei.org/fei/regulations/general-rules
2.1	Publication of statutes	World Sailing	Marked up and “clean” versions of regulations published on website: http://www.sailing.org/documents/regulations/regulations.php
2.1	Publication of statutes	IAAF	Both 2017 and 2019 versions of the constitution are published: https://www.iaaf.org/about-iaaf/documents/constitution
2.2	Organisational structure	World Archery	Clear description of structure of the IF including an organisation chart: https://worldarchery.org/Governance
2.2	Organisational structure	BWF	Clear description of structure of the IF including an organisation chart: http://bwfcorporate.com/about/governance/
2.2	Organisational structure	FIE	HQ staff and roles clearly laid out with tabs for the rest of the organisation structure: http://fie.org/fie/structure/office
2.3	Vision, mission, strategy	BWF	Vision, mission, values and strategic plan clearly laid out: http://bwfcorporate.com/about/
2.3	Vision, mission, strategy	World Rugby	Detailed strategic plan with targets: http://www.worldrugby.org/strategic-plan
2.3	Vision, mission, strategy	FISA	Detailed strategic plan, although without published targets: http://www.worldrowing.com/mm//Document/General/General/11/83/69/1502Web_NFConference-2015FISAStrategicPlanPPT_Neutral.pdf
2.3	Vision, mission, strategy	FIH	Clear, straightforward strategic plan, although without published targets: http://www.fih.ch/inside-fih/our-strategy/
2.4	Details of members	FEI	Publication of list of member nations with useful extra information: https://data.fei.org/NFPages/NF/Search
2.4	Details of members	ITU	Publication of list of member nations with useful extra information: http://www.triathlon.org/federations
2.4	Details of members	IHF	Publication of list of member nations with useful extra information: http://ihf.info/en-us/theihf/memberfederations.aspx
2.5	Details of elected officials	UCI	Names and biographies of elected officials published, including conflict of interest declarations: http://www.uci.ch/inside-uci/organisation/management-committee-161115/
2.5	Details of elected officials	IGF	Names and biographies of board members published: http://www.igfgolf.org/about-igf/administration/ (However, mandate years are not mentioned)
2.5	Details of elected officials	IWF	Names and biographies of executive board members published: http://www.iwf.net/focus-on-iwf/executive-board/
2.6	Annual report	BWF	Several annual reports available to download: http://bwfcorporate.com/about/annualreports/

2.6	Annual report	FEI	Several detailed annual reports available with the most recent designed for viewing on screen: https://inside.fei.org/fei/about-fei/publications/fei-annual-report
2.7	Audited accounts	UCI	Audited accounts published in annual reports with extensive narrative information: http://www.uci.ch/inside-uci/about/annual-reports/
2.7	Audited accounts	FIE	Detailed financial report by an IF with more limited resources: http://static.fie.org/uploads/16/81255-6.1_financial%20report%202015%20ang.pdf And audited accounts: http://static.fie.org/uploads/16/81258-6.2_2015%20report%20of%20the%20auditors%20ang.pdf
2.8	Allowances and benefits	BWF	Allowances and benefits listed clearly in Rules and Procedures document (see Statutes Chapter 1, Section 1.2.2, pg 20-30): http://bwfcorporate.com/statutes
2.8	Allowances and benefits	UCI	Remuneration for President and board members listed in the Annual Report (see page 101 for year 2016): http://www.uci.ch/inside-uci/about/annual-reports/ Information on per diems: http://www.uci.ch/mm/Document/News/News/16/55/16/Officiels16-Multi_English.pdf
2.8	Allowances and benefits	FIFA	Remuneration for Council, senior executives and committee members published in the Governance Report (pages 17-19): http://resources.fifa.com/mm/document/affederation/administration/02/87/89/23/gr2016env1_neutral.pdf
2.9	General Assembly documents	FISA	Extensive archive of Congress documents: http://www.worldrowing.com/fisa/about-fisa/congress
2.9	General Assembly documents	World Archery	Extensive archive of Congress documents: https://extranet.worldarchery.org/documents/index.php?dir=10
2.9	General Assembly documents	FIFA	Good range of Congress documents published including summary articles about previous years: http://www.fifa.com/about-fifa/fifa-congress/index.html
2.10	Summary of meeting decisions	FIE	Official information updates after major meetings (separate from news articles): http://fie.org/fie/documents/letters/14
2.10	Summary of meeting decisions	World Sailing	Extensive archive of Executive Committee minutes: http://www.sailing.org/meetings/executive-minutes.php
2.10	Summary of meeting decisions	FIG	Full updates after Executive Committee meetings, e.g.: http://www.fig-gymnastics.com/site/figNews/view?id=1739&dateBegin=06%2F02%2F2017&dateEnd=08%2F03%2F2017 Also detailed information in official Bulletins: http://www.fig-gymnastics.com/site/news/bulletins

Ref	Topic	IF	Section - Integrity
3.1	Implementation of Code of Ethics	UCI	Independent Ethics Commission which implements the Code of Ethics: http://www.uci.ch/inside-uci/organisation/commissions/commission/ethics-commission-165125/
3.1	Implementation of Code of Ethics	World Rugby	Legal team includes Integrity Unit Manager: http://www.worldrugby.org/organisation/structure/staff
3.2	Implementation of Anti-Doping Code	UCI	Independent anti-doping programme: http://www.uci.ch/clean-sport/anti-doping/
3.2	Implementation of Anti-Doping Code	World Archery	Anti-doping programme out-sourced to Doping-Free Sport Unit: https://gaisf.org/dfsu/ World Archery Anti-Doping Panel members are independent: https://worldarchery.org/committees#BOARDS Outcomes published in 2015 Annual Report
3.3	Implementation of Code on Manipulation	ITF	Independent Tennis Integrity Unit to protect against the risk of match manipulation: http://www.tennisintegrityunit.com/about-tiu
3.3	Implementation of Code on Manipulation	World Rugby	Micro-site on the IF's work to combat the risk of match manipulation: http://integrity.worldrugby.org/index.php?&language=en
3.4	Ensuring members follow codes	BWF	Model constitution and self-assessment governance questionnaire for national member federations: http://bwfcorporate.com/about/governance-resources/
3.4	Ensuring members follow codes	FIFA	Standard statutes for member associations: http://www.fifa.com/mm/document/affederation/generic/51/44/76/standardstatutes_e.pdf
3.4	Ensuring members follow codes	World Rugby	Ensuring members comply with regulations: Handbook Regulation 2.1 (page 83) covers Union compliance 9.1.f (page 46) covers compliance requirements for Unions to be eligible to vote: http://www.worldrugby.org/wr-resources/WorldRugbyDIR/Handbook/English/pubData/source/170103%20GF%20Handbook%20English%20Version.pdf
3.5	Whistleblower system	UCI	Confidential whistleblower process via an independent body: http://www.uci.ch/clean-sport/help-ensure-cycling-clean/
3.5	Whistleblower system	IAAF	A confidential, anonymous and secure online form via independent unit for doping and other integrity concerns: https://www.athleticsintegrity.org/know-the-process
3.6	Integrity education activity	BWF	Integrity awareness programme for athletes to protect against risk of match manipulation: http://bwfcorporate.com/integrity/i-am-badminton/
3.6	Integrity education activity	ITF	Tennis Integrity Unit provides resources for players to educate on match manipulation risks: http://www.tennisintegrityunit.com/player-resources
3.6	Integrity education activity	FIBA	Integrity guidance for athletes: http://playershub.fiba.com/en/integrity/fair-play-and-betting/protecting-integrity-sport

3.7	Integrity investigations	IAAF	Athletics Integrity Unit to conduct investigations: https://www.athleticsintegrity.org/know-the-process
3.7	Integrity investigations	FEI	Independent Equine Community Integrity Unit investigates integrity issues in the sport: https://inside.fei.org/fei/about-fei/integrity
3.7	Integrity investigations	BWF	Integrity Unit has role to conduct investigations: http://bwfcorporate.com/integrity/integrity-unit/
3.8	Publication of disciplinary decisions	World Rugby	Publication of all disciplinary decisions: www.worldrugby.org/documents/judicial-decisions
3.8	Publication of disciplinary decisions	FEI	Publication of disciplinary decisions in a specific section for the IF's Tribunal: https://inside.fei.org/fei/your-role/athletes/fei-tribunal
3.9	Gender balance	FIH	Gender equality policy – 4 of the 8 ordinary Executive Board Members must be female (FIH Statutes Article 7.1.a.ii) http://fih.ch/inside-fih/our-official-documents/fih-statutes/
3.9	Gender balance	IAAF	2019 Constitution (article 36, pages 25-8) includes progressive targets to work towards gender balance: https://www.iaaf.org/download/download?filename=-d8a4e154-7244-4c53-a3cf-55faad26d7ab.pdf&urlslug=2019%20IAAF%20Constitution
3.10	Taking account of wider stakeholders	FIFA	MoUs with various organisations and an independent human rights advisory body established, composed of experts from the United Nations, trade unions, civil society and business with evidence of its activity: http://www.fifa.com/governance/news/y=2017/m=3/news=independent-advisory-board-of-human-rights-experts-to-meet-on-13-march-2875485.html MoU with the Council of Europe: http://www.fifa.com/governance/news/y=2018/m=1/news=fifa-and-the-council-of-europe-establish-a-strong-partnership-mou-on-h-2926210.html
3.10	Taking account of wider stakeholders	FISA	Formal cooperation with WWF and UNESCO: http://www.worldrowing.com/environment/fisa-wwf-strategic-alliance/ http://www.worldrowing.com/news/world-rowing-commits-unesco-world-heritage-sites

Ref	Topic	IF	Section - Democracy
4.1	Elections for president and officials	ITU	Congress elects President, Table Officers, Executive Board and others: http://www.triathlon.org/about/congress Publication of voting numbers in Congress minutes (pages 8-12): https://www.triathlon.org/uploads/docs/2016_Congress_Minutes.pdf
4.1	Elections for president and officials	FIG	Full publication of election results: http://fig-gymnastics.com/publicdir/live_results/congress/election.php?display=president
4.2	Election campaigning rules	BWF	Code of Conduct for election candidates (see Statutes Chapter 2, Section 2.2.1 Candidates Code of Conduct) http://bwfcorporate.com/statutes/ (No specific funding rule)
4.2	Election campaigning rules	World Sailing	Candidates application pack and rules: http://www.sailing.org/tools/documents/Election-Pack2016-[20995].doc (No specific funding rule)
4.3	Electoral process and rules	FIG	Voting rules in Statutes 11.17 (page 20): http://www.fig-gymnastics.com/publicdir/rules/files/main/20161025_Statutes%202017_E.pdf See also the rest of Article 11 for election process. Members can earn additional votes through participation in events. (However, the nominations process is restrictive)
4.3	Electoral process and rules	ITF	Article 18(t) on page 20 in Constitution covers weighted voting system: http://www.itftennis.com/about/organisation/constitution.aspx
4.3	Electoral process and rules	ITU	Election process: Constitution 27.6 (page 23) – “All other Parliamentary questions not contained in the Constitution shall be decided by Robert’s Rules of Order , Newly Revised”: http://www.triathlon.org/uploads/docs/International_Triathlon_Union_Constitution_Dec_20154.pdf (However, these procedures will be familiar only in countries with a “Common Law” tradition)
4.4	Publishing details of elected roles	FEI	Job/role specifications developed for elected officials: http://inside.fei.org/fei/elections/job-specs
4.5	Eligibility rules	ITU	Simple eligibility criteria for candidates – Constitution 27.1 (pages 21-2): http://www.triathlon.org/uploads/docs/International_Triathlon_Union_Constitution_Dec_20154.pdf
4.5	Eligibility rules	FEI	Nominations Commission determines eligibility of candidates for election - Internal Regulations 6.1 (page 11): https://inside.fei.org/fei/regulations/general-rules

4.5	Eligibility rules	FIFA	Rules about the eligibility check for candidates for election - Article 27 para 8 of the FIFA Statutes (page 26): http://resources.fifa.com/mm/document/affederation/generic/02/78/29/07/fifastatutsweben_neutral.pdf Article 37 and 38 of the FIFA Governance Regulations (pages 39-47): http://resources.fifa.com/mm/document/affederation/administration/02/11/20/75/forenweb_neutral.pdf (However, the nominations rule is highly restrictive)
4.6	Term limits for elected officials	FEI	Complex rules on term limits for officials are explained in Statutes, Articles 19.5-6, 31.7, 33.3 (starting page 15): https://inside.fei.org/sites/default/files/Statutes%2029%20April%202015%20-%20clean.pdf
4.6	Term limits for elected officials	World Rugby	Rules on term limits of 12 years for Executive Committee in Bye-Laws 10.3.1 (page 56): http://www.worldrugby.org/wr-resources/WorldRugby-DIR/Handbook/English/pubData/source/170103%20GF%20Handbook%20English%20Version.pdf
4.7	Representation of stakeholders	ITU	Representation of stakeholders – Athletes' Committee has right to vote at Congress – Constitution 14.3.i http://www.triathlon.org/uploads/docs/International_Triathlon_Union_Constitution_Dec_20154.pdf
4.7	Representation of stakeholders	UCI	Professional Cycling Council is an example of representing key stakeholders in official structures: http://www.uci.ch/inside-uci/organisation/commissions/commission/professional-cycling-council/
4.7	Representation of stakeholders	ISSF	Chair of Athletes' Committee is a member of the Executive Committee: http://www.issf-sports.org/theissf/organisation/executive_committee.ashx Coach Advisory Committee in place: http://www.issf-sports.org/theissf/organisation/committees/issf_coaching_committee.ashx
4.8	Conflict of interest policy	World Sailing	Conflicts of interest policy: http://www.sailing.org/tools/documents/ConflictofInterestPolicy-%5b21523%5d.pdf
4.8	Conflict of interest policy	UCI	Register of interests published for elected officials: http://www.uci.ch/inside-uci/organisation/management-committee-161115/ (Click on each name to find the register)
4.9	Regular meetings of General Assembly and other bodies	World Sailing	Calendar of meetings on website: http://www.sailing.org/meetings/index.php
4.9	Regular meetings of General Assembly and other bodies	FIFA	Calendar with a specific tab for meetings: http://www.fifa.com/calendar/
4.9	Regular meetings of General Assembly and other bodies	FEI	Annual meeting of Congress (Statutes 11.1, page 12) and at least twice per year for the Bureau (21.1, page 17): https://inside.fei.org/sites/default/files/Statutes%2029%20April%202015%20-%20clean.pdf (However, there is no published calendar of meetings)

4.9	Regular meetings of General Assembly and other bodies	ITU	Annual meeting of Congress (Constitution 14.2, page 8) and at least twice per year for Executive Board (17.2, page 13): http://www.triathlon.org/about/download_file/itu_constitution (However, there is no published calendar of meetings)
4.10	Equal opportunities to participate at General Assembly	FIFA	Cost of travel and accommodation for three delegates from each member association is covered (Article 1 Standing Orders of Congress). Congress also live-streamed on website. http://resources.fifa.com/mm/document/affederation/administration/02/92/76/53/circularno.1617-68thfifa-congressinmoscowrussiaon13june2018_neutral.pdf
4.10	Equal opportunities to participate at General Assembly	FIE	Cost of 2 nights' accommodation for the first delegate of each national federation is covered: http://static.fie.org/uploads/17/89298-informations%20congres%202017%20ang.pdf Flight ticket for first delegate of each national federation is subsidised via continental Confederation. Evidence of budget published: http://static.fie.org/uploads/18/90951-budgets%20PDC%20complets.pdf
4.10	Equal opportunities to participate at General Assembly	ITF	All member nations receive direct grant of \$500 USD for travel and 4 nights' accommodation free of charge for one representative. Published AGM Travel Policy: http://www.itftennis.com/media/278295/278295.pdf

Ref	Topic	IF	Section - Development and Solidarity
5.1 and 5.2	Development process and policy	World Rugby	Development programme with a transparent process for allocating resources: http://www.worldrugby.org/documents/development-brochures
5.1 and 5.2	Development process and policy	FEI	Process for allocating resources explained in Solidarity Guidelines: https://inside.fei.org/system/files/FEI_Solidarity_Programme-General_Guidelines_Ed.2017.pdf
5.3	Monitoring development funding	FEI	Detailed form for funding recipients to complete for monitoring expenditure: https://inside.fei.org/fei/solidarity/about/form
5.3	Monitoring development funding	World Rugby	Outcomes of development funding covered in annual reports: http://www.worldrugby.org/documents/annual-reports
5.4	Sustainable development	FISA	Extensive activity to protect the environment: http://www.worldrowing.com/environment/
5.4	Sustainable development	FEI	Sustainability Handbook for Event Organisers: http://inside.fei.org/fei/your-role/organisers/handbook
5.4	Sustainable development	FIFA	Extensive action on sustainability in its broadest sense, including engagement with stakeholders and standards adopted: http://www.fifa.com/sustainability/
5.5	Social responsibility activity	FIBA	Social responsibility activity: http://www.fiba.com/foundation
5.5	Social responsibility activity	ITTF	Example of social responsibility project: http://www.ittf.com/2016/12/28/bonding-one-family-one-sport-theme-auckland/
5.5	Social responsibility activity	IJF	Example news story of activity at refugee camp: https://www.ijf.org/news/show/judo-demo-maheba-refugee-camp
5.6	Education programmes	FIE	Extensive education activity: http://fie.org/development/courses Detailed report on education programme in annual report (pages 14-22): http://static.fie.org/uploads/18/93548-91521-5.%202016%20annual%20report%20ang.pdf
5.6	Education programmes	ITU	Education programme for coaches, officials, event organisers and others: https://education.triathlon.org/
5.6	Education programmes	FIH	Education, training and resource centre – FIH Academy: http://www.fih.ch/inside-fih/fih-hockey-academy/
5.7	Gender / geographic balance in development	ITU	Gender and geographic balance in Team ITU development programme: http://www.triathlon.org/development/athlete/teamitu
5.7	Gender / geographic balance in development	FISA	Universality and gender equality are objectives of the Development Programme – Congress Papers (pages 88-89): http://www.worldrowing.com/mm//Document/General/General/12/39/79/2016OrdinaryCongressAgendaPapersENFinalweb_Neutral.pdf
5.8	Legacy programmes for event hosts	World Rugby	Legacy programmes linked to major events: http://www.worldrugby.org/development/impact-beyond?lang=en

5.8	Legacy programmes for event hosts	UCI	Bike City label for cities which host an event and take action to promote cycling: http://www.uci.ch/cyclingforall/uci-bike-city-label/
5.8	Legacy programmes for event hosts	IAAF	Observer programme for major events, funded by IAAF: https://www.iaaf.org/news/iaaf-news/observer-programme-2018
5.9	Anti-discrimination activity	IGF	Anti-discrimination policy: http://d2aygmo1xd84v8.cloudfront.net/wp-content/uploads/sites/49/2017/01/IGF-Antidiscrimination-Policy210117-2.pdf Some other policies: http://www.igfgolf.org/about-igf/governance-organization/ (Scroll down)
5.9	Anti-discrimination activity	FIFA	Diversity award project: http://resources.fifa.com/mm/document/afsocial/anti-racism/02/77/14/85/factsheet_fifadiversityaward_en_neutral.pdf
5.10	Resources dedicated to Paralympic/disability discipline(s)	ITF	Fully integrated Paralympic discipline (Wheelchair tennis) within ITF structure: www.itftennis.com/wheelchair/home.aspx
5.10	Resources dedicated to Paralympic/disability discipline(s)	World Taekwondo	World Taekwondo is a member of the IPC and works with INAS and ICSD. Reference to Olympic and Paralympic Charters in Statutes, Article 2 (page 6): http://www.worldtaekwondo.org/wp-content/uploads/2017/12/World-Taekwondo-Statutes-as-of-December-4-2017.pdf Para-Taekwondo Department: http://www.worldtaekwondo.org/about-wt/office/ Equal credit is given for participation in World Para-Taekwondo Championships (Statutes Articles. 15.1 and 16.4 on pages 15 and 17)
5.10	Resources dedicated to Paralympic/disability discipline(s)	FIBA	Although FIBA does not govern the Paralympic discipline of Wheelchair basketball, it provides extensive support for the International Wheelchair Basketball Federation (Statutes 4.3) which includes marketing and legal assistance as well as an anti-doping programme: http://www.fiba.basketball/documents/fiba-general-statutes.pdf

Ref	Topic	IF	Section - Checks and Balances / Control Mechanisms
6.1	Ethics committee with independent representation	UCI	Independent Ethics Committee which can propose sanctions: http://www.uci.ch/inside-uci/organisation/commissions/commission/ethics-commission-165125/ (See also 3.1 above)
6.1	Ethics committee with independent representation	FISA	Independent Ethics Panel which can propose sanctions: http://www.worldrowing.com/fisa/about-fisa/fisa-code-ethics
6.2	Audit committee with independent representation	World Sailing	Audit Committee with independent representatives operates between the external auditor and the IF: http://www.sailing.org/about/committees/audit_committee.php
6.2	Audit committee with independent representation	IGF	Charter for Audit and Risk Committee, which has a wide remit: http://d2aygmo1xd84v8.cloudfront.net/wp-content/uploads/sites/49/2017/01/IGF-Audit-and-Risk-Committee-Charter.pdf
6.2	Audit committee with independent representation	FIVB	Congress working file includes report from internal auditors (pages 186-190): http://www.fivb.com/-/media/fivb/congress/fivb_working_file_worldcongress_2016_final.pdf?la=en
6.3 and 6.4	Accounting controls / risk management	ITF	Risk management covered in Corporate Governance section in annual report (pages 44-45) followed by audited accounts (page 46 onwards): http://itf.uberflip.com/i/828261-itf-annual-report-accounts-2016
6.3 and 6.4	Accounting controls / risk management	BWF	Explanation of internal controls in Rules and Procedures (go to Statutes Chapter 1, Section 1.2.2 pages 18-19): http://bwfcorporate.com/statutes
6.3 and 6.4	Accounting controls /risk management	World Sailing	Financial authorities matrix: http://www.sailing.org/tools/documents/FinancialAuthoritiesmatrix-[23531].pdf
6.3	External financial audit		See examples under 2.7 above
6.5	Protecting sporting regulations from commercial interests	ITF	Davis Cup regulations regarding choice of venue protect against commercial influence on sporting rules: Davis Cup regulations - rules 25 and 27 (page 13): http://www.daviscup.com/media/247913/247913.pdf
6.5	Protecting sporting regulations from commercial interests	UCI	World Tour teams have to meet licensing conditions: http://www.uci.ch/mm/Document/News/Rulesandregulation/17/73/59/2-ROA-20170201-E_English.pdf
6.5	Protecting sporting regulations from commercial interests	FIVB	Disciplinary Regulations reference integrity in relation to selection of events (Articles 4.2-5, 6.5 and 7 – pages 7-11) http://www.fivb.org/EN/FIVB/Document/Legal/FIVB_Disciplinary_Regulations_2017_20170807.pdf Bidding documents also incorporate a Human Rights Provision e.g. Schedule 5 VNL Finals (page 50): http://www.fivb.com/-/media/fivb/bid/fivbifb-mens-nvl-finalterms-and-conditions--full-version.pdf?la=en&hash=EF27B5FEB1EAB881D4BA71592C-FA62CB6F9F6AB5
6.6	Open tendering	IGF	Competitive tendering for contracts over 50,000 CHF: https://www.igfgolf.org/wp-content/uploads/sites/49/2017/01/Assignment-of-Authority200117.pdf

6.6	Open tendering	World Rugby	Public announcement of a broadcast tender: http://www.worldrugby.org/news/138102?lang=en
6.7	Internal appeals process	FEI	Internal appeals covered in Statutes Chapter X (pages 29-32): FEI Tribunal, Court of Arbitration of Sport and Ethics Panel: https://inside.fei.org/sites/default/files/Statutes%2029%20April%202015%20-%20clean.pdf
6.7	Internal appeals process	FIG	Appeal process covered in Code of Discipline Article 29 (pages 11-13): http://www.fig-gymnastics.com/publicdir/rules/files/en_Code%20of%20Discipline%202017.pdf Outcomes published in Bulletins, e.g. Sept 2016: http://www.fig-gymnastics.com/publicdir/bulletin/Bulletin237/html5.html
6.8 and 6.9	Due diligence/ transparent process in bidding process	ITU	Example of detailed bidding guide: http://www.triathlon.org/uploads/docs/itusport_world-cup-events-bid-conditions-2017.pdf
6.8 and 6.9	Due diligence/ transparent process in bidding process	UCI	Due diligence in bidding process for major events – detailed bidding guides: http://www.uci.ch/discover-our-events/track-172511/
6.10	Right of appeal to CAS	FIVB	Right of appeal to CAS covered in Constitution 2.7.5 (page 15): http://www.fivb.org/EN/FIVB/Document/Legal/FIVB_Constitution_2014_en_20141031.pdf Also Disciplinary Regulations 23 (page 24): http://www.fivb.org/EN/FIVB/Document/Legal/FIVB_Disciplinary_Regulations_2016_11.04.2016.pdf
6.10	Right of appeal to CAS	World Archery	Right of appeal to CAS covered in Statutes 1.30 (page 17): https://rulebook.worldarchery.org/PDF/Official/2016-10-01/EN-Book1.pdf Example of the outcome of a case being published: https://worldarchery.org/news/137092/state-ment-court-arbitration-sport-decision-lach-appeal
6.10	Right of appeal to CAS	IAAF	2017 Constitution Article 20.1 – all disputes arising under Constitution are subject to an appeal to CAS: https://www.iaaf.org/about-iaaf/documents/constitution

USOC NATIONAL GOVERNING BODIES CALL
MARCH 26, 2018

- Susanne Lyons – Acting CEO
 - CEO Search
 - Search Firm has been selected – Spencer Stuart
 - Search committee selected – Dave Ogreaan, Chair
 - Timing – 4 – 6 months
 - Key issues being addressed & common messages:
 - Gymnastics
 - Athletes
 - USOC Governance Structure & Policies
 - Congressional Inquiries
 - Independent Investigation(Staff working groups assigned to each issue.)
- Center For Safe Sport – Malia Arrington
 - April 18, 2018 Meeting
 - Review first year of cases – Open, closed and case timing
 - New federal legislation (Feinstein Bill)
 - Required policies and procedures for USOC and NGB's
 - Revised definitions of covered parties
 - Mandatory reporting
 - Enforcement(Discussion – Wrestling & Track & Field issues)
 - On-line training
 - New parent training
 - Updated courses for coaches and athletes
 - Center will be working to improve communication while cases are being investigated and handled.
 - What is being communicated
 - How often it is being communicated
- Audit
 - NGB compliance with USOC policies, including Safe Sport, will be part of the annual NGB audits.
- International – Dragomir Cioroslan
 - Sport Accord Meeting – 4/15 – 4/20 in Bangkok
 - Additional meetings at the same time
 - 4 NGBs attending, including USA Swimming
- Project Play & Parent Education
 - Questionnaires sent to NGBs (See Attached)
- NGB Needs Assessment – Denise Parker
 - Deloitte survey will be completed by end of April.

FIRST STEPS IN BUILDING AN ATHLETE FOR LIFE

FOR KIDS (AGES 0-5) NOT YET INVOLVED IN SPORT PROGRAMS

Parents and caregivers today are bombarded with conflicting messages about when and how to introduce children to sport activity. Ten questions to ask of yourself and local programs:

- 1. HAVE I TALKED WITH MY CHILD'S PEDIATRICIAN ABOUT SPORTS?**

The American Academy of Pediatrics offers evidence-based guidance on a range of topics related to sports safety and physical activity for children. Ask what type of activities are advisable to introduce at each stage of development.
- 2. WITH INFANTS, AM I ENCOURAGING SKILL DEVELOPMENT IN MOVEMENT?**

Humans are wired to move. Reaching and grasping, pulling and pushing, moving the head, torso and limbs – all of it helps develop the relationship between the brain and body. Interact with your child and offer effusive praise.
- 3. WITH TODDLERS, AM I PROVIDING AN APPROPRIATE MIX OF PLAY ENVIRONMENTS?**

The guidelines for this age group are at least 30 minutes of structured physical activity each day, plus anywhere from 60 minutes to several hours of unstructured play. Toddlers should not be sedentary for more than 60 minutes at a time, except when sleeping.
- 4. HAVE I ENROLLED MY CHILD IN A LEARN-TO-SWIM CLASS?**

Kids love to get wet. And for a child who is proficient in the water, a world of lifetime sport options open up: snorkeling, rowing, kayaking, surfing, standup paddleboard, water skiing, sailing, triathlon, swim team, among others.
- 5. HAVE I IDENTIFIED SAFE PLACES TO PLAY IN MY COMMUNITY?**

People living within a mile of a park are four times more likely to use it than others. When choosing a home, take an inventory of nearby assets that promote active play: sidewalks, bike paths, playgrounds, and school facilities.
- 6. IS MY PRESCHOOLER IN PROGRAMS THAT PRIORITIZE PHYSICAL LITERACY?**

Physical literacy is the ability, confidence and desire to be active for life. One key is the development of fundamental movement skills – agility, balance, coordination. Certainly before age 5, it's not about teaching sport-specific skills.

7. DOES MY CHILD'S PRESCHOOL ENCOURAGE LEARNING THROUGH PLAY?

Through kindergarten in Finland, teachers hold off on academic drilling and mostly ask kids to play in settings where they can solve problems. Finland's students end up with some of the highest math scores in the world.

8. HAVE I POPULATED OUR HOME WITH TOYS THAT ENCOURAGE MOVEMENT?

Provide a child with the tools to play, on their own terms (not those of adults), and often they will. Free play builds physical literacy and love of game, with intrinsic rewards that encourage further engagement.

9. DO I UNDERSTAND AMERICAN DEVELOPMENT MODEL PRINCIPLES?

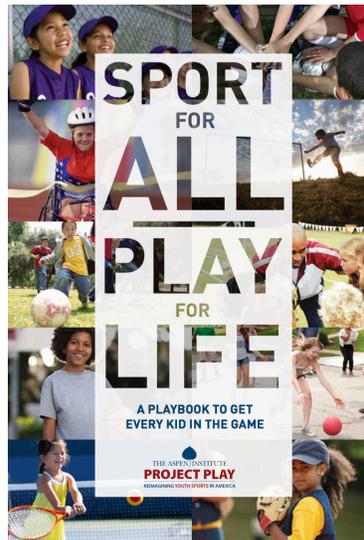
ADM is a framework designed by the US Olympic Committee that describes the five stages for proper athletic development. From ages 0 to 12, it's "Discover, Learn & Play." ADM debunks myths. From the start, get smart.

10. HAVE I IDENTIFIED WHAT BENEFITS I HOPE MY CHILD DERIVES FROM SPORTS?

Start with the end in mind, then design backwards. If it's a sports experience that develops social-emotional skills and healthy habits for life, resist the manic chase for the athletic scholarship and pro salaries. Elite performance cannot be manufactured.

SCORE/BOXES CHECKED:

- 9-10 = Ideal scenario for kids
- 6-8 = Solid foundation
- 3-5 = Much more can be done
- 1-2 = Much more should be done



Questions distilled from *Sport for All, Play for Life: A Playbook to Get Every Kid in the Game*, by the Aspen Institute's Project Play, which developed its framework with input from 300+ thought leaders.

Additional experts and resources were consulted in the development of the checklists. Background on and resources supporting the checklists are at: www.projectplay.us

GETTING KIDS OFF THE COUCH & INTO THE GAME

FOR KIDS (AGES 6-12) NOT PLAYING SPORTS

It can be hard, knowing how to introduce your child to sport and physical activities that meet their unique needs. Ten questions to ask of yourself, your kid, and local programs in finding a good fit:

- 1. IS MY CHILD GETTING AN HOUR OF PHYSICAL ACTIVITY DAILY?**
If the answer is no, they are not getting CDC's recommended amount for youth. That means moderate-to-vigorous activity, with at least three of those days also involving exercise that strengthens muscles and bones.
- 2. DO I REGULARLY ENGAGE IN PHYSICAL ACTIVITY OR SPORTS MYSELF?**
Research shows that parents who are physically active are more likely to have physically active children. Be a role model, while also encouraging fun activities that you can enjoy together – from bike riding to a backyard catch.
- 3. HAVE I POPULATED OUR HOME WITH BALLS AND OTHER SPORTS EQUIPMENT?**
Provide a child with the tools to play, on their own terms (not those of adults), and often they will. Unstructured play builds physical literacy and love of game, with intrinsic rewards that encourage further engagement.
- 4. DO I LIMIT SCREEN TIME AT HOME AND REQUIRE MY CHILD TO GO OUTSIDE?**
The American Academy of Pediatrics recommends parents place consistent limits on time spent with media. Start by removing TVs from bedrooms. Research shows more than 1.5 hours of daily TV is a risk factor for obesity.
- 5. HAVE I ASKED MY CHILD WHICH SPORTS THEY MIGHT LIKE TO LEARN?**
Most kids get funneled into the same, small handful of team sports. But there are 120 sports offered across the U.S., and some providers and sites might just be a few miles away. There's a sport for every kid. Internet tools can help you explore
- 6. HAVE I CONSIDERED ACTIVITIES THAT LIMIT PEER COMPARISON?**
Rock-climbing. Skiing. Snowshoeing. Martial arts. Archery. Individual sports can feel safe, especially for kids with special needs. Then there are more recreational team games, like Ultimate Frisbee.

7. IS THE PROGRAM I'M CONSIDERING FOCUSED ON SELF-IMPROVEMENT?

Kids lacking physical confidence especially benefit from programs that foster a “mastery climate” in which development, not outcomes, is the goal. Ask programs for their mission statement — and how they define success.

8. HAVE I THOUGHT ABOUT VOLUNTEERING FOR A RECREATION BOARD?

Want more inclusive, development-focused policies in youth sports that make room for kids like yours? Do something about it and run for a town recreation board or youth sport program board. Get in there and change things.

9. HAVE I ADVOCATED FOR QUALITY PHYSICAL EDUCATION AND RECESS?

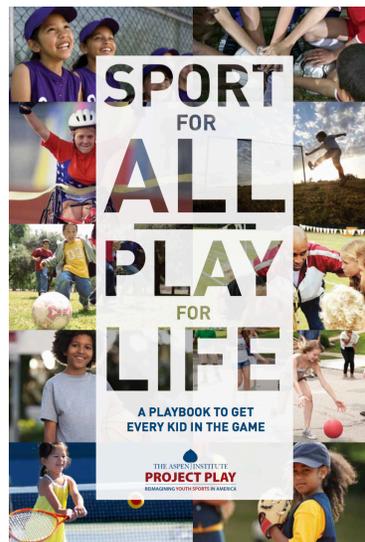
These settings can engage all kids. But they're under-resourced. The median P.E. budget for schools is \$764 per year. Encourage your school board to make P.E. and recess available on a daily basis, led by trained instructors.

10. HAVE I LOOKED FOR LOW-COST, “LEARN TO PLAY” OPPORTUNITIES?

Organized leagues today can be costly, and a full-season commitment can cause a kid who doesn't like the sport to turn off to sports in general. Find programs and camps that offer sport sampling, ideally at low or no cost.

SCORE/BOXES CHECKED:

- 9-10 = Ideal scenario for kids
- 6-8 = Solid foundation
- 3-5 = Much more can be done
- 1-2 = Much more should be done



Questions distilled from *Sport for All, Play for Life: A Playbook to Get Every Kid in the Game*, by the Aspen Institute's Project Play, which developed its framework with input from 300+ thought leaders.

Additional experts and resources were consulted in the development of the checklists. Background on and resources supporting the checklists are at: www.projectplay.us

WHAT TO AIM FOR IN YOUTH PROGRAMS

FOR KIDS (AGES 6-12) WHO PLAY SPORTS

If you're a parent or caregiver, your favorite athlete is probably the one you're raising. Ten questions to ask of yourself, your child and local programs to make sports a great experience:

- 1. HAVE I ASKED MY CHILD *WHY* THEY WANT TO PLAY SPORTS?**

Is it to have fun with classmates? Be tested at the highest level competitively? What do they want to get from the activity? Finding the right program starts with understanding a child's social-emotional needs.
- 2. HAVE I ASKED MY CHILD WHICH SPORTS INTEREST THEM?**

Most kids get funneled into the same small handful of sports. But there are 120 of them offered across the U.S., with programs that might just be a few miles away. There's a sport for every kid. Explore the options with them.
- 3. DO I ENCOURAGE UNSTRUCTURED AND LOOSELY STRUCTURED PLAY?**

Michael Jordan had a "love of the game" clause in his NBA contract that allowed him to play pickup hoops. Build the same ethos into your kid's experience so it's not all organized competition. Give kids equipment, and get out of the way.
- 4. DOES MY CHILD'S PROGRAM PROMOTE MULTI-SPORT PARTICIPATION?**

As early as grade school, your child may get pressure to focus on playing one sport year-round. Research on child and athletic development rejects this approach. Ask program leaders how they'll make room for playing other sports.
- 5. ARE THE COACHES TRAINED IN KEY COMPETENCIES TO WORK WITH KIDS?**

The best programs mandate training in coaching philosophy/methods, sport skills & tactics, and safety protections including First Aid and CPR (and, in collision sports like football and hockey, concussion management).
- 6. DOES THE PROGRAM EMBRACE SMALL-SIDED, AGE-APPROPRIATE PLAY?**

Kids are not miniature adults. Six isn't even 16. Children learn better and have more fun when play spaces, equipment and the number of participants on the field/court/ice are modified to their level. Small rosters help, too.

7. DOES THE PROGRAM OFFER AN APPROPRIATE PRACTICE-TO-GAME RATIO?

Kids want access to the action. You want them to be physically active, while also minimizing the costs and time allocated to away-game transportation. The best programs understand that development mostly occurs in training. At least two practices for every game is best.

8. DOES THE PROGRAM ENCOURAGE EQUAL PLAYING TIME?

There's a time for programs to sort the weak from the strong in sports. It's not before kids grow into their bodies, minds, and interests. Through age 12, at least, programs should invest in every kid equally. That includes playing time.

9. DOES THE PROGRAM SYSTEMATICALLY SEEK FEEDBACK FROM KIDS AND PARENTS?

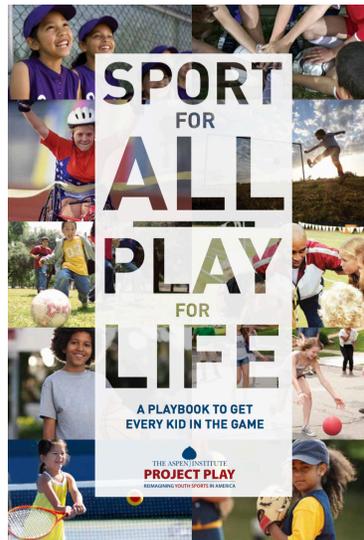
A simple online survey is easy enough to create and send at the end of the season, collecting insights that can be shared with program leadership to improve quality and foster retention. Honor the programs that honor input.

10. DOES THE PROGRAM MAKE EFFORTS TO FOSTER PHYSICAL LITERACY?

Physical Literacy is the ability, confidence and desire to be active for life, with an emphasis on fundamental movement skills – not just sport-specific skills. Learning to move well can open access to dozens of sports.

SCORE/BOXES CHECKED:

- 9-10 = Ideal scenario for kids
- 6-8 = Solid foundation
- 3-5 = Much more can be done
- 1-2 = Much more should be done



Questions distilled from *Sport for All, Play for Life: A Playbook to Get Every Kid in the Game*, by the Aspen Institute's Project Play, which developed its framework with input from 300+ thought leaders.

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NGB COUNCIL NEWSLETTER

April 2018

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Learn from some of the best physicians, researchers, and organizations leaders

NGB FUNDRAISING BEST PRACTICES SEMINAR AND WEBINARS

Register for the only seminar designed just for NGB fundraisers

2018 WOMEN IN COACHING CONFERENCE

The USOC is excited to partner with the Alliance of Women Coaches and the NCAA to provide this coach development opportunity to new and existing female coaches.

2018 OLYMPIC AND PARALYMPIC ASSEMBLY

Save the date for the 2018 Olympic and Paralympic Assembly.

Key dates

2019 program requests for Colorado Springs and Lake Placid OTCs – June 1

Winter High Performance Plans – June 1

Summer High Performance Plans – August 1

Sportslink, NGB Best Practices, and TEAMS Conference – October 1-4

NGB/HPMO LEADERSHIP WELCOME

Welcome to our new NGB/HPMO leaders, who joined the Council in Q1 2018:

- USA Archery: [Rod Menzer](#)
- USA Roller Sports: [Eric Steele](#)

USA Triathlon: Teaming Up with IRONMAN to Grow Triathlon Participation

In January, USA Triathlon and IRONMAN [launched Time to Tri](#), an initiative to introduce 100,000 new participants to the sport of triathlon by the end of 2020. Time to Tri provides free training plans, racing tips and other beginner resources at its online hub, mytimetotri.com. It is a strategic joint effort between two organizations that have been viewed as competitors in the past — but at the same time, the entire industry was asked to get involved with the premise that a rising tide lifts all ships. Many race directors, coaches, retailers and triathletes of all levels have contributed by providing free or discounted resources to support newcomers. This industry-wide collaborative acquisition strategy has shown results in its first few months and a similar approach can be applied to other NGBs. Feel free to reach out for more information.

CONTACT: Rocky Harris (rocky.harris@usatriathlon.org)

USA SWIMMING LEADERSHIP SUMMIT

The 2018 USA Swimming Leadership Summit, April 20-22, is an innovative athlete-driven initiative to invest in USA Swimming's young leaders. Swimmers and coaches from across the country will attend the three-day conference centered on values, leadership voice, leading peers and being leaders in the community.

The summit's all-female coaching staff includes Sue Chen from Nation's Capital Swim Club, Alison Beebe from Santa Clara Swim Club, Crystal Keelan from Penn Charter Aquatic Club, Olga Espinosa from St. Croix Swim Club, Alexis Keto from New Trier Aquatics, and Kate Lundsten from Aquajets Swim Team.

"We are incredibly proud and thankful of the group of athletes and professionals who are committing to giving back to the younger generation and contributing to the legacy of the sport of swimming," USA Swimming President and CEO Tim Hinchey said. "This first-ever athlete-initiated leadership summit will provide our young members with an unparalleled perspective and a unique opportunity to learn key leadership abilities from their peers."

CONTACT: Cathy Durance (cdurance@usaswimming.org)

ORACLE – NETSUITE CLOUD SYSTEM OPPORTUNITY

NetSuite is a cloud uniform system customized for an individual organization's needs. USA Shooting is in the process of transferring their cloud systems to NetSuite for a cost of \$0. Evan Goldberg, the founder of Oracle has a passion for non-profits and awards grants to cover the costs of transferring and hosting services with NetSuite. The initial cost of the software with installation and training is \$70,000, with \$15,000 in costs per year after. However, this program brings the costs to \$0. Learn more about this opportunity [here](#).

ATHLETE CAREER AND EDUCATION UPDATE

ACE has a number of upcoming opportunities for athletes:

1. [PIVOT WORKSHOP FOR RETIRING ATHLETES](#)

JUNE 21-22 | COLORADO SPRINGS, COLO.

ACE is conducting a Pivot Workshop June 21-22 for retiring and recently retired Team USA athletes looking for their next steps after sports. Please forward potential candidates to [Terris Tiller](#), or [click here to Learn more](#).

2. [ACE | USOC TUITION GRANTS](#)

APPLICATIONS OPEN: MAY 9

Team USA athletes can apply online to receive a USOC Tuition Grant beginning May 9. The grants are intended to encourage athletes to further their formal education in preparation for lifelong career goals by defraying a portion of athletes' tuition costs. Applications are available on the ACE platform for current and retired Olympic, Paralympic, Pan American, Parapan American and Games alumni athletes. Visit ACE for more information and/or email [Megan Psyllos](#) with questions.

CONTACT: Leslie Klein (Leslie.Klein@usoc.org)

2018/2019 TEAM USA LEADERSHIP CERTIFICATE PROGRAM

We are pleased to announce the [application](#) period for the 2018– 2019 Team USA Leadership Certificate Program (also known as the Kellogg program) is now open. Those who wish to apply for this prestigious leadership development opportunity are encouraged to review the [attached](#) materials and work closely with organization leadership on submissions.

CONTACT: Beth Lenherr, TULCP Program Manager (teamusaacademy@usoc.org)

ICECP COLLABORATIVE COACHING SCHOLARSHIP OPPORTUNITY

The International Coaching Enrichment Certification Program (ICECP) is a program operated by the USOC Coaching and International Relations Departments, IOC Solidarity and the University of Delaware. For the past decade, this program has been oriented to international coaches coming to the US for education through Olympic Solidarity grants. The formal program consists of over 6 weeks of coach education and apprenticeships in the US followed by carrying out individual projects and presenting final reports.

Thanks to a new vision and mission for the program, the USOC Coaching and International Relations team has worked to revamp the program curriculum and integrate US coaches from our NGBs with the international coach cohort. US coaches looking to dive deeper into the sport science and coaching application can now apply to take part in this new blended online and in-person training.

The program starts off with online learning modules to establish a baseline of knowledge that are to be completed before a two week in-person training. The in-person training will further explore complex sport science topics from USOC experts as well as provide opportunities to advance coaching skills in practical application sessions. This will be held at the Colorado Springs Olympic Training Center. Following the in-person training, coaches will continue their development through an apprenticeship and additional online learning, while completing an approved project of their choice that advances themselves, their athletes and/or their NGB.

If accepted, coaches will receive a scholarship for the program from the USOC that covers all expenses associated with travel, education and programming. This program is perfect for identified developing coaches in your NGB pathway that will benefit from a deeper understanding of the sport science, coaching science and how to apply these sciences in practice. The projects will serve as a platform for advancing coaching, athlete and NGB success on a national level.

The application process for the ICECP 2018/2019 program is now open. Coaches who are supported and approved by their NGB can apply for this unique learning experience. Ten coaches will be selected by a committee comprised of USOC and program experts for this scholarship program. Additional information is available online at <http://www1.udel.edu/ICECP/programinfo/overview.html>.

Applications are being accepted online at <http://www1.udel.edu/ICECP/program/applicationnational.html>.

Please see this [attachment](#) for more information. All applications must be received and submitted with support of the NGB by May 14th.

CONTACT: Christine Bolger (Christine.Bolger@usoc.org)

PARTICIPATION WELCOME AT THE 2ND ANNUAL INJURY PREVENTION SYMPOSIUM

The USOC Sports Medicine Division is requesting each NGB provide a medical contact to funnel all medical inquiries or opportunities through such as below. Please forward names to Christine.johnson@usoc.org.

We welcome your participation at the 2nd Annual Injury Prevention Symposium, May 3-5, 2018 at the Four Seasons in Vail Colorado. Featured speakers will include Steadman Philippon physicians, researchers and organization leaders, as well as experts from the United States Olympic Committee and North America who will speak on injury prevention. This amazing multi-day program is held in partnership with the Steadman Philippon Research Institute and the United States Olympic Committee Coalition for Prevention of Illness and Injury in Sport.

CME credits are available. Please feel free to share with others that you think would be interested. More information can be found online at www.sprivail.org/events/injury-prevention-symposium

CONTACT: Christine Johnson (Christine.Johnson@usoc.org)

NGB FUNDRAISING BEST PRACTICES SEMINAR AND WEBINARS

NGB Fundraising Best Practices Seminar – May 7-9, 2018, Colorado Springs

Join your NGB fundraising colleagues at the only conference designed just for NGB fundraisers. The seminar this year will include networking, presentations from NGBs and a fantastic lineup of speakers. A draft agenda, including speakers and topics is attached. [Please sign up to attend this unique seminar!](#)

The cost of the seminar is free to attend, but travel costs are up to the NGB to cover. [Please register here for the seminar.](#)

NGB Fundraising Best Practices Seminar Optional Masterclass on Development Planning for Small Shops – May 7, 8:00 a.m. – 2:30 p.m.

We have been able to add an optional masterclass taught by [Alan Hutson of the Monument Group](#) to the NGB Fundraising Best Practices Seminar Alan will also be running a masterclass on Monday, May 7

from 8:00 – 2:30 at USOC HQ. The masterclass is focused around development planning for small shops. It will cover how to plan and budget and where to start when you only have 10% of the time needed to achieve 100% of your goal. The class size is limited to 20 people so it is first come first served with one person per NGB (there is a waiting list of additional NGB attendees if space allows). There is no cost to attend. We'll pay for parking in the city garage and serve breakfast and lunch. [Please RSVP directly to Martha to attend.](#)

NGB Fundraising Webinars:

There is still time to sign up for the following webinars:

Webinar: Demystifying Planned Giving – Presented by Rachel Muir
Tuesday, May 1, 11:00 a.m. – 12:30 p.m. MT

Who Are You Again? Building Relationships to Help You Raise More Money – Presented by Kishshana Palmer
Tuesday May 22, 11:00 a.m. – 12:30 p.m. MT

Please RSVP to Martha if you would like to attend any or all of these webinars.

MORE!

Martha is available to help your NGB with fundraising. Here are some services that she can offer:

Fundraising Planning: Assistance creating and executing a fundraising plan for your NGB

Fundraising Coaching: Work with NGB, NGB Foundation or both boards and staff to present fundraising statistics, best practices and advice for specific NGB

NGB Fundraising Staffing: Assistance in building a job description and budget for fundraising staff. Help with interview, hiring and onboarding process

Any other fundraising related questions: She is here as a resource for you. Please let her know if you have any questions about fundraising.

CONTACT: Martha Johnson (Martha.Johnson@usoc.org)

2018 WOMEN IN COACHING CONFERENCE

The United States Olympic Committee (USOC) is pleased to announce the 2018 Women in Coaching Conference July 23 – 25 at the Colorado Springs Olympic Training Center. We are excited to partner with the Alliance of Women Coaches and the NCAA to provide this coach development opportunity to new and existing female coaches.

Programming will include leadership and communication as well as high performance information shared by USOC sport service providers. Program topics will include:

- Defining Quality Coaching
- What Makes a Great Coach
- Coach Master Class with Team USA Coaches
- Dealing with Conflict
- Sport Performance Breakout Sessions in nutrition, sport psychology and more!
- Overcoming Coaching Challenges
- Emotional Intelligence and Coaching

We're also excited to share an experiential coach observation session that will be led by facilitators currently working with Team USA. Attendees will have the opportunity to observe live practice sessions and Team USA coaches and learn how to improve your coaching performance.

There will be a pre-conference workshop the morning of July 23rd on Transformational Coaching – registration is required and lunch will be provided to attendees prior to the conference start.

Don't miss this opportunity to engage with Team USA! Space is limited so save your spot now! Learn more [here](#).

Attendees have the opportunity to stay onsite at the Olympic Training Center during the event.

CONTACT: Kevin Pearson (Kevin.Pearson@usoc.org)

2018 OLYMPIC AND PARALYMPIC ASSEMBLY

Please visit www.teamusa.org/Assembly for information regarding the 2018 U.S. Olympic and Paralympic Assembly.



SAVE THE DATE

2018 U.S. Olympic and Paralympic Assembly

Thursday, September 20 – Friday, September 21

The Broadmoor – Colorado Springs, Colo.

1467 SWIMMERS



**779 Women
688 Men**

Ratio

1.16 Women to Men

Swimmers per Team

- 48 from Somerset Valley, NJ
- 45 from Red Bank, NJ
- 38 from Sarasota, FL
- 37 from Lakeland Hills, NJ
- 37 from Triangle Area, NC



353 COACHES



VOLUNTEER OFFICIALS

107



77 COLLEGE/ UNIVERSITY COACHES



**AGE : Avg=16.2;
Median=16**

- 12 Swimmers 12 years old
- 45 Swimmers 13 years old
- 122 Swimmers 14 years old
- 238 Swimmers 15 years old
- 345 Swimmers 16 years old
- 442 Swimmers 17 years old
- 253 Swimmers 18 years old

2018

YMCA SHORT COURSE NATIONALS MEET STATISTICS

**ESTIMATED SPECTATORS
1,400**



**ENTRIES
4248**

TEAMS

204



Team Size:

Avg size= 7; Median Size= 4

- 55 teams with 1 swimmer
- 24 teams with 2 swimmers
- 10 teams with 3 swimmers
- 13 teams with 4 swimmers
- 20 Teams with 5 swimmers
- 12 Teams with 6 swimmers
- 9 Teams with 7 swimmers
- 4 Teams with 8 swimmers



6 BROKEN RECORDS

**3673 Individuals
575 Relays**

1941 Pre-entered Time Trials

2338 Total Time Trials



Averages

- 2.5 Entries per swimmer
- 1.6 Time Trials per swimmer
- 2.4 Time Trials by TT entered swimmers

- 41 from PA
- 28 from OH
- 16 from NJ
- 12 from NY
- 11 from NC
- 9 from IL
- 9 from WI

**TEAMS FROM
28 STATES**



- AK, AL, CT, DE, FL, IA, ID, IL, IN, KY, MA, MD, ME, MI, MO, NC, NJ, NY, OH, PA, RI, SC, TX, VA, VT, WA, WI, WV



Report to USA Swimming Board of Directors

Ed Tsuzuki, USMS Liaison

September 2017

Membership:

Membership continues to be our biggest challenge. Although the retention rate continues to be on par with prior years, new membership continues to lag. Overall, USMS ended 2017 with 64,000 members (-2.7% from the year prior) and 1500 Clubs and Workout Groups (+10% from the year prior). We are forecasting to end 2018 with 62,000 members.

USMS 3.0

Please visit usms.org to see our new web platform that was launched on April 3. The new site is mobile responsive and provides USMS with modern analytics and tools to personalize our visitors experience.

USMS 3.0 is a plan developed over the last 18 months to modernize our technology infrastructure for the future, keep pace with our membership expectations related digital benefits, enhance membership value, invest in software that is maintained and updated by experts, and provide our members a quality experience on usms.org and when logging in to utilize digital membership benefits.

The primary focus of Phase 1 targets new member acquisition and building a database of prospective members. We are now at the start of Phase 2, which is focused on the digital benefits and communication tools provided to USMS members (i.e. retention).

College Club Swimming:

USMS officially launched College Club Swimming (CCS) in August. CCS is an association of collegiate non-varsity clubs dedicated to supporting camaraderie, friendship and sportsmanship within the swimming community. USMS is serving in an advisory capacity to the growing community of college club swimmers with support that will provide consistency from year to year, communication, an event results database, and giving legitimacy to new and pre-existing clubs in the eyes of the university, which will allow clubs to apply for more school funding. This is a long-term strategy to build USMS membership in a younger demographic and bridge the gap from high school and college swimming to U.S. Masters after graduation.

Expectations were exceeded for the first year of this program and we are currently exploring ways to create a dual membership so CCS swimmers may receive the benefits of USMS events and participate in sanctioned events.

2017-18 School Year-to-Date registrations:

- 116 Clubs
- 4500 Swimmers



Report to USA Swimming Board of Directors

Ed Tsuzuki, USMS Liaison

September 2017

The USMS Fitness Series:

This initiative, developed by the Fitness Education committee in consultation with the national office is designed to attract swimmers that don't currently participate in USMS events, both current and non-members alike. The "Fitness Series" will consist of 3 events: The "[Winter Fitness Challenge](#)" – a [30-minute swim](#) during the last two weeks of February. The "Summer Fitness Challenge" – a 2000-meter swim during the last two weeks of July and a "Fall Fitness Challenge" – a 1-mile swim during the last two weeks of November. The Fitness Series was inspired by running events that happen around the country every weekend that include realistic distances for an individual or group to train to achieve, along with a community based fundraising initiative. Proceeds from the Fitness Series registration will support the Swimming Saves Lives Foundation and opportunities to fundraise for local causes including club initiatives are built in. These events, which will be hosted by clubs at their home pools and can be done during regular workouts, should be viewed as a fitness goal or achievement and a fun event in which to take part with your club.

The Winter Fitness Challenge attracted almost 1300 swimmers and 65 clubs participated officially. We hope to expand the participation during each event this year. In addition, we were able to secure a title sponsor for these event in Smarty Pants Vitamins.

Swimming Saves Lives Foundation:

In 2018, the SSLF awarded \$108,000 (+\$21k from prior year) in grants to more than 47 programs (+10 from prior year) to assist in their 2018 efforts to teach adults to swim. USMS increased donations again in 2017, collecting \$157,000 that will be distributed through grants for adult-learn to swim programs in 2019.

American Swimming Coaches Association Report to the Board of Directors of USA Swimming. Covering Jan.1, 2018 – through End of April, 2018.

1. International Scope – At the present time, the ASCA serves 5,981 International members from 121 nations. 3,688 are Certified Coaches.
2. International Activity Jan-April, 2018

January – Clinics in Japan, Dubai – Levels 1-2-3 Schools – 109 coaches served.

February – Clinics in Trinidad, Shanghai, and Egypt Level 2-3 Schools – 138 coaches served.

March – Clinics in Tanzania, South Africa and Beijing - Levels 1-2-3 Schools– 144 coaches served.

April – Clinics in Malaysia, Australia and Bangalore – Levels 1-2-3-4 – 344 coaches served.

Totals for first 1/3 of year – 11 nations – 18 schools – 735 coaches served.

3. Planned clinics in remainder of 2018 in:

UAE

Singapore

Egypt

South Africa

Botswana

Thailand

Vietnam

Philippines

Hong Kong

Beijing

Shanghai

ASCA Certification remains the most sought after Coaching Certification in the world.

Respectfully submitted: John Leonard JLeonard@swimmingcoach.org 1-800-356-2722