

# USA Swimming Board of Directors Meeting Minutes

September 25, 2018 / Hyatt Regency Jacksonville Riverfront

## 1 CALL TO ORDER

2 USA Swimming Board Chair, Jim Sheehan, called the September 25, 2018 Board of  
3 Directors meeting to order at 8:06 a.m. Eastern Time with the following members in  
4 attendance:

5  
6 **PRESENT:** Dale Ammon, Tim Bauer, John Bradley, Robert Broyles, Anthony Ervin, Tristan  
7 Formon, Clark Hammond, Tim Hinchey, Amy Hoppenrath, Dan McAllen, Lucinda  
8 McRoberts, Derek Paul, Sean Redmond, John Roy, Jim Ryan, Jim Sheehan, Bruce Stratton, Ed  
9 Tsuzuki, Mary Turner, Ron Van Pool, Robert Vincent, Jim Wood, Carol Zaleski.

10  
11 **NOT PRESENT:** John Bitter, Van Donkersgoed, Natalie Hall, Don Heidary, Bill Maxson, Dale  
12 Neuburger (joined via conference line), Aaron Peirsol, Chip Peterson, Davis Tarwater, Amy  
13 Schulz, Marie Scovron, Mark Weber, Garrett Weber-Gale.

## 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 Clint Benton (Pacific Swimming), Sandi Blumit (Risk Management Services), Bill Charney  
36 (Charney Associates), David Cooper (Risk Management Services), Susan Teeter (New Jersey  
37 Swimming), Greg Earhart (College Swimming Coaches Association of America), Greg Eggert  
38 (United States Aquatic Sports), Jeff Gudman (Oregon Swimming), Will Indest (Ohio

Swimming), Paris Jacobs (Potomac Valley Swimming), Michael Lawrence (International Relations Committee), Cathy Mendez (Oklahoma Swimming), Deanna Oliphant (Oklahoma Swimming), Kathleen Prindle (Minor Transgender Task Force), Joel Shinofield (College Swimming Coaches Association of America), Paul Thompson (Oklahoma Swimming), Tom Ugast (Potomac Valley Swimming), Lou Valentic (K&K Insurance).

#### **STAFF**

Tom Avischious, Paula D'Amico, Cathy Durance, Matt Farrell, Elizabeth Hahn, Jim Harvey, Debbie Hesse, Lindsay Mintenko, Isabelle McLemore, Mick Nelson, Sue Nelson, Mariejo Truex, Mike Unger, George Ward.

#### **RECOGNITION OF RECORDS**

Dan McAllen reported that two World Records were set since the last Convention; one by Katie Ledecky in the 1500 meters and one by Kathleen Baker in the 100-meter backstroke this past summer at the National Championships. Mr. McAllen encouraged the Board to notice the achievements of the Scholastic All Americans and also noted a few other records including, 26 American Records (12 relays) and 34 U.S. Open records (seven relays) (Attachment 2).

#### **BOARD CHAIR'S REMARKS**

Jim Sheehan welcomed everyone to Convention and thanked them for their support over the last four years.

#### **MINUTES**

**MOTION:** *To approve the May 12, 2018 Board of Directors meeting minutes (Attachment 3).*  
*Seconded. APPROVED.*

#### **FINANCIAL UPDATE/ACTIONS**

Bob Vincent reported that USA Swimming is doing well financially.

Jim Harvey submitted a written report (Attachments 4 – 9) and provided verbal highlights, including that balance sheet is strong with over \$40 million in cash investments and an operating surplus of \$11.3 million. Mr. Harvey reported on the challenges facing the operating budget, including lower membership, no new major sponsors and extra expenses associated with the Phillips 66 National Championships and TYR Pro Swim Series, but that overall the budget for this year was executed as planned.

Mr. Harvey gave an overview of the provisions within Monitoring Policy 3.4: Financial Condition and Activities and reported compliance with each item (Attachment 10).



78 **MOTION:** To approve Monitoring Policy 3.4: Financial Condition and Activities as reported.  
79 Seconded. **APPROVED.**

80  
81 Mr. Harvey reported that all five components of Monitoring Policy 3.6 Financial Planning  
82 and Budgeting are in compliance (Attachment 11). Mr. Harvey also mentioned that the  
83 2018 projected budget has a deficit of \$493,863, which beats the budget by \$4,238 and will  
84 cover the previously referenced challenges. The updated quad projected surplus will be  
85 \$409,624 but that will go to zero in the next budget proposal. He also noted an updated  
86 Capital budget was provided in the Board materials.

87  
88 **MOTION:** To approve Monitoring Policy 3.6 Financial Planning and Budgeting as reported.  
89 Seconded. **APPROVED.**

90  
91 Mr. Vincent remarked on the savings from this past year and thanked Jim Harvey for his 17  
92 years of service to USA Swimming.

93  
94 Mr. Harvey provided an investment update, including that the second quarter portfolio  
95 performance was positive by about half a percent. At the end of June, the portfolio was at  
96 about break even, and it has outperformed its benchmark for the 1, 3, and 5-year periods.  
97 Finally, Mr. Harvey reported on the Foundation financials, including that there was  
98 \$930,000 in fundraising – \$710,000 in major gifts and grants and \$220,000 raised by the  
99 annual campaign – and grants to the National Team and Make a Splash local partners were  
100 higher than in 2017.

#### 101 102 **MONITORING ORGANIZATIONAL PERFORMANCE**

103 Bill Charney explained when the Board is accepting these Policy reports, they are looking to  
104 see if the staff's interpretations of the policies are reasonable. Mr. Charney went on to  
105 explain the structure and purpose of the monitoring reports.

#### 106 107 **MANAGEMENT PARAMETERS MONITORING**

108 Tim Hinchey presented Monitoring Policy 3.10 LSC Reporting Requirements (Attachment  
109 12), and Jim Sheehan highlighted that within the report there is a suggestion to update the  
110 target date to January 2020 for agreements between USA Swimming and LSCs to be  
111 approved.

112  
113 **MOTION:** To approve the established target date of January 2020 within the Monitoring  
114 Policy 3.10 LSC Reporting Requirements. Seconded. **APPROVED.**

**MOTION:** To approve Monitoring Policy 3.10 LSC Reporting Requirements. Seconded.  
**APPROVED.**

## **ENDS MONITORING**

Mike Unger highlighted aspects of Monitoring Policy 1.1 Competitive Success (Attachment 13) and explained a few areas where USA Swimming is still working to meet its key performance indicators.

**MOTION:** To approve the suggested language in Provision D of Monitoring Policy 1.1 Competitive Success. Seconded. **APPROVED.**

**MOTION:** To approve Monitoring Policy 1.1 Competitive Success as submitted. Seconded.  
**APPROVED.**

Matt Farrell presented Monitoring Policy 1.3 Public Engagement with Swimming (Attachment 14) and explained that USA Swimming is using 2018 to set new baseline metrics in areas of sport participation, membership, diversity, and digital swimming engagement.

Tim Hinchey added that the staff is working on the language within Monitoring Policy 1.3 and summarized some of the suggested changes.

**MOTION:** To approve the five suggested language changes to Monitoring Policy 1.3 Public Engagement with Swimming. Seconded. **APPROVED.**

**MOTION:** To approve Monitoring Policy 1.3 Public Engagement with Swimming as submitted. Seconded. **APPROVED.**

## **CLOSED SESSION**

### **LITIGATION UPDATE**

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

The Board remained in closed session to discuss certain financial items related to the USA Swimming Safe Sport program.

**MOTION:** To designate \$1,500,000 of reserves to fund SwimAssist costs that exceed the operating budget. This reserve will come out of the \$19,726,196 that was designated by the Board of Directors in 2017 from proceeds of the sale of USSIC. Seconded. **APPROVED.**

**MOTION:** To approve the spending of up to \$750,000 of undesignated reserves for the purpose of expenses related to abuse investigations by United States Senate and House of Representatives and implementation of unbudgeted Safe Sport expenses in 2018. Seconded. **APPROVED.**

## **BOARD PROCESS**

### **DISCUSSION/UPDATE ON THE NOMINATIONS/ELECTIONS PROCESS**

Clark Hammond provided an overview of the Nominating Committee's process in selecting nominees to the Board of Directors, including applications, interviews, and elections.

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

#### **U.S. AQUATIC SPORTS**

Jim Sheehan read USA Swimming's statement in support of U.S. Aquatics Sports' new mission statement.

#### **USAS DELEGATE TO UANA EXTRAORDINARY CONGRESS (HANGZHOU, CHINA – DECEMBER 2018) AND UANA CONGRESS AT 2019 PAN AM GAMES IN LIMA, PERU**

Jim Sheehan recommended the newly elected Board Chair should attend the UANA Extraordinary Congress in December 2018, as well as the UANA Congress in 2019 during the Pan American Games in Lima, Peru.

**MOTION:** To approve sending the newly elected Board Chair to the UANA Extraordinary Congress in December 2018 and the UANA Congress in 2019 during the Pan American Games in Lima, Peru. Seconded. **APPROVED**

#### **USAS OFFICER ELECTIONS**

Jim Sheehan expressed his interest in serving as Vice President over the next four years and asked the Board for their support.

**MOTION:** To support Jim Sheehan as a Vice President of U.S. Aquatic Sports. Seconded. **APPROVED.**

#### **COLLEGE SWIMMING INITIATIVE UPDATE**

Joel Shinofield reported on the success of the Scholar All-America program in which swimming and diving student athletes are thriving academically and increasing in numbers. Mr. Shinofield also updated the Board on other initiatives, including continuing work with the University of Idaho, the National Invitational Championship, program evaluations, and the shortage of female coaches (Attachment 15).

**AEC POLICY MANUAL UPDATE**

Derek Paul highlighted updates to the Athletes' Executive Committee Policy Manual, which he noted were driven by the new Board structure (Attachment 16).

**MOTION:** *To approve the changes to the Athletes' Executive Committee (AEC) and USA Swimming Athletes' Committee–Operating Policy Manual. Seconded. APPROVED.*

**SWIMS MANUAL UPDATE**

Dan McAllen provided some background on why changes were being made to the SWIMS Manual to include times from Paralympic meets (Attachments 17 – 18).

**MOTION:** *To approve the changes to the Times Module Policy and Guidelines to include paragraph 9.0, which allows times achieved at U.S. Paralympic Meets by USA Swimming members to be included in the SWIMS database. Seconded. APPROVED.*

**2019-2020 CHAMPIONSHIP SITE PROPOSALS**

Mike Unger asked the Board to approve the recommended championship sites for future events (Attachment 19).

**MOTION:** *To approve the recommended championship sites for 2019 and 2020 events. Seconded. APPROVED.*

Derek Paul recused himself from voting due to a conflict of interest.

**MINOR TRANSGENDER TASK FORCE RECOMMENDATIONS**

Kathleen Prindle presented on the recommended changes to the USA Swimming Policies and Procedures Manual to provide more fair and inclusive policies, including clear and consistent criteria for meet qualifications and team selection (Attachments 20 – 21).

**MOTION:** *To approve the proposed changes to Section 27: Athlete Inclusion Procedures of the USA Swimming Policies and Procedures Manual. Seconded. APPROVED.*

**AGE GROUP TECH SUIT PROJECT RECOMMENDATIONS**

Tim Bauer updated the Board on the tech suit recommendations going before the House of Delegates, including working with suit manufactures on what is and isn't considered a tech suit.

233 **PROGRAM & EVENTS COMMITTEE**

234 Jim Sheehan reported that the Program and Events Committee will be named within the  
235 same timeframe as all other national committees.

236  
237 **BYLAWS UPDATE**

238 Lucinda McRoberts presented the proposed Amendments to the Bylaws (Attachment 22).

239  
240 **MOTION:** *To approve the proposed Amendments to the Bylaws. Seconded.* **APPROVED.**

241  
242 **HURRICANE FLORENCE RESOLUTION**

243 Jim Sheehan presented the Hurricane Florence Resolution (Attachment 23).

244  
245 **MOTION:** *To approve the Hurricane Florence Resolution. Seconded.* **APPROVED.**

246  
247 **CEO/STAFF UPDATES**

248 Tim Hinchey submitted a written report (Attachment 24).

249  
250 **USA SWIMMING FOUNDATION REPORT**

251 Debbie Hesse reported that the Foundation is ahead of expectations and well on their way  
252 to meeting their goals for 2018. Ms. Hesse provided details on sponsor partnerships and  
253 emphasized the Foundation's program support through Make a Splash and the local  
254 partners who were involved in the Make a Splash tour. Ms. Hesse added that the  
255 Foundation will be creating a new Public Service Announcement and that through Building  
256 Champions, the Foundation was able to distribute over \$750,000 to the National Team and  
257 \$120,000 to Sport Development in 2018.

258  
259 **STAFF REORGANIZATION UPDATE AND 2018-19 KPI'S**

260 Mike Unger updated the Board on the Sport Development/Technical Division's key  
261 performance indicators (KPIs), including the success at the 2018 Pan Pacific  
262 Championships, hiring Jon Urbanchek as the National Team Technical Advisor, the launch  
263 of the flex membership, and that a new version of LEARN is progressing. Mr. Unger also  
264 provided an update on the 2020 Olympic Trials in Omaha.

265  
266 Matt Farrell reported on the Commercial Division's KPIs, including an update on the  
267 Customer Relationship Management (CRM) project, an overview of the Phillips 66 National  
268 Championships, and the direction of sponsorships.

269  
270 Lucinda McRoberts recapped Business Affairs' KPIs, including online member services  
271 development, the technological developments related to the CRM project, and the creation  
272 of a risk management succession planning tool kit for clubs.

273  
274 Tim Hinchey reported on the process of renovating USA Swimming headquarters.

276 **BOARD SCHEDULE**

277 **UPCOMING IN-PERSON BOARD MEETINGS**

- 278       • Board Meeting, November 18, 2018  
279       • Board Meeting, February 2, 2019  
280       • Board Meeting, April 27, 2019

281

282 **OTHER MEETINGS/EVENTS**

- 283       • Board Orientation, October 26 & 27, 2018

284

285 **SUMMARY OF FOLLOW-UP ITEMS**

286 There were no follow-up items.

287

288 **CLOSING REMARKS**


289 Jim Sheehan thanked the Board for their dedication and work.

290

291 **ADJOURN**

292 USA Swimming Board Chair, Jim Sheehan, adjourned this meeting at 11:40 a.m. Eastern  
293 Time.

Respectfully submitted:



Lucinda McRoberts, General Counsel & VP Business Affairs



Jim Sheehan, Board Chair

## **USA Swimming Board of Directors Minutes Attachments**

September 25, 2018 / Hyatt Regency Jacksonville Riverfront

Attachment 1	Page 1 – Agenda
Attachment 2	Page 2 – Vice Chair of Program Operations Report
Attachment 3	Page 2 – DRAFT May 12, 2018 BOD Meeting Minutes
Attachment 4	Page 2 – Vice Chair, Finance Report
Attachment 5	Page 2 – Budget Projection 2018 Mid-Year Report
Attachment 6	Page 2 – Capital Budget Report
Attachment 7	Page 2 – USA Swimming Q2 Financial Report
Attachment 8	Page 2 – USA Swimming Q2 Investment Summary
Attachment 9	Page 2 – USA Swimming Foundation Q2 Financial Report
Attachment 10	Page 2 – Policy 3.4: Financial Conditions & Activities
Attachment 11	Page 3 – Policy 3.6: Financial Planning and Budgeting
Attachment 12	Page 3 – Policy 3.10: LSC Reporting Requirements
Attachment 13	Page 4 – Policy 1.1: Competitive Success
Attachment 14	Page 4 – Policy 1.3: Public Engagement
Attachment 15	Page 5 – CSCAA Infographic
Attachment 16	Page 6 – AEC Policy Manual Update
Attachment 17	Page 6 – SWIMS Time Module Policy and Guidelines
Attachment 18	Page 6 – Policy Manual: Paralympics
Attachment 19	Page 6 – 2019-2020 Championship Sites
Attachment 20	Page 6 – Transgender Task Force Policy & Procedures Proposal
Attachment 21	Page 6 – Transgender Task Force Grid
Attachment 22	Page 7 – 2018 Proposed Bylaw Changes
Attachment 23	Page 7 – Hurricane Florence Resolution
Attachment 24	Page 7 - CEO Report to the Board
Attachment 25	Board Chair's Report
Attachment 26	Administrative Vice Chair Report
Attachment 27	AEC Report
Attachment 28	Eastern Zone Report
Attachment 29	FINA Bureau Report
Attachment 30	FINA Technical Committee Report
Attachment 31	UANA Report
Attachment 32	USOC & NGBC Reports
Attachment 33	YMCA Report



**USA SWIMMING BOARD OF DIRECTORS**  
**Meeting Agenda**  
**Jacksonville, FL / Tuesday, September 25, 2018 8 am – 5 pm**

Item #/Time Estimate													
A. (10 min)	<div>1) <b>Call to Order</b> <i>(Jim Sheehan)</i></div> <div>2) <b>Moment of Silence</b> <i>(Jim Sheehan)</i></div> <div>3) <b>Agenda Review</b> (2.3.3) <i>(Jim Sheehan)</i></div> <div>4) <b>Declaration of Conflict of Interest</b> (2.5.4) <i>(Jim Sheehan)</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?”  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.</div> <div>5) <b>Introductions</b> <i>(Jim Sheehan)</i></div> <div>6) <b>Recognition of Records</b> <i>(Dan McAllen)</i></div>												
B. (10 min)	<b>Board Chair's Remarks</b> <i>(Jim Sheehan)</i>												
C. (5 min)	<b>Approval of Minutes</b> <i>(Jim Sheehan)</i> <ul style="list-style-type: none"><li>May 12, 2018 Board of Directors meeting</li></ul>												
D. (20 min)	<b>Finance Update/Actions</b> <i>(Jim Harvey, Tim Hinchey, Bob Vincent)</i> NOTE: Consistent with the structural changes of officer roles and delegations, this item will, at subsequent meetings, be incorporated into the financial reporting under “Monitoring Organizational Performance” below.												
E. (40 min)	<div><b>MONITORING ORGANIZATIONAL PERFORMANCE</b> (Policy 4.4) (Suggest changing policy title to “Monitoring Organizational Performance”)</div> <div><b>A. Management Parameters Monitoring</b></div> <div>Board acts to accept/reject the following performance monitoring reports due/submitted since last meeting</div> <table><tr><th>POLICY #</th><th>TITLE</th><th>DUE DATE</th></tr><tr><td>3.4</td><td>Financial Conditions and Activities</td><td>Convention</td></tr><tr><td>3.6</td><td>Financial Planning and Budgeting</td><td>Convention</td></tr><tr><td>3.10</td><td>LSC Reporting Requirements</td><td>Convention</td></tr></table> <div><b>INSTRUCTIONS FOR THIS AGENDA ITEM:</b> It is important that the Board be sure its members are carrying out <u>their 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.)</div> <div>Suggested Motion:</div> <div><b>“MOTION: that the Board approve that the performance monitoring report on Policy #____, “ (title),” 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.”</b></div> <div>... the minutes should reflect a Board vote to approve the report based on this motion.</div> <div>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</div>	POLICY #	TITLE	DUE DATE	3.4	Financial Conditions and Activities	Convention	3.6	Financial Planning and Budgeting	Convention	3.10	LSC Reporting Requirements	Convention
POLICY #	TITLE	DUE DATE											
3.4	Financial Conditions and Activities	Convention											
3.6	Financial Planning and Budgeting	Convention											
3.10	LSC Reporting Requirements	Convention											





**USA SWIMMING BOARD OF DIRECTORS**  
**Meeting Agenda**  
**Jacksonville, FL / Tuesday, September 25, 2018 8 am – 5 pm**

Item #/Time Estimate										
	<p>whether the majority agrees that a reasonable interpretation of the policy has NOT been set forth, and/or achievement/compliance not reasonably substantiated.</p> <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>B. Ends Monitoring</b></p> <table><tr><th>POLICY #</th><th>TITLE</th><th>DUE DATE</th></tr><tr><td>1.1</td><td>Competitive Success</td><td>Convention</td></tr><tr><td>1.3</td><td>Public Engagement with Swimming</td><td>Convention</td></tr></table> <p>(same as above)</p>	POLICY #	TITLE	DUE DATE	1.1	Competitive Success	Convention	1.3	Public Engagement with Swimming	Convention
POLICY #	TITLE	DUE DATE								
1.1	Competitive Success	Convention								
1.3	Public Engagement with Swimming	Convention								
F. (30 min)	<p><b>Closed Session</b></p> <ul style="list-style-type: none"><li>• Litigation Update (<i>Lucinda McRoberts</i>)</li><li>• Personnel Update (<i>Tim Hinchey</i>)</li></ul>									
G. (60 min)	<p><b>Board Process</b></p> <p><b>A. DISCUSSION/UPDATE ON THE NOMINATIONS/ELECTIONS PROCESS.</b> (<i>Jim Sheehan/Clark Hammond/Bill Charney</i>)</p> <p><b>B. Committee, Task Force, and Other Reports Requiring Board Action or Discussion.</b> (<i>Jim Sheehan</i>)</p> <ul style="list-style-type: none"><li>a. U.S. Aquatic Sports<ul style="list-style-type: none"><li>i. New Mission Statement</li><li>ii. USAS delegate to UANA Extraordinary Congress (Hangzhou, China - December, 2018)</li><li>iii. USAS Candidate to UANA Congress at 2019 Pan Am Games in Lima, Peru</li></ul></li><li>b. College Swimming Initiative Update (<i>Joel Shinofield</i>)</li><li>c. AEC Policy Manual Update (<i>Derek Paul</i>)</li><li>d. SWIMS Manual Update (<i>Dan McAllen</i>)</li><li>e. 2019-2020 Championship Sites (<i>Mike Unger</i>)</li><li>f. Task Forces<ul style="list-style-type: none"><li>i. Minor Transgender Task Force Recommendations (<i>MJ Truex</i>)</li><li>ii. Age Group Tech Suit Project Recommendations (<i>Tim Bauer</i>)</li></ul></li><li>g. Program &amp; Events Committee (<i>Jim Sheehan</i>)</li><li>h. Bylaws Updates (<i>Lucinda McRoberts</i>)</li><li>i. Hurricane Florence Resolution (<i>Jim Sheehan</i>)</li></ul>									
H. (40 min)	<p><b>CEO/Staff Updates</b> (<i>Tim Hinchey</i>)</p> <p>CEO Hinchey would like to particularly update, discuss and receive board members’ feedback about:</p> <ul style="list-style-type: none"><li>A. USA Swimming Foundation Report</li><li>B. Staff Reorganization Update and 2018-19 KPIs</li></ul>									



**USA SWIMMING BOARD OF DIRECTORS**  
**Meeting Agenda**  
**Jacksonville, FL / Tuesday, September 25, 2018 8 am – 5 pm**

Item #/Time Estimate	
I. (10 min)	<b>Board Schedule:</b> <ul style="list-style-type: none"><li>A. <b>Upcoming In-Person Board Meetings:</b><ul style="list-style-type: none"><li>a. Board meeting, November 18, 2018</li><li>b. Board meeting, February 2, 2019</li><li>c. Board meeting, April 27, 2019</li></ul></li><li>B. <b>Other meetings/events</b> to be on 2018-19 Board members' calendars:<ul style="list-style-type: none"><li>a. Board Training - October 26-27, 2018 (Denver – arrival on October 25)</li></ul></li><li>C. <b>Summary of Follow-Up Items:</b></li></ul>
J.	<b>Closing Remarks.</b>
K.	<b>Adjourn</b>

**PROGRAM OPERATIONS REPORT**  
**September 25, 2018**

**Officials Committee**

following is an update on the activities of the Committee:

**Standardized lesson plan:** Lesson plan and PowerPoint for starter training of new officials completed and has been uploaded to the web site.

**Online Testing:** Testing materials updated and testing brought back on line in May 2017. Great thanks to Bill Rose and his team.

**Update to Situations & Resolutions:** Work on the updates are on-going with completion expected by the end of the year.

**Officials Clinic/Workshop:** The Officials training workshop will be held in Denver over the weekend of September 29. 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.

**Fina World Championships:** Jim Holcomb represented us at the championships in Budapest, Hungary.

**Fina World Junior Championships:** Jacki Allender, Robert Broyles, Cecil Gordon, Jim Holcomb, Amy Hoppenrath, Jeff Raker, Kathleen Scandary, and Wayne Shulby officiated at the meet in Indianapolis.

**U.S. Open and Speedo Junior Nationals:** Clark Hammond and Robert Broyles, respectively, were meet referees. Both meets were held in Long Island.

**Futures:** Four meets were held on the same weekend as the Open at sites around the country. It was difficult to field complete officiating crews with so many summer meets happening at the same time. Still, the referees for the four Futures meets (Hougardy, Martin, McCaw, and Gagliardo) adapted well and ran successful meets.

**Newsletters:** We continue to publish an officials' newsletter bimonthly. One of our athlete members, Patrick Hunter, is taking the lead on this effort.

**Conference Calls:** We continue to conduct quarterly conference calls with the LSC and Zone officials cha

**TIMES & RECOGNITION**

**Records**

- There were 53 NAG records (15 LC and 38 SC) records broken during the 2017-2018 season.
- There were 2 World records, 38 American records (26 individual and 12 relay), 41 US Open records (34 individual and 7 relay) and 5 World Junior records set during the 2017-2018 season.
- Thanks to Isabelle Fraser (NAG) and Lisa Olack (World, American, US Open, and World Junior) for compiling these numbers.

## **SAA**

- There were 1622 successful applicants for the 2017-2018 season. This is compared to 1158 the previous year. This was the third year using the Winter Junior Time Standards. This was the first year 9<sup>th</sup> graders were eligible. Many applicants still had difficulty navigating the form on the USA Swimming website.
- There were 239 successful 9<sup>th</sup> grade applications.
- The lists should be published very soon.
- Thanks to the SAA Subcommittee (Betty Kooy – chair) for all the hard work processing these applications in a timely fashion.

## **Para Swimming Times into SWIMS**

- The T&R Committee Chair and Suzanne Heath worked on a task force with US Paralympic representatives to develop a proposed policy to get times for USA Swimming registered para swimmers into SWIMS.
- The proposed policy has US Paralympics submitting meet results to the T&R Committee for loading into SWIMS after major competitions.

## **P66 Athlete Reimbursement**

- 219 athletes ranked in the top 100 in the world were awarded \$76,825 for the Phillips 66 National Championships (World Championship Trials).
- Special thanks to Larry Herr and Stacy Michael-Miller for their support of this program.

## **Other T&R Committee Activity**

- Requested times from American athletes swimming overseas were loaded into SWIMS.
- Requested times from Paralympic Swimming meets were loaded into SWIMS.
- The chair provided liaison to and technical support for the LSC Times Officers.

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

Policy Manual:

## **9.0 U.S. Paralympics Meets**

1. U.S. Paralympics uses the WPS (World Para Swimming) rules at all PARA swim competitions; WPS rules are identical to the Fina Technical Rules. Therefore, USA Swimming will recognize all times swum in approved PARA competitions.
2. Times from PARA competitions named by U.S. Paralympics and approved by the Times and Recognition Committee will be added to the SWIMS database for all USA Swimming members.

- A. Data entry will be for a current member swimmer and will include meet name, date, athlete name, event, time and club as identified in the SWIMS database on the date of the swim or as LSC-UN.
- B. No classifications are included in the data entry to SWIMS.
- C. Data entry will be completed by a member of the Times and Recognition Committee, as appointed by the chair, upon receipt of the meet file. It is recommended that meet results be received within 7 days of the end of the meet. The Times Officer should upload the results into SWIMS within 48 hours.
- D. All times from the PARA competitions in the SWIMS database may be used for any USA Swimming recognition program.

### **Times & Recognition**

#### **WR, AR, USO Record Report –**

**For Fiscal Year September 1, 2017, through August 31, 2018**

	WR	AR	USO
Individual	2	26	34
Relay		12	7

#### Swimmers, individual and relays

- Katie Ledecky – 1 WR, 3 AR, 4 USO
- Zane Grothe – 2 AR, 3 USO
- Caeleb Dressel- 7 AR, 7 USO
- Ella Eastin – 3 AR, 3 USO
- Lilly King – 2 AR, 3 USO
- Kathleen Baker – 1 WR, 2 AR, 3 USO
- Townley Haas – IE: 1 AR, 1 USO; Relays: 1 AR
- Ian Finnerty – 1 AR, 1 USO
- Blake Pieroni – 1 AR, 1 USO
- Olivia Smoliga – 1 AR, 1 USO
- Hali Flickinger – 1 USO
- Simone Manuel – 2 USO
- Michael Andrew – 2 USO
- Ryan Murphy – 1 AR, 1 USO
- Justin Ress – 1 AR, 1 USO
- Kelsi Dahlia – 1 AR

#### 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 Weitzeil (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)

## **Times & Recognition**

**World Junior Record Report – submitted by Lisa Olack  
For Fiscal Year September 1, 2017, through August 31, 2018**

### **5 World Junior Records**

#### **Swimmers**

- Regan Smith – 2
- Jack Levant - 1
- Robert Finke – 1
- Michael Andrew - 1

## **LCM**

### **200 FREESTYLE**

World Jr:	1:46.39p*Jack Levant, USA	Irvine, CA	07-26-18
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### **1500 FREESTYLE**

World Jr:	14:48.70*Robert Finke, USA	Tokyo	08-09-18
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### **100 BACKSTROKE**

World Jr:	58.83* Regan Smith, USA	Irvine, CA	07-28-18
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### **200 BACKSTROKE**

World Jr:	2:06.43* Regan Smith, USA	Irvine, CA	07-26-18
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## **SCM**

### **50 FREESTYLE**

World Jr:	21.27r* Michael Andrew, USA	Singapore	11-19-17
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**2017-2018 Scholastic All America Team  
By the Numbers**

***Athlete Numbers:***

Successful Applicants	1622
Girls	807
Boys	815
Three-Timers	180
Open Water	3
Disability	13
Central Zone	398
Eastern Zone	409
Southern Zone	445
Western Zone	370
9 <sup>th</sup> Grade	239
10 <sup>th</sup> Grade	406
11 <sup>th</sup> Grade	564
12 <sup>th</sup> Grade	413

No perfect scores in 2017-2018 (National Champion and 4.0 GPA)

***Top LSCs***

North Carolina Swimming	120
Southern California Swimming	104
Illinois Swimming	85
Pacific Swimming	72
Potomac Valley Swimming	71
Florida Swimming	67
Georgia Swimming	65

***Top Clubs***

Swim MAC Carolina-NC	47
Nation's Capital Swim Club-PV	33
Irvine Novaquatics-CA	26
Dynamo Swim Club-GA	20
Marlins of Raleigh-NC	19
NOVA of Virginia Aquatics-VA	19
Swim Atlanta-GA	19

SAA team members will receive three certificates and a bag tag. Three-timers will receive a special gift. Awards will be shipped in the Fall.

Respectfully submitted  
Daniel W. McAllen III  
Vice Chair, Program Operations

These minutes will be officially approved by the USA Swimming Board of Directors at its September 25, 2018 meeting.

## **USA Swimming Board of Directors Meeting Minutes**

May 12, 2018 / Denver Gateway Marriott

### **CALL TO ORDER**

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

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

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

### **MOMENT OF SILENCE**

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

### **AGENDA REVIEW**

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

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

### **CONFLICT OF INTEREST**

*"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?"*

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.



These minutes will be officially approved by the USA Swimming Board of Directors at its September 25, 2018 meeting.

**INTRODUCTIONS****GUESTS**

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

**STAFF**

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

**RECOGNITION OF RECORDS**

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

**BOARD CHAIR'S REMARKS**

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

**MINUTES**

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

**APPROVED.** (Attachment 3)

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

*Seconded.* **APPROVED.** (Attachment 4)

**FINANCIAL UPDATE/ACTIONS**

Jim Harvey submitted a written report and provided verbal highlights, including compliance with all eleven items in the "Financial Condition & Activities" Policy Monitoring Report. Mr. Harvey also reported that USA Swimming beat the 2017 budget by over \$405,000 with a \$747,000 deficit, and the investment portfolios had returns of +14.78%,

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which provided \$990,500 to the operating budget and added over \$3.8 million to reserves (Attachments 5 – 7).

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

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

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

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

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

#### **MONITORING CEO PERFORMANCE**

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

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

**MOTION:** To approve the CEO Monitoring Report Policy 3.2: External Relations that conveys a) interpretations of the policies that are reasonable and b) that the report reasonably

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110 *substantiates compliance with the policy requirements consistence with the CEO's*  
111 *interpretations (Attachment 13). Seconded. **APPROVED.***

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

## 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 **PERSONNEL DISCUSSION**

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

### 124 **SPORTSENGINE & TEAM UNIFY PRESENTATION**

125 Matt Farrell introduced Tom Fristoe, CEO of TeamUnify.

126  
127 Tom Fristoe presented an overview of TeamUnify, its background, and its acquisition by  
128 SportsEngine. Mr. Fristoe also explained how Desk Pass will soon be integrated through  
129 TeamUnify and highlighted potential athlete safety initiatives, including conducting  
130 criminal background screens through its vendor relationships and delivering safety  
131 programming.

### 132 **SAFE SPORT DIRECTION FOLLOW UP**

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

135  
136 **MOTION:** *To approve the addition of item 1.4.b: USA Swimming is recognized as a leader in*  
137 *Safe Sport to Policy 1.0 Ends/Priority Results. Seconded. **APPROVED.***

138  
139 Mr. Sheehan further reported that he would organize a group to begin the review of USA  
140 Swimming's Mission and Vision Statements to reflect its commitment to providing a safe  
141 and healthy environment to athletes. The group's findings will be provided to the new  
142 Board in September.

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Matt Farrell gave a brief update on various Safe Sport communications, including the second letter to all USA Swimming members, various interviews with CEO Tim Hinchey, the addition of Safe Sport as a top navigation item on [usaswimming.org](http://usaswimming.org), and a Safe Sport PSA featuring past and present National Team members.

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

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

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

## **BOARD PROCESS**

### **POLICY 4.4 – MONITORING CEO PERFORMANCE**

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

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

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

### **COLLEGE SWIMMING INITIATIVE UPDATE**

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

### **ATHLETE SUMMIT UPDATE & ASSESSMENT**

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

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#### IRC ACTION ITEMS/UPDATES

#### SEARCH FOR FINA/UANA/USAS CANDIDATES

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

Mike Unger provided additional context for Dale Neuburger's soon to be vacated position within FINA in 2021.

**MOTION:** *To approve the International Relations Committee's recommendations for FINA and UANA nominations. Seconded. APPROVED.*

#### FINA RULES PROCESS UPDATE

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

#### TASK FORCES

#### MINOR TRANSGENDER TASK FORCE RECOMMENDATIONS

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

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

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

#### LSC BYLAWS TASK FORCE – PROPOSED CHANGES TO THE TEMPLATE

Wayne Shulby highlighted the proposed changes to the required LSC Bylaws, including the removal of redundancies with the Rulebook, the addition of a required Finance Vice Chair

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position, and the formation of a Governance Committee either in addition to or in combination with a Nominating Committee. (Attachments 21 – 22).

**MOTION:** To support the proposed LSC Bylaws changes. Seconded. **APPROVED.**

### **AGE GROUP TECH SUIT PROJECT RECOMMENDATIONS**

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

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

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

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

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

### **MEMBERSHIP/REGISTRATION COMMITTEE POLICY RECOMMENDATIONS**

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

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

### **PROGRAM & EVENTS COMMITTEE**

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

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



These minutes will be officially approved by the USA Swimming Board of Directors at its September 25, 2018 meeting.

## **ZONE DIRECTORS' COUNCIL**

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

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

## **FUNDING BOARD OF DIRECTORS FOR CONVENTION**

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

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

## **CEO/STAFF UPDATES**

### **OPENING COMMENTS**

Tim Hinchey submitted a written report (Attachment 27).

## **USA SWIMMING FOUNDATION REPORT**

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

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

## **STAFF REORGANIZATION UPDATE AND 2018 KPIS**

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

Mike Unger reported that fulfilling the National Team Technical Advisor role is ongoing, Flex Membership will be launched this September, and the LEARN 2.0 platform is

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progressing. Mr. Unger additionally provided updates on the 2020 Olympic Trials, including that an event order is not yet set, the qualification period starts November of this year after the time standards are revealed at Convention, new personnel is in place in Omaha, and that the joint venture will purchase the second pool.

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

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

Lastly, Mr. Farrell previewed the summer membership campaign.

## **BOARD SCHEDULE**

### **UPCOMING IN-PERSON BOARD MEETINGS**

- Board Meeting, September 25, 2018
- Board Meeting, September 29, 2018

### **OTHER MEETINGS/EVENTS**

- Board Training, October 26-28, 2018

### **SUMMARY OF FOLLOW-UP ITEMS**

There were no follow up items.

### **BOARD MEETING EVALUTION**

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

## **ADJOURN**

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



**DRAFT**

**DRAFT**

**DRAFT**

These minutes will be officially approved by the USA Swimming Board of Directors at its September 25, 2018 meeting.

Respectfully submitted:



Lucinda McRoberts, General Counsel & VP Business Affairs

Jim Sheehan, Board Chair

**DRAFT**

These minutes will be officially approved by the USA Swimming Board of Directors at its September 25, 2018 meeting.

### **USA Swimming Board of Directors Minutes Attachments**

May 12, 2018 / Denver Gateway Marriott

Attachment 1	Page 1 – Agenda
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 3 – Vice Chair Fiscal Oversight Report
Attachment 6	Page 3 – USA Swimming Finance Monitoring Report
Attachment 7	Page 3 – USA Swimming Financial Report
Attachment 8	Page 3 – 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 4 – Annual Monitoring on Policy 3.2 – External Relations
Attachment 14	Page 4 – 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 6 – 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 7 – Changes to the Required LSC Bylaws
Attachment 22	Page 7 - LSC Bylaws Template
Attachment 23	Page 7 - Athlete Transfer Policy Change
Attachment 24	Page 7 - Flex Membership Transfer Policy
Attachment 25	Page 7 - Waiver of Second Membership Fee Policy
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

**DRAFT**

**DRAFT**

**DRAFT**

These minutes will be officially approved by the USA Swimming Board of Directors at its September 25, 2018 meeting.

Attachment 34

YMCA Report

Attachment 35

U.S. Masters Swimming Report

Attachment 36

ASCA Report

DRAFT

## VICE CHAIR, FINANCE - REPORT

### September 25, 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. Action Items:**

##### ***Board Action:***

*Resolved, the Board of Directors of USA Swimming hereby designates \$1,500,000 of reserves to fund SwimAssist costs that exceed the operating budget for such expenses in any given fiscal year after 2018. This reserve will come out of the \$19,726,196 that was designated by the Board of Directors in 2017 from proceeds of the sale of USSIC.*

*Resolved, the Board of Directors of USA Swimming hereby approves the spending of up to \$750,000 of undesignated reserves for the purpose of expenses related to abuse investigations by United States Senate and House of Representatives and implementation of unbudgeted safe sport expenses in 2018.*

#### **2. Financial Condition & Activities – Policy Monitoring Report:**

The report dated September 14, 2018 is posted in the Board of Directors Private section of the website.

#### **3. Budget (Mid-Year Update/Re-Forecast) – Policy Monitoring Report:**

The report dated September 14, 2018 is posted in the Board of Directors Private section of the website.

#### **4. Financial Update:**

Final financial reports for the quarter ended June 30, 2018 are posted in the Board of Directors Private section of the website.

## **5. Investment Performance Update:**

The USA Swimming investment portfolio performance for the quarter ended June 30, 2018 prepared by First Western Trust is posted in the Board of Directors Private section of the website. The total portfolio performance of +.56% for the second quarter and -.03% year-to-date beat the benchmark. The portfolio has outperformed the benchmark for the one, three, and five year periods ended June 30, 2018.

## **6. Foundation Financial Update:**

Final financial reports for the quarter ended June 30, 2018 are posted in the Private Board Section of the website.

### **Q2 2018 HIGHLIGHTS:**

- \$930,903 fundraising:
  - \$710,000 major gifts/grants including \$400,000 new trustees and \$225,000 athlete support gifts. Comparing well to \$850,000 budget for full year.
  - \$220,903 annual campaign including \$111,462 Champions Club.
- \$640,000 sponsor support including \$115,000 from apparel sponsors and \$500,000 from Phillips 66.
- \$159,099 Swim-a-thon receipts, up from 2017.
- (\$14,535) operating deficit is well within (\$200,000) budgeted deficit for 2018.
- \$325,000 National Team grants including \$200,000 from endowments, \$100,000 from Phillips 66, and \$25,000 from new donor.
- \$421,615 Make A Splash grants tracking ahead of 2017.

**USA Swimming**  
**2020 Quad Business Plan**

	2017 Actual	2018 Projection	2019 Projection	2020 Projection	TOTAL 2020 QUAD
<b>REVENUE:</b>					
Membership	\$22,483,811	\$22,772,900	\$24,184,800	\$24,980,400	\$94,421,911
Corporate Revenue	4,352,754	4,804,500	5,028,500	5,488,500	19,674,254
Consumer Revenue	539,446	229,500	729,500	729,500	2,227,946
USOC Partnership	5,134,700	5,304,700	5,044,700	5,119,700	20,603,800
Investment Income	1,001,643	1,080,500	1,012,500	1,013,500	4,108,143
Foundation	792,500	872,500	820,000	825,000	3,310,000
Sport and Events	978,254	841,500	611,500	5,871,500	8,302,754
Other Income	331,745	327,400	254,700	241,500	1,155,345
<b>TOTAL REVENUE</b>	<b>35,614,853</b>	<b>36,233,500</b>	<b>37,686,200</b>	<b>44,269,600</b>	<b>153,804,153</b>
<b>EXPENSES:</b>					
<b>Technical/Sport:</b>					
Sport Development	4,455,110	4,511,700	4,906,100	4,996,800	18,869,710
Events and Member Services	8,581,871	7,717,013	7,638,500	7,724,300	31,661,684
National Team	8,004,303	8,869,250	10,206,800	11,189,200	38,269,553
Total Technical/Sport	21,041,284	21,097,963	22,751,400	23,910,300	88,800,947
<b>Other Programs:</b>					
Commercial	5,172,794	6,205,400	7,013,600	8,154,500	26,546,294
Risk Management	3,004,431	3,106,800	3,192,800	3,297,400	12,601,431
Foundation and MAS Support	525,371	561,000	523,000	535,000	2,144,371
Total Other Programs	8,702,596	9,873,200	10,729,400	11,986,900	41,292,096
<b>Administration:</b>					
Executive	4,013,797	1,377,400	2,355,300	2,687,100	10,433,597
Finance	1,364,162	900,200	1,438,400	1,444,600	5,147,362
Business Affairs	1,240,827	3,478,600	1,543,000	1,458,100	7,720,527
Total Administration	6,618,786	5,756,200	5,336,700	5,589,800	23,301,486
<b>TOTAL EXPENSES</b>	<b>36,362,666</b>	<b>36,727,363</b>	<b>38,817,500</b>	<b>41,487,000</b>	<b>153,394,529</b>
<b>OPERATING SURPLUS INCOME (DEFICIT)</b>	<b>(\$747,813)</b>	<b>(\$493,863)</b>	<b>(\$1,131,300)</b>	<b>\$2,782,600</b>	<b>\$409,624</b>
<b>Reserves Spending:</b>					
Foundation Donations	(1,000,000)	0	0	0	(1,000,000)
Disaster Relief	0	(20,606)	0	0	(20,606)
Special IT Projects (CRM)	0	(75,740)	0	0	(75,740)
Safe Sport Expenses/Contingency	0	(467,851)	0	0	(467,851)
Athlete Leadership Summit	0	(266,510)	0	0	(266,510)
Total Reserves Spending	(1,000,000)	(830,707)	0	0	(1,830,707)
<b>Surplus (Deficit) Before Investment Gain (Loss)</b>	<b>(1,747,813)</b>	<b>(1,324,570)</b>	<b>(1,131,300)</b>	<b>2,782,600</b>	<b>(834,613)</b>
Investment Gain (Loss)	3,816,462	573,000	573,000	573,000	5,535,462
<b>NET SURPLUS (DEFICIT)</b>	<b>\$2,068,649</b>	<b>(\$751,570)</b>	<b>(\$558,300)</b>	<b>\$3,355,600</b>	<b>\$4,700,849</b>

# USA Swimming 2018 Budget Projection

	Approved Budget 2018	9/14/2018 YTD Actual	Projected Remaining	Projected Total	Projected Variance
<b>REVENUE:</b>					
Membership	\$23,395,000	\$22,772,976	(\$76)	\$22,772,900	(\$622,100)
Corporate Revenue	5,573,500	3,146,610	1,657,890	4,804,500	(769,000)
Consumer Revenue	357,000	135,122	94,378	229,500	(127,500)
USOC Partnership	5,094,700	4,020,595	1,284,105	5,304,700	210,000
Investment Income	1,010,500	1,057,357	23,143	1,080,500	70,000
Foundation	815,000	460,000	412,500	872,500	57,500
Sport and Events	911,500	764,345	17,452	841,500	(70,000)
Other Income	266,600	279,088	48,312	327,400	60,800
<b>Total Revenue</b>	<b>37,423,800</b>	<b>32,636,092</b>	<b>3,537,705</b>	<b>36,233,500</b>	<b>(1,190,300)</b>
<b>EXPENSES:</b>					
<b>Technical/Sport:</b>					
Sport Development	4,847,000	3,183,626	1,328,074	4,511,700	335,300
Events and Member Services	7,357,300	5,737,132	1,979,881	7,717,013	(359,713)
National Team Division	9,533,500	6,027,908	2,841,342	8,869,250	664,250
<b>Total Technical/Sport</b>	<b>21,737,800</b>	<b>14,948,666</b>	<b>6,149,297</b>	<b>21,097,963</b>	<b>639,837</b>
<b>Other Programs:</b>					
Commercial	6,510,200	4,331,261	1,874,139	6,205,400	304,800
Risk Management	3,106,800	2,733,303	373,497	3,106,800	0
Foundation & Make a Splash Support	561,000	187,500	373,500	561,000	0
<b>Total Other Programs</b>	<b>10,178,000</b>	<b>7,252,064</b>	<b>2,621,136</b>	<b>9,873,200</b>	<b>304,800</b>
<b>Administration:</b>					
Executive	1,552,700	985,522	391,878	1,377,400	175,300
Finance	914,000	654,709	279,234	900,200	13,800
Business Affairs	3,539,400	2,158,842	1,319,758	3,478,600	60,800
<b>Total Administration</b>	<b>6,006,100</b>	<b>3,799,073</b>	<b>1,990,870</b>	<b>5,756,200</b>	<b>249,900</b>
<b>Total Expenses</b>	<b>37,921,900</b>	<b>25,999,803</b>	<b>10,761,303</b>	<b>36,727,363</b>	<b>1,194,538</b>
<b>OPERATING SURPLUS (DEFICIT)</b>	<b>(498,100)</b>	<b>6,636,289</b>	<b>(7,223,598)</b>	<b>(493,863)</b>	<b>4,238</b>
<b>Reserves Spending:</b>					
Disaster Relief	0	(20,606)		(20,606)	(20,606)
Special IT Projects (CRM)	0	(75,740)		(75,740)	(75,740)
Safe Sport Expenses/ Contingency	0	(467,851)		(467,851)	(467,851)
Athlete Leadership Camp	(240,000)	(266,510)		(266,510)	(26,510)
<b>Total Reserve Spending</b>	<b>(240,000)</b>	<b>(830,707)</b>	<b>0</b>	<b>(830,707)</b>	<b>(590,707)</b>
<b>Surplus (Deficit) Before Investment Gains (Losses)</b>	<b>(738,100)</b>	<b>5,805,582</b>	<b>(7,223,598)</b>	<b>(1,324,570)</b>	<b>(586,470)</b>
Investment Gains (Losses)	573,000	(531,607)	1,104,607	573,000	0
<b>NET SURPLUS (DEFICIT)</b>	<b>(\$165,100)</b>	<b>\$5,273,974</b>	<b>(\$6,118,991)</b>	<b>(\$751,570)</b>	<b>(\$586,470)</b>

**USA Swimming**  
**2018 Capital Budget Report**  
June 30, 2018

**Purchases:**

Month	Description	Computer Hardware/Software & Equipment	Office Furniture & Equipment	Leasehold Improvements	Total Spend	Budget	Budget Remaining
3/30/18	Microsoft Surface Pro	2,158					
3/30/18	Apple MacBook Pro	3,620					
3/30/18	Dell Latitude 7490 Laptop	4,194					
3/30/18	Microsoft Surface Pro	1,771					
6/30/18	Microsoft Surface Pro	1,447					
6/30/18	Apple iMac Pro	7,357					
6/30/18	Apple MacBook Pro	3,111					
6/30/18	Network Storage	16,716					
6/30/18	Power Edge 440 Server	8,473					
		<u>48,848</u>			48,848	172,200	123,352
6/30/18	Toyota Minivan - trade up		11,547		11,547	10,000	(1,547)
6/30/18	Remodel			88,962	88,962	10,000	(78,962)
6/30/18	USAS Productions - VersaEdge Desk-4 Person		17,247		17,247	0	(17,247)
3/30/18	Underwater Camera - National Team		36,076		36,076	0	(36,076)
6/30/18	Webonise (Learn) Safe Sport	78,750			78,750	0	(78,750)
<b>Total</b>		<u><b>136,071</b></u>	<u><b>64,870</b></u>	<u><b>88,962</b></u>	<u><b>281,430</b></u>	<u><b>192,200</b></u>	<u><b>(89,230)</b></u>

**IT Projects:**

	Capital	Expense	Total Spend	Budget	Budget Remaining
SWIMS 2.0 Phase 8	15,400				
SWIMS 2.0 Phase 10	151,586				
SWIMS 2.0 Phase 11	30,838				
	<u>197,824</u>	<u>0</u>	197,824	150,000	(47,824)
Safe Sport Recognition	4,928		4,928	0	(4,928)
Online Membership	130,638		130,638	100,000	(30,638)
Technology Projects		1,249	1,249	35,000	33,751
Officials On-line Testing			0	5,000	5,000
Officials Certification Program			0	30,000	30,000
Times Projects (Motivational Standards)	20,139	21,965	42,104	30,000	(12,104)
Information Technology Support		17,543	17,543	50,000	32,457
	<u><b>353,529</b></u>	<u><b>40,757</b></u>	<u><b>394,286</b></u>	<u><b>400,000</b></u>	<u><b>5,714</b></u>



**USA Swimming, Inc.**  
**Balance Sheet**  
**As of June 30, 2018 and 2017**

	<b>6/30/2018</b>	<b>6/30/2017</b>	<b>\$ Change</b>	<b>Audited 12/31/2017</b>	<b>\$ Change</b>
<b>ASSETS</b>					
<b>CURRENT ASSETS:</b>					
Cash and cash equivalents	\$4,496,230	\$5,458,324	(\$962,093)	\$8,300,316	(\$3,804,086)
Accounts receivable	1,435,026	1,458,893	(23,867)	1,030,969	404,057
Prepaid expenses and deferred charges	201,657	131,847	69,810	1,584,398	(1,382,741)
Total Current Assets	6,132,913	7,049,063	(916,150)	10,915,684	(4,782,771)
<b>FIXED ASSETS:</b>					
Leasehold Improvements, IT Systems, FF&E, Other	12,812,601	11,747,982	1,064,619	12,037,734	774,867
Accumulated depreciation & amortization	(8,580,027)	(7,613,801)	(966,225)	(8,054,468)	(525,559)
Total Fixed Assets	4,232,574	4,134,180	98,394	3,983,266	249,308
<b>LONG-TERM INVESTMENTS:</b>					
Long-term Investments	36,278,523	34,352,634	1,925,889	36,995,751	(717,228)
<b>OTHER ASSETS:</b>					
Investment - 2016 Trials, LLC	154,170	370,542	(216,372)	154,170	0
Prepaid rent	2,249,796	2,411,239	(161,444)	2,334,832	(85,036)
Total Other Assets	2,403,966	2,781,781	(377,816)	2,489,002	(85,036)
<b>TOTAL ASSETS</b>	<b>\$49,047,977</b>	<b>\$48,317,659</b>	<b>\$730,318</b>	<b>\$54,383,702</b>	<b>(\$5,335,726)</b>
<b>LIABILITIES AND NET ASSETS</b>					
<b>CURRENT LIABILITIES:</b>					
Accounts payable	\$1,242,066	\$1,043,375	\$198,691	\$1,166,561	\$75,505
Accrued expenses and other liabilities	1,554,455	1,078,670	475,785	2,515,894	(961,439)
Deferred revenue	51,000	53,000	(2,000)	14,391,860	(14,340,860)
Total Current Liabilities	2,847,521	2,175,045	672,476	18,074,316	(15,226,795)
<b>NONCURRENT LIABILITIES:</b>					
Total Liabilities	2,847,521	2,175,045	672,476	18,074,316	(15,226,795)
<b>NET ASSETS:</b>					
Unrestricted:					
Undesignated Net Assets	26,474,260	26,416,418	57,842	16,583,191	9,891,069
Board Designated - USSIC	19,726,196	19,726,196	0	19,726,196	0
Total Unrestricted Net Assets	46,200,456	46,142,614	57,842	36,309,387	9,891,069
Total Net Assets	46,200,456	46,142,614	57,842	36,309,387	9,891,069
<b>TOTAL LIABILITIES AND NET ASSETS</b>	<b>\$49,047,977</b>	<b>\$48,317,659</b>	<b>\$730,318</b>	<b>\$54,383,702</b>	<b>(\$5,335,726)</b>

**USA Swimming**  
**Income Statement - By Division**  
**For the Quarter Ended June 30, 2018**

	<b>Quarter Actual</b>	<b>Year To Date Actual</b>	<b>2018 Budget</b>	<b>Remaining Dollars</b>	<b>Remaining Percentage</b>	<b>Year To Date 2017</b>	<b>Favorable (Unfavorable)</b>
<b>REVENUE:</b>							
Membership	\$1,758,046	\$22,498,131	\$23,395,000	(\$896,869)	-3.83%	\$22,155,102	\$343,029
Corporate Revenue	567,402	2,005,818	5,493,500	(3,487,682)	-63.49%	2,447,373	(441,555)
Consumer Revenue	60,134	78,401	357,000	(278,599)	-78.04%	71,519	6,882
USOC Partnership	1,267,774	2,381,021	5,094,700	(2,713,679)	-53.26%	2,198,590	182,431
Investment Income	347,524	697,096	1,010,500	(313,404)	-31.01%	156,151	540,945
Foundation	270,000	415,000	815,000	(400,000)	-49.08%	390,000	25,000
Sport and Events	185,114	369,022	611,500	(242,478)	-39.65%	575,973	(206,951)
Other Income	87,742	221,785	266,600	(44,815)	-16.81%	99,396	122,390
<b>TOTAL REVENUE</b>	<b>4,543,737</b>	<b>28,666,275</b>	<b>37,043,800</b>	<b>(8,377,525)</b>	<b>-22.62%</b>	<b>28,094,105</b>	<b>572,170</b>
<b>EXPENSES:</b>							
<b>Technical/Sport:</b>							
Sport Development	1,426,574	2,569,114	4,847,000	2,277,886	47.00%	2,526,549	(42,565)
Events and Member Services	1,811,540	3,177,108	6,977,300	3,800,192	54.47%	3,535,777	358,669
National Team	1,961,341	3,377,669	9,533,500	6,155,831	64.57%	3,424,908	47,239
<b>Total Technical/Sport</b>	<b>5,199,455</b>	<b>9,123,891</b>	<b>21,357,800</b>	<b>12,233,909</b>	<b>57.28%</b>	<b>9,487,235</b>	<b>363,344</b>
<b>Other Programs:</b>							
Commercial	1,607,948	2,834,518	6,510,200	3,675,682	56.46%	2,520,940	(313,579)
Risk Management	753,350	2,426,745	3,106,800	680,055	21.89%	2,358,198	(68,548)
Foundation and MAS Support	62,500	125,000	561,000	436,000	77.72%	125,000	0
<b>Total Other Programs</b>	<b>2,423,799</b>	<b>5,386,264</b>	<b>10,178,000</b>	<b>4,791,736</b>	<b>47.08%</b>	<b>5,004,138</b>	<b>(382,126)</b>
<b>Administration:</b>							
Executive	363,057	743,801	1,552,700	808,899	52.10%	1,397,956	654,155
Finance	225,787	450,949	914,000	463,051	50.66%	729,195	278,246
Business Affairs	740,818	1,657,269	3,539,400	1,882,131	53.18%	752,426	(904,843)
<b>Total Administration</b>	<b>1,329,662</b>	<b>2,852,019</b>	<b>6,006,100</b>	<b>3,154,081</b>	<b>52.51%</b>	<b>2,879,577</b>	<b>27,558</b>
<b>TOTAL EXPENSES</b>	<b>8,952,915</b>	<b>17,362,174</b>	<b>37,541,900</b>	<b>20,179,727</b>	<b>53.75%</b>	<b>17,370,949</b>	<b>8,775</b>
<b>OPERATING INCOME (LOSS)</b>	<b>(\$4,409,178)</b>	<b>\$11,304,101</b>	<b>(\$498,100)</b>	<b>\$11,802,201</b>	<b>-2369.44%</b>	<b>\$10,723,156</b>	<b>\$580,945</b>
<b>Reserves Spending:</b>							
Foundation Donations	0	0	0	0	0.00%	(1,000,000)	1,000,000
Disaster Donations	0	(20,606)	0	(20,606)	0.00%	0	(20,606)
Safe Sport Contingency	(364,399)	(409,136)	0	(409,136)	0.00%	0	(409,136)
Athlete Leadership Summit	(172,395)	(265,202)	(240,000)	(25,202)	10.50%	0	(265,202)
IT Special Projects (CRM)	(49,370)	(49,370)	0	(49,370)	0.00%	0	(49,370)
<b>Total Reserves Spending</b>	<b>(586,164)</b>	<b>(744,314)</b>	<b>(240,000)</b>	<b>(504,314)</b>	<b>210.13%</b>	<b>(1,000,000)</b>	<b>255,686</b>
<b>Surplus (Deficit) Before Investment Gain (Loss)</b>	<b>(4,995,343)</b>	<b>10,559,787</b>	<b>(738,100)</b>	<b>11,297,888</b>	<b>-1530.67%</b>	<b>9,723,156</b>	<b>836,631</b>
<b>Investment Gain (Loss)</b>	<b>(122,597)</b>	<b>(668,718)</b>	<b>573,000</b>	<b>(1,241,718)</b>	<b>-216.70%</b>	<b>2,178,720</b>	<b>(2,847,439)</b>
<b>NET SURPLUS (DEFICIT)</b>	<b>(\$5,117,940)</b>	<b>\$9,891,069</b>	<b>(\$165,100)</b>	<b>\$10,056,169</b>	<b>-6090.94%</b>	<b>\$11,901,876</b>	<b>(\$2,010,807)</b>

**USA Swimming**  
**Income Statement - By Category**  
**For the Six Months Ended June 30, 2018**

	Quarter Actual	Year To Date Actual	2018 Budget	Remaining Dollars	Remaining Percentage	Year To Date 2017	Favorable (Unfavorable)
<b>REVENUE:</b>							
Membership	\$1,758,046	\$22,498,131	\$23,395,000	(\$896,869)	-3.83%	\$22,155,102	\$343,029
USOC Partnership	1,267,774	2,381,021	5,094,700	(2,713,679)	-53.26%	2,198,590	182,431
Corporate Revenue	567,402	2,005,818	5,493,500	(3,487,682)	-63.49%	2,447,373	(441,555)
Consumer Revenue	60,134	78,401	357,000	(278,599)	-78.04%	71,519	6,882
Sport and Events	185,114	369,022	611,500	(242,478)	-39.65%	575,973	(206,951)
Foundation and Swim-A-Thon	270,000	415,000	815,000	(400,000)	-49.08%	390,000	25,000
Investment Income	347,524	697,096	1,010,500	(313,404)	-31.01%	156,151	540,945
Other Income	87,742	221,785	266,600	(44,815)	-16.81%	99,396	122,390
Total Revenue	4,543,737	28,666,275	37,043,800	(8,377,525)	-22.62%	28,094,105	572,170
<b>EXPENSES:</b>							
Salaries and Wages	1,854,633	3,886,914	8,504,598	4,617,684	54.30%	3,829,020	(57,895)
Employee Benefits	453,437	971,521	2,222,420	1,250,899	56.29%	1,062,450	90,929
Employment Taxes	125,840	285,405	539,282	253,877	47.08%	269,107	(16,298)
Total Payroll and Benefits	2,433,911	5,143,840	11,266,300	6,122,460	54.34%	5,160,577	16,736
Travel and Hospitality	1,628,443	2,624,730	5,512,313	2,887,582	52.38%	3,168,006	543,275
Insurance	749,152	2,424,057	3,052,100	628,043	20.58%	2,294,597	(129,460)
Direct Athlete Support	626,718	1,148,264	3,932,850	2,784,586	70.80%	903,267	(244,997)
Professional Fees & Honoraria	755,770	1,065,969	3,145,017	2,079,048	66.11%	1,261,957	195,988
Television and Video Production	491,260	751,076	2,183,751	1,432,675	65.61%	728,693	(22,383)
Grants	603,312	747,312	1,017,000	269,688	26.52%	757,266	9,954
Dues, Fees & Tickets	287,188	637,726	1,011,212	373,486	36.93%	660,424	22,697
Depreciation and Amortization	277,462	553,252	1,081,983	528,731	48.87%	373,545	(179,707)
Rent and Lease Expense	185,750	441,561	768,813	327,252	42.57%	312,080	(129,481)
Supplies and Expense	197,787	386,762	794,707	407,945	51.33%	332,736	(54,026)
Gear, Equipment, & Signage	144,730	279,246	622,396	343,150	55.13%	325,361	46,115
Information Technology Expenses	84,187	273,488	358,496	85,008	23.71%	275,249	1,761
Printing and Duplication	102,198	218,780	801,348	582,568	72.70%	283,416	64,636
Apparel	140,279	211,280	661,890	450,610	68.08%	270,151	58,871
Miscellaneous Expenses	28,794	133,176	54,548	(78,628)	-144.14%	41,977	(91,199)
Protocol & Gifts	70,482	111,263	140,700	29,437	20.92%	123,814	12,551
Advertising	80,652	96,207	294,500	198,293	67.33%	9,846	(86,361)
Telephone and Internet Service	35,987	66,414	269,079	202,665	75.32%	45,885	(20,529)
Awards	28,853	47,771	468,998	421,227	89.81%	42,103	(5,668)
Contingency	0	0	103,900	103,900	100.00%	0	0
Total Expenses	8,952,915	17,362,174	37,541,900	20,179,727	53.75%	17,370,949	8,775
<b>OPERATING INCOME (LOSS)</b>	<b>(\$4,409,178)</b>	<b>\$11,304,101</b>	<b>(\$498,100)</b>	<b>\$11,802,201</b>	<b>-2369.44%</b>	<b>\$10,723,156</b>	<b>\$580,945</b>
<b>Reserves Spending:</b>							
Foundation Donations	0	0	0	0	0.00%	(1,000,000)	1,000,000
Disaster Donations	0	(20,606)	0	(20,606)	0.00%	0	(20,606)
Athlete Leadership Camp	(172,395)	(265,202)	(240,000)	(25,202)	10.50%	0	(265,202)
Safe Sport Contingency	(364,399)	(409,136)	0	(409,136)	0.00%	0	(409,136)
IT Special Projects (CRM)	(49,370)	(49,370)	0	(49,370)	0.00%	0	(49,370)
<b>Total Reserve Spending</b>	<b>(586,164)</b>	<b>(744,314)</b>	<b>(240,000)</b>	<b>(504,314)</b>	<b>210.13%</b>	<b>(1,000,000)</b>	<b>255,686</b>
<b>Surplus (Deficit) Before Investment Gain (Loss)</b>	<b>(4,995,343)</b>	<b>10,559,787</b>	<b>(738,100)</b>	<b>11,297,888</b>	<b>-1530.67%</b>	<b>9,723,156</b>	<b>836,631</b>
<b>Investment Gains (Losses)</b>	<b>(122,597)</b>	<b>(668,718)</b>	<b>573,000</b>	<b>(1,241,718)</b>	<b>-216.70%</b>	<b>2,178,720</b>	<b>(2,847,439)</b>
<b>NET SURPLUS (DEFICIT)</b>	<b>(\$5,117,940)</b>	<b>\$9,891,069</b>	<b>(\$165,100)</b>	<b>\$10,056,169</b>	<b>-6090.94%</b>	<b>\$11,901,876</b>	<b>(\$2,010,807)</b>

**USA Swimming, Inc.**  
**Statement of Revenue**  
**For the Six Months Ended June 30, 2018**

	Quarter Actual	Year To Date Actual	2018 Budget	Remaining Dollars	Remaining Percentage	Year To Date 2017	Favorable (Unfavorable)
<b>MEMBERSHIP:</b>							
Athlete Membership	\$1,026,658	\$19,310,578	\$20,136,034	(\$825,456)	-4.10%	\$19,083,344	\$227,234
Outreach Athlete Membership	7,310	55,195	44,450	10,745	24.17%	50,645	4,550
Seasonal Athlete Membership	541,470	643,080	674,190	(31,110)	-4.61%	639,120	3,960
Non-Athlete Membership	170,868	2,232,594	2,287,172	(54,578)	-2.39%	2,131,976	100,618
Life Membership	2,000	37,668	32,000	5,668	17.71%	29,332	8,336
Allied Membership	500	500	1,000	(500)	-50.00%	1,000	(500)
Club Membership	4,620	211,680	210,700	980	0.47%	211,470	210
Seasonal Club Membership	3,200	4,360	5,080	(720)	-14.17%	4,920	(560)
Affiliate Membership	100	650	800	(150)	-18.75%	800	(150)
Single Meet Open Water	1,150	1,430	3,440	(2,010)	-58.43%	1,850	(420)
Delegate Fees	150	150	100	50	50.00%	350	(200)
Other Membership Income	20	246	34	212	623.53%	295	(49)
<b>TOTAL MEMBERSHIP</b>	<b>1,758,046</b>	<b>22,498,131</b>	<b>23,395,000</b>	<b>(896,869)</b>	<b>-3.83%</b>	<b>22,155,102</b>	<b>343,029</b>
<b>CORPORATE REVENUE:</b>							
Corporate Sponsorship	509,674	1,903,636	4,926,000	(3,022,364)	-61.36%	2,283,308	(379,673)
Supplier Income	56,875	83,750	372,500	(288,750)	-77.52%	121,250	(37,500)
Licensee Income	0	0	25,000	(25,000)	-100.00%	10,000	(10,000)
Web Advertising	0	0	135,000	(135,000)	-100.00%	0	0
Print Advertising	(80)	17,500	30,000	(12,500)	-41.67%	29,560	(12,060)
List Rental Income/Mailing Service	932	932	5,000	(4,068)	-81.35%	3,255	(2,323)
<b>TOTAL CORPORATE REVENUE</b>	<b>567,402</b>	<b>2,005,818</b>	<b>5,493,500</b>	<b>(3,487,682)</b>	<b>-63.49%</b>	<b>2,447,373</b>	<b>(441,555)</b>
<b>CONSUMER REVENUE:</b>							
SwimBiz	300	7,960	10,000	(2,040)	-20.40%	8,325	(365)
SwimJitsu	0	0	127,500	(127,500)	-100.00%	0	0
Royalties	39,481	47,490	97,500	(50,010)	-51.29%	37,335	10,154
Deck Pass App	2,403	4,593	0	4,593	0.00%	4,129	464
Publication/Video Sales	70	270	0	270	0.00%	5,500	(5,230)
SwimOutlet	17,755	17,755	120,000	(102,245)	-85.20%	15,635	2,120
Splash Magazine Subscriptions	125	333	2,000	(1,667)	-83.35%	500	(167)
Shipping/Handling	0	0	0	0	0.00%	94	(94)
<b>TOTAL CONSUMER REVENUE</b>	<b>60,134</b>	<b>78,401</b>	<b>357,000</b>	<b>(278,599)</b>	<b>-78.04%</b>	<b>71,519</b>	<b>6,882</b>
<b>USOC PARTNERSHIP:</b>							
USOC Performance Funding	755,550	1,511,100	3,022,200	(1,511,100)	-50.00%	1,479,433	31,667
USOC Performance VIK	124,849	154,476	60,000	94,476	157.46%	0	154,476
USOC Direct Athlete Support	387,375	711,125	1,997,500	(1,286,375)	-64.40%	595,157	115,968
USOC International Relations Grant	0	4,320	15,000	(10,680)	-71.20%	74,000	(69,680)
USOC Other Support	0	0	0	0	0.00%	50,000	(50,000)
<b>TOTAL USOC PARTNERSHIP</b>	<b>1,267,774</b>	<b>2,381,021</b>	<b>5,094,700</b>	<b>(2,713,679)</b>	<b>-53.26%</b>	<b>2,198,590</b>	<b>182,431</b>
<b>INVESTMENT INCOME:</b>							
Investment Income - Operating Budget	330,167	660,334	990,500	(330,166)	-33.33%	150,000	510,334
Interest Income - Savings	1	2	0	2	0.00%	3	(1)
Interest Income - Short Term Securities	17,356	36,760	20,000	16,760	83.80%	6,148	30,612
<b>TOTAL INVESTMENT INCOME</b>	<b>347,524</b>	<b>697,096</b>	<b>1,010,500</b>	<b>(313,404)</b>	<b>-31.01%</b>	<b>156,151</b>	<b>540,945</b>

**USA Swimming, Inc.**  
**Statement of Revenue**  
**For the Six Months Ended June 30, 2018**

	<b>Quarter Actual</b>	<b>Year To Date Actual</b>	<b>2018 Budget</b>	<b>Remaining Dollars</b>	<b>Remaining Percentage</b>	<b>Year To Date 2017</b>	<b>Favorable (Unfavorable)</b>
<b>FOUNDATION AND SWIM-A-THON:</b>							
USA Swimming Foundation	255,000	385,000	755,000	(370,000)	-49.01%	360,000	25,000
Foundation Rent	15,000	30,000	60,000	(30,000)	-50.00%	30,000	0
<b>TOTAL FOUND. AND SWIM-A-THON</b>	<b>270,000</b>	<b>415,000</b>	<b>815,000</b>	<b>(400,000)</b>	<b>-49.08%</b>	<b>390,000</b>	<b>25,000</b>
<b>SPORT AND EVENTS:</b>							
Golden Goggle Awards	(8,513)	(49,762)	0	(49,762)	0.00%	4,391	(54,153)
Coach Education Clinics	38,573	98,710	210,000	(111,291)	-53.00%	93,900	4,810
Altitude Camps	163,272	281,626	295,000	(13,374)	-4.53%	385,788	(104,162)
Facilities Conference	1,513	5,408	8,000	(2,592)	-32.40%	8,564	(3,156)
FINA World Juniors	0	0	0	0	0.00%	60,000	(60,000)
Custom Visits (BAP)	0	0	6,000	(6,000)	-100.00%	3,500	(3,500)
Safe Sport Materials	5,304	7,604	0	7,604	0.00%	6,550	1,055
International TV Rights	0	0	70,000	(70,000)	-100.00%	0	0
Other Registration	(15,034)	25,436	22,500	2,936	13.05%	13,281	12,155
<b>TOTAL SPORTS AND EVENTS</b>	<b>185,114</b>	<b>369,022</b>	<b>611,500</b>	<b>(242,478)</b>	<b>-39.65%</b>	<b>575,973</b>	<b>(206,951)</b>
<b>OTHER INCOME:</b>							
NCAA Top Times List	23,250	77,500	93,000	(15,500)	-16.67%	0	77,500
Combined Federal Campaign	1,476	1,751	10,000	(8,249)	-82.49%	1,566	185
Imputed Interest - Prepaid Rent	40,917	81,835	163,600	(81,765)	-49.98%	87,191	(5,356)
Other Revenue	22,100	60,699	0	60,699	0.00%	10,638	50,061
<b>TOTAL OTHER INCOME</b>	<b>87,742</b>	<b>221,785</b>	<b>266,600</b>	<b>(44,815)</b>	<b>-16.81%</b>	<b>99,396</b>	<b>122,390</b>
<b>TOTAL OPERATING REVENUE</b>	<b>\$4,543,737</b>	<b>\$28,666,275</b>	<b>\$37,043,800</b>	<b>(\$8,377,525)</b>	<b>-22.62%</b>	<b>\$28,094,105</b>	<b>\$572,170</b>
<b>INVESTMENT GAINS (LOSSES):</b>							
Investment Income (Loss) less Operating Allocation	(99,390)	(622,451)	672,800	(1,295,251)	-192.52%	2,222,708	(2,845,159)
Money Manager Fees	(23,207)	(46,267)	(99,800)	53,533	-53.64%	(43,988)	(2,279)
<b>TOTAL INVESTMENT GAINS (LOSSES)</b>	<b>(122,597)</b>	<b>(668,718)</b>	<b>573,000</b>	<b>(1,241,718)</b>	<b>-216.70%</b>	<b>2,178,720</b>	<b>(2,847,439)</b>
<b>TOTAL REVENUE</b>	<b>\$4,421,140</b>	<b>\$27,997,556</b>	<b>\$37,616,800</b>	<b>(\$9,619,244)</b>	<b>-25.57%</b>	<b>\$30,272,825</b>	<b>(\$2,275,269)</b>

**USA Swimming, Inc.**  
**Quarterly Statement of Expenses - By Program**  
**For the Quarter Ended June 30, 2018**

	<b>Quarter Actual</b>	<b>Year To Date Actual</b>	<b>2018 Budget</b>	<b>Remaining Dollars</b>	<b>Remaining Percentage</b>	<b>Year To Date 2017</b>	<b>Favorable (Unfavorable)</b>
<b>TECHNICAL/SPORT:</b>							
<b>SPORT DEVELOPMENT</b>							
<b><i>Athlete Development Programs</i></b>							
1117 LSC Camps	\$4,271	\$6,251	\$10,200	\$3,949	38.71%	\$6,414	\$163
1118 Zone Select Camps	84,482	94,962	100,300	5,338	5.32%	70,932	(24,030)
1119 National Select Camps	1,095	5,041	105,400	100,359	95.22%	72,320	67,278
1120 Camp (VIK)	4,738	18,781	25,000	6,219	24.88%	18,753	(28)
1135 Tech Services Support	0	1,027	2,900	1,873	64.57%	2,352	1,325
1163 Open Water Select Camp	8,938	9,854	55,500	45,646	82.24%	53,929	44,075
<b>Program Group Total</b>	<b>103,523</b>	<b>135,918</b>	<b>299,300</b>	<b>163,382</b>	<b>54.59%</b>	<b>224,700</b>	<b>88,782</b>
<b><i>Coach Education and Development</i></b>							
1213 Coach Education Development	7,329	16,626	62,800	46,174	73.53%	20,905	4,279
1231 USA-S Hosted Coaches Clinics	19,880	37,457	146,700	109,243	74.47%	55,487	18,030
1233 Disability Swimming Coaches Workshop	0	444	9,200	8,756	95.18%	0	(444)
1237 Non-USAS Clinic Participation	4,514	13,262	36,800	23,538	63.96%	12,455	(807)
1240 Online Coach Clinics/Podcasts	4,833	5,581	21,600	16,019	74.16%	13,992	8,411
1242 Coach Mentoring	25,701	42,959	124,600	81,641	65.52%	34,171	(8,788)
1245 Master Coach Program	36,988	53,039	164,500	111,461	67.76%	65,622	12,583
1290 Travel & Program Support	30,908	62,233	117,900	55,667	47.22%	50,935	(11,298)
<b>Program Group Total</b>	<b>130,152</b>	<b>231,600</b>	<b>684,100</b>	<b>452,500</b>	<b>66.15%</b>	<b>253,567</b>	<b>21,967</b>
<b><i>Club Education and Development</i></b>							
1302 Club Excellence Program	401,304	435,702	464,300	28,598	6.16%	462,940	27,238
1305 Club Recognition Program	0	0	7,500	7,500	100.00%	0	0
1311 Club Governance Programs	63	10,120	35,700	25,580	71.65%	27,833	17,713
1314 Club Resources	0	5,508	13,600	8,092	59.50%	13,513	8,005
1332 Club Research Technology	29,500	57,025	107,200	50,175	46.81%	64,880	7,855
1390 Travel & Program Support	45,267	108,343	157,900	49,557	31.38%	82,179	(26,164)
<b>Program Group Total</b>	<b>476,133</b>	<b>616,698</b>	<b>786,200</b>	<b>169,502</b>	<b>21.56%</b>	<b>651,344</b>	<b>34,647</b>
<b><i>LSC Development &amp; Education</i></b>							
1470 LSC Consulting	29,886	47,741	58,000	10,259	17.69%	17,568	(30,173)
1475 LEAP Program	12,024	22,799	59,000	36,201	61.36%	12,540	(10,259)
1481 Leadership Workshops	921	936	36,300	35,364	97.42%	1,801	866
<b>Program Group Total</b>	<b>42,830</b>	<b>71,476</b>	<b>153,300</b>	<b>81,824</b>	<b>53.38%</b>	<b>31,909</b>	<b>(39,567)</b>
<b><i>Facilities Advocacy &amp; Development</i></b>							
1505 Build a Pool Conference	4,994	17,747	62,100	44,353	71.42%	37,773	20,025
1507 Aquatic Industry Relations	11,842	24,681	22,000	(2,681)	-12.18%	20,625	(4,056)
1590 Travel & Program Support	729	1,091	11,600	10,509	90.59%	1,159	68
<b>Program Group Total</b>	<b>17,565</b>	<b>43,519</b>	<b>95,700</b>	<b>52,181</b>	<b>54.53%</b>	<b>59,556</b>	<b>16,037</b>
<b><i>Membership Growth and Diversity</i></b>							

**USA Swimming, Inc.**  
**Quarterly Statement of Expenses - By Program**  
**For the Quarter Ended June 30, 2018**

	<b>Quarter Actual</b>	<b>Year To Date Actual</b>	<b>2018 Budget</b>	<b>Remaining Dollars</b>	<b>Remaining Percentage</b>	<b>Year To Date 2017</b>	<b>Favorable (Unfavorable)</b>
1638 Diversity Management Support	20,083	37,540	90,900	53,360	58.70%	36,294	(1,246)
1640 Community Swim Team Development	16,719	38,430	52,200	13,770	26.38%	26,636	(11,794)
1645 Zone Diversity Camps & Meetings	18,663	23,272	28,800	5,528	19.19%	19,765	(3,507)
1651 Diversity VIK	6,619	12,943	15,000	2,057	13.71%	14,893	1,950
1665 Diversity Select Camp	32,803	62,229	68,500	6,271	9.15%	57,387	(4,842)
<b>Program Group Total</b>	<b>94,887</b>	<b>174,415</b>	<b>255,400</b>	<b>80,985</b>	<b>31.71%</b>	<b>154,975</b>	<b>(19,440)</b>
<b>Committees</b>							
1823 Convention Education Committee	31	10,636	14,700	4,064	27.65%	7,996	(2,640)
1830 LSC Development Committee	150	8,924	34,000	25,076	73.75%	12,857	3,934
1841 Disability Swimming Committee	62	1,578	7,400	5,823	78.68%	2,808	1,230
1842 Diversity Committee	6,629	8,998	15,700	6,702	42.69%	12,264	3,267
1851 Age Group Development Committee	515	6,226	10,800	4,574	42.35%	635	(5,592)
1856 Club Development Committee	0	8	400	392	97.97%	34	26
1860 Governance Committee	14	81	800	719	89.83%	8,816	8,735
1885 Senior Development Committee	0	3,256	700	(2,556)	-365.18%	83	(3,173)
<b>Program Group Total</b>	<b>7,402</b>	<b>39,707</b>	<b>84,500</b>	<b>44,793</b>	<b>53.01%</b>	<b>45,493</b>	<b>5,787</b>
<b>Administration &amp; Operational Support</b>							
1990 Administration & Operational Support	72,333	144,205	304,200	159,995	52.60%	136,549	(7,656)
1999 Salary and Benefits	481,749	1,111,577	2,184,300	1,072,723	49.11%	968,456	(143,121)
<b>Program Group Total</b>	<b>554,082</b>	<b>1,255,782</b>	<b>2,488,500</b>	<b>1,232,718</b>	<b>49.54%</b>	<b>1,105,005</b>	<b>(150,777)</b>
<b>TOTAL SPORT DEVELOPMENT</b>	<b>1,426,574</b>	<b>2,569,114</b>	<b>4,847,000</b>	<b>2,277,886</b>	<b>47.00%</b>	<b>2,526,549</b>	<b>(42,565)</b>
<b>EVENTS AND MEMBER SERVICES</b>							
<b>Events</b>							
2005 Olympic Trials	1,281	2,418	10,000	7,582	75.82%	0	(2,418)
2015 Pan Pacific Championships	20,700	20,700	5,000	(15,700)	-314.00%	0	(20,700)
2018 Winter National Championships	3,756	7,173	126,000	118,827	94.31%	1,601	(5,572)
2019 National Championships/Trials	163,564	166,912	317,400	150,488	47.41%	66,216	(100,696)
2023 US Open	29	29	0	(29)	0.00%	9,654	9,626
2025 Arena Pro Swim Series	307,388	521,141	329,200	(191,941)	-58.31%	155,294	(365,847)
2026 National Team vs NCAA	0	0	178,900	178,900	100.00%	17	17
2027 Speedo Sectionals	55,007	170,007	215,000	44,993	20.93%	140,000	(30,007)
2028 IM Xtreme Games	2,000	4,000	24,000	20,000	83.33%	4,000	0
2029 Zone Championships	35,657	50,657	110,000	59,343	53.95%	40,000	(10,657)
2035 Futures Championships	8,004	18,584	135,800	117,216	86.32%	28,543	9,960
2040 Jr. Pan Pacific Championships	9,597	34,597	12,800	(21,797)	-170.29%	0	(34,597)
2045 Jr. National Championships (Summer LC)	4,770	6,036	140,100	134,064	95.69%	9,912	3,876
2050 Jr. NTL. Champ. (Winter SC) & Long Course Inv.	0	1,484	132,600	131,116	98.88%	285	(1,199)
2055 FINA Jr. World Championships	0	0	0	0	0.00%	95,747	95,747
2069 Open Water Championships	55,198	72,332	99,600	27,268	27.38%	92,789	20,456
2077 National Events Uniforming VIK	2,834	34,584	40,000	5,416	13.54%	16,200	(18,384)
2076 Bag Tags VIK	175	175	10,000	9,825	98.25%	157	(18)
2716 Omega Timing Systems VIK	0	0	320,000	320,000	100.00%	24,577	24,577
2092 Club Marketing & Event Mgmt. Symposium	0	0	10,000	10,000	100.00%	0	0



**USA Swimming, Inc.**  
**Quarterly Statement of Expenses - By Program**  
**For the Quarter Ended June 30, 2018**

	<b>Quarter Actual</b>	<b>Year To Date Actual</b>	<b>2018 Budget</b>	<b>Remaining Dollars</b>	<b>Remaining Percentage</b>	<b>Year To Date 2017</b>	<b>Favorable (Unfavorable)</b>
<i>Program Group Total</i>	<u>669,957</u>	<u>1,110,829</u>	<u>2,216,400</u>	<u>1,105,571</u>	<u>49.88%</u>	<u>684,992</u>	<u>(425,837)</u>
<b>Member Programs</b>							
2411 Member Dues and Services	1,223	7,339	26,500	19,161	72.31%	5,072	(2,267)
2412 Technology Projects	1,249	1,249	35,000	33,751	96.43%	563	(686)
2418 SWIMS 2.0	21,471	35,400	150,000	114,600	76.40%	28,076	(7,324)
2421 Membership Directory	0	0	10,100	10,100	100.00%	5,593	5,593
2423 Rulebook	5,025	112,925	146,600	33,675	22.97%	99,554	(13,371)
2431 Swimposium	34,323	38,572	137,800	99,228	72.01%	21,154	(17,418)
2432 Zone Workshops	125,406	139,302	153,100	13,798	9.01%	209,601	70,299
2434 On-Line Registration	9,444	18,888	100,000	81,112	81.11%	38,931	20,043
2498 Awards	75	186	13,200	13,014	98.59%	3,875	3,689
<i>Program Group Total</i>	<u>198,215</u>	<u>353,861</u>	<u>772,300</u>	<u>418,439</u>	<u>54.18%</u>	<u>412,420</u>	<u>58,559</u>
<b>Member Programs - Officials</b>							
2433 Officials Training Sessions	36,702	38,138	123,800	85,662	69.19%	65,455	27,317
2437 Officials On-Line Testing	0	0	5,100	5,100	100.00%	0	0
2438 Officials Certification Program	0	0	34,400	34,400	100.00%	2,564	2,564
2440 Officials Clinic	64,325	64,455	74,900	10,445	13.95%	1,045	(63,410)
2441 Officials International Travel	7,211	7,781	13,300	5,519	41.50%	9,899	2,118
2450 Officials Mentoring & Training	496	861	6,000	5,139	85.65%	216	(645)
<i>Program Group Total</i>	<u>108,733</u>	<u>111,235</u>	<u>257,500</u>	<u>146,265</u>	<u>56.80%</u>	<u>79,179</u>	<u>(32,056)</u>
<b>Other Programs and Services</b>							
2501 Publications and Video Sales	2,253	18,983	40,000	21,017	52.54%	23,252	4,269
2502 Mailing Service	33	33	500	467	93.47%	134	101
2518 Altitude Camps	155,793	291,207	305,000	13,793	4.52%	360,189	68,982
2519 Times Projects	13,895	31,221	60,100	28,879	48.05%	21,544	(9,677)
2715 TV/Web Cast Production	175,255	325,255	1,388,800	1,063,545	76.58%	678,735	353,480
<i>Program Group Total</i>	<u>347,229</u>	<u>666,699</u>	<u>1,794,400</u>	<u>1,127,701</u>	<u>62.85%</u>	<u>1,083,854</u>	<u>417,155</u>
<b>Committees &amp; Governance</b>							
2801 Convention	3,586	4,203	105,000	100,797	96.00%	3,171	(1,032)
2802 Convention - Athletes	1,785	4,626	122,500	117,874	96.22%	1,175	(3,451)
2825 Registration / Membership	6	15,280	16,800	1,520	9.05%	12,286	(2,994)
2832 Awards	890	890	300	(590)	-196.68%	0	(890)
2835 Credentials / Elections	0	0	2,400	2,400	100.00%	31	31
2836 Rules and Regulations	24,407	24,407	37,800	13,393	35.43%	33,362	8,955
2857 Times & Recognition Committee	1,821	1,975	20,900	18,925	90.55%	2,109	133
2862 Championship Evaluation	0	0	5,500	5,500	100.00%	31	31
2866 Officials	5,636	20,589	18,800	(1,789)	-9.51%	16,837	(3,752)
2887 Athletes Executive Committee	18,473	23,567	18,200	(5,367)	-29.49%	11,819	(11,748)
<i>Program Group Total</i>	<u>56,604</u>	<u>95,537</u>	<u>348,200</u>	<u>252,663</u>	<u>72.56%</u>	<u>80,820</u>	<u>(14,716)</u>
<b>Administration &amp; Operational Support</b>							
2990 Administration & Operational Support	63,616	120,511	179,100	58,589	32.71%	141,927	21,417



**USA Swimming, Inc.**  
**Quarterly Statement of Expenses - By Program**  
**For the Quarter Ended June 30, 2018**

	<b>Quarter Actual</b>	<b>Year To Date Actual</b>	<b>2018 Budget</b>	<b>Remaining Dollars</b>	<b>Remaining Percentage</b>	<b>Year To Date 2017</b>	<b>Favorable (Unfavorable)</b>
2999 Salary and Benefits	367,184	718,438	1,409,400	690,962	49.03%	1,052,585	334,147
<i>Program Group Total</i>	<i>430,800</i>	<i>838,948</i>	<i>1,588,500</i>	<i>749,552</i>	<i>47.19%</i>	<i>1,194,512</i>	<i>355,564</i>
<b>TOTAL EVENTS AND MEMBER SERVICES</b>	<b>1,811,540</b>	<b>3,177,108</b>	<b>6,977,300</b>	<b>3,800,192</b>	<b>54.47%</b>	<b>3,535,777</b>	<b>358,669</b>
<b>NATIONAL TEAM</b>							
<b>Competitions</b>							
3001 Olympic Games	0	0	2,800	2,800	100.00%	9,223	9,223
3007 Pan Pacific Championships	85,773	85,773	367,600	281,827	76.67%	0	(85,773)
3013 Pan American Games	0	0	2,500	2,500	100.00%	0	0
3015 World University Games	0	0	0	0	0.00%	143,740	143,740
3020 NT vs. NCAA	350	350	82,500	82,150	99.58%	1,217	867
3031 Long Course World Championships	0	0	0	0	0.00%	312,458	312,458
3033 Short Course World Championships	0	0	307,500	307,500	100.00%	1,380	1,380
<i>Program Group Total</i>	<i>86,123</i>	<i>86,123</i>	<i>762,900</i>	<i>676,777</i>	<i>88.71%</i>	<i>468,018</i>	<i>381,895</i>
<b>Junior Team Programs</b>							
3009 Jr. Team International Competition	72,955	77,327	164,900	87,573	53.11%	7,421	(69,906)
3012 Jr. Pan Pacific Championships	58,178	58,178	290,800	232,622	79.99%	0	(58,178)
3045 Junior Team Camps	4,080	44,557	64,300	19,743	30.70%	33,922	(10,635)
3050 FINA World Junior Championships	0	0	0	0	0.00%	87,528	87,528
3051 Jr. Team Pro Swim Series	4,927	7,127	40,000	32,873	82.18%	7,150	23
3992 Ntl. Jr. Team Program Support	4,668	15,592	50,400	34,808	69.06%	13,195	(2,397)
<i>Program Group Total</i>	<i>144,808</i>	<i>202,781</i>	<i>610,400</i>	<i>407,619</i>	<i>66.78%</i>	<i>149,216</i>	<i>(53,565)</i>
<b>Open Water Programs</b>							
3040 FINA Open Water Jr. Championships	3,758	3,758	51,800	48,042	92.74%	0	(3,758)
3061 Open Water World Championships	0	0	0	0	0.00%	60,610	60,610
3063 Open Water University Games	0	0	0	0	0.00%	877	877
3065 Open Water World Cup	115,413	128,519	97,100	(31,419)	-32.36%	36,870	(91,649)
3067 Open Water Camps	0	39	46,200	46,161	99.92%	44,849	44,811
3075 Open Water International Camps	0	0	22,000	22,000	100.00%	51,403	51,403
3495 Open Water Program Support	20,536	25,663	36,500	10,837	29.69%	14,007	(11,655)
<i>Program Group Total</i>	<i>139,708</i>	<i>157,979</i>	<i>253,600</i>	<i>95,621</i>	<i>37.71%</i>	<i>208,617</i>	<i>50,638</i>
<b>Camps</b>							
3069 National Team Specialty Camps	17,305	21,557	46,400	24,843	53.54%	0	(21,557)
3071 Altitude Training Camps	3,858	7,232	55,500	48,268	86.97%	24,454	17,222
3073 National Team Camps	16,625	55,855	137,700	81,845	59.44%	43,323	(12,532)
3076 National Team International Camps	39,290	78,580	221,900	143,320	64.59%	134,526	55,946
3479 Advance Team Visits	4,272	9,225	22,600	13,375	59.18%	13,832	4,608
<i>Program Group Total</i>	<i>81,350</i>	<i>172,449</i>	<i>484,100</i>	<i>311,651</i>	<i>64.38%</i>	<i>216,135</i>	<i>43,686</i>
<b>Athlete Services</b>							
3101 Athlete Support-Stipends & Grants	387,375	711,125	1,452,300	741,175	51.03%	599,119	(112,006)

**USA Swimming, Inc.**  
**Quarterly Statement of Expenses - By Program**  
**For the Quarter Ended June 30, 2018**

	Quarter Actual	Year To Date Actual	2018 Budget	Remaining Dollars	Remaining Percentage	Year To Date 2017	Favorable (Unfavorable)
3103 Athlete Support-Medals & Records	0	0	450,000	450,000	100.00%	0	0
3107 Athlete Support-Op Gold Qualification Bonus	0	1,017	430,000	428,983	99.76%	0	(1,017)
3024 Swim Squads	3,281	6,646	0	(6,646)	0.00%	0	(6,646)
3025 Arena Pro Swim Athlete Support	267,807	425,505	641,600	216,095	33.68%	243,168	(182,337)
3021 World Cup Athlete Support	0	278	30,000	29,722	99.07%	(3,212)	(3,491)
3127 National Team Investment Grant	59,553	128,229	600,000	471,771	78.63%	127,746	(483)
3106 ConocoPhillips Athlete Support	12,425	16,156	108,000	91,844	85.04%	9,456	(6,700)
3110 National Team Uniforming (VIK)	85,155	92,287	325,000	232,713	71.60%	136,406	44,120
3120 Athlete Support-Olympic Prep	0	0	30,000	30,000	100.00%	13,187	13,187
3130 Foundation Endowment Programs	4,420	14,643	75,000	60,357	80.48%	601	(14,042)
3200 Athlete Life Skills	0	150	40,000	39,850	99.63%	0	(150)
3310 USOC Service Provider Travel	3,800	5,953	0	(5,953)	0.00%	2,761	(3,192)
3155 Elite Athlete Accident Coverage	0	32,825	48,000	15,175	31.61%	9,922	(22,903)
<b>Program Group Total</b>	<b>823,815</b>	<b>1,434,815</b>	<b>4,229,900</b>	<b>2,795,085</b>	<b>66.08%</b>	<b>1,139,155</b>	<b>(295,660)</b>
<b>Coach Services</b>							
3203 Coach Incentive & Reward Program	0	0	330,000	330,000	100.00%	0	0
3210 Olympic Team Prep - Coaches	0	0	35,000	35,000	100.00%	5,360	5,360
3222 National Team Consultant	8,252	12,252	37,000	24,748	66.89%	0	(12,252)
3460 Olympic Staff Recognition	0	0	27,000	27,000	100.00%	0	0
3010 Coach Education	11,795	16,740	34,100	17,360	50.91%	16,743	3
3077 National Team Coaches Meeting	83,382	109,813	128,900	19,087	14.81%	97,612	(12,201)
3079 Team Logistics Seminar	0	0	4,700	4,700	100.00%	3,802	3,802
<b>Program Group Total</b>	<b>103,429</b>	<b>138,805</b>	<b>596,700</b>	<b>457,895</b>	<b>76.74%</b>	<b>123,518</b>	<b>(15,287)</b>
<b>Performance Support</b>							
3301 National Team Performance Support	54,066	109,843	162,600	52,757	32.45%	79,748	(30,095)
3351 Athlete Testing & Lab Expenses	7,437	10,682	22,100	11,418	51.66%	12,931	2,249
<b>Program Group Total</b>	<b>61,504</b>	<b>120,525</b>	<b>184,700</b>	<b>64,175</b>	<b>34.75%</b>	<b>92,679</b>	<b>(27,847)</b>
<b>High Performance Network</b>							
3311 Sport Science Grants	0	0	30,000	30,000	100.00%	0	0
3353 Sport Medicine & Science Network	48,640	65,371	91,000	25,629	28.16%	24,972	(40,399)
3453 Drug Control Program	8,009	8,574	51,400	42,826	83.32%	2,461	(6,113)
<b>Program Group Total</b>	<b>56,648</b>	<b>73,945</b>	<b>172,400</b>	<b>98,455</b>	<b>57.11%</b>	<b>27,433</b>	<b>(46,511)</b>
<b>Other Programs and Services</b>							
3481 National Team Equipment	5,778	7,000	28,500	21,500	75.44%	11,633	4,632
3496 National Team Selection	0	0	7,600	7,600	100.00%	0	0
<b>Program Group Total</b>	<b>5,778</b>	<b>7,000</b>	<b>36,100</b>	<b>29,100</b>	<b>80.61%</b>	<b>11,633</b>	<b>4,632</b>
<b>Committees</b>							
3846 Sports Medicine	202	202	5,300	5,098	96.19%	442	240
3850 Open Water Development	12	45	800	755	94.42%	22	(22)
3868 Open Water Committee	4,616	5,137	21,600	16,463	76.22%	4,868	(270)
3882 National Steering Committee	1,045	1,069	13,300	12,231	91.96%	377	(692)

**USA Swimming, Inc.**  
**Quarterly Statement of Expenses - By Program**  
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	<b>Quarter Actual</b>	<b>Year To Date Actual</b>	<b>2018 Budget</b>	<b>Remaining Dollars</b>	<b>Remaining Percentage</b>	<b>Year To Date 2017</b>	<b>Favorable (Unfavorable)</b>
3888 National Team Ath Committee	12	3,584	9,800	6,216	63.43%	3,165	(419)
<i>Program Group Total</i>	<i>5,888</i>	<i>10,037</i>	<i>50,800</i>	<i>40,763</i>	<i>80.24%</i>	<i>8,873</i>	<i>(1,163)</i>
<b>Administration &amp; Operational Support</b>							
3990 Administration & Operational Support	84,623	223,752	218,500	(5,253)	-2.40%	108,694	(115,059)
3991 NT Division Travel	2	15	47,400	47,385	99.97%	25,336	25,321
3999 Salary and Benefits	367,666	749,443	1,886,000	1,136,557	60.26%	845,603	96,159
<i>Program Group Total</i>	<i>452,291</i>	<i>973,211</i>	<i>2,151,900</i>	<i>1,178,689</i>	<i>54.77%</i>	<i>979,632</i>	<i>6,422</i>
<b>TOTAL NATIONAL TEAM</b>	<b>1,961,341</b>	<b>3,377,669</b>	<b>9,533,500</b>	<b>6,155,831</b>	<b>64.57%</b>	<b>3,424,908</b>	<b>47,239</b>
<b>TOTAL TECHNICAL/SPORT</b>	<b>5,199,455</b>	<b>9,123,891</b>	<b>21,357,800</b>	<b>12,233,909</b>	<b>57.28%</b>	<b>9,487,235</b>	<b>363,344</b>
<b>OTHER PROGRAMS:</b>							
<b>COMMERCIAL</b>							
<b>Corporate Partnerships</b>							
5901 Marketing & Contract Fulfillment	32,482	75,283	220,100	144,817	65.80%	103,093	27,809
5905 Sales Development Support	5,418	32,101	60,000	27,899	46.50%	29,860	(2,241)
<i>Program Group Total</i>	<i>37,900</i>	<i>107,385</i>	<i>280,100</i>	<i>172,716</i>	<i>61.66%</i>	<i>132,953</i>	<i>25,568</i>
<b>Communications</b>							
5711 Splash Magazine	221,766	296,491	1,129,400	832,909	73.75%	335,408	38,917
5714 PR-USA Swimming Programs	0	5,421	75,000	69,579	92.77%	161	(5,261)
5718 usaswimming.org - Web site	117,493	240,394	535,000	294,606	55.07%	120,841	(119,553)
5724 Communication Operations	46,903	90,389	233,400	143,011	61.27%	92,930	2,541
5730 USA Swimming Productions	185,606	377,103	897,500	520,397	57.98%	135,042	(242,062)
<i>Program Group Total</i>	<i>571,768</i>	<i>1,009,798</i>	<i>2,870,300</i>	<i>1,860,502</i>	<i>64.82%</i>	<i>684,381</i>	<i>(325,417)</i>
<b>Marketing</b>							
5109 Athlete Partnership Fulfillment	459	8,095	50,000	41,905	83.81%	12,683	4,588
5620 Family Program	28,358	28,555	30,000	1,445	4.82%	34,703	6,148
5709 National Event Marketing	190,282	208,956	0	(208,956)	0.00%	0	(208,956)
5710 Membership/Recruiting Promotion (SwimToday)	120,329	194,266	480,000	285,734	59.53%	312,556	118,290
5713 Deck Pass	2,687	7,184	185,000	177,816	96.12%	11,957	4,773
5715 SwimBiz	65,820	70,815	107,000	36,185	33.82%	69,702	(1,114)
5716 Swimjitsu	808	1,683	0	(1,683)	0.00%	150,002	148,318
5720 Video Production Services	820	1,375	25,000	23,625	94.50%	5,772	4,398
5913 Multicultural Promotions	17,024	34,080	120,000	85,920	71.60%	81,547	47,467
5902 Merchandise Program	2,055	3,985	25,000	21,015	84.06%	784	(3,202)
5904 Marketing Contract Labor	23,000	42,724	25,000	(17,724)	-70.90%	0	(42,724)
5911 Aqua Zone - Olympic Trials	5,700	5,700	0	(5,700)	0.00%	5,408	(292)
<i>Program Group Total</i>	<i>457,342</i>	<i>607,419</i>	<i>1,047,000</i>	<i>439,581</i>	<i>41.98%</i>	<i>685,114</i>	<i>77,695</i>
<b>Administration &amp; Operational Support</b>							

**USA Swimming, Inc.**  
**Quarterly Statement of Expenses - By Program**  
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	<b>Quarter Actual</b>	<b>Year To Date Actual</b>	<b>2018 Budget</b>	<b>Remaining Dollars</b>	<b>Remaining Percentage</b>	<b>Year To Date 2017</b>	<b>Favorable (Unfavorable)</b>
5990 Administration & Operational Support	80,406	151,885	264,200	112,315	42.51%	97,684	(54,201)
5999 Salary and Benefits	460,532	958,032	2,048,600	1,090,568	53.23%	920,808	(37,223)
<i>Program Group Total</i>	<i>540,938</i>	<i>1,109,917</i>	<i>2,312,800</i>	<i>1,202,883</i>	<i>52.01%</i>	<i>1,018,492</i>	<i>(91,425)</i>
<b>TOTAL COMMERCIAL</b>	<b>1,607,948</b>	<b>2,834,518</b>	<b>6,510,200</b>	<b>3,675,682</b>	<b>56.46%</b>	<b>2,520,940</b>	<b>(313,579)</b>
<b>RISK MANAGEMENT SERVICES</b>							
<i>Member Programs</i>							
9413 Member Insurance Premiums & Retention	749,210	2,391,870	3,003,100	611,230	20.35%	2,273,584	(118,286)
9415 Other Risk Management	0	10,334	16,700	6,366	38.12%	21,626	11,292
<i>Program Group Total</i>	<i>749,210</i>	<i>2,402,204</i>	<i>3,019,800</i>	<i>617,596</i>	<i>20.45%</i>	<i>2,295,210</i>	<i>(106,994)</i>
<i>Committees</i>							
9827 Operational Risk Committee	930	15,438	55,000	39,562	71.93%	47,020	31,582
<i>Program Group Total</i>	<i>930</i>	<i>15,438</i>	<i>55,000</i>	<i>39,562</i>	<i>71.93%</i>	<i>47,020</i>	<i>31,582</i>
<i>Administration &amp; Operational Support</i>							
9490 Administration & Operational Support	3,210	9,104	32,000	22,896	71.55%	15,968	6,865
<i>Program Group Total</i>	<i>3,210</i>	<i>9,104</i>	<i>32,000</i>	<i>22,896</i>	<i>71.55%</i>	<i>15,968</i>	<i>6,865</i>
<b>TOTAL RISK MANAGEMENT SERVICES</b>	<b>753,350</b>	<b>2,426,745</b>	<b>3,106,800</b>	<b>680,055</b>	<b>21.89%</b>	<b>2,358,198</b>	<b>(68,548)</b>
<b>FOUND. &amp; MAKE A SPLASH SUPPORT</b>							
6666 Foundation Support	62,500	125,000	250,000	125,000	50.00%	125,000	0
6667 USA Swimming Staff Allocation	0	0	311,000	311,000	100.00%	0	0
<b>TOTAL FOUNDATION &amp; MAS SUPPORT</b>	<b>62,500</b>	<b>125,000</b>	<b>561,000</b>	<b>436,000</b>	<b>77.72%</b>	<b>125,000</b>	<b>0</b>
<b>TOTAL OTHER PROGRAMS</b>	<b>2,423,799</b>	<b>5,386,264</b>	<b>10,178,000</b>	<b>4,791,736</b>	<b>47.08%</b>	<b>5,004,138</b>	<b>(382,126)</b>

**ADMINISTRATION:**

**EXECUTIVE**

*Other Executive*

7920 CEO Contingency	981	18,383	70,000	51,617	73.74%	144,783	126,400
7930 Board Chair Travel and Expenses	9,164	16,685	35,000	18,315	52.33%	16,061	(624)
7945 CSCAA Grant	30,000	60,000	125,000	65,000	52.00%	50,005	(9,995)
7971 Organizational Relations - Domestic	53,795	69,146	80,000	10,854	13.57%	47,997	(21,149)
7984 Organizational Relations - Internat'l	15,068	16,839	65,000	48,161	74.09%	6,346	(10,494)
7981 International Relations	11,398	40,669	70,500	29,831	42.31%	24,812	(15,857)
7937 Splash Makers II	0	0	0	0	0.00%	1,321	1,321
<i>Program Group Total</i>	<i>120,407</i>	<i>221,722</i>	<i>445,500</i>	<i>223,778</i>	<i>50.23%</i>	<i>291,324</i>	<i>69,602</i>

*Committees & Governance*

**USA Swimming, Inc.**  
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	<b>Quarter Actual</b>	<b>Year To Date Actual</b>	<b>2018 Budget</b>	<b>Remaining Dollars</b>	<b>Remaining Percentage</b>	<b>Year To Date 2017</b>	<b>Favorable (Unfavorable)</b>
7803 Board of Directors	34,644	72,302	178,600	106,298	59.52%	82,614	10,312
7805 Executive Committee	0	461	13,000	12,539	96.46%	7,839	7,378
7806 Committee Chairs	0	0	0	0	0.00%	31,149	31,149
7807 Zone Administration	0	17	0	(17)	0.00%	20	3
7808 Task Force & Other Committees	11,535	42,679	43,700	1,021	2.34%	107,154	64,475
7811 International Relations Committee	7,115	17,828	42,400	24,572	57.95%	28,225	10,397
7820 Nominating Committee	58	149	0	(149)	0.00%	0	(149)
<b>Program Group Total</b>	<b>53,352</b>	<b>133,435</b>	<b>277,700</b>	<b>144,265</b>	<b>51.95%</b>	<b>257,001</b>	<b>123,567</b>
<b>Administration &amp; Operational Support</b>							
7990 Administration & Operational Support	40,036	63,503	56,900	(6,603)	-11.60%	65,396	1,893
7999 Salary and Benefits	149,262	325,142	772,600	447,458	57.92%	784,235	459,093
<b>Program Group Total</b>	<b>189,298</b>	<b>388,645</b>	<b>829,500</b>	<b>440,855</b>	<b>53.15%</b>	<b>849,630</b>	<b>460,986</b>
<b>TOTAL EXECUTIVE</b>	<b>363,057</b>	<b>743,801</b>	<b>1,552,700</b>	<b>808,899</b>	<b>52.10%</b>	<b>1,397,956</b>	<b>654,155</b>
<b>FINANCE</b>							
<b>Other Programs</b>							
8500 LSC/Club Financial Resources	0	0	33,900	33,900	100.00%	35,800	35,800
<b>Program Group Total</b>	<b>0</b>	<b>0</b>	<b>33,900</b>	<b>33,900</b>	<b>100.00%</b>	<b>35,800</b>	<b>35,800</b>
<b>Committees</b>							
8895 Investment Committee	17	40	300	260	86.83%	53	13
8880 Audit Committee	11	11	300	289	96.34%	0	(11)
<b>Program Group Total</b>	<b>28</b>	<b>50</b>	<b>600</b>	<b>550</b>	<b>91.59%</b>	<b>53</b>	<b>2</b>
<b>Administration &amp; Operational Support</b>							
8990 Administration & Operational Support	48,186	80,081	144,700	64,619	44.66%	107,539	27,459
8999 Salary and Benefits	177,573	370,818	734,800	363,982	49.53%	585,803	214,985
<b>Program Group Total</b>	<b>225,759</b>	<b>450,899</b>	<b>879,500</b>	<b>428,601</b>	<b>48.73%</b>	<b>693,343</b>	<b>242,444</b>
<b>TOTAL FINANCE</b>	<b>225,787</b>	<b>450,949</b>	<b>914,000</b>	<b>463,051</b>	<b>50.66%</b>	<b>729,195</b>	<b>278,246</b>
<b>BUSINESS AFFAIRS</b>							
<b>Legal and NBR</b>							
9695 Legal	72,388	111,500	250,000	138,500	55.40%	123,640	12,140
9692 National Board of Review	429	32,143	129,000	96,857	75.08%	74,418	42,276
9690 Legal - Admin. & Oper. Support	9,421	10,716	26,700	15,984	59.86%	4,231	(6,485)
<b>Program Group Total</b>	<b>82,238</b>	<b>154,359</b>	<b>405,700</b>	<b>251,341</b>	<b>61.95%</b>	<b>202,289</b>	<b>47,930</b>
<b>Safe Sport</b>							
9335 Safe Sport - Background Checks	6,363	14,338	41,200	26,862	65.20%	25,711	11,373
9370 LSC Safe Sport Chairs Workshop	0	344	0	(344)	0.00%	0	(344)
9375 Safe Sport Online Education	413	1,774	0	(1,774)	0.00%	0	(1,774)
9386 Safe Sport Athlete Fellowship	3,828	11,233	0	(11,233)	0.00%	0	(11,233)

**USA Swimming, Inc.**  
**Quarterly Statement of Expenses - By Program**  
**For the Quarter Ended June 30, 2018**

	<b>Quarter Actual</b>	<b>Year To Date Actual</b>	<b>2018 Budget</b>	<b>Remaining Dollars</b>	<b>Remaining Percentage</b>	<b>Year To Date 2017</b>	<b>Favorable (Unfavorable)</b>
9385 Safe Sport Programs	53,811	94,169	270,600	176,431	65.20%	112,455	18,286
9387 Safe Sport - USOC Center for Safe Sport	0	42,900	60,000	17,100	28.50%	42,900	0
9388 Safe Sport - Leadership Conference	0	0	2,500	2,500	100.00%	62,373	62,373
9389 Safe Sport - SwimAssist	7,819	10,394	50,000	39,606	79.21%	13,024	2,630
<i>Program Group Total</i>	<i>72,235</i>	<i>175,151</i>	<i>424,300</i>	<i>249,149</i>	<i>58.72%</i>	<i>256,463</i>	<i>81,312</i>
<b>Other Programs</b>							
9380 Human Resources	17,534	38,257	47,200	8,943	18.95%	24,431	(13,826)
9295 Information Technology Support	89,803	282,374	510,100	227,726	44.64%	257,906	(24,468)
<i>Program Group Total</i>	<i>107,337</i>	<i>320,630</i>	<i>557,300</i>	<i>236,670</i>	<i>42.47%</i>	<i>282,337</i>	<i>(38,293)</i>
<b>Committees</b>							
9810 Safe Sport Committee	159	9,169	25,500	16,331	64.04%	11,336	2,168
<i>Program Group Total</i>	<i>28</i>	<i>50</i>	<i>600</i>	<i>550</i>	<i>91.59%</i>	<i>53</i>	<i>2</i>
<b>Administrative &amp; Operational Support</b>							
9990 Administration & Operational Support	49,021	87,963	213,000	125,037	58.70%	0	(87,963)
9999 Salary and Benefits	429,829	909,997	1,913,600	1,003,603	52.45%	0	(909,997)
<i>Program Group Total</i>	<i>478,850</i>	<i>997,960</i>	<i>2,126,600</i>	<i>1,128,640</i>	<i>53.07%</i>	<i>0</i>	<i>(997,960)</i>
<b>TOTAL BUSINESS AFFAIRS</b>	<b>740,818</b>	<b>1,657,269</b>	<b>3,539,400</b>	<b>1,882,131</b>	<b>53.18%</b>	<b>752,426</b>	<b>(904,843)</b>
<b>TOTAL ADMINISTRATION</b>	<b>1,329,662</b>	<b>2,852,019</b>	<b>6,006,100</b>	<b>3,154,081</b>	<b>52.51%</b>	<b>2,879,577</b>	<b>27,558</b>
<b>GRAND TOTALS</b>	<b>\$8,952,915</b>	<b>\$17,362,174</b>	<b>\$37,541,900</b>	<b>\$20,179,727</b>	<b>53.75%</b>	<b>\$17,370,949</b>	<b>\$8,775</b>



**FIRST**western

## Quarterly Investment Review

**USA SWIMMING, INC.**

**&**

**USA SWIMMING FOUNDATION, INC.**

**2<sup>nd</sup> QUARTER 2018**

## Activity Summary

	USA Swimming, Inc. - Equities	USA Swimming, Inc. - Fixed Income	Consolidated Accounts		
	Quarter to Date	Quarter to Date	Quarter to Date	Year to Date	Since Inception 6/26/2008
<b>Beginning Value<sup>(1),(2)</sup></b>	<b>\$21,621,151</b>	<b>\$14,903,123</b>	<b>\$36,524,275</b>	<b>\$37,074,729</b>	<b>\$0</b>
Net Contributions/Withdrawals <sup>(3)</sup>	-\$330,167	\$0	-\$330,167	-\$660,317	\$26,696,366
Gain/Loss	\$237,120	-\$30,444	\$206,677	-\$13,627	\$9,704,419
<b>Ending Value<sup>(1),(2)</sup></b>	<b>\$21,528,105</b>	<b>\$14,872,680</b>	<b>\$36,400,784</b>	<b>\$36,400,784</b>	<b>\$36,400,784</b>

## Performance

Time Weighted/Net of Fees	0.56%	-0.03%	5.29%
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## Asset Allocation

	Market Value	Portfolio %	Target %
US Large Cap Equities	\$8,739,587	24.01%	25.00%
US Small Cap Equities	\$1,524,953	4.19%	5.00%
International Equities	\$8,726,724	23.97%	23.00%
REITs	\$1,258,585	3.46%	4.00%
Commodities	\$1,072,865	2.95%	3.00%
High Yield Bonds	\$86,036	0.24%	0.00%
Fixed Income	\$14,588,294	40.08%	39.00%
International Fixed Income	\$28,859	0.08%	0.00%
Cash & Equivalents	\$374,882	1.03%	1.00%
	<b>\$36,400,784</b>	<b>100.00%</b>	<b>100.00%</b>

(1) Values include Accrued Income.

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



# USA Swimming, Inc.

## Performance by Sector: As of June 30, 2018



	Market Value <sup>(1),(2),(4)</sup> As Of 6/30/2018	Portfolio <sup>(5)</sup> Weight	QTD	YTD	1Yr	3Yr	5Yr	10Yr	Since <sup>(3),(4)</sup> Inception	Inception Date
<b>Broad Equity Market Index</b>										
MSCI ACW Index NR			0.53	-0.43	10.73	8.19	9.41	5.80		
<b>US Large Cap Equities</b>	\$8,739,587	24%	3.55	2.63	14.49	11.89	13.06	9.10	9.08	6/26/2008
S&P 500 Index			3.43	2.65	14.37	11.93	13.42	10.17		
Russell 1000 Index			3.57	2.85	14.54	11.64	13.37	10.20		
<b>US Small Cap Equities</b>	\$1,524,953	4%	7.17	6.13	16.16	10.12	11.95	9.16	9.09	6/26/2008
Russell 2000 Index			7.75	7.66	17.57	10.96	12.46	10.60		
<b>International Equities</b>	\$8,726,724	24%	-2.44	-1.29	10.31	5.71	6.41	2.36	2.38	6/26/2008
MSCI ACW Index Ex-US			-2.61	-3.77	7.28	5.07	5.99	2.54		
MSCI EAFE Index			-1.24	-2.75	6.84	4.90	6.44	2.84		
MSCI Emerging Markets Index			-7.96	-6.66	8.20	5.60	5.01	2.26		
<b>REITs</b>	\$1,258,585	3%	5.38	1.79	10.15	6.66	6.87	5.47	5.47	6/26/2008
FTSE EPRA/NAREIT Developed Index			5.12	0.36	5.64	5.71	5.97	4.89		
<b>Commodities</b>	\$1,072,865	3%	0.54	0.17	9.02	-4.16			-6.88	7/11/2013
Bloomberg Commodity Index			0.40	0.00	7.35	-4.54	-6.40	-9.04		
<b>High Yield Bonds</b>	\$86,036	0%	-0.30	-5.28	-0.36	2.56	3.90		4.79	7/12/2011
BofAML HY Master II Index			1.00	0.08	2.53	5.55	5.51	8.03		
<b>Fixed Income</b>	\$14,588,294	40%	-0.11	-1.42	0.19	2.34	2.79	4.04	4.03	6/26/2008
Barclays Cap Aggregate Bond Index			-0.16	-1.62	-0.40	1.72	2.27	3.72		
<b>International Fixed Income</b>	\$28,859	0%	-1.14	-1.75	-0.35	4.01			4.91	7/23/2013
<b>Cash &amp; Equivalents</b>	\$374,882	1%	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
BofAML US 3 Month T-Bill Index			0.46	0.81	1.36	0.68	0.42	0.35		
<b>Total Portfolio</b>	<b>\$36,400,784</b>	<b>100%</b>	<b>0.56</b>	<b>-0.03</b>	<b>7.19</b>	<b>5.75</b>	<b>6.35</b>	<b>5.32</b>	<b>5.31</b>	<b>6/26/2008</b>
Blended Benchmark <sup>(6)</sup>			0.44	-0.78	5.96	5.24	6.04			
Inflation + 3%			3.37	4.26	5.74	4.86	4.56	4.43		

(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

# USA Swimming, Inc. - Equities

## Performance by Sector: As of June 30, 2018



	Market Value <sup>(1),(2),(4)</sup>	Portfolio <sup>(5)</sup>							Since <sup>(3),(4)</sup>	Inception
	As Of 6/30/2018	Weight	QTD	YTD	1Yr	3Yr	5Yr	10Yr	Inception	Date
US Large Cap Equities	\$8,739,587	41%	3.55	2.63	14.49	11.89	13.06	9.29	9.26	6/26/2008
S&P 500 Index			3.43	2.65	14.37	11.93	13.42	10.17		
US Small Cap Equities	\$1,524,953	7%	7.17	6.13	16.16	10.12	11.95	9.50	9.44	6/26/2008
Russell 2000 Index			7.75	7.66	17.57	10.96	12.46	10.60		
International Equities	\$8,726,724	41%	-2.44	-1.29	10.31	5.71	6.42	2.70	2.72	6/26/2008
MSCI EAFE Index			-1.24	-2.75	6.84	4.90	6.44	2.84		
MSCI Emerging Markets Index			-7.96	-6.66	8.20	5.60	5.01	2.26		
REITs	\$1,258,585	6%	5.38	1.79	10.15	6.66	6.87	5.27	5.27	6/26/2008
Wilshire U.S. REIT Index			9.73	1.52	3.88	7.84	8.42	7.81		
FTSE EPRA/NAREIT Developed Index			5.12	0.36	5.64	5.71	5.97	4.89		
Commodities	\$1,072,865	5%	0.54	0.17	9.02	-4.16			-6.88	7/11/2013
Bloomberg Commodity Index			0.40	0.00	7.35	-4.54	-6.40	-9.04		
Cash & Equivalents	\$205,391	1%	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
BofAML US 3 Month T-Bill Index			0.46	0.81	1.36	0.68	0.42	0.35		
<b>Total Portfolio</b>	<b>\$21,528,105</b>	<b>100%</b>	<b>1.09</b>	<b>0.90</b>	<b>12.06</b>	<b>8.11</b>	<b>8.88</b>	<b>6.37</b>	<b>6.36</b>	<b>6/26/2008</b>

(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.

First Western Trust Bank  
**PORTFOLIO APPRAISAL**  
**USA Swimming, Inc. - Equities**  
**612422055 (Formerly Fidelity 673218332)**  
*June 30, 2018*

Quantity	Security	Security Symbol	Adjusted Unit Cost	Total Adjusted Cost	Price	Market Value	Pct. Assets	Yield
<b>US Large Cap Equities</b>								
35,027	VANGUARD INDEX FDS S&P 500 ETF SHS NEW	VOO	192.70	6,749,827.05	249.51	8,739,586.77	40.6	1.26
<b>US Small Cap Equities</b>								
20,141.486	DFA US SMALL CAP PORT INSTL	DFSTX	35.68	718,648.23	37.72	759,736.85	3.5	0.90
3,745	ISHARES RUSSELL 2000 GROWTH ETF	IWO	201.85	755,943.23	204.33	765,215.85	3.6	0.63
				1,474,591.46		1,524,952.70	7.1	0.76
<b>International Equities</b>								
217,611.062	LAZARD INTL STRATEGIC EQUITY PORT INST CL	LISIX	12.82	2,789,924.48	15.73	3,423,022.01	15.9	0.57
45,274.764	OPPENHEIMER DEVELOPING MKTS FD CL I	ODVIX	33.25	1,505,304.19	42.46	1,922,366.48	8.9	0.70
78,819	VANGUARD FTSE DEVELOPED MARKETS ETF	VEA	36.53	2,879,646.12	42.90	3,381,335.10	15.7	3.06
				7,174,874.78		8,726,723.58	40.5	1.56
<b>REITs</b>								
41,730.276	VIRTUS DUFF & PHELPS GLOBAL REAL ESTATE SECURITIES FUND CLASS I #1860	VGISX	27.37	1,142,314.27	30.16	1,258,585.12	5.8	2.84
<b>Commodities</b>								
161,090.892	PIMCO COMMODITY REALRETURN STRATEGY FUND INST #45	PCRIX	6.86	1,104,669.39	6.66	1,072,865.34	5.0	6.64
<b>Cash &amp; Equivalents</b>								
	DIVIDENDS DECLARED	DIVACC		40,536.75		40,536.75	0.2	0.00

First Western Trust Bank  
**PORTFOLIO APPRAISAL**  
**USA Swimming, Inc. - Equities**  
**612422055 (Formerly Fidelity 673218332)**  
*June 30, 2018*

Quantity	Security	Security Symbol	Adjusted Unit Cost	Total Adjusted Cost	Price	Market Value	Pct. Assets	Yield
	FIRST WESTERN ICS MONEY MARKET	FWICS		164,854.59		164,854.59	0.8	1.82
				205,391.34		205,391.34	1.0	1.46
<b>TOTAL PORTFOLIO</b>				<b>17,851,668.30</b>		<b>21,528,104.86</b>	<b>100.0</b>	<b>1.71</b>

# USA Swimming, Inc. - Fixed Income

## Performance by Sector: As of June 30, 2018



	Market Value <sup>(1),(2),(4)</sup>	Portfolio <sup>(5)</sup>							Since <sup>(3),(4)</sup>	Inception
	As Of 6/30/2018	Weight	QTD	YTD	1Yr	3Yr	5Yr	10Yr	Inception	Date
High Yield Bonds	\$86,036	1%	-0.30	-5.28	-0.36	3.61	5.66		4.48	1/02/2013
BofAML HY Master II Index			1.00	0.08	2.53	5.55	5.51	8.03		
Fixed Income	\$14,588,294	98%	-0.11	-1.42	0.19	2.52	2.91		7.37	7/31/2008
Barclays Cap Aggregate Bond Index			-0.16	-1.62	-0.40	1.72	2.27	3.72		
Barclays Municipal 1-10 Yr. Blend Index			0.81	0.09	0.61	1.86	2.31	3.45		
Barclays Municipal 1-15 Yr. Blend Index			0.84	-0.07	1.01	2.29	2.85	3.89		
International Fixed Income	\$28,859	0%	-1.14	-1.75	-0.35	4.01			4.91	7/23/2013
Barclays 1-3 Year Global Majors Index			-3.43	-0.72	1.24	1.55	-1.03	0.40		
Cash & Equivalents	\$169,491	1%	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
BofAML US 3 Month T-Bill Index			0.46	0.81	1.36	0.68	0.42	0.35		
<b>Total Portfolio</b>	<b>\$14,872,679</b>	<b>100%</b>	<b>-0.20</b>	<b>-1.65</b>	<b>-0.22</b>	<b>2.07</b>	<b>2.47</b>	<b>6.27</b>	<b>6.27</b>	<b>6/26/2008</b>

(1) Values include Accrued Income.

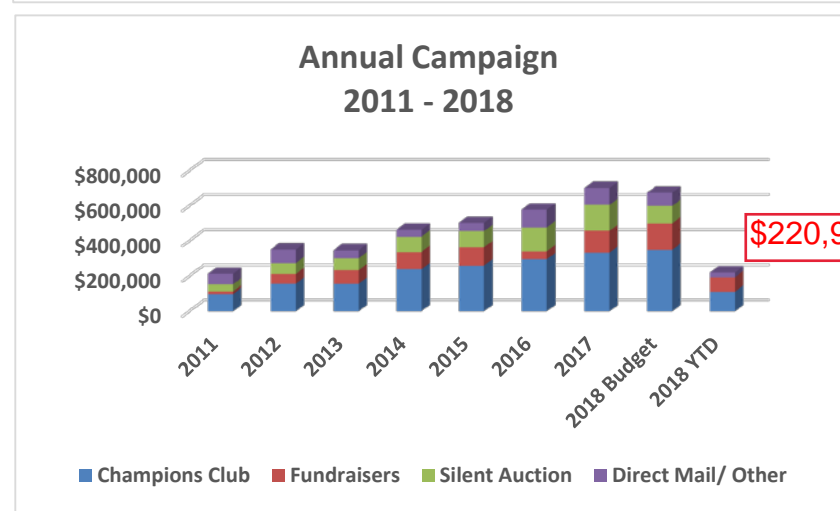
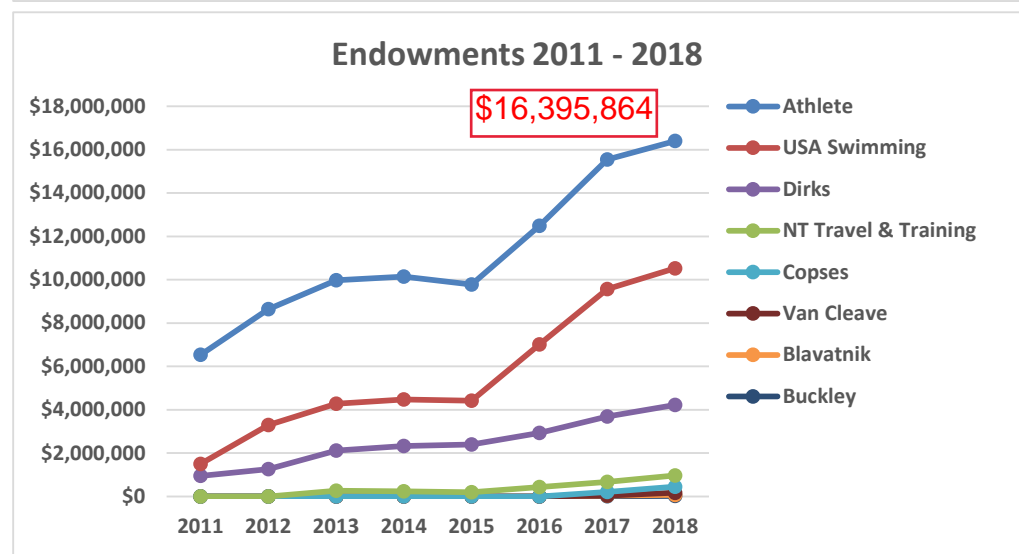
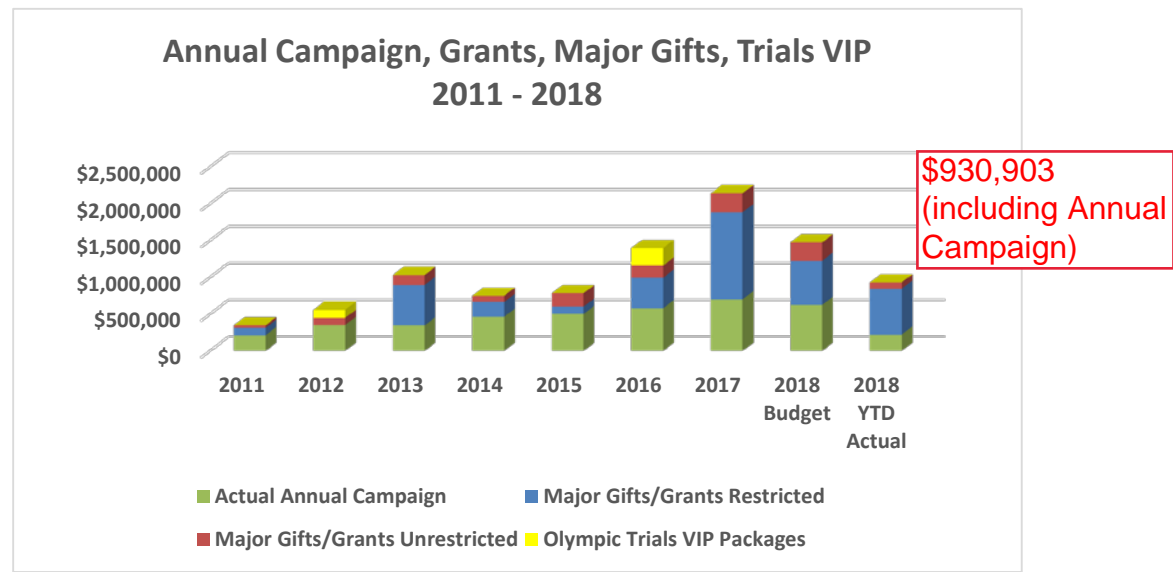
(2) Values do not include Non-Discretionary, Non-Reportable or Managed Alternative Assets.

(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.

USA Swimming Foundation  
 Fundraising and Endowments  
 June 30, 2018



**USA Swimming Foundation, Inc.**  
**Balance Sheet**  
**As of June 30, 2018 and 2017**

	<u>6/30/2018</u>	<u>6/30/2017</u>	<u>\$ Change</u>	<u>Audited 12/31/2017</u>	<u>\$ Change</u>
<b>ASSETS</b>					
<b>CURRENT ASSETS:</b>					
Cash and cash equivalents	\$1,483,456	\$1,645,041	(\$161,585)	\$1,866,742	(\$383,286)
Accounts receivable	13	150,159	(150,146)	111,851	(111,837)
Pledges receivable - current	90,965	150,000	(59,035)	1,061,715	(970,750)
Due from (to) USA Swimming	(32,807)	(6,278)	(26,529)	31,437	(64,244)
Prepaid expenses and deferred charges	0	2,500	(2,500)	21,840	(21,840)
Total Current Assets	<u>1,541,628</u>	<u>1,941,423</u>	<u>(399,795)</u>	<u>3,093,584</u>	<u>(1,551,957)</u>
<b>FIXED ASSETS:</b>					
Equipment and Software	229,963	229,963	0	229,963	0
Accumulated depreciation & amortization	(200,183)	(143,190)	(56,993)	(171,687)	(28,497)
Total Fixed Assets	<u>29,780</u>	<u>86,773</u>	<u>(56,993)</u>	<u>58,277</u>	<u>(28,497)</u>
<b>LONG-TERM INVESTMENTS:</b>					
Long-term Investments	<u>16,395,864</u>	<u>14,710,810</u>	<u>1,685,054</u>	<u>15,550,838</u>	<u>845,026</u>
<b>OTHER ASSETS:</b>					
Pledges receivable - long-term	3,080,625	3,212,500	(131,875)	2,680,625	400,000
Swim-A-Thon	120,000	120,000	0	120,000	0
Total Other Assets	<u>3,200,625</u>	<u>3,332,500</u>	<u>(131,875)</u>	<u>2,800,625</u>	<u>400,000</u>
<b>TOTAL ASSETS</b>	<u><b>\$21,167,896</b></u>	<u><b>\$20,071,506</b></u>	<u><b>\$1,096,391</b></u>	<u><b>\$21,503,324</b></u>	<u><b>(\$335,428)</b></u>
<b>LIABILITIES AND NET ASSETS</b>					
<b>CURRENT LIABILITIES:</b>					
Accounts payable	\$30,582	\$145,374	(\$114,792)	\$30,358	\$224
Accrued expenses and other liabilities	44,814	50,938	(6,124)	59,581	(14,767)
Deferred revenue	0	0	0	12,417	(12,417)
Total Current Liabilities	<u>75,397</u>	<u>196,312</u>	<u>(120,916)</u>	<u>102,356</u>	<u>(26,959)</u>
<b>NONCURRENT LIABILITIES:</b>					
Total Liabilities	<u>75,397</u>	<u>196,312</u>	<u>(120,916)</u>	<u>102,356</u>	<u>(26,959)</u>
<b>NET ASSETS:</b>					
Unrestricted:					
Undesignated Operating Funds	234,593	678,154	(443,562)	869,877	(635,285)
Board Designated Operating Reserves	1,201,000	1,080,250	120,750	1,080,250	120,750
Board Designated Endowments	12,688,782	11,723,024	965,758	12,377,495	311,286
Total Unrestricted	<u>14,124,374</u>	<u>13,481,428</u>	<u>642,946</u>	<u>14,327,622</u>	<u>(203,248)</u>
Temporarily Restricted	1,318,126	1,193,765	124,360	1,423,346	(105,220)
Permanently Restricted	5,650,000	5,200,000	450,000	5,650,000	0
Total Net Assets	<u>21,092,500</u>	<u>19,875,193</u>	<u>1,217,306</u>	<u>21,400,968</u>	<u>(308,468)</u>
<b>TOTAL LIABILITIES &amp; NET ASSETS</b>	<u><b>\$21,167,896</b></u>	<u><b>\$20,071,506</b></u>	<u><b>\$1,096,391</b></u>	<u><b>\$21,503,324</b></u>	<u><b>(\$335,428)</b></u>

**USA Swimming Foundation, Inc.**  
**Income Statement**  
**For the Quarter Ended June 30, 2018**

	2018	2018	2018	2018
	Unrestricted	Board Desig.	Temp Restr	TOTAL
<b>Revenue:</b>				
Annual Campaign	\$220,903	\$0	\$0	\$220,903
Major Gifts	85,000	0	625,000	710,000
Major Gifts - Trustee Satisfied Restrictions	259,500	0	(259,500)	0
Major Gifts - Other Satisfied Restrictions	65,634	0	(65,634)	0
Endowment Distributions	200,000	(200,000)	0	0
Sponsorship	640,000	0	(350,000)	290,000
Swim-A-Thon	159,099	0	0	159,099
Golden Goggle Awards	50,000	0	(50,000)	0
USA Swimming Support	125,000	0	0	125,000
Other Income	27,184	0	0	27,184
Investment Income (Loss)	11,615	11,286	(5,086)	17,815
<b>Total Revenue</b>	<b>1,843,935</b>	<b>(188,714)</b>	<b>(105,220)</b>	<b>1,550,001</b>
<b>Expenses:</b>				
<b>Supporting Expenses:</b>				
Annual Campaign	45,149	0	0	45,149
Major Gifts	41,502	0	0	41,502
Swim-a-thon	65,816	0	0	65,816
Marketing	10,248	0	0	10,248
Operational and Administrative	528,644	0	0	528,644
<b>Total Supporting Expenses</b>	<b>691,360</b>	<b>0</b>	<b>0</b>	<b>691,360</b>
<b>Program Expenses:</b>				
Make A Splash - Grants	421,615	0	0	421,615
Make A Splash - Programs	328,588	0	0	328,588
<b>Total Make A Splash Expenses</b>	<b>750,203</b>	<b>0</b>	<b>0</b>	<b>750,203</b>
Building Champions - National Team Grants	325,000	0	0	325,000
Building Champions - Club Development Grants	60,000	0	0	60,000
Building Champions - Other Programs	10,500	0	0	10,500
Building Champions - Alumni Programs	21,406	0	0	21,406
<b>Total Building Champions Expenses</b>	<b>416,906</b>	<b>0</b>	<b>0</b>	<b>416,906</b>
<b>Total Program Expenses</b>	<b>1,167,109</b>	<b>0</b>	<b>0</b>	<b>1,167,109</b>
<b>Total Expenses</b>	<b>1,858,469</b>	<b>0</b>	<b>0</b>	<b>1,858,469</b>
<b>Operating Surplus (Deficit)</b>	<b>(14,535)</b>	<b>(188,714)</b>	<b>(105,220)</b>	<b>(308,468)</b>
Transfers to/from USA Swimming Endowment	(500,000)	500,000	0	0
Transfers to/from - Operating Reserve	(120,750)	120,750	0	0
<b>NET CHANGE IN TOTAL NET ASSETS</b>	<b>(\$635,285)</b>	<b>\$432,036</b>	<b>(\$105,220)</b>	<b>(\$308,468)</b>



**USA Swimming Foundation, Inc.**  
**Income Statement**  
**For the Years Periods Ended June 30, 2018 and 2017**

	<b>Quarter Actual</b>	<b>Year-To-Date 2018</b>	<b>Budget 2018</b>	<b>Budget Remaining</b>	<b>Year-To-Date 2017</b>	<b>Favorable (Unfavorable)</b>
<b>UNRESTRICTED:</b>						
<b>Revenue:</b>						
Annual Campaign	\$176,827	\$220,903	\$675,000	(\$454,097)	\$184,591	\$36,312
Major Gifts - Unrestricted	10,000	85,000	250,000	(165,000)	66,419	18,582
Major Gifts - Trustee Satisfied Restrictions	181,500	259,500	275,000	(15,500)	125,000	134,500
Major Gifts - Other Satisfied Restrictions	65,634	65,634	86,300	(20,666)	69,938	(4,304)
Endowment Distributions	100,000	200,000	618,700	(418,700)	200,000	0
Sponsorship	512,500	640,000	900,000	(260,000)	690,089	(50,089)
Swim-a-thon	121,284	159,099	400,000	(240,901)	147,038	12,061
Golden Goggle Awards	50,000	50,000	150,000	(100,000)	50,000	0
USA Swimming Support	62,500	125,000	250,000	(125,000)	125,000	0
USA Swimming Support - Staff Allocation	0	0	311,000	(311,000)	0	0
Other Income	19,195	27,184	50,000	(22,816)	68,111	(40,926)
Investment Income (Loss)	5,259	11,615	12,000	(385)	2,164	9,451
<b>Total Unrestricted Revenue</b>	<b>1,304,698</b>	<b>1,843,935</b>	<b>3,978,000</b>	<b>(2,134,065)</b>	<b>1,728,348</b>	<b>115,586</b>
<b>Expenses:</b>						
<b>Supporting Expenses:</b>						
Annual Campaign	34,645	45,149	266,600	221,451	55,423	10,273
Major Gifts	30,491	41,502	118,200	76,698	30,481	(11,021)
Swim-a-thon	31,473	65,816	132,400	66,584	75,854	10,038
Marketing	5,000	10,248	12,500	2,252	0	(10,248)
Operational and Administrative	263,680	528,644	1,506,100	977,456	553,519	24,874
<b>Total Supporting Expenses</b>	<b>365,288</b>	<b>691,360</b>	<b>2,035,800</b>	<b>1,344,440</b>	<b>715,277</b>	<b>23,917</b>
<b>Program Expenses:</b>						
Make A Splash - Grants	421,615	421,615	692,500	270,885	316,665	(104,950)
Make A Splash - Programs	227,301	328,588	598,600	270,012	321,993	(6,595)
<b>Total Make A Splash Expenses</b>	<b>648,916</b>	<b>750,203</b>	<b>1,291,100</b>	<b>540,897</b>	<b>638,658</b>	<b>(111,545)</b>
Building Champions - National Team Grants	225,000	325,000	640,000	315,000	300,000	(25,000)
Building Champions - Club Development Grants	30,000	60,000	120,000	60,000	60,000	0
Building Champions - Other Programs	5,750	10,500	44,500	34,000	16,000	5,500
Building Champions - Alumni Programs	11,425	21,406	46,600	25,194	20,311	(1,095)
<b>Total Building Champions Expenses</b>	<b>272,175</b>	<b>416,906</b>	<b>851,100</b>	<b>434,194</b>	<b>396,311</b>	<b>(20,595)</b>
<b>Total Program Expenses</b>	<b>921,091</b>	<b>1,167,109</b>	<b>2,142,200</b>	<b>975,091</b>	<b>1,034,970</b>	<b>(132,140)</b>
<b>Total Unrestricted Expenses</b>	<b>1,286,379</b>	<b>1,858,469</b>	<b>4,178,000</b>	<b>2,319,531</b>	<b>1,750,246</b>	<b>(108,223)</b>
<b>Operating Surplus (Deficit)</b>	<b>18,319</b>	<b>(14,535)</b>	<b>(200,000)</b>	<b>185,465</b>	<b>(21,898)</b>	<b>7,363</b>
Transfers to/from USA Swimming Endowment	(500,000)	(500,000)	(500,000)	0	(220,000)	(280,000)
Transfers to/from - Operating Reserve	0	(120,750)	0	(120,750)	121,300	(242,050)
<b>CHANGE IN UNDESIGNATED FUNDS</b>	<b>(\$481,681)</b>	<b>(\$635,285)</b>	<b>(\$700,000)</b>	<b>\$64,715</b>	<b>(\$120,598)</b>	<b>(\$514,687)</b>

**USA Swimming Foundation, Inc.**  
**Income Statement**  
**For the Years Periods Ended June 30, 2018 and 2017**

	<b>Quarter Actual</b>	<b>Year-To-Date 2018</b>	<b>Budget 2018</b>	<b>Budget Remaining</b>	<b>Year-To-Date 2017</b>	<b>Favorable (Unfavorable)</b>
<b>BOARD DESIGNATED:</b>						
Endowment Distributions	(\$100,000)	(\$200,000)	(\$450,000)	\$250,000	(\$200,000)	\$0
Donation from USA Swimming	0	0	0	0	1,000,000	(1,000,000)
Transfer to/from USA Swimming Endowment	500,000	500,000	500,000	0	220,000	280,000
Transfer to/from Operating Reserves	0	120,750	0	120,750	(121,300)	242,050
Investment Income	72,294	11,286	450,000	(438,714)	714,066	(702,779)
<b>Change in Board Designated Net Assets</b>	<b>\$472,294</b>	<b>\$432,036</b>	<b>\$500,000</b>	<b>(\$67,964)</b>	<b>\$1,612,766</b>	<b>(\$1,180,729)</b>
<b>CHANGE IN UNRESTRICTED NET ASSETS</b>	<b>(\$9,387)</b>	<b>(\$203,248)</b>	<b>(\$200,000)</b>	<b>(\$3,248)</b>	<b>\$1,492,168</b>	<b>(\$1,695,416)</b>
<b>TEMPORARILY RESTRICTED:</b>						
Major Gifts - Temporarily Restricted	\$425,000	\$625,000	\$600,000	\$25,000	\$300,000	\$325,000
Satisfied Restrictions	(647,134)	(725,134)	(930,000)	204,866	(593,938)	(131,196)
Present Value Discount Earned	0	0	0	0	10,605	(10,605)
Investment Income	21,046	(5,086)	167,500	(172,586)	194,185	(199,271)
<b>Change in Temp. Restricted Net Assets</b>	<b>(\$201,088)</b>	<b>(\$105,220)</b>	<b>(\$162,500)</b>	<b>\$57,280</b>	<b>(\$89,148)</b>	<b>(\$16,072)</b>
<b>PERMANENTLY RESTRICTED:</b>						
Major Gifts - Permanently Restricted	\$0	\$0	\$0	\$0	\$150,000	(\$150,000)
<b>Change in Perm. Restricted Net Assets</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$150,000</b>	<b>(\$150,000)</b>
<b>NET CHANGE IN TOTAL NET ASSETS</b>	<b>(\$210,475)</b>	<b>(\$308,468)</b>	<b>(\$362,500)</b>	<b>\$54,032</b>	<b>\$1,553,020</b>	<b>(\$1,861,488)</b>

**USA Swimming Foundation, Inc.**  
**Expense Detail**  
**For the Six Months Ended June 30, 2018**

	<b>SUPPORTING EXPENSES</b>	<b>PROGRAM EXPENSES</b>	<b>2018 YTD EXPENSES</b>	<b>2017 YTD EXPENSES</b>	<b>Variance</b>
<b>EXPENSES:</b>					
Salaries and Benefits	\$429,040	\$0	\$429,040	\$452,312	\$23,272
Professional Services	35,951	175,675	211,626	280,976	69,350
Travel	38,011	74,948	112,959	90,125	(22,834)
Recognition and Fulfillment	27,819	27,461	55,280	25,082	(30,199)
Freight and Postage	19,302	11,919	31,221	28,040	(3,181)
Rent and Overhead	30,000	0	30,000	30,000	0
Depreciation and Amortization	28,497	0	28,497	28,566	69
Dues Fees & Subscriptions	6,023	18,773	24,795	6,005	(18,790)
Repairs and Equipment	0	18,347	18,347	6,194	(12,153)
Printing and Duplication	11,897	3,836	15,732	38,929	23,196
Catering and Entertainment	5,970	9,749	15,719	10,703	(5,017)
Apparel	13,811	1,338	15,149	30,116	14,967
Awards and Gifts	13,536	631	14,167	10,793	(3,374)
Office Supplies and Expense	6,705	4,048	10,754	4,517	(6,237)
Credit Card/ Blackbaud Fees	9,228	0	9,228	4,369	(4,859)
Video and Photography	0	6,368	6,368	7,452	1,084
Space/Equipment Rental	1,552	3,948	5,500	10,683	5,183
Insurance	5,248	0	5,248	0	(5,248)
Miscellaneous Expenses	4,547	0	4,547	1,614	(2,933)
Telephone and Internet Service	3,197	994	4,191	4,021	(171)
Graphics and Art Work	460	1,100	1,560	1,184	(376)
Advertising	0	1,360	1,360	1,760	400
Tickets	566	0	566	141	(425)
Subtotal	691,360	360,494	1,051,854	1,073,581	21,727
Grants - MAS	0	421,615	421,615	316,665	(104,950)
Grants - USA Swimming	0	385,000	385,000	360,000	(25,000)
<b>Total Grants</b>	<b>0</b>	<b>806,615</b>	<b>806,615</b>	<b>676,665</b>	<b>(129,950)</b>
<b>TOTAL EXPENSES</b>	<b>\$691,360</b>	<b>\$1,167,109</b>	<b>\$1,858,469</b>	<b>\$1,750,246</b>	<b>(\$108,223)</b>

## **"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**  
DATE: September 14, 2018

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 June 30, 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 June 30, 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 operating revenues were \$28,666,275 with corresponding expenses of \$17,362,174, for a year-to-date excess of \$11,304,101. Current forecast for fiscal year end is total revenue of \$36,233,500 and expenses of \$36,727,363, and we thus anticipate an operating deficit of (\$493,863) that is \$4,238 better than the deficit of (\$498,100) 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 \$4,496,230 at June 30, 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 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 June 30, 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 \$100,000.00. “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 was one sponsorship receivable that was over 60 days past due. We anticipate successful resolutions of this receivable without legal intervention. **We 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 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.**

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## Performance Monitoring Report

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TO: USA Swimming Board of Directors  
FR: Tim Hinchey, Chief Executive Officer  
Jim Harvey, Chief Financial Officer  
RE: Internal Report – Management Parameters  
Semi-Annual Monitoring on **Policy 3.6: Budget (Mid-Year Update/Re-Forecast)**  
DA: September 14, 2018

We hereby present the monitoring report on the Board's policy 3.6 "Financial Planning and Budgeting" in accordance with the monitoring schedule set forth in Board policy. The information contained in this report, and the current budget update (attached) for the remainder of this fiscal year is true as of June 30, 2018.

*NOTE TO BOARD: As a reminder, with the changes last year such that House of Delegates no longer has approval authority over the budget, the schedule for presentation and approval of the next fiscal year's is now at the November Board meeting.*

*This Monitoring Report is, per Board policy 4.4, to update the Board as to a mid-year "re-forecasting" projection as to our anticipated fiscal year-end status.*

**BROADEST PROVISION: Financial planning for any fiscal year, the remaining part of any fiscal year, or any quadrennial cycle will not deviate materially from the Board's Ends priorities, risk financial jeopardy or fail to address multi-year planning needs and considerations.**

**CEO's INTERPRETATION:** I submit that the Board has comprehensively interpreted this policy statement in its subsequent provisions, with interpretation of "multi-year planning" to be for the current quadrennial cycle, except that in the last year of a quad this will extend to the subsequent cycle.

*I also interpret this policy to indicate that, as CEO, I have the authority to revise the budget throughout the year, with it being my obligation to keep the Board apprised of material changes, which must meet all of the criteria in this policy, unless specifically waived by the Board.*

**REPORT:** The current year's budget was approved by the House of Delegates in September of 2017, and was projected to achieve a (DEFICIT) of (\$498,100). Based on financial activities through June 30, 2018, our current projection is for a FYE (DEFICIT) of (\$493,863).

***We report COMPLIANCE.***

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**PROVISION #1:** (The CEO will not allow budgeting that...) **Risks incurring those liquidity situations or conditions described as unacceptable in the Financial Conditions and Activities policy.**

**CEO's INTERPRETATION:** We interpret this policy to mean that our budget must plan for the consistent compliance with the cash flow/liquidity requirements of that policy, e.g. that we at run a positive cash-flow operation (with allowance for slight variations in the course of the quadrennial cycle and annual membership cycle), not incurring debt, not tapping into the Operating Reserve except for temporary periods, etc.

**REPORT:** As referenced above, our updated forecast projects a of (\$493,863). As we head into Q4, the budget forecast and cash flow projections support our expectations of being able to comply with all other provisions regarding liquidity, payments and collections.

***We report COMPLIANCE.***

**PROVISION #2:** (The CEO will not allow budgeting that...) **Omits credible projection of revenues and expenses, separation of capital and operational items, and disclosure of planning assumptions.**

- A. **Investment income from Undesignated and Board-Designated Reserve funds may be conservatively projected as operating revenue.**

**CEO's INTERPRETATION;** I interpret this policy to mean that the budget prepared, utilized and available for presentation must have adequate data to support the projections. It must highlight the separation of capital items from operational expenses, and convey the key assumptions used in creating the projections.

**REPORT:** The 2018 budget was refined for presentation to the Board and House of Delegates in September 2017. Business unit and department management rigorously reviewed and ensured the merit of planned expenditures. Projections of revenues were built on assumptions supported by history and current developments. Capital and operational items are presented separately. A narrative summary of the assumptions accompanied the presentation. The budget contains sufficient detail for subsequent auditor traceability (as was the case for the 2017 audit). Comparison of Y-T-D budget vs. actual performance, as highlighted in the P/L Statement accompanying the report on policy 3.4 "Financial Condition & Activities," reflects the overall credibility of our budget projections. Thus far in 2018, the most substantial deviations from budget have been: membership dues dipping approximately 2.2% (\$622,000), extra "trializing" expenses for Phillips 66 Summer National Championships and TYR Pro Swim Series of approximately (\$1,000,000), and savings in wages and benefits +\$300,000.

***We report COMPLIANCE.***

**PROVISION #3:** (The CEO will not allow budgeting that...) **Plans the expenditure in any quadrennial cycle of more funds than are conservatively projected to be received.**

**CEO's INTERPRETATION:** This policy requires that a conservative projection of revenues is to exceed our most realistic projection of expense for any quad cycle. "Conservatism" is based on certainty. Revenues expected from established sources/contracts are projected at 100% certainty, and amounts from contracts/activities with which we don't have a track record are projected at lower amounts. Investment income is based on a conservative long-term return of 4.7% annually from a portfolio of 60% equities and 40% fixed income. We know for certain that actual returns will vary from this target, but drawing this amount (even in negative return years) will not jeopardize the long-term viability of the portfolio.

**REPORT:** Our currently projected FYE revenue and expenses for 2018 are \$36,233,500 and \$36,727,363, respectively, resulting in a net DEFICIT) of (\$493,863). As we approach the mid-way point of the quad cycle, our 2020 Business Plan (attached) is realistic.

***We report COMPLIANCE.***

**PROVISION #4:** (The CEO will not allow budgeting that... ) **Fails to allocate appropriate net operating revenues to the Board Designated Operating Reserve, if that fund level is and has been less than 75% of its targeted threshold of six months (50% of annual) Program Funding and Operating Costs for two consecutive years.**



**CEO's INTERPRETATION:** If the Operating Reserve as measured at FYE is less than 75% of the targeted threshold (50% of budget) for two consecutive years, the CEO will direct the CFO and senior staff to budget operating surpluses to raise the Operating Reserve to its targeted threshold over the following two years.

**REPORT:** The Operating Reserve, as of 12/31/17, was \$24,656,953, which is greater than the targeted threshold of \$18,957,200. Therefore, no net revenues (surplus) are needed to replenish the Operating Reserve. The corporation also has \$19,726,196 of Board Designated funds from the sale of USSIC in reserves. Only \$5,000,000 of which is dedicated to a guarantee related to the sale.

***We report COMPLIANCE.***

**PROVISION #5:** (The CEO will not allow budgeting that...) **Omits allocation for Board activities per the Budgeting for Board Prerogatives policy (see policy in Board Process).**

**CEO's INTERPRETATION:** The annual operating budget is to ensure availability of funds to support Board functions. While this has always been the case, the new governance structure does create greater clarity and accountability regarding Board and management domains.

This policy requires that I ensure that the annual budget incorporates funding for Board prerogatives related to its governance functions. In the future, allocations for these functions will be addressed by the Board at its September meeting, and will subsequently appear, as approved, in the "Governance" subsection of the budget.

**REPORT:** Given the transition in the Board's size and structure occurring after this month's Convention, a pro-forma projection of expenses for governance functions, including the orientation/training weekend in October, will be presented as a distinct subsection in the 2019 budget report/presentation to the Board at its November meeting.

***We report COMPLIANCE***

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## Performance Monitoring Report

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TO: USA Swimming Board of Directors  
FR: Tim Hinchey, Chief Executive Officer  
RE: Internal Report – Management Parameters  
Annual Monitoring on **Policy 3.10: LSC Reporting Requirements**  
DA: September 14, 2018

I hereby present the monitoring report on the Board's policy 3.10 "LSC Reporting Requirements," in accordance with the monitoring schedule set forth in Board policy. The information contained in this report is true for the year ended August 31, 2018.

Signed , CEO

**BROADEST PROVISION:** With respect to relationships with Local Swim Committees (LSCs), the CEO will not operate without establishing and maintaining a cohesive national organizational structure ensuring appropriate alignment between USA Swimming and its LSCs.

### CEO's INTERPRETATION:

I interpret "a cohesive national organizational structure" to be consistently communicated and enforced roles, responsibilities, and expectations among the fifty-nine LSCs. A cohesive national organizational structure lends itself to similar governance models (i.e., standardized bylaws), clear expectations between USA Swimming, Inc. and the LSCs (i.e., some form of operating agreement), implementation of financial best practices (i.e., financial controls and reporting requirements), and implementation of programmatic best practices (i.e., LEAP). The ultimate value of a cohesive national organizational structure is to promote and enhance USA Swimming members' experience and protect USA Swimming's common interests.

"Appropriate alignment" will be achieved through partnerships with LSCs based on mutually agreed upon expectations and responsibilities, stipulated in Provision #1 of this policy below,

### REPORT:

This policy was crafted and adopted with recognition both that LSCs are a major asset to swimming and that more unified and consistent practices and structures will result in greater efficiencies and stronger productivity/results organization-wide.

The Board established this directive earlier in 2018 with recognition of it being a multi-year endeavor. We anticipate being able to make a preliminary report to the Board at the November 2018 meeting, leading to a plan/protocol to strengthen the LSC structure with new agreements drafted, approved and in place by January 1, 2020.

While the current LSC structure is does not currently reflect the cohesion and alignment that will best serve the sport and the USA Swimming brand, given that this policy requirement is new and anticipates a multi-year endeavor and timeline to which staff is committed, I report **COMPLIANCE**.

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**PROVISION #1: (The CEO will not... ) Operate without standardized contractual agreements (to be in place by 20\_\_)\* between USA Swimming and the Boards of Directors of LSCs, delineating mutual expectations and responsibilities, including but not limited to:**

**\*(Policy Consideration:** CEO and Secretary/General Counsel suggest that the Board update this to reflect a target date of **January, 2020**).**\***

- A. Alignment with the mission/Ends of USA-S.**
- B. Protection of USA-S from assumption of financial liability for the activities of the affiliated chapters and regions.**
- C. Use of USA-S' name, insignia, logo and brand.**
- D. Requiring that any revisions to LSC Bylaws are submitted to USA-S' Secretary & General Counsel, or her/his designee, to verify consistency with "Required Bylaws" provisions of USA Swimming's Rules and Regulations.**
- E. Terms and conditions for disbursement of dues**

**CEO's INTERPRETATION:** These agreements will reflect best practices to strengthen national organizations with regional affiliate structures, maximizing the benefits of mutual association and providing for corrective measures when out of alignment. To ensure success, these will be developed with input from LSC leadership and the Board. The Board will be provided initial drafts for review and comment.

**REPORT:** Preliminary efforts are underway both to draft an agreement to govern the relationship between USA Swimming, Inc. and each LSC and to update the LEAP 1 requirements. To date, our experience has been that there are wide disparities among LSCs' operations, which result in wide disparities among LSCs' productivity, and that the existing LEAP 1 requirements should be enhanced to promote good governance and organizational success more effectively. We anticipate engaging in additional dialogue and exploration with the Board in November.

As noted above, our structure at this time only partially achieves the objectives stated in this policy and as interpreted. That said, given the stated timeline to establish and achieve these structural aims, we report that COMPLIANCE IS ANTICIPATED by January, 2020.

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## Performance Monitoring Report

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TO: USA Swimming Board of Directors  
FR: Tim Hinchey, Chief Executive Officer  
RE: Internal Report – Ends  
Annual Monitoring on **Policy 1.1: Competitive Success**  
DA: September 14, 2018

I hereby present the monitoring report on the Board's Ends policy 1.1 "Competitive Success."

*This Report was originally scheduled for and will normally be presented in May. With Board Chair Jim Sheehan's consent the 2018 report was postponed until the September meeting.*

The information contained in this report is true for the year ended August 31, 2018.

Signed , CEO

*NOTE TO BOARD: When the Board did its initial review and adoption of the Ends at its February 3<sup>rd</sup> meeting, I presented initial broad-level interpretations / visions of success of each Ends policy. My intent with this initial Performance Monitoring Report on this "Competitive Success" End is to provide baseline information that includes an update to the Board on staff's top-line vision for each statement, the Key Performance Indicators we are using to assess achievement, and a brief assessment of organizational performance vis-à-vis each End in the past year.*

**BROADEST PROVISION: USA Swimmers achieve sustained competitive success at the Olympic Games and other high-level international competitions.**

**CEO's VISION OF SUCCESS:** *(no change since February 2018 report)*

I interpret achievement of sub-points A-D below to constitute fulfillment of this End. Interpretations/visions of success and Key Performance Indicators for each are presented and reported on below.

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**PROVISION #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.**

**CEO's VISION OF SUCCESS:** *(No change since February 2018 report)* The National Team has an environment that is conducive to competitive success and creates the expectation that all National Team members positively represent the United States.

Key Performance Indicators that we targeted internally focused on the August 2018 Pan Pacific Championships:

1. 42 Medals
2. Winning gold medal count, overall medals and team score at the 2018 Pan Pacific Championships
3. National Team Honor Code in place and enforceable

Looking ahead to 2019, KPIs focus similarly on the World Championships:

1. 30 Medals
2. Winning gold medal count, overall medals and team score

**REPORT:** Performance-wise, the National Team met/exceeded targets at the Pan Pacific Championships:

2018 Key Performance Indicators	2018 Results	Achievement
1. 42 Medals targeted for Pan Pacific Championships	45 Medals	Yes
2. Winning gold medal count, overall medals and team score at Pan Pacific Championships	All achieved	Yes
3. National Team Honor Code in place and enforceable.	Shared with team pre-Pan Pacs and enforced.	Yes

Results from competitions earlier in the year (NCAA Championships, TYR Pro-Swim Series, Mare Nostrum and the Phillips 66 Nationals) also had strong indications for team development. Open Water Team also had positive results at French Nationals, U.S. Nationals and the UANA Open Water Swimming Championships.

As to positive representation of the U.S., the National Team has engaged in various opportunities to promote anti-doping, SafeSport/abuse prevention and drowning prevention (Make a Splash tour stops).

There remain some concerns with regard to sleep medications (being evaluated and addressed through the Sports Medicine Committee). This summer, steps were taken to introduce additional ways to manage jet-lag and falling asleep, including introducing meditation through a program/app that was made available to the Pan Pacific team.

As to our partnership with our best athletes, our recent hire of Jon Urbanek as the Technical Advisor was a significant addition for the National Team.

While this summer had its challenges with the selection process as well as communication errors during the Pan Pacific Championships, steps are already being made to instill transparency and better communication regarding relays and relay selection. In addition, the athletes who were on the Men's 4x100m freestyle relay were paid their operation gold bonuses.

We will continue to strive for improvement, however we believe the past year's National Team results, both competitively and organizationally, constitute **ACHIEVEMENT** of this End, as interpreted.

## **PROVISION B: Strong and identifiable pathways and systems retain and develop talented athletes and coaches.**

### **CEO's VISION OF SUCCESS:** *(Italicized portion added)*

With support from USA Swimming, coaches and clubs are able to offer athletes a developmental system that provides an array of avenues to success. *Select Camps on up through National Junior Team provide experiences (exposures to coaches, culture, team spirit, etc.) for athletes and coaches that prepare them to take next steps (e.g. scholarships, university teams and other progressions that may lead to National Team participation.)*

Key Performance Indicators: The "pathways and systems" are on-going, with evidence of their success targeted as:

1. Junior Pan Pacific Championships: Winning gold medal count, overall medal count and team score
2. FINA World Junior Championships – Open Water: Winning gold medal count, overall medal count and team score
3. FINA World Junior Championships – pool: Winning gold medal count, overall medal count and team score; event held in Budapest in 2019

**REPORT:** Camps and competitions attended by junior teams, and events around the country with a wide array of athlete participants have been successful (performance times). These events include education to National Team culture on topics such as anti-doping, team spirit, etc. Mid-year competitions at Mel Zajac and Mare Nostrum were successful.

2018 Key Performance Indicators	2018 Results	Achievement
1. Junior Pan Pacs: Winning gold medal count, overall medal count and team score – Fiji	54 Medals 27 gold (of 35 events) 19 silver 8 bronze Won team title	Yes
2. FINA World Junior Championships- Open Water	Five medals (two gold, two silver, one bronze); won team title	Yes

**REPORT:**

Coach Wellness

In 2018, we started work on a coach wellness program, including a presentation at the 2018 National Team Coaches' meeting. We also provided an extensive list of place coaches could exercise while at the National and Junior National Championships in Irvine. In addition, in 2019, we will be starting a blood chemistry program for coaches to assist with coach health.

Based on on-going successes both in terms of performance times and in education to National Team culture, including that more than 70% of this year's National Team members were past members on the National Junior Team, I report **ACHIEVEMENT**.

**PROVISION C: USA Swimming is a recognized leader in promoting a clean sport environment.**

**CEO's VISION OF SUCCESS:** *(Italicized portion added)*

USA Swimming will be continually recognized by USADA, WADA, FINA, and the USOC as a strong partner in promoting anti-doping among American athletes. *100% anti-doping compliance is aspirational, but not realistic to be achieved over a long-term continuum.*

Key Performance Indicators:

1. 100% of National Team and National Junior Team members receive USADA anti-doping education on an annual basis.
2. 100% USA Swimming coaches take required USADA course.
3. Staff leadership proactively convenes meetings and information exchange with counterparts at USOC, USADA, WADA and FINA.

**REPORT:**

Key Performance Indicators	2018 Results	Achievement
1. 100% of National Team and National Junior Team members receive USADA anti-doping education annually	In person education, 2018 year to date: 1200 athletes, 769 coaches, 141 medical professionals, (does not include additional education via email, social media, regional coaches conferences). National Team members are all required to take USADA tutorial as a	Yes

	member of the registered testing pool. 44 National Junior Team athletes received in person education.	
2. 100% of USA Swimming coaches take required USADA course.	Starting this January, coaches will be required to take the USADA anti-doping training to receive their coach membership	<b>TBD</b>
3. Staff leadership proactively convenes meetings and information exchange with counterparts at USOC, USADA, WADA and FINA.	Six separate meetings were convened over the past 9 months, in particular with USADA and FINA	<b>Yes</b>

High achievement includes recognition by USADA that we are the high standard for anti-doping movement (conveyed to IRC). Strong relationships have been maintained through liaisons (e.g. a former swimmer on the USADA Board).

Communications messages continue to be strengthened in this regard.

Unfortunately, there have been notable shortcomings in the past year with adverse findings. Some of these have been positive tests from nutritional supplements. It's important that this topic be addressed as positive tests damage our position within the international community (Ex. Our "clean sport, zero tolerance" message with anti-doping does not carry as much weight internationally if we have athletes in the U.S. testing positive).

As interpreted above, while achieving 100% anti-doping compliance on a continuum is not realistic, it is vitally important that we are at the forefront in promoting clean sport and in addressing shortcomings when they occur (especially when education can help avoid preventable positive tests). With that caveat, I report **ACHIEVEMENT**.

#### **PROVISION D: National Team athletes have resources and financial support contributing to successful careers both in and out of the water.**

**Policy Consideration:** CEO/Strategy Team suggests that the Board revise this to: ***National Team athletes have financial support while competing, and resources that support successful post-competition transitioning out of sport.***

#### **CEO's INTERPRETATION / VISION OF SUCCESS:** *(Italicized portion changed)*

*National Team athletes will financially maintain a standard of living that allows them to compete at the highest levels internationally. Provide improved opportunities for National Team athletes to ~~strengthen and develop well-rounded careers, transition to professional status and/or out of the sport.~~*

#### Key Performance Indicators:

1. Continue to increase the contributions to the NT Endowment Fund by at least \_\_\_\_% annually (to be updated by November 2018 meeting).
2. National Team monthly dividend increases by at least COLA (Cost of Living Adjustments) index annually.
3. Increase prize money at Operation Gold Qualifying Competitions each year.
4. Athletes transitioning to professional status or retiring are proactively offered counseling to facilitate their "next stage" success.

#### **REPORT:**

Key Performance Indicators	2018 Results	Achievement
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1. Continue to increase the contributions to the National Team Endowment Fund annually.	Foundation contributions to the National Team increased by \$156,000 this year	<b>Yes</b>
2. National Team monthly dividend increases by at least COLA Index annually.	US Cost of Living Index- 12 month increase as of September 2018: 4% Monthly dividend increases to \$3,120 for National Team members	<b>Yes</b>
3. Increase prize money at Operation Gold Qualifying competitions each year	2017 prize money: \$900,000 2018 prize money: \$630,000***	<b>No</b> ***The lower amount was due to the fact that the Pan Pacific meet has a lower dollar payout per event (Operation Gold) than the Worlds
4. Athletes transitioning to professional status or retiring are proactively offered counseling to facilitate their "next stage" success	<i>In 2019 we will be working to develop a position within the National Team that will focus primarily on athlete mental health and well-being. Change management programs will also be a part of the responsibilities</i>	<b>TBD</b>

Based on this narrative, in my judgement, the results constitute **PARTIAL ACHIEVEMENT**.

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## Performance Monitoring Report

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TO: USA Swimming Board of Directors  
FR: Tim Hinchey, Chief Executive Officer  
RE: Internal Report – Ends  
Annual Monitoring on **Policy 1.3: Public Engagement with Swimming**  
DA: September 14, 2018

I hereby present the monitoring report on the Board's Ends policy 1.3 "Public Engagement with Swimming," in accordance with the monitoring schedule set forth in Board policy. The information contained in this report is true for the year ended August 31, 2018.

Signed , CEO

*NOTE TO BOARD: When the Board did its initial review and adoption of the Ends at its February 3<sup>rd</sup> meeting, I presented initial broad-level interpretations / visions of success of each Ends policy. My intent with this initial Performance Monitoring Report on this "Competitive Success" End is to identify necessary baseline information that includes an update to the Board on staff's top-line vision for each statement, the Key Performance Indicators we are using to assess achievement, and a brief assessment of organizational performance vis-à-vis each End in the past year.*

**BROADEST PROVISION: There is growth in public awareness of and interest in swimming participation.**

**Policy Consideration:** CEO/Strategy Team suggests that the Board revise this to: **There is growth in swimming participation and interest.**

**CEO's VISION OF SUCCESS:** *(italicized portion changed since February 2018 report)*

I interpret achievement of sub-points A-D below to constitute fulfillment of this End. ~~with highest priority being public understanding of the safety benefits of swimming.~~ Interpretations/visions of success and Key Performance Indicators for each are presented and reported on below.

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**PROVISION #A: Water safety awareness and swimming skills save lives.**

**CEO's VISION OF SUCCESS:** *(No change since February 2018 report)*

Highest awareness priority is all Americans have the opportunity to learn how to swim – developing safety skills in, on, and around water.

Highest drowning reduction priority is youth 19 & under, diverse and under-served communities.

Key Performance Indicators:

1. Annual reduction in per-capital drownings
2. Priority for reduction – age 19 and under
3. Increase annual swim lesson enrollment in Make A Splash Local Partner programs by #\_\_\_\_\_by 2028

**REPORT:**

Key Performance Indicators	2018 Results	Achievement
1. Annual reduction in per-capital drownings (to be assessed using bi-annual CDC data)	2017 drownings: No 2017 CDC data available at this time; reports are 2 years delayed  CDC 2016 data: Drowning deaths all ages: 4,628; Highest rate of drownings is children ages 4 and under at 499 children, followed by ages 20-24 at 351	<b>TBD</b>
2. Priority for reduction – age 19 and under (to be assessed using bi-annual CDC data)	2017 drownings: No 2017 CDC data available at this time; reports are 2 years delayed. CDC 2016 data: Drowning deaths, ages <1-19: 1,046  Based on CDC fatality data, highest reported age group is children ages 4 & under at 499 children	<b>TBD</b>
3. Increase annual swim lesson enrollment in Make A Splash Local Partner programs	2017 enrollments: 1,042,117  2016 enrollments: 919,348* <i>*missing enrollment reports submitted as part of the spring grant application process increased 2016 total enrollments to 1,030,964 by March 31, 2017</i>	<b>Yes</b>

Actively reporting Local Partners increased by 70 in 2017 over 2016, with an increase in total enrollments of approximately 11,000 students. USA Swimming Foundation funding provided for 15,540 and 20,794 children respectively, with additional funding provided by local program and partnership sources to service an additional 73,171 children in 2016 and 55,429 children in 2017. 2016 and 2017 both show the highest level of service being provided to children ages 5 & under with equal focus on both sexes. While our data shows fairly equal service among races/ethnic groups, many providers do not report this information as by federal law they cannot require this information of their participants.

Based on the increased number of annual swim lessons provided through Make A Splash Local Partners, and due to the unavailability of 2017 baseline data, to date, I report **ACHIEVEMENT**.

**PROVISION B: Swimming is recognized as an essential life skill and a “Sport for Life” for all.**

**Policy Consideration:** CEO/Strategy Team suggests that the Board revise this to: ***Swimming is recognized as a “Sport for Life” for all.***

**CEO’s VISION OF SUCCESS:** *(Italicized portion changed)*

Swimming is widely viewed as both an essential life skill and a lifelong sport, ~~i.e. Swimming is widely viewed as a “cradle to grave” ability that also opens, an essential life skill, and opening~~ doors to other benefits e.g. competitive, health/fitness, family time, etc.

*Highest priority to address “essential life skill” is swimming introduction at early age. “For all” is further defined in Ends provision 1.3.C and its subparts.*

*Longer term priority: Convert Make a Splash learn-to-swim graduates to USA Swimming programs (ex. Flex or Premium membership)*

Key Performance Indicators:

1. Year-to-year growth in the Make a Splash Local Partner Network.
2. Sports & Fitness Industry Association's (SFIA) annual "aspiration" research data (which looks at all age groups' desire, or aspiration, to get involved in swimming activity) shows aggregate Y-T-Y elevation of combined ranking of fitness/team swimming among 6-12 year olds. (BASELINE DATA: 2018: #7/#9 respectively)

Key Performance Indicators	2018 Results	Achievement
1. Year-to-year growth in the Make a Splash Local Partner Network	In 2016, the Local Partner network added 167 new Local Partner programs  In 2017, added 252 for a total of 845 currently Active Make a Splash Local Partners with the USA Swimming Foundation's database as of August 27, 2018	Yes
2. Growth in "aspiration" to participate in Swimming for Fitness and Swimming on a Team from individuals not currently involved in swimming, according to SFIA research	Baseline: 2018 report shows Swimming for Fitness ranks #7 among 6-12 year-olds and Swimming on a Team ranks #9; Swimming for Fitness ranks #3 among 13-17 year-olds. Swimming for Fitness ranks in Top 10 in all age categories from 6-65+	TBD

**REPORT:**

Large increases in the Local Partner network can be attributed to partnerships with learn to swim operations such as Starfish Aquatics Institute and Streamline Brands, whose programs and franchisees automatically qualify for participation in the Make a Splash Local Partner network. While we continue to recruit individual swim lesson programs, partnerships with large agencies provide a stronger tie to the individual programs, helping to provide us with more comprehensive data via enrollment reports, and additional opportunities to secure and distribute funding in service to targeted audiences.

Based on the year-to-year growth in Make A Splash Local Partners, I report **ACHIEVEMENT**.

**PROVISION C: Swimming achieves sustained growth in participation at all levels.**

**CEO's VISION OF SUCCESS:** *(Italicized portion changed)*

~~Swimming is widely viewed to be an essential life skill and a lifelong sport (addressed in B above).~~

Growth in participation is interpreted to emphasize all levels nationally. Participants in swim schools, rec swimming, etc. will engage on a continuum that will convert into membership growth.

Key Performance Indicators:

1. Partners report \_\_\_\_% growth in learn-to-swim participation.
2. SFIA data shows average annual growth (AAG) of at least \_\_\_\_% in age 6-17 team swimming participation.
3. SFIA data shows average annual growth (AAG) of at least \_\_\_\_% in age 6-17 core (> 50x per year) team swimming participation.

4. SFIA data shows at least \_\_\_\_% growth in age 6-12 (both overall and core) team swimming participation.
5. USA Swimming athlete membership to finish Y/E 8/31/19:
  - Full year membership – at least even with Y/E 8/31/19 (growth from 2016-17 was 354,036 to 354,612. (0.22%).
  - Intro year of Flex membership – at least \_\_\_\_\_
- (NOTE TO BOARD: With the introduction of Flex, we do not have a basis for year-to-year comparisons, so targets are based on revised budget projections.

## REPORT:

Key Performance Indicators	2018 Results	Achievement
1. Partners report ____% growth in learn-to-swim participation	Past year participation growth as of ____/20____: _____ Past year participation growth as of ____/20____: (year prior) _____	<b>TBD</b>
2. SFIA data shows average annual growth (AAGin Swimmers on a Team participation for ages 6+	Baseline: 2018 Report: For Swimmers on a Team, 3-year growth was 4.1%; 5-year growth was 4.1% and 2016-17 decline was 10.7%	<b>TBD</b>
3. SFIA data shows average annual growth (AAG) in <u>core</u> (> 50x per year) Swimmers on a Team participation for ages 6+	Baseline: 2018 Report: For Swimmers on a Team, 3-year decline was -2.6%; 5-year decline was -1.2% and 2016-17 decline was 9.8%	<b>TBD</b>
4. USA Swimming Membership Growth for Y/E 8/31/19: Premium: Flat / 0% growth Flex: Projection TBD after 2018-19 season	Baseline: Athlete members increased by 5.2% from 2016 to 2017 (i.e. Olympic year bump); with declines in previous years of -.4% in 2016 and -1.1% in 2015. Previous Year 2 of a quad was -.1% in 2014	<b>TBD</b>

Since the Board's last meeting, the Strategy Team has further articulated the Key Performance Indicators to measure this End and the CEO's vision of its success. The Strategy Team has identified the necessary baseline information and will be reconvening prior to the November Board meeting to determine appropriate measures to constitute "achievement." The baseline information suggests a decline in participation in the sport; however, year-end 2017 was the highest year-round athlete membership in history with 2018 tracking slightly below as the 2<sup>nd</sup>-highest in history.

Based on the available data, I report **PARTIAL ACHIEVEMENT**.

## **PROVISION C.i: Priority: Growth in participation in all cultures, ages, genders, economic backgrounds, and levels of ability.**

**CEO's VISION OF SUCCESS:** *(Italicized portion added)*

Swimming participation reflects society from a demographic standpoint. Shorter term priorities are demographic targets identified in the USOC Diversity Study, *with primary focus on ages 6-12, then 13-17.*

### Key Performance Indicators:

1. Year-to-year growth of the multi-cultural component of USA Swimming's membership (internal demographic guide). (BASELINE: 18.61% AS OF 8/17)

**REPORT:** Since the Board's last meeting, the Strategy Team has further articulated the Key Performance Indicators to measure this End and the CEO's vision of its success. The Strategy Team has identified the necessary baseline information, and the year-to-year comparative data will be included in the regularly scheduled Report next May.

Based on the available data, there is insufficient information available to characterize the results at this time.

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**PROVISION C.ii: Non-Members have access to educational/leadership resources to enhance swimmers' experience.**

**Policy Consideration:** CEO/Strategy Team suggests that the Board **delete** this Ends statement – not with perspective that it is unimportant, but that it is not at the level of “strategic directives” as otherwise reflected in our Ends. Many of our strategies, from promoting swimming as a “sport for all,” supporting swimming at all levels, and broadening the membership base will inherently require outreach to non-members.

**CEO's VISION OF SUCCESS:** It is USA-S' responsibility to support swimming at all levels. We will focus on membership but must aspire to elevate the swimming experience nationally.

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**PROVISION C.iii: Communities embrace swimming as an essential public service.**

**Policy Consideration:** CEO/Strategy Team suggests that the Board **delete** this Ends statement – as it is largely redundant with and addressed by End 1.2.4C – “Clubs have support for facility development.”

**CEO's VISION OF SUCCESS:** Municipalities, master planned community developers and other public-access facility operators recognize and commit to serving their publics with aquatic infrastructure, resulting in continued growth and investment in swimming facilities and swim schools. USA-S' role is as advocate and resource to convey benefits and technical knowhow to ensure participant safety, resulting in growth in availability of and access to aquatic facilities. Also important to save facilities.

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**PROVISION D: There is growth in fan engagement.**

**Policy Consideration:** CEO/Strategy Team suggests that the Board revise this to: ***There is growth in audience engagement.***

**CEO's INTERPRETATION / VISION OF SUCCESS:** *(Italicized portion changed)*

Growth of swimming audience engagement through attending swimming events, and an array of platforms (reading, listening, viewing). ~~Trializing our events~~—A key strategy and impact towards this will be showcasing swimming stars and events.

Key Performance Indicators:

1. TV/Digital Viewership: \_\_\_% annual growth in Digital Swimming Index (DSI).
2. Event attendance at USA-S events (TYR Pro Swim Series, Nationals and Winter Nationals): Growth in % of venue capacity (aggregate per event).
  - a. Targets: Trials and Nationals – 90%; TYR Pro Swim Series 80%.

**REPORT:**

Key Performance Indicators	2018 Results	Achievement
1. TV/Digital Viewership: Annual growth in Digital Swimming Index (DSI), which is an internal measure that aggregates total engagement with USA Swimming digital & media properties (ex. USASwimming.org visitors, Webcast viewers, Social Media followers, Email subscribers and web site / Deck Pass accounts) in a combined index.	Baseline TBD at the end of calendar year 2018 with this first-time measurement index.	<b>TBD</b>
2. Growth in attendance % of venue capacity	Metric to be established in 2019 as predominantly new site hosts and venues for TYR Pro Swim Series and Phillips 66 National Championships vs. 2018 and final sites not announced / confirmed pending contracts and site visit	<b>TBD</b>

Since the Board's last meeting, the Strategy Team has further articulated the Key Performance Indicators to measure this End and the CEO's vision of its success. The Strategy Team has identified the necessary baseline information and will be reconvening prior to the February Board meeting to determine appropriate measures to constitute "achievement." Nonetheless, considerable progress was made in 2018 to enhance the fan experience at both the TYR Pro Swim Series and the Phillips 66 National Championships.

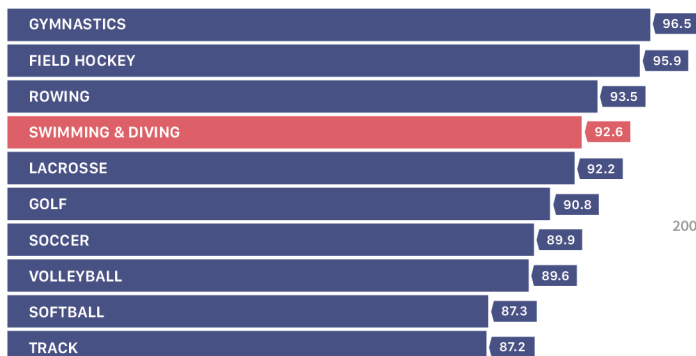
Based on the success at the TYR Pro Swim Series and Phillips 66 National Championships, as well as the creation of an Event Marketing position in 2018, I report **ACHIEVEMENT**.

# COLLEGE SWIMMING AND DIVING IS:

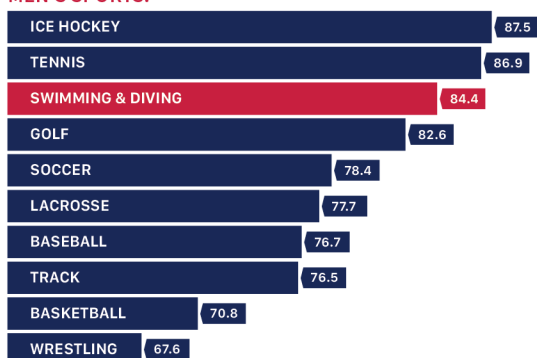
## GRADUATES

Even with large rosters, swimming and diving consistently produce high graduation rates.

### WOMEN'S SPORTS:

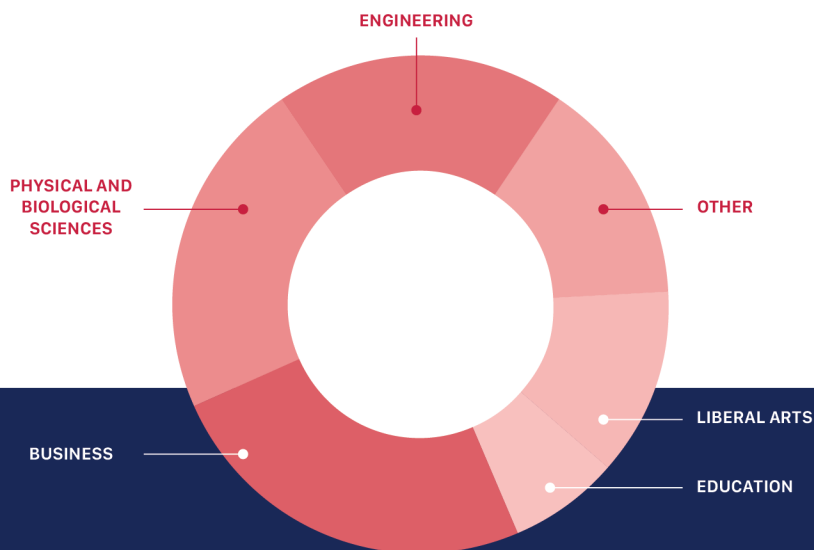
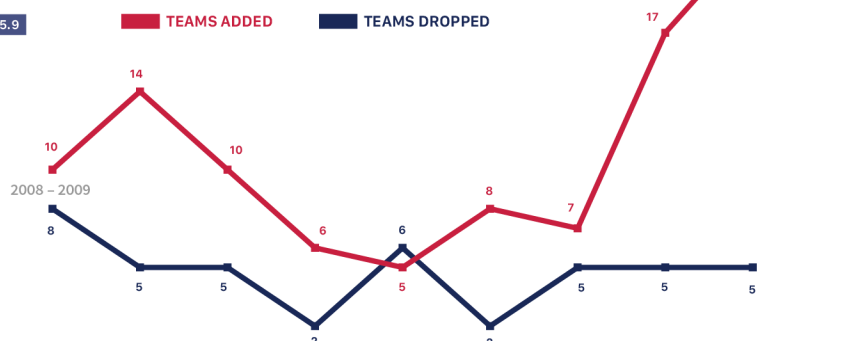


### MEN'S SPORTS:



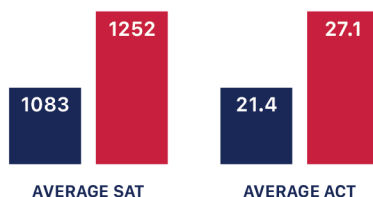
## A DECADE OF GROWTH

Contrary to popular belief, swimming and diving continues to see growth in all divisions.



## RIGOROUS STUDIES

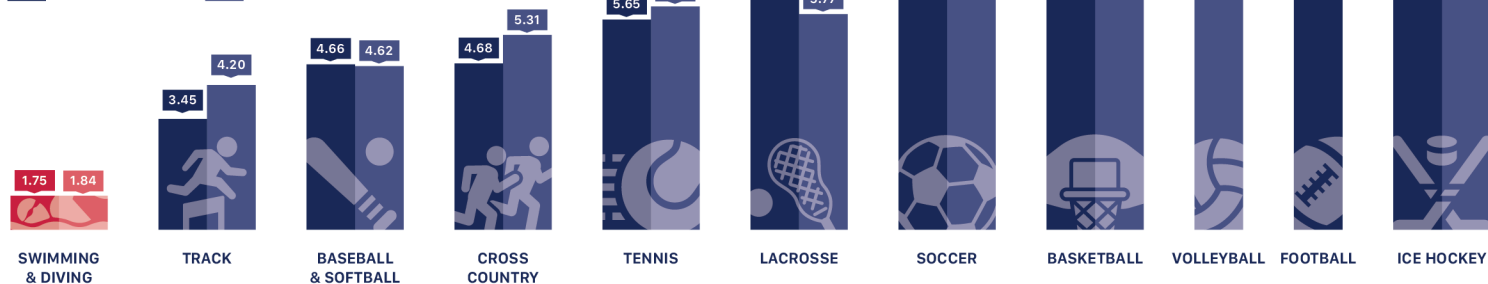
Swimmers and divers excel in some of the most rigorous majors with over 40% pursuing STEM fields.



## HEALTHY

Swimming and diving has the lowest injury rate among all intercollegiate sports.

### MEN'S SPORTS WOMEN'S SPORTS



## SUPERIOR STUDENTS

Both on a campus level and nationally, swimmers and divers consistently outscore their peers on standardized tests.

Sources: NCAA Single-Year Graduation Success Rate (released October 2017), NCAA, NAIA, National Center for Injury Prevention and Control, CDC, ACT Inc, College Board, CollegeSwimming.com, CSCAA

Learn more about how colleges and universities benefit from their investment in swimming and diving at [www.cscaa.org](http://www.cscaa.org).



## **USA Swimming Athletes' Executive Committee (AEC) and USA Swimming Athletes' Committee – Operating Policy Manual**

### **Table of Contents:**

- I. USA Swimming Athletes' Executive Committee
- II. USA Swimming Athletes' Executive Committee Operating Procedures
- III. USA Swimming Athletes' Executive Committee Members
- IV. USA Swimming Athletes' Executive Committee Sub-Committees
- V. USA Swimming Athletes' Committee
- VI. USA Swimming AAC Representative Election Policy

### **I. USA Swimming Athletes' Executive Committee**

The USA Swimming Athletes' Executive Committee (AEC) is a subcommittee of the USA Swimming Athletes' Committee. The AEC consists of ten (10) members elected biennially by the Athletes' Committee (from whom the Committee Chair, Vice Chair, Athletes' Leadership Chair, and Athletes' Programming and Events Chair are chosen), the National Team Athletes' Committee Chair, an AAC Representative, and a USA Swimming Board of Directors Representative. Athlete representatives serving on the AEC are expected to be USA Swimming's most dedicated and experienced athlete representatives.

The AEC aims to ensure that all athletes of USA Swimming, from the grassroots level to the National Team level, are represented and have their voices heard in the USA Swimming governance process. The AEC aims to ensure that the athlete voice is strong on the USA Swimming Board of Directors, on all USA Swimming National Committees, in all Zones, and in all LSCs.

### **II. USA Swimming Athletes' Executive Committee Operating Procedures**

**.1 General Membership** – The AEC shall have thirteen (13) voting members. All members of the AEC shall have both voice and vote. Members of the AEC must meet at least one (1) of the following criteria to be eligible to run for the AEC:

- A. Two (2) years of satisfactory National Committee experience, be at least eighteen (18) years old, and be eligible to be a member of the Athletes' Committee.
- B. Professional or leadership experience relevant to the AEC, be at least eighteen (18) years old, and be eligible to be a member of the Athletes' Committee.

### **.2 Voting Members** –

- A. The voting members of the AEC shall be:
  - a. Ten (10) At-Large Members of the AEC elected by the Athletes' Committee at the United States Aquatic Sports (USAS) Convention.
  - b. The National Team Athletes' Committee (NTAC) Chair elected by the NTAC.
  - c. The USOC Athletes' Advisory Council (AAC) Representative elected per the AAC Representative Election Policy.
  - d. One (1) Athlete Member of USA Swimming Board of Directors elected by the Athlete Members of the USA Swimming Board of Directors.
- B. At least one (1) member of the AEC shall be a member of an LSC from each Zone's geographic area at all times. LSC membership shall be determined for a member's tenure on the AEC at the time of their initial election to the AEC. Only the At-Large Members of the AEC shall be counted for the purpose of determining whether sufficient geographic representation exists on the AEC.

### **.3 Term of Office** –

- A. AEC At-Large Members shall serve two (2) year terms. The term of office shall commence at the conclusion of the House of Delegates at the USAS Convention at which they are elected. Terms for At-Large Members shall be staggered so that one-half (1/2) of the At-Large Members are elected annually.
  - a. In 2018, the AEC At-Large candidates receiving the top five (5) highest vote totals shall serve two (2) year terms. The AEC candidates receiving the next five (5) highest vote totals shall serve one (1) year terms.
  - b. The one (1) year terms shall not count as full terms on the AEC.



- B. The NTAC Chair shall serve a two (2) year term as a member of the AEC. The term of office shall commence at the conclusion of the House of Delegates at the USAS Convention at which they are elected.
- C. The AAC Representative shall serve a four (4) year term as a member of the AEC. The AAC Representative shall be elected per the AAC Representative Election Policy.
- D. The AEC Athlete Member of the USA Swimming Board of Directors shall serve a one (1) year term as a member of the AEC. The AEC Athlete Member of the USA Swimming Board of Directors shall be elected by the majority vote of the Athlete Members of the Board of Directors immediately after the annual election of Athlete Members of the USA Swimming Board of Directors. If the Athlete Members of the USA Swimming Board of Directors fail to promptly elect an athlete to the AEC, the USA Swimming Board Chair shall appoint one of the Athlete Members of the Board of Directors to the AEC.
- E. Members of the AEC shall serve no longer than four (4) consecutive years on the AEC. Exceptions to this provision include:
  - a. Members may serve more than four (4) consecutive years if serving a term of one (1) year or less as an At-Large Member.
  - b. Members may serve more than four (4) consecutive years if currently serving as an officer of the AEC.
  - c. The AAC Representative shall serve as specified by the USOC.

**.4 Committee Officers** – The officers of the AEC shall be the Chair, the Vice Chair, the Athletes’ Leadership Chair, and the Athletes’ Programming and Events Chair. The AEC shall elect its own officers from among its voting members by majority vote in even numbered years at the USAS Convention.

- A. Only the ten (10) At-Large Members of the AEC may serve as AEC officers. Officers of the AEC shall serve no more than two (2) consecutive two (2) year terms in a given position.
- B. An At-Large Member of the AEC may not hold two (2) officer positions simultaneously.
- C. The officers of the AEC shall be elected in the following order: Chair, Vice Chair, Athletes’ Leadership Chair, Athletes’ Programming and Events Chair. AEC members must declare their intention to run for each officer position prior to the election.
- D. Officers of the AEC shall be elected by majority vote of the AEC. In the event that no candidate receives a majority of votes cast, the candidates receiving the two (2) highest vote totals shall advance to a run-off election.
- E. The election of each officer position shall be facilitated by a member of the AEC not running for that position.
- F. Exception to the Term of Office provision in II.3.A shall be granted to AEC officers. The Term of Office of the AEC officers shall be automatically extended until the completion of the term as an officer. Members exempt from the term limits under this provision may not serve more than five (5) consecutive years on the AEC.
- G. An election will be held to fill an outgoing AEC officer’s term at the USAS Convention if the above provision applies. The vacancy will be filled by the candidate receiving the sixth (6<sup>th</sup>) most votes in the election of At-Large Athletes Executive Committee members, for a term of one (1) year.<sup>1</sup>

**.5 Removal of Officers and AEC Members** –

- A. Any officer or AEC member elected by the Athletes’ Committee who has failed to attend to his or her official duties or responsibilities or has done so improperly may be removed from office.
- B. The AEC may remove any officer who has failed to attend to his or her official duties or responsibilities or has done so improperly. This action removes an AEC officer from their officer position, but does not remove them from the AEC.
  - a. At least one-third (1/3) of the voting members of the AEC shall recommend the removal of an officer in writing to the AEC Chair to begin the procedure to remove an officer.
  - b. Should one-third (1/3) or more members of the AEC call for the removal of an officer, the AEC Chair shall call for an AEC meeting at which the removal of the officer shall be discussed.
  - c. The AEC shall meet not less than fourteen (14) days and not more than thirty (30) days after the third (3<sup>rd</sup>) member recommends the removal of the officer.

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<sup>1</sup> In most years, five (5) At-Large members are to be elected to the Athletes Executive Committee. In the case of multiple vacancies, the candidates securing the next most votes shall serve on the committee for the remainder of the vacancy, provided geographic requirements in II.2 are satisfied.

- d. At least seven (7) days written notice shall be given prior to any meeting at which action is taken on the removal of an officer. The officer facing removal shall be given the opportunity to speak at the meeting at which action could be taken.
- e. At least two-thirds (2/3) of the AEC vote shall be required to remove an officer from their position.

**.6 Vacancies –**

- A. If a vacancy occurs on the AEC, a successor shall be appointed to fill the term of the vacated office using the following procedure:
  - a. A vacancy in an At-Large Member position shall be filled with an appointment made by the AEC Chair and confirmed by a majority vote of the AEC.
  - b. A vacancy in the NTAC Chair position shall be filled by a majority vote of the NTAC.
  - c. A vacancy in the AAC Representative position shall be filled per the USOC AAC Representative Election Policy.
  - d. A vacancy in the AEC Athlete Member of the USA Swimming Board of Directors position shall be filled by a majority vote of the USA Swimming Board of Directors Athlete Members.
- B. If a vacancy occurs in an AEC officer position, a successor shall be elected to fill the term of the vacated officer position by a majority vote of the AEC.

**.7 Meetings –**

- A. **Meetings** – Meetings of the AEC shall be held at a location determined by the AEC Chair and the USA Swimming Staff Liaison. A meeting of the AEC may be called by the AEC Chair or by one-third (1/3) of the voting membership of the AEC. Each year, the AEC should meet at least once per quarter remotely, at least once in-person outside of the USAS Convention, and at least once in-person at the USAS Convention.
- B. **Meeting Notice** – Meeting notice should be provided to all AEC members at least twenty-one (21) days prior to all in-person meetings, at least three (3) days prior to all electronic meetings at which action is taken, and at least one (1) day prior to all electronic meetings at which not action is taken. An email to committee members listing the time, date and location of a meeting shall constitute notice.
- C. **Quorum** – The presence in-person or by electronic means of the majority of voting AEC Members shall constitute a quorum at any meeting of the AEC. Voting by proxy is not permitted.
- D. **Minutes** – The staff liaison shall record a summary of the proceedings of each meeting of the AEC and its Sub-Committees.
- E. **Voting** – All members of the AEC shall have both voice and vote in all AEC matters, with the exception of the election of officers. For the election of officers, only the ten (10) At-Large AEC Members shall have vote. For all matters except the removal of officers, a majority vote of the members present is required for action.
- F. **Open Meetings** – All meetings of the AEC and Sub-Committees shall be conducted in open session except in those situations it would be in the interests of USA Swimming or the AEC to hold a closed session, as determined by a majority vote of the AEC.

**III. USA Swimming Athletes' Executive Committee Members**

**.1 Chair** – The AEC Chair shall lead and direct the voice of the AEC and the Athletes' Committee. The responsibilities of the AEC Chair shall be as follows:

- A. To conduct all meetings of the AEC, or to designate another member to conduct the meetings of the AEC.
- B. To call and schedule meetings of the AEC; to notify AEC members of upcoming meetings of the AEC.
- C. To serve as a voting member of the USA Swimming House of Delegates.
- D. To regularly communicate with the NTAC Chair, the Athletes' Leadership Sub-Committee Chair, the Athletes' Programming and Events Sub-Committee Chair, and the Chairs of AEC Sub-Committees and task forces.
- E. To assist the Athletes' Programming and Events Vice Chair in coordinating and running meetings at the United States Aquatic Sports Convention, as needed.
- F. To propose and adhere to an AEC budget.
- G. To communicate regularly with and mentor athlete representatives from a cluster of four to five (4-5) LSCs as determined by the Athletes' Leadership Chair.

**.2 Vice Chair** –The AEC Vice Chair shall assist the AEC Chair in leading and directing the voice of the AEC and the Athletes' Committee. The responsibilities of the AEC Chair shall be as follows:

- A. In the absence of the AEC Chair, to assume the responsibilities and duties of the AEC Chair.
- B. To generally assist the AEC Chair in all the duties listed in Section III.1.
- C. To serve as a voting member of the USA Swimming House of Delegates.
- D. To communicate regularly with and mentor athlete representatives from a cluster of four to five (4-5) LSCs as determined by the Athletes' Leadership Chair.

**.3 Athletes' Leadership Chair** – The Athletes' Leadership Chair shall recruit new athletes to serve on the Athletes' Committee and National Committees. The Athletes' Leadership Chair shall prepare athlete representatives for future leadership roles through intentional succession planning and mentorship programs. The responsibilities of the Athletes' Leadership Chair shall be as follows:

- A. To serve as the AEC Leadership Sub-Committee Chair.
- B. To serve as a voting member of the USA Swimming House of Delegates.
- C. To organize, educate, and train athletes serving on national and local level committees and task forces to ensure that the athlete voice is heard at all levels of the USA Swimming governance structure.
- D. To provide the AEC with intentionally selected candidates for placement on Committees and task forces.
- E. To intentionally facilitate mentoring programs for all athlete representatives in USA Swimming.
- F. To assist the Athletes' Programming and Events Vice Chair in coordinating and running meetings at the USAS Convention, as needed.
- G. To communicate regularly with and mentor athlete representatives from a cluster of four to five (4-5) LSCs as determined by the Athletes' Leadership Chair.

**.4 Athletes' Programming and Events Chair** – The Athletes' Programming and Events Chair shall coordinate meetings, events, and educational opportunities at the USAS Convention and throughout the year. The responsibilities of the Athletes' Programming and Events Chair shall be as follows:

- A. To serve as the AEC Athletes' Programming and Events Sub-Committee Chair.
- B. To serve as a voting member of the USA Swimming House of Delegates.
- C. To organize and plan athlete meetings and other events throughout the year.
- D. To communicate regularly with and mentor athlete representatives from a cluster of four to five (4-5) LSCs as determined by the Athletes' Leadership Chair.

**.5 At-Large Members** – The At-Large Members shall be actively participating members of the AEC, and shall assist the AEC officers as directed.

- A. To complete projects and serve on Sub-Committees as assigned by AEC officers.
- B. To serve as a voting member of the USA Swimming House of Delegates.
- C. To communicate regularly with and mentor athlete representatives from a cluster of four to five (4-5) LSCs as determined by the Athletes' Leadership Chair.

**.6 National Team Athletes' Committee Chair** – The National Team Athletes' Committee (NTAC) Chair shall represent the National Team on the AEC. In addition to meeting the criteria listed in II.1, the NTAC Chair must have been a member of the USA Swimming National Team in the past ten (10) years and have competed in an Olympic Games, World Championships, Pan Pacific Championships, World University Games, or Pan American Games.

- A. To serve as the Chair of the NTAC.
- B. To review the programs and services offered by the USA Swimming National Team division.
- C. To evaluate and propose rules and regulations that directly affect the National Team.
- D. To address the specific needs of the National Team Athletes in preparation for major international events.
- E. To evaluate, develop projects, and conduct long term plans in all areas concerning National Team Athletes.
- F. To report to the members of the National Team Steering Committee and the Open Water Steering Subcommittee any issues that warrant attention from those groups.
- G. To communicate regularly with and mentor athlete representatives from a cluster of four to five (4-5) LSCs as determined by the Athletes' Leadership Chair.

**.7 USOC AAC Representative** – the USOC AAC Representative shall serve as a member of the USOC Athletes' Advisory Council and meet the USOC's requisite criteria.

- A. To report to the AEC regarding the business of the AAC.
- B. To assist in communicating the business of the AEC and Athletes' Committee by contributing to relevant publications and media outputs.
- C. To serve as an ex-officio member of the NTAC.
- D. To communicate regularly with and mentor athlete representatives from a cluster of four to five (4-5) LSCs as determined by the Athletes' Leadership Chair.

#### **IV. USA Swimming Athletes' Executive Committee Sub-Committees**

##### **.1 Athletes' Leadership Sub-Committee**

###### **A. Members**

- a. The members of the Athletes' Leadership Sub-Committee shall be the Athletes' Leadership Chair, the four (4) Zone Athlete Representatives, and up to four (4) additional members.
- b. The Zone Athlete Representatives shall be elected pursuant to the policies of the Central, Western, Eastern, and Southern Zones of USA Swimming. The remaining members of the Athletes' Leadership Sub-Committee shall be appointed by the Athletes' Leadership Chair, with the advice and consent of the AEC.

###### **B. Duties**

- a. Devise and execute a National Athlete Representative succession plan to ensure that athlete leaders are mentored and retained.
- b. Assist the AEC Chair in vetting National Committee applications and placing applicants on appropriate Committees.
- c. Define best practices for LSC athlete representation programs and governance structures (such as Athlete Committees, elections, succession planning, etc.). The Sub-Committee should use outside resources (Board Source, etc.) as well as previous experience in defining these best practices.
- d. Provide and create educational resources for LSC athlete representatives to use to ensure that LSC athlete representatives can apply the best practices. Ideally, this will be in conjunction with staff.
- e. Facilitate session(s) at the USAS convention that facilitate discussion between athletes and non-athletes about aspects of athlete leadership and/or athlete governance.
- f. Assign AEC members clusters of LSCs. All AEC members will be responsible for communicating with and mentoring the athlete representatives from the LSCs in their cluster.

##### **.2 Athletes' Programming and Events Sub-Committee**

###### **A. Members**

- a. The members of the Athletes' Programming and Events Sub-Committee shall be the Athletes' Programming and Events Chair and between two (2) and eight (8) additional appointees.
- b. The members of the Athletes' Programming and Events Sub-Committee shall be appointed by the Athletes' Programming and Events Chair with the advice and consent of the AEC.

###### **B. Duties**

- a. Plan and organize events and workshops at the USAS Convention and other meetings, as assigned by the AEC or AEC Chair.

##### **.3 National Team Athletes' Committee**

###### **A. Members**

- a. The members of the NTAC shall be two National Team Steering Committee athletes of two different genders, one National Open Water Team Steering Committee Member, one National Team Open Water athlete, and four National Team At-Large athletes.
- b. The NTAC shall elect its own Chair from among its members.
- c. The four At-Large athletes and the member of the National Open Water Team shall be appointed by the AEC Chair with the advice and consent of the AEC.

- d. The USOC AAC Representative, the USOC AAC Representative Alternate, and the FINA Athletes' Commission Member shall serve as ex-officio National Team Athletes' Committee Members, with voice, but no vote.
- e. With the exceptions of ex-officio members, NTAC members must have been members of the USA Swimming National Team in the past 10 years and have competed in an Olympic Games, World Championships, Pan Pacific Championships, World University Games, or Pan American Games.

**B. Duties –**

- a. To review the programs and services offered by the USA Swimming National Team division.
- b. To evaluate and propose rules and regulations that directly affect the National Team Athletes.
- c. To address the specific needs of the National Team Athletes in preparation for major international events.
- d. To evaluate, develop projects, and conduct long term plans in all areas concerning National Team Athletes.
- e. To report to the members of the National Team Steering Committee and Open Water Steering Sub-Committee any issues that warrant attention from those groups.

**V. USA Swimming Athletes' Committee**

**.1 General Membership** – The members of the Athletes' Committee shall be as follows:

- A. Two (2) LSC Athlete Representatives from each LSC. The LSC Athlete Representatives should be the LSC's Senior Athlete Representative and Junior Athlete Representative.
- B. Ten (10) National Athlete Representatives who competed in the USA Swimming Summer National Championships and/or Open Water National Championships in their year of appointment.
- C. Sufficient At-Large Athlete Representatives to constitute at least 20% of the voting membership of the USA Swimming House of Delegates.
- D. The members of the AEC.

**.2 Eligibility** – Members of the Athletes' Committee must be current athlete members of USA Swimming and must be:

- A. Under the age of eighteen (18), or
- B. Within ten (10) years of competing at a USA Swimming sanctioned competition while under the age of eighteen (18), and/or, while under the age of eighteen (18), and/or
- C. Within ten (10) years of competing (pool or open water) at a USA Swimming National Championship or Trials Class Meet and/or
- D. Within ten (10) years of representing USA Swimming (pool or open water) at any one (1) of the following meets: Olympic Games, World Championships, Pan Pacific Championships, World University Games, or Pan American Games.

**VI. USA Swimming AAC Representative Election Policy** – Article XX, Section 1 of the USOC Constitution establishes an Athletes' Advisory Council (AAC), the purpose of which is "to ensure communication between the USOC and currently active athletes, and to serve as a source of opinion and advice to the [USOC] Board of Directors with regard to both current and contemplated policies of the USOC." The AAC is comprised of one (1) athlete from each Olympic and Pan American sport, plus six (6) athletes elected by the AAC to serve as At-Large members. Under the AAC's bylaws, each sport's representative is elected directly by athletes in the sport who meet the standard of eligibility to serve as an AAC Representative. Each sport's representative also has an alternate from within that sport. USA Swimming adopts this AAC Representative election policy pursuant to Chapter XXXIV, Section 1 of the USOC Bylaws.

**.1Eligibility to Serve as AAC Representative and Vote in Election** – All USA Swimming members who meet the USOC’s standards of eligibility to serve as an AAC Representative are eligible to vote in USA Swimming’s AAC Representative election. The standards are:

- a. An athlete must have represented the United States in the Olympic Games, Pan American Games, World Championships, or a competition designated by the USOC as an Operation Gold competition.
- b. The last such representation must have occurred within the ten (10) years preceding the athlete’s election.
- c. Athletes may not be paid employees of the USOC, any NGB, USP or any city's domestic bid committee for an Olympic Games and simultaneously serve as a AAC Representative or Alternate. The term "paid employee" shall mean anyone who is employed on a regular basis. This provision shall not apply to 1) individuals who are engaged on an occasional or temporary basis, which shall include, but not be limited to coaching at a clinic or training camp, making a paid appearance for a sponsor, or working on a finite or discrete project, and 2) athletes who are still competing and receiving benefits from the USOC, the USP or any NGB in his/her capacity as a competing athlete.
- d. Be a registered member of USA Swimming in good standing.
- e. All USA Swimming athletes who meet the USOC’s standards of eligibility to serve as an AAC Representative are eligible to nominate candidates. The USA Swimming athletes eligible to vote for the AAC Representative shall consist of all of the athletes who meet the USOC’s standards of eligibility to serve and are concurrently members of the USA Swimming Athletes Committee at the time of the election.

## **.2 Term**

- a. As established by the AAC, the AAC Representative serves a four (4) year term, measured by the quadrennial spanning the four (4) years between Summer Olympic Games.
- b. Representatives may serve no more than two (2) consecutive terms. Status as an alternate does not constitute serving a term. If an alternate replaces a representative and serves over half of the quadrennial in the latter’s capacity, one (1) term has been served.

## **.3 Election Procedure**

- A. Elections will take place every four (4) years during the year of the Summer Olympic Games.
- B. Between one hundred fifty (150) and one hundred twenty (120) days prior to first day of the Summer Olympic Games, USA Swimming shall compile a list of all athletes who, as of that time, meet the eligibility standards to serve as a member of the AAC (the “List”).
- C. Not later than one hundred (100) days prior to the first day of the Summer Olympic Games, USA Swimming shall mail a hard copy and email a soft copy, to each athlete on the List a form by which the athlete may nominate himself/herself or another eligible athlete for the position of AAC Representative.
- D. Nomination forms must be returned to USA Swimming within fifteen (15) days of date of mailing. Late nominations will not be considered. All nominees will be contacted to confirm their interest in serving in the position within two (2) weeks.
- E. Not later than sixty (60) days before the first day of the Summer Olympics, USA Swimming shall mail to the athletes who have served on the Athletes’ Committee in the previous ten (10) years who meet the USOC’s standards of eligibility to serve as an AAC Representative a ballot containing all nominees for election. Ballots must be returned within fifteen (15) days of date of the postmark date.
- F. Ballots shall be mailed directly to USA Swimming’s independent auditors, who shall tally the votes and inform the AEC Chair of the results. The AEC Chair shall inform the appropriate USA Swimming staff members.
- G. The candidate who receives the greatest number of votes shall be declared the winner of the election. If there is a tie, a run-off election shall be conducted as soon as possible.
- H. The candidate receiving the second highest number of votes shall become the alternate AAC

Representative, subject to the requirement of the AAC that the primary representative and alternate be of the opposite sex.

- I. In accordance with USA Swimming policy, candidates may request the results of the election.
- J. The newly elected representative and alternate shall begin serving their terms at the first AAC meeting of the new quadrennial.



## **TIMES MODULE**

# **POLICY and GUIDELINES**



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## **1.0 OVERVIEW**

In June 2003 USA Swimming launched a browser-based database system that consolidated 30 different types of databases utilized by volunteers and staff to serve its athlete and non-athlete members. With membership data and times data linked for the first time, SWIMS (**Swimming Web-based Interactive Membership System**) is a comprehensive and inclusive database. SWIMS is a composite of membership data and history and a databank of times swum for nearly every athlete member since June 2003. It is expected that LSC SWIMS officers will submit all eligible times from LSC sanctioned, approved and observed competitions into SWIMS to provide USA Swimming with complete data for meet entry, athlete tracking, and research.

## **2.0 PURPOSE**

- 2.1. The purpose of this manual is to provide general guidance to the swimmers, coaches, and volunteers who will be providing or using the times data in the SWIMS system. The guidelines describing the functions of the Times Module of SWIMS are meant as a handbook for the LSC Times Volunteers who use SWIMS.
- 2.2. Times for USA Swimming members that have been entered into SWIMS are visible on the look up feature on the USA Swimming website.
- 2.3. The primary purpose of the Times module in SWIMS is to provide a database of all official times that conform to the requirements stipulated in the Timing Rules section of the Technical Rules portion of the USA Swimming Rules and Regulations. Open Water times are not included in the SWIMS database.

## **3.0 RESPONSIBILITIES**

- 3.1. Each LSC is responsible for data entry of times within its geographical boundaries. There may be exceptions as agreed upon by specific LSCs.
- 3.2. Times from the following meets will be entered into SWIMS by the host LSC:
  - A. Sanctioned and approved LSC Meets.
  - B. YM/YWCA/AAU Championships.
  - C. Other swims that have been authorized for observation.

NOTE: Times from observed swims and approved meets will be entered into SWIMS by the LSC for USA Swimming member athletes with USA Swimming ID numbers or full legal names and birth dates provided in the electronic meet results or separately on paper. , with the exception that times from NCAA meets will be entered by USA Swimming staff.

- 3.3. The following meets do not fall under the LSC responsibility for data entry:
  - A. USA Swimming Trials, ConocoPhillips National Championships, including time trials, and United States Open Championships.
  - B. USA Swimming Short Course (SCY) Championships, including time trials.
  - C. USA Swimming Speedo Junior Championships, including time trials.

- D. World Cup, World Championships (short and long course), Olympic Games, World University Games, Pan American Games, Pan Pacifics, Junior Pan Pacifics, including time trials (inclusion of times from these meets will be done for American athletes only). Foreign athletes who wish to use these times to compete in USA Swimming meets should present results to USA Swimming staff (Times) for inclusion in SWIMS.
- E. Pro Series and Futures meets, including time trials, unless the LSC is specifically requested to enter the meet into SWIMS.
- F. Certain International competitions at which a USA Swimming National Team competes.
- G. NCAA meets.
- H. Foreign meets authorized by a FINA member that are attended by USA Swimming registered swimmers (See description of foreign meets in 4.4 and Form D.).

#### **4.0 TYPES OF MEETS INCLUDED**

This summary is intended to help clarify the key differences about the various types of swims generating “official” USA Swimming times. More detailed information and definitive regulations are available in USA Swimming Rules and Regulations (Article 202) in which requirement and conditions for sanction, approved competitions, NCAA meets, and observed swims are defined.

##### **4.1. SANCTIONED MEET**

- A. All participants must be members of USA Swimming (including meet directors, coaches [all persons acting in any coaching capacity must be coach members], officials, athletes, and participating clubs.
- B. Meet must be conducted under USA Swimming technical and administrative rules.
- C. All official times achieved will be recognized by USA Swimming.

##### **4.2. APPROVED MEET**

- A. There are no requirements for USA Swimming athlete membership for meet participation.
- B. Approvals may be issued to non-member clubs/organizations for meets conducted in accordance with USA Swimming technical rules, including those requirements stipulated under the Timing Rules section of the Technical Rules portion of USA swimming Rules and Regulations.
- C. Approvals may be issued to member clubs for closed competition (such as YMCAs) conducted in accordance with USA Swimming technical rules.
- D. Approvals may be issued to member clubs for open competition conducted in accordance with USA Swimming technical rules if that competition has been specifically approved by the USA Swimming Program Operations Vice Chair or designee(s). (See Form E in attachments.)

##### **4.3. OBSERVED MEET**

- A. There are no requirements for USA Swimming athlete membership for meet participation.
- B. Meet is conducted under technical rules other than USA Swimming (e.g., high

school, Masters, IPC).

- C. A request for observation must be made to the LSC at least ten (10) days prior to the meet. Policies and procedures may vary between LSCs.
- D. Times from swim(s) observed and approved by association officials working season-culminating championship meets and invitationals are recognized by USA Swimming (except for NCAA meets – see below). Official times of USA Swimming members are eligible for inclusion in the SWIMS database. A USA Swimming official must verify that all swims approved for USA Swimming purposes were in accordance with the following requirements .
  - (1) Minimum of one referee, one starter and two stroke & turn judge association officials working season-culminating championship meets and invitationals;
  - (2) 102.24 (Timing Rules)
  - (3) 103.3 (Racing Course Dimensions); and
  - (4) 103.14 (Starting Platforms)
- E. Times for events achieved at NCAA bona fide competition as defined in the current NCAA Rules and Interpretations shall be regarded as approved times for USA Swimming purposes and are to be submitted within 72 hours after the meet has ended to [ncaa@usaswimming.org](mailto:ncaa@usaswimming.org).
- F. If technical rules of the stroke differ from USA Swimming as defined in Article 101, at least two observers from USA Swimming and/or the YMCA, who shall be certified Stroke & Turn Judges assigned or approved by the LSC, must be present. If the technical rules are identical, the judgement of the organization officials shall be sufficient.

#### 4.4. FOREIGN MEET

- A. For times from a foreign meet sanctioned by another FINA member to be included in SWIMS, the meet must comply with the minimum standards for an official time as stipulated under the Timing Rules section of the Technical Rules portion of the USA Swimming Rules and Regulations and be approved in advance by the Program Operations Vice Chair or designee(s) (see Form D in attachments).
- B. This category of foreign meet does not include international competitions at which the USA Swimming National Team is competing. Times submission from such International meets is the responsibility of the USA Swimming staff to submit.
- C. The USA Swimming member must be representing his/her club or swimming unattached for a time to be included in SWIMS. If a USA Swimming member is also a foreign federation athlete, the swimmer may represent his/her foreign club in a foreign meet.
- D. USA Swimming has an “open border” policy with Puerto Rico, Canada, Bermuda, and the U.S. Virgin Islands. Travel documents are not necessary for their athletes or clubs traveling to the United States and are not necessary for USA Swimming’s athletes traveling to these countries. Swimmers who wish to compete in international meets outside of these countries must obtain a Foreign Travel Permit through the LSC Registrar and USA Swimming Membership Services before competing in a foreign meet.

#### 4.5. TIME TRIALS

- A. Time trials conducted at meets other than the competitions defined in 3.3 must conform to the following:
- (1) Time trials must be sanctioned by the LSC and conducted in accordance with all USA Swimming Technical Rules and abide by the Requirements for Sanction stipulated in the Administrative Regulations of Competition portion of the USA Swimming Rules and Regulations.
  - (2) Time trials must be authorized in accordance with established LSC procedures.
  - (3) If a time trial is conducted in conjunction with an approved meet, a USMS meet, a high school, collegiate meet, or other meet authorized for USA Swimming observation and it is officiated to the same standard as the authorized meet, times may be entered into SWIMS.
  - (4) All time trials meeting the above specifications should be uploaded into SWIMS.
  - (5) Electronic results (SDIF, .cl2, XDIF, HY3) of the time trials may be loaded into SWIMS as part of an accompanying swim meet or separately. The preferred method is separate results files. All results must be entered into the proper event description in the meet file.

#### 4.6. ALTITUDE ADJUSTED TIMES

- A. Information on Altitude Adjusted Times may be found in the USA Swimming Policy Manual. Altitude Adjusted Times may be used to enter USA Swimming Sanctioned Meets. They may not be used for records or recognition purposes.
- B. Times achieved at an altitude of 3,000 feet or above may be adjusted as follows:

##### Time Adjustment

Event Distance	3000-4250 Feet	4251-6500 Feet	Above 6500 Feet
200	.50 Sec.	1.20 Sec.	1.60 Sec.
400 or 500	2.50 Sec.	5.00 Sec.	7.00 Sec.
800 freestyle relay	2.00 Sec.	4.80 Sec.	6.40 Sec.
800 or 1000	5.00 Sec.	10.00 Sec.	15.00 Sec.
1500 or 1650	11.00 Sec.	23.00 Sec.	32.50 Sec.

- (1) Subtract the time indicated above from the actual time achieved at altitude. This is the time to be used on the entry form and seeding will be based on that time. Information relative to the adjustment accompanying the entry form must include name of swimmer, event, date of performance, elevation location, actual time, corrected time, and signature of coach.
- (2) A swimmer or relay may use the above adjustments to meet the national qualifying standard and seeding will be based upon that time.

## 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, where necessary, 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.
  - A. 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.
  - B. A United States Open Record may be established only within the geographical territory of the United States by any person eligible to compete under and achieving an official time in accordance with USA Swimming rules.
  - C. Pool measurement as stipulated under the Pool Measurement portion of the American and United States Open Records sub-section of the Technical Rules section of the USA Swimming Rules and Regulations is required. Record applications will not be accepted unless certification of course length accompanies the application or is already on file with USA Swimming. Certifications last indefinitely unless structural changes are made to the pool. The length of the course shall be measured and certified by a qualified person in accordance with the standards established by USA Swimming.
  - D. In a pool where a moveable bulkhead is used, course measurement of the lane in which the record was set must be confirmed at the conclusion of the session during which the time was achieved.
  - E. Times must be registered by automatic equipment and submitted in hundredths of a second.
  - F. If an American Record or United States Open Record is set at the USA Swimming National Championships, Junior National Championships, United States Open Championships, or any USA Swimming Selection Meet, National Event staff and/or Program Operations designees will compile and submit all documentation and ensure that all requirements have been met.
  - G. If a swimmer in a NCAA Bona Fide competition sets a record, the referee shall stipulate that the athlete was not wearing illegal tape on the record application or confirm this with the Program Operations designees.
- 5.3. Applications and all required paperwork for NAG records must be submitted within 30 days of performance.
  - A. Only USA Swimming members who are U.S. citizens representing a USA Swimming

club or competing unattached are eligible to establish National Age Group records. Times submitted for Age Group Records must comply with all requirements stipulated in the National Age Group Recognition Program detailed in the Administrative Regulations of Competition of the USA Swimming Rules and Regulations.

B. The official times for establishing specific records in short course yards or long course meters must be achieved as determined in accordance under the Timing Rules section of the Technical Rules portion of the USA Swimming Rules and Regulations.

C. If a NAG record is set at a USA Swimming National Championship, Junior National championship, United States Open, or USA Swimming Selection meet, National Event staff members and/or Program Operations designees will provide documentation and ensure that all criteria are met. NAG records achieved at Sectional, Arena Pro, or Futures meets do not require application. Times and Recognition Committee will document and award record status.

D. Measurement of the pool is not required for a NAG Record. In signing a NAG application form, the meet referee is confirming the validity of the time, the swim, and the course.

E. If an NCAA competitor sets a NAG record in a Bona Fide competition, the referee shall stipulate on the application that the swimmer was not wearing illegal tape.

5.4 Specific requirements for Zone records and LSC records will be set by the appropriate Zone or LSC

## **6.0 AGE GROUP RECOGNITION PROGRAM**

- 6.1. It is the responsibility of the Times and Recognition Committee to establish an Age Group Recognition Program and the NAG motivational time standards chart. The Time and Recognition committee may consider and make changes prior to the start of a new awards period in accordance with the USA Swimming Rules and Regulations.
- 6.2. The Age Group Recognition Program will recognize the following for short course yards and long course meters:
  - A. The top ten individual times in a single age group beginning at age 11 through age 18.
  - B. The top ten relay times beginning with age group 11-12 and continuing for the 13-14 and 15-18 age groups.
- 6.3. The Age Group Recognition Program will use a 12 month qualifying period beginning on September 1 of the prior year to August 31 of the current year to determine eligibility.
- 6.4. All times must be reported no later than September 7<sup>th</sup> of the current year for the previous 12-month period (September 1-August 31). The final list will be posted to the website no later than October 15<sup>th</sup>.
- 6.5. A time that would have made the top ten list if correctly submitted prior to the deadline may be awarded a certificate of performance at the discretion of the Times and Recognition Committee. A supplemental list may be published after the list has been declared final. However, no previously recognized authentic time will be removed from the final listing.
- 6.6. The Times and Recognition Committee, with the recommendation of the Zone Top Times Sub-committee, has the authority to resolve issues that may arise. Corrections and additions are the duties of the LSC tabulators. It is the LSC tabulator's responsibility to screen the lists posted throughout the year for discrepancies and omissions. Questions should be addressed to the LSC tabulators.
- 6.7. Each LSC shall appoint a Top Times tabulator to lead these responsibilities. A list of all LSC tabulators, and a list of the Zone Top Times tabulators, will be available on the web site. Zone Top Times Preview Lists will be posted on the Zone websites according to a schedule authorized by the Times and Recognition Committee.
- 6.8. Until the National Top Ten Times list is final, lists of current age group top times achieved and retrieved from the USA Swimming web site or Zone web sites are drafts and may contain errors.



## **7.0 TIME VERIFICATION PROCESS – APPROVED MEETS**

Guidelines for Approved Meets beginning September 1, 2013

1. In order to comply with Article 202.6 in the USA Swimming Rules and Regulations, approved meets shall comply with USA Swimming technical rules.
2. Article 202.6.8D requires compliance with Article 102.10 Officials.
3. Per Article 102.10, beginning September 1, 2013, an Administrative Official or additional Referee is required for all sanctioned and approved meets. The Administrative Official and Referee may not act in more than one officiating capacity.
4. In approved dual meet competition the meet referee may also act as a stroke and turn judge. The starter may also act as a stroke and turn judge.
5. For a Y Closed League meet, a Y certified Administrative Official, or a Y Level II official acting in the administrative capacity can fulfill the requirement stipulated in Article 102.10.
6. For all other approved meets (non-closed league meets), such as a State Games meet, Black Heritage meet, or AAU competition, or USA-S club hosted approved meets, an Administrative Official certified by USA Swimming is required for approval authorization by the LSC.
7. The meet referee or designee is responsible for entering the AO into OTS along with the other meet officials.

### **7.1. APPROVED YMCA AND AAU MEETS**

- A. For YMCA Closed League Meets, effective September 1, 2006, the YMCA of the USA adopted the USA Swimming technical rules for the conduct of all of its swimming competitions. As a result, there are no longer any differences in the technical rules by which swimmers will be judged when participating in swimming competitions hosted by either USA swimming or the YMCA. As a further result, YMCA sanctioned swimming competitions (multi-team meets, large invitationals, and championship competitions) should be eligible to be treated as an “approved” meet as defined under USA Swimming Rules and Regulations and there is no longer a basis for “observed swims” with respect to YMCA swimming competitions.
- B. The following is a list of the requirements for a swim meet hosted by a YMCA swimming club or AAU club to be considered an Approved Competition:
  - (1) Requests for approved meets should be submitted to the LSC Sanction Chairman of the LSC in which the meet will be conducted.
  - (2) YMCA clubs who are also USA Swimming clubs may host sanctioned competitions, but only in their capacity as a USA Swimming club and only if all competitors in the competition are members of USA Swimming.

- (3) Written application for approval shall be made not later than the period established by the LSC prior to the competition. The LSC may establish a fee for processing such applications. Fees to the LSC according to their policies and by-laws may be assessed. Application for approval shall be accompanied by a complete meet or event information and statement of the nature and value of prizes to be awarded. Payment of a fee or expenses to the assigned USA Swimming officials shall not be a requirement for approval.
- (4) An issued Approval is not transferable.
- (5) No further Approvals shall be given if the YMCA or AAU club has failed to satisfy expense obligations to athletes or to award prizes as stated on its entry blank or meet information until such obligations are satisfied or the prizes awarded.
- (6) No Approval will be granted if the words "Olympic," "World," "Nationals," "United States of America," or any derivative thereof is used in any manner in connection with the competition unless consent for such usage is obtained from USA Swimming.
- (7) The following clause must appear on all approval forms and on all forms upon which official approvals are granted: "In granting this approval it is understood and agreed that USA Swimming shall be free and held harmless from any liabilities or claims or damages arising by reason of injuries to anyone during the conduct of the event."
- (8) Complete results shall be submitted to the LSC within a period of time established by the LSC.
- (9) All approvals must be signed by an authorized representative of the LSC and record kept by the LSC.
- (10) An Approval may be withheld or withdrawn by the LSC if the competition was not conducted in accordance with the above requirements.
- (11) If an event is to be contested in more than one LSC's or country's jurisdiction, the application for approval shall be submitted to the LSC in which the event begins. The LSC granting the Approval shall notify the other LSC(s) and/or the governing body of the other country in which the event is being contested of the details of the event.
- (12) YMCA clubs who are also registered as USA Swimming clubs should be aware that USA Swimming insurance may not provide coverage when hosting an approved competition or when attending an approved competition if not all competitors from the club are USA Swimming members.

7.2. Mutual Guidelines for YMCA Teams, AAU Teams, and USA Swimming Officers for SWIMS Database

- A. The following criteria must be met if a YMCA or AAU team wishes to have times for its athletes entered into SWIMS:

- (1) The meet must be run according to the guidelines of Part One, Technical Rules, USA Swimming Rules and Regulations. In lieu of an Administrative Official or second referee to comply with 102.10, a Level II Y certified official designated to fulfill the position of Administrative Official may be used at a Y meet.
  - (2) The meet shall be “Approved” by the host LSC according to its by-laws or formal policies and in accordance with the Requirements for Approval section of the Administrative Regulations of Competition of the USA Swimming Rules and Regulations.
- B. While the Y meet results file is official for YMCA purposes, in order to ensure that swimmers in an approved Y meet are able to represent the Y/USA Club team, the host team can require each Y team to send a list of a club’s USA-S registered swimmers obtained from the USA-S Club Portal with their entries. At the conclusion of the meet, any swimmer who must be shown as UN in the USA-S database should be un-attached in the meet file and any relays the swimmer competed on should be deleted by the meet host. The meet host can also work with the LSC registrar and, if both agree, send a post meet recon file to the LSC and then make any corrections upon receipt of the recon before submission of results to the LSC for USA Swimming purposes.
- C. Upon completion of a swimming competition and within seven (7) days of the end of the meet, the Meet Manager Back-up File should be sent to the SWIMS Times Officer in the LSC. The SWIMS officer will export a meet results file which will include the times for USA Swimming registered athletes for loading into SWIMS.
- D. Times loaded into SWIMS will show the athletes attached to the USA Swimming club name if that name is the same as the YMCA or AAU team name. If the name of the team is different, the times may show up as LSC UN. A USA Swimming member swimmer who is unattached will appear LSC UN in the database.

## 8.0 NCAA MEETS

1. Beginning in September 2017, the NCAA adopted the Fina Technical Rules for swimming. NCAA meets are no longer required to be observed by USA Swimming. Times from NCAA meets in all divisions are eligible to be used for USA Swimming purposes if the following criteria are met:
  - A. The meet is a bona fide competition as defined in the current NCAA Swimming and Diving Rules and Interpretations Book. Bona fide competitions include the following:
    - (1) Competition is between two or more teams of the same gender at the same time and site, from different collegiate institutions.
    - (2) All competitors are eligible by NCAA standards.
    - (3) Meets must be on the institutions' approved competition schedule.
    - (4) Meet officials must be qualified and/or certified.
  - B. For each meet, officiating must be in compliance with NCAA rules for Officials and their duties as stated in the NCAA Rule Book.
    - (1) There shall be a sufficient number of officials to properly conduct the meet. For dual, double-dual, triangular and quadrangular meet competitions, it is recommended that a minimum of two, three, or four officials be used to properly observe all competitors equally and enforce playing rules.
    - (2) For championship and invitational competition, it is recommended that a minimum of six officials are used.
    - (3) It is the host institution or conference meet committee's responsibility to ensure compliance with the minimum number of officials or to receive mutual (unanimous) consent to change the minimum requirements.
  - C. Meet results shall be sent to [ncaa@usaswimming.org](mailto:ncaa@usaswimming.org) within 72 hours of the end of competition. It is the responsibility of the USA Swimming Times Staff to ensure that the requirements of a bona fide competition are met.
  - D. The USA Swimming rule for Lane Timing Malfunction Adjustment has been waived by the Rules and Regulations Committee. The NCAA Meet Referee shall have full jurisdiction over the meet and shall see that all rules are enforced.
2. If a NCAA institution hosts a LCM meet, the referee shall provide names and events to the Program Operations designee(s) for any competitor wearing illegal tape.

## 9.0 TIMES VERIFICATION PROCESS – OBSERVED SWIMS

1. The intent of observing swims is to provide an opportunity primarily for high school swimmers who cannot compete in LSC sanctioned meets during their association season to achieve times that may be used to enter USA Swimming meets. An important difference between “Approved” and “Observed” is conformance to administrative rules and technical rules (required for Approval) vs. technical rules only (required for Observation).
2. Observation is for the specific purpose of ensuring that swims performed by USA Swimming members are in compliance with the Timing Rules, Racing Course Dimensions, Starting Platform, and Individual Strokes & Relays sections of the Technical Rules portion of the USA Swimming Rules and Regulations. Meets run by dual certified officials (ex. NFHS/USA-S, USMS/USA-S) do not require additional USA-S observers at the meet. The dual certified officials shall record any USA-S disqualifications for USA-S swimming rules which would not be disqualifications under the rules of the meet. Where the technical rules as listed in Article 101 are identical to those of the host organization, the judgement of the organization officials shall be sufficient.
3. At meets which do have separate USA-S observers (a minimum of 2 is acceptable), the USA-S observers shall record ONLY disqualifications for USA Swimming rules which would not be disqualifications under the rules of the meet. Where the technical rules as listed under Individual Strokes and Relays of the Technical Rules of the USA Swimming Rules and Regulations are identical to those of the host organization, the judgment of the organization officials shall be sufficient.
4. An administrative disqualification or an organization disqualification that is not a violation of USA Swimming technical rules should not invalidate an achieved time. Either the dual certified officials or the USA-S observers shall work with meet administration to record/report the time when submitted to the SWIMS Times database for non-NCAA high school competitions. For such a disqualification in NCAA competitions, please provide details/times to the Program Operations VP or designee.
5. Following are certain minimum criteria that must be applied to all high school, Masters, and any other meets authorized to have swims observed. The LSC NTV officer has the responsibility of verifying compliance.
  - A. Timing must comply with the Timing Rules stipulated in the Technical Rules section of USA Swimming Rules and Regulations.
  - B. If separate officials are being used for observation, at least one official must be stationed at each end of the pool.
  - C. The number of host association meet deck officials (high school, USMS, etc.) must meet the minimum requirements as stipulated in Article 202.7.3A, which must include a referee, a starter and two stroke and turn officials.
  - D. The meet shall be on the published calendar of the appropriate school, league, conference, etc. Observation of high school competition shall be authorized for meets in the championship progression and large invitational meets run according to championship protocols and specifically authorized by the Program Operations

- designee(s).
- E. A time trial held in conjunction with a meet whose swims are authorized for observation may also be observed if the time trial will be officiated to the same standard as the authorized meet.
  - F. All times for observed swims in high school meets shall be entered into SWIMS as LSC UN with the exception noted in 8.4.D.
  - G. Observed swims not in compliance with USA Swimming rules should be recorded and compiled by a USA Swimming NTV official in the host LSC.
  - H. The LSC is encouraged to provide a list of valid observed swims from meets posted on the LSC website within two weeks of the competition, or if complete results have been posted elsewhere, a link to the results and a listing of those swims that were NOT in compliance with USA Swimming rules. A record of observed swims not accepted should be kept by the LSC NTV officials for a period of one year.
  - I. Upon request, and although not a rules requirement, notification of any swims not accepted due to USA swimming technical rule violations should be provided to swimmers involved.
6. To have a meet authorized for observation of swims, a request must be made to the designated LSC official at least ten days prior to the meet in accordance with LSC rules.
- A. For meets other than a season-culminating Championship, use Form A. Should Form A be approved by the LSC, it must then be forwarded to the Program Operations Vice Chair or designee(s). The request must include a reason and explanation for request.
  - B. For all meets leading directly to a season-culminating championship, use Form B. Form B may be approved by the LSC NTV Officer. (The LSC is responsible for determining whether observation can be properly conducted and will determine which meets will be authorized for observation of swims.) LSC NTV officers must send the list of these meets and dates to the NTV subcommittee chair.
  - C. Official times for swims in observed meets should be entered within two weeks of the competition into SWIMS by an LSC NTV official or LSC SWIMS officer upon receipt of the following:
    - (1) Complete legible verification requests (if non-electronic results are utilized).
    - (2) Official electronic meet results or printed final results with notations indicating those swims not in compliance with USA Swimming Rules. The designated USA Swimming certified official present must attest to the LSC NTV official that the meet was run in accordance with the minimum criteria listed above. The LSC NTV official may determine that all times for athletes with full legal names and birth dates or USA Swimming ID

numbers will be loaded into the SWIMS database without a specific request.

- D. The time for a relay achieved in a high school meet may be entered into SWIMS for a USA Swimming club provided all four relay swimmers represent the same USA Swimming club at the time of the swim. All four names must be listed and a specific request be made for this manual data entry into SWIMS. Note that some state high school associations may not permit club affiliation, even for relays, during the high school season.
- E. If an observed meet is receiving blanket observation (all swims observed) individual verification requests may be made after the meet.
- F. The LSC may choose to load all observed times and relay lead-off splits from observed meets into SWIMS. In this case, the coach can assist in the process by making sure their swimmers are entered into the meet using their full legal names and that the DOBs are provided. If a swim is in compliance with USA Swimming technical rules and the meet has received blanket observation, all swims (unless a disqualification is noted) are valid times. The LSC may establish a fee for entry of observed swim times.

## 10.0 USA SWIMMING SCHOLASTIC ALL AMERICA PROGRAM

- 9.1. The USA Swimming Scholastic All America Team is comprised of high school student athletes who have a grade point average of 3.5 or higher for academic subjects and no grade lower than a C and have competed in an individual event in the Open Water National Championships, IPC or USPC meets stipulated by the Times and Recognition Committee, or have a qualifying result in the SWIMS database during the designated qualifying period. The qualifying period shall be August 16<sup>th</sup> through the following August 15<sup>th</sup>. Applications for the just completed academic year will open on June 1 and must be submitted by August 15<sup>th</sup>, the last day of the qualifying period.
- A. Applicants must have completed 9<sup>th</sup>, 10<sup>th</sup>, 11<sup>th</sup> or 12<sup>th</sup> grade.
  - B. Applicants must be USA Swimming member athletes at the time of the swim and the time of the application.
  - C. Applicants must have participated in an individual event within the qualifying period in a meet whose results are in the SWIMS database or have competed in the Open Water National Championships or the appropriate Disability Championship meet. Achieved times (pool) must meet the qualifying standards posted on the USA Swimming website for the current year. *(Member Resources/Awards and Recognition/Scholastic All America)*
  - D. Relay-only swimmers do not qualify for SAA.
- 9.2. Awards for Scholastic All America recognition will include:
- A. Three certificates to each individual achieving SAA Status (one for the athlete, one for the school, and one for the USA Swimming club).
  - B. A special award to each individual named to the SAA team three times (four times beginning in 2021).
  - C. Outstanding Achiever recognition to each individual who places first at the USA Swimming National Championships and maintains a 4.0 GPA.



## ATTACHMENTS

## **TIMES AND RECOGNITION COMMITTEE**

**(November 2017)**

**Chairman: Tim Husson, PV (2020)**

[tim.husson@gmail.com](mailto:tim.husson@gmail.com)

301-899-2436

### **Committee Members:**

**Jeanne Drzewiecki, WI (2018)**

[NSSwimming@aol.com](mailto:NSSwimming@aol.com)

414-530-6292

**Shawn Geil, MV (2019)**

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785-249-5051

**Susan Huckleby, MT (2020)**

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**Anissa Kanzari, OH (2019)**

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**Lisa Olack, NC (2018)**

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**Marianne Walling (2021)**

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### **Athletes:**

**Sara Gaston (2018)**

[gastonsara0@gmail.com](mailto:gastonsara0@gmail.com)

**Ashton Pearson (2018)**

[amped@prodigy.net](mailto:amped@prodigy.net)

### **Program Operations Vice Chair:**

**Dan McAllen**

[d.mcalleniii@sbcglobal.net](mailto:d.mcalleniii@sbcglobal.net)

214-316-9215

### **USA Swimming Staff Liaisons:**

**Larry Herr**

[lherr@usaswimming.org](mailto:lherr@usaswimming.org)

719-866-3562

**Jaime Lewis**

[jlewis@usaswimming.org](mailto:jlewis@usaswimming.org)

719-866-3581

## RECOMMENDED LSC TIMES MODULE MANAGEMENT

The LSC shall appoint a LSC SWIMS Officer whose duty is to maintain the integrity and purpose of SWIMS. A SWIMS Officer shall be a USA Swimming non-athlete member in good standing with APT and BGS. In fulfilling this duty, he/she shall:

- Receive official meet results from the meet host no later than one (1) week from the last day of the meet (1-3 days is recommended).
- Review meet results for possible errors; if errors are found, meet file is sent back to the meet host for investigation and correction.
- Load meet results into SWIMS no later than two (2) weeks from last day of the meet (3-7 days is recommended).
- Clear the Times Holding Tank for individual and relay errors in a timely manner.
- Communicate with the LSC registrar as necessary to resolve membership questions or issues.
- Provide LSC webmaster with official meet results and update these if necessary for posting of results on the LSC website.
- Keep data from observed swims' competitions for a period of one year.

**NOTE:** The following positions may also be set by the LSC for handling of meets/times:

- NTV
  - An individual who tracks the observed swims competitions and may authorize the observation for those meets.
  - An LSC may also use the LSC Sanction Chair or Admin Vice Chair to authorize observed swims competitions.
  - The NTV officer or a Sanction Chair/Admin Vice Chair shall work with the SWIMS Officer to insure that swims in compliance with USA Swimming rules are loaded into the SWIMS database from observed meets.
- Records Chair
  - An individual who tracks the LSC Records and may use the SWIMS database in reviewing times for LSC swimmers (Read-only privileges).
  - Records may be set up and maintained in the LSC Portal on the USA Swimming website (instructions published and posted under Times Information on the website).
  - Password for administrative privileges to set up records in the LSC Portal is provided by USA-S Times Staff member.
- Top Times Tabulator
  - An individual who reviews the Age Group Top Times posted on the USA Swimming website weekly during the swim year for any times tracked nationally from the LSC.
  - Tabulator may use the database in a Read-only capacity to pull reports for the LSC Top Times which should be posted on the LSC website according to the LSC schedule.

All appointments for use of the SWIMS Database for Times are made by the LSC General Chair to the USA Swimming IT Director with copy to the Chair of the Times and Recognition Committee and USA Swimming Times Staff. A list of these individuals is maintained by the T & R Committee for ongoing communication and continuing education.

**USA SWIMMING**  
**REQUEST FOR OBSERVATION –**  
**NON-SEASON CULMINATING CHAMPIONSHIP MEET**

***Form A***

Meets requiring authorization by the Program Operations Vice Chair or designees **require 10 day advance application**. Such meets include High School, Masters' or other meets that are not season-culminating Championship meets. This completed form and a copy of the meet information must be sent at least 10 days prior to the event to the LSC NTV official for review. The LSC official will send this completed form to the Program Operations Vice Chair or designee for approval. The request must include a reason & explanation for the request. Acceptance of verification requests from the meet is subject to proof that conditions at the meet were in conformance with the required procedures and pertinent USA Swimming Rules and Regulations.

**Name of Meet:** \_\_\_\_\_ **Name of Facility:** \_\_\_\_\_  
**Date(s) of Meet:** \_\_\_\_\_ **Meet Director:** \_\_\_\_\_

**Name of person filing this request:** \_\_\_\_\_ **Phone:** \_\_\_\_\_

Is this meet on the regular, published calendar? ☐ Yes ☐ No  
Type of Meet: ☐ High School ☐ Masters ☐ Other  
Course: ☐ Long Course Meters ☐ Short Course Yards ☐ Short Course Meters  
Approx. number of teams participating \_\_\_\_\_ Approx. number of swimmers participating \_\_\_\_\_

- ☐ Timing systems will conform to the conditions specified in 102.24 USA Swimming Rules & Regulations.
- ☐ The number of Association officials must meet the minimum requirements. There must be a referee, starter and two stroke and turn officials as provided in Article 102.10 – USA Swimming Rules & Regulations. A minimum of two additional USA Swimming Certified stroke & turn officials shall be assigned as observers for the purpose of verifying conformance with USA Swimming technical rules. Observers shall be permitted access to the deck and shall be positioned at each end of the course. If the meet stroke and turn officials are dually certified by USA Swimming and are stationed at each end of the pool, additional observers are not necessary. Where the technical rules listed in Article 101 are the same as the host organization, the judgment of the organization officials shall be sufficient.
- ☐ USA-S disqualifications from observed meets shall be reported to the LSC NTV Officer
- ☐ The meet referee, or LSC designee, will provide swimmers and coaches with information about the observation program and the procedures to be used to request observation. Requests may be submitted prior to the swim for which observation is desired, or all swims may be observed.
- ☐ A copy of the meet information is attached. Names and phone numbers of USA Swimming officials who will serve as observers at this meet or the dually certified officials:

1) \_\_\_\_\_ 2) \_\_\_\_\_  
3) \_\_\_\_\_ 4) \_\_\_\_\_

- ☐ The reason & explanation for this request is attached.

This form must be submitted and accepted by the LSC NTV Official prior to submission to Program Operations NTV designee for approval.

**Step One – Accepted by:**

\_\_\_\_\_  
LSC NTV Official

Date: \_\_\_\_\_

**Step Two – Approved by:**

\_\_\_\_\_  
NTV Designee for Program Operations

Date: \_\_\_\_\_

**LOCAL SWIMMING COMMITTEE  
REQUEST FOR OBSERVATION –  
SEASON-CULMINATING CHAMPIONSHIP MEET  
Form B**

This form is used to request authorization for observation of swims at High School, Masters or other association season-culminating Championship meets. Observation requests for meets that are not season-culminating Championship(s) must be made on Request for Observation – Form A.

**Application Requirements:**

- 1) **Timing systems** must comply with conditions outlined in 102.24 USA Swimming Rules & Regulations.
- 2) **Officiating:**
  - a) The number of Association officials must meet the minimum requirements (a referee, starter and two stroke and turn officials) as provided in Article 102.10 – USA Swimming Rules & Regulations. If the association stroke and turn officials are also certified by USA-S and are stationed at each end of the pool, no additional observers are necessary. Officials may note compliance with USA Swimming Technical Rules only for those swimmers requesting observation, or the entire meet may be observed.
  - b) Or, a minimum of two USA Swimming certified officials shall be assigned, one at each end of the pool, to verify compliance with USA Swimming Rules for those swims requested to be observed.
  - c) Where the technical rules as listed in Article 101 are the same as the host organization, the judgment of the organization officials shall be sufficient.
  - d) The designated USA Swimming certified official must verify compliance with applicable rules and procedures, and shall forward any proof of times requests and final results for observed meets to the LSC NTV official.
- 3) **Proof of Times Requests:**
  - a) If an athlete's USA-S ID # or full legal name and birth date is included in the electronic meet results, no individual request for data entry into the SWIMS system should be necessary. The LSC NTV official or SWIMS data officer shall enter times for any such athlete into SWIMS.
  - b) If the above data is not included in the electronic results, individual requests for times may be required by the LSC NTV official where the meet took place.

Name of Meet: \_\_\_\_\_ Date(s): \_\_\_\_\_

Name of \_\_\_\_\_ Facility \_\_\_\_\_ and \_\_\_\_\_ City \_\_\_\_\_  
\_\_\_\_\_ By signing below, the Meet Referee or

Meet Director verifies the following:

Check one of the options listed below, and complete the remainder of this section.

- ☐ This meet will be observed in its entirety, exclusively by USA Swimming Officials, according to staffing guidelines specified in USA Swimming Rules & Regulations.
- ☐ This meet will be officiated exclusively by USA Swimming officials, but due to the limited number of verification requests expected, only swims specifically requested in advance will be observed for compliance with USA Swimming Rules.
- ☐ This meet will be officiated by the proper number of Association officials and also observed by a minimum of two assigned USA Swimming Stroke & Turn certified officials, one at each end of the competition course, in compliance with USA Swimming Rules.

Names of currently certified USA Swimming officials who will officiate at the meet:

1) \_\_\_\_\_ 2) \_\_\_\_\_  
3) \_\_\_\_\_ 4) \_\_\_\_\_

Name of Meet Referee \_\_\_\_\_ Phone \_\_\_\_\_

**This form must be received by the designated person in the LSC at least 10 days prior to the meet.**

Approved: \_\_\_\_\_ (LSC NTV Official)

Please send copy or provide list of authorized meets electronically to Program Operations' NTV designee.

## REQUEST FOR ELECTRONIC LOADING

**Form C**

USA

Swimming

Team

Name\_\_\_\_\_

\_\_\_\_\_ Meet Name \_\_\_\_\_

\_\_\_\_\_ First Day of Meet \_\_\_\_\_

Please enter the following data into the electronic meet results for loading into SWIMS if it is not included in the computer already:

## ATHLETE ROSTER – FULL LEGAL NAMES ONLY

[illegible]

# REQUEST FOR TIME SUBMISSION FROM FOREIGN MEETS

## *Form D*

This form is to be used to request that times achieved by USA Swimming member athletes at meets sanctioned by another FINA member be entered into the SWIMS database. The USA Swimming member must be representing his/her club or be swimming unattached. The meet must comply with the minimum standards for an official time from a USA Swimming meet according to Article 102.24 in the USA Swimming Rules and Regulations.

**NOTE:** Times from international competitions that include the USA Swimming National Team are automatically submitted. USA Swimming has an "open border" policy with Puerto Rico, Canada, Bermuda and the U.S. Virgin Islands. Travel documents are not necessary for their athletes or clubs traveling to the United States and are not necessary for USA Swimming's athletes traveling to these countries. Swimmers who wish to compete in international meets outside of these countries must obtain a Foreign Travel Permit through the LSC Registrar and USA Swimming Membership Services before competing in a foreign meet.

For times to be included in SWIMS the meet information should be submitted for approval to the Program Operations' designee 10 days in advance. SWIMS data entry shall be completed in coordination and with the approval of Program Operations.

### **Conditions:**

- 1) The meet must be sanctioned by a FINA member. A link to the posted meet information on the FINA Member's web site must be provided to the Program Operations' designee.
- 2) A link to official meet results on the FINA member web site must be provided to the Program Operations' designee.
- 3) It is recommended that a .cl2 file or SDIF file of official results for USA Swimming members be provided, with a list of member athletes for whom inclusion of times is being requested, to the Program Operations' designee. If the USA-Swimming ID numbers and/or birthdates are not in the meet results, those must also be included for each participating athlete.

Name of Meet: \_\_\_\_\_ Date(s): \_\_\_\_\_

FINA Member: \_\_\_\_\_ Host Team: \_\_\_\_\_

Web Link: \_\_\_\_\_ (Meet Information)

Person Requesting SWIMS time submission: \_\_\_\_\_

Position: \_\_\_\_\_ Phone: \_\_\_\_\_

Email: \_\_\_\_\_

This form or information contained therein should be emailed to the Program Operations' designee:

Tim Husson

tim.husson@gmail.com

**Times will be entered into SWIMS within 2 weeks of receipt of the meet results by the Program Operations' designee.**

# MEET APPROVAL REQUEST TO PROGRAM OPERATIONS

## Form E

Reference USA Swimming Rules and Regulations 202.6 – **Requirements for Approval**

Approvals may be issued to **member clubs for open competition** conducted in accordance with USA Swimming technical rules if that competition has been specifically approved by the USA Swimming Program Operations Vice Chair or his/her designee.

Request for Approval: \_\_\_\_\_ Club of the \_\_\_\_\_ LSC

Hereby requests approval of the following meet: \_\_\_\_\_

Date \_\_\_\_\_ Facility \_\_\_\_\_

Person initiating request \_\_\_\_\_ Position \_\_\_\_\_

Email address \_\_\_\_\_

### Requirements

- The meet must be approved by the host LSC before submission to Program Operations.
- Approval meet status shall not be a means to avoid participants having USA Swimming membership.

**Reasons for hosting the meet as approved rather than sanctioned are as follows:**

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**Approved by LSC:** \_\_\_\_\_

### Approved by Program Operations:

Tim Husson, Designee  
tim.husson@gmail.com

\_\_\_\_\_  
Date

*In granting this approval it is understood and agreed that USA Swimming shall be free and held harmless from any liabilities or claims for damages arising by reason of injuries to anyone during the conduct of the event.*



Policy Manual:

**9.0 U.S. Paralympics Meets**

1. U.S. Paralympics uses the WPS (World Para Swimming) rules at all PARA swim competitions; WPS rules are identical to the Fina Technical Rules. Therefore, USA Swimming will recognize all times swum in approved PARA competitions.
2. Times from PARA competitions named by U.S. Paralympics and approved by the Times and Recognition Committee will be added to the SWIMS database for all USA Swimming members.
  - A. Data entry will be for a current member swimmer and will include meet name, date, athlete name, event, time and club as identified in the SWIMS database on the date of the swim or as LSC-UN.
  - B. No classifications are included in the data entry to SWIMS.
  - C. Data entry will be completed by a member of the Times and Recognition Committee, as appointed by the chair, upon receipt of the meet file. It is recommended that meet results be received within 7 days of the end of the meet. The Times Officer should upload the results into SWIMS within 48 hours.
  - D. All times from the PARA competitions in the SWIMS database may be used for any USA Swimming recognition program.



TO: Tim Hinchey, President/CEO  
FROM: Dean Ekeren, National Events Director  
DATE: September 17, 2018  
COPY: Mike Unger, Vice President

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Below are recommendations for championship sites/dates for 2019-20. Lindsay Mintenko, Mike Unger, Dan McAllen (Vice Chair for Program Operations), and John Morse (Senior Development Committee) have all approved these. Highlighted items will require BOD approval at convention this year (all others have been previously approved). Please let me know if you have any concerns. Thanks!

#### **2019**

May 3-5	Open Water Championships	Miami Marine Stadium	Miami, FL
Aug 8-11	Futures (4)	Woollett Aquatic Center	Irvine, CA
		Spire Institute	Geneva, OH
		Wellmark YMCA	Des Moines, IA
		University of Tennessee*	Knoxville, TN
July 31-Aug 4	Phillips 66 National Championships	Stanford University	Palo Alto, CA
Aug 6-10	Speedo Junior Nationals	Stanford University	Palo Alto, CA
Dec 4-7	Winter National Championships	Ga Tech	Atlanta, GA
Dec 11-14	Speedo Winter Junior Champs (2)	Ga Tech	Atlanta, GA
		Weyerhaeuser Aquatic Center	Federal Way, WA

#### **2020**

Aug 4-8	US Open/Junior Nationals	IUPUI Natatorium	Indianapolis, IN
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\*Pending final approval from host

## Appendix B:

### PROPOSED ADDITIONS TO THE USA-SWIMMING POLICIES & PROCEDURES MANUAL

**\*Updated with recommendations from 5/12/18 Board Meeting**

#### **\*SECTION 27: ATHLETE INCLUSION PROCEDURES (Proposed NEW section)**

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](mailto:inclusion@usaswimming.org))

STEP 2: USA Swimming intake process interview

STEP 3: Required documentation provided to USA Swimming

STEP 4: Eligibility Review Panel reviews request with established criteria

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 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. Please email all paperwork to [inclusion@usaswimming.org](mailto:inclusion@usaswimming.org).

**.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 Statement of Review - Athlete Support Plan
  - a) NOTE: USA Swimming will assist and facilitate the provision of resources and training for any member 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.)
- 11) Any other pertinent documentation or information which the applicant believes to be relevant and appropriate.

**.4 Eligibility Review 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 week 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

**.3 Athlete Support Plan:** Document intended to aid the applicant and family in exploration and discussion of their category change request. A signed Statement of Review of the ASP must be received.

**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. If a change in competition category is denied by the Eligibility Review Panel, an athlete may seek recourse with the National Eligibility Appeal Panel.

**27.4 National Eligibility Appeal Panel (NEAP)** The National Eligibility Appeal Panel will handle all gender-related eligibility protests from any USA Swimming member, including non-athlete members.

**.1 Panel Original and Exclusive Jurisdiction** Any athlete denied a category change by the Eligibility Review Panel may file an appeal with the National Eligibility Appeal Panel. Any USA swimming member may lodge a protest for gender eligibility concerns arising from an approved competition category change.

**.2 Panel Authority:** Falls under the current USA Swimming President and CEO or his/her designee

**.3 Panel contributors** must include 5 individuals, appointed by the USA Swimming Board Chair

- 1) Rules and Regulations - National Committee Chair (same individual from initial Eligibility Panel)
- 2) Medical Professional (same professional from initial Eligibility Panel)
- 3) Medical Professional (outside consultant)
- 4) Safe Sport - National Committee coach or athlete member\*
- 5) Diversity & Inclusion - National Committee coach or athlete member\*

\*There must be one coach and one athlete represented on the NEAP

**.4 Medical Eligibility criteria:** Medical Professional is defined as a board certified, licensed provider, preferably familiar with the World Professional Association for Transgender Health (WPATH) Standards of Care

#### **27.5 Procedure for filing Protests or Appeals with National Eligibility Appeal Panel (NEAP)**

- STEP 1: Petition is filed in writing to the Rules and Regulations National Committee Chair
- STEP 2: NEAP conducts investigation (organized by the Rules and Regulations Chair)
- STEP 3: NEAP completes investigation which may include a possible in-person hearing
- STEP 4: NEAP report and decision will be communicated in writing, and in person when possible, to athlete/parent/coach within 14 business days of filing
- STEP 5: Any necessary administrative changes are completed in SWIMS (race results, category change, etc.) within 5 business days of NEAP decision

**27.6 Final Determination of NEAP Review.** When there is sufficient documentation and confirmation, the National Eligibility Appeals Panel will affirm or deny the protest filed. This ruling 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.

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#### **SECTION 22: SWIMS MANUAL (already exists – see redline addition 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.

## Task Force UPDATED Rules Change Proposal Summary (with Rationale)

Current Rule/Location	Proposed Change	Rationale
Page 14 – OFFICIAL GLOSSARY (new term)	<p><b>Defines new term: Competition Category</b></p> <p>COMPETITION CATEGORY – Stated 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 the rulebook</p>	<p><b>Swimming is a gender-binary sport</b></p> <p>A gender-binary sport is one which only offers two categories in which to compete, male or female. Therefore our athletes must select one or the other.</p>
Page 38 – TECHNICAL RULES 102.23 Protests (new)	<p><b>Adds: Protest procedures, included in 'blue pages'</b></p> <p><b>.2</b> Protests regarding an athlete's competition category may only be heard by the National Eligibility Appeal Panel as outlined in the current USA Swimming Policy Manual. A protest shall not prohibit the athlete from competing in his or her stated competition category until such time as the National Eligibility Appeal Panel has issued a decision.</p> <p><b>.6</b> <u>With the exception of a competition category protest</u>, the official results of any protested race shall not be announced, the affected awards not be given, and points shall not be allocated until the protest is resolved or is withdrawn in writing</p>	<p><b>Athlete can compete</b></p> <p>Protests regarding an athlete's competition category shall not prohibit the athlete from competing in the moment/at the meet. Protests are heard by a special panel called the National Eligibility Appeal Panel.</p> <p>Ensures little/no disruption to a meet</p>
Page 92 - REGISTRATION 302.1 (.2 new)	<p><b>Adds: Stating/changing competition category in Rule Book</b></p> <p><b>.2 Competition Category: new section</b></p> <p><b>.2 A</b> At the time of membership registration, an athlete shall state a competition category of 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.</p> <p><b>.2 B</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 Eligibility Appeal Panel as outlined in the current USA Swimming Policy Manual.</p>	<p><b>USA Swimming currently offers two options in which to compete (male/female).</b></p> <p>This can be done at the time of registration. Also, a request for changing category may be made later, provided the applicant meets all requirements to do so, which are outlined in the current USA Swimming Policy Manual.</p> <p>Protests regarding an athlete's competition category shall not prohibit the athlete from competing in the moment/at the meet. Protests are heard by a special panel called the National Eligibility Appeal Panel.</p>
Page 94 – Code of Conduct (addition in 304.3)	<p><b>Adds Descriptor: 'gender identity'</b></p> <p>Specify 'gender identity' vs 'gender expression', to create a more comprehensive nondiscrimination statement</p> <p><b>0.2</b> 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, <u>gender identity</u>, genetics, mental or physical disability, or any other status protected by federal, state or local law, where applicable, is prohibited.</p>	<p><b>Utilizes up-to-date, inclusive language</b></p> <p>Discrimination is not part of our culture at USA Swimming.</p> <p>Gender identity is different from gender expression. One means who you are on the inside, and one means how you act on the outside.</p>

**USA SWIMMING**  
**BOARD OF DIRECTORS**  
**PROPOSED**  
**AMENDMENTS TO 2018 BYLAWS**

No.	Description	Location
B-1	To delete redundant language re: membership categories between the Bylaws (Article 502.4) and Rulebook (Article 302.2)	502.4; 502.7 (pp. 144-145)
B-2	To align Bylaws with LSC Model Bylaws	502.4.7 (p. 145)
B-3	To clarify that athlete members of the Board must be "athlete representatives" as provided for in the USOC Bylaws	504.2.3 (p. 147)
B-4	To align the Bylaws with existing Board Policy regarding automatic resignation from the Board based on failure to attend meetings	504.5 (p. 148)
B-5	To provide for the removal of Committee members for reasons other than attendance and failure to contribute	505.1 (p. 150)
B-6	Athletes Committee and AEC Restructuring	505.2 (p. 151)

B-1	ACTION:	Adopted	Defeated	Adopted/Amended
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Location: Page 144 – 502.4 Individual Membership

Page 145 – 502.7 Fees

**502.4 INDIVIDUAL MEMBERSHIP**

.1 Any individual may join USA Swimming as a member.

.2 Athlete membership consists of five categories:

A ~~Annual Premium~~ (LSCs are required to offer this membership). Membership is for a calendar year.

B Flex (offered at option of LSC) ~~[effective September 1, 2018]~~ – Flex memberships may be offered for the same period of time as a ~~Annual~~ Premium Membership. Flex membership is for athletes 18 and under.

C Outreach (LSCs are required to offer this membership) – ~~[Annual]~~ Premium membership with specially reduced fees. Each LSC House of Delegates shall determine how athletes qualify for outreach membership.

D Seasonal (offered at option of LSC) -- Membership may be offered for one or two periods of not more than 150 days per period with a registration year. Seasonal membership may also be offered for an unspecified but continuous period of not more than 150 days commencing on the date of registration. Seasonal membership is not valid for competition at or above the Zone Championship level.

E Single Meet Open Water (offered at option of LSC) -- Membership may be offered for the specific date(s) of an open water competition(s). The swimmer must compete unattached. Single-meet membership is not valid for competition at or above the Zone Championship meet.

.3 [No change]

.4 Flex members who transition to the ~~Annual Premium~~ athlete membership category within the same calendar year, will be able to credit the Flex athlete membership cost to the ~~Annual Premium~~ athlete membership cost by paying the difference between the cost of the Flex membership and the Premium membership.

**502.7 Fees**

.1 The annual fee for each class of membership is composed of the following elements:

A A national fee established by the Board of Directors, except that changes to fees for Club membership (including seasonal) and the individual categories of ~~annual premium~~, seasonal, outreach and single meet open water must be approved by the House of Delegates; and

B-2	ACTION:	Adopted	Defeated	Adopted/Amended
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Location: Page 145 – 502.4.7 INDIVIDUAL MEMBERSHIP

.7 An LSC shall not impose requirements for Individual Membership in addition to those set forth in Article 502, except an LSC may require that persons other than Life Members who register as unattached members must reside within the LSC's geographical boundaries. An LSC may require proof of birth date prior to competition in age-classified events.

B-3	ACTION:	Adopted	Defeated	Adopted/Amended
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Location: Page 147 – 504.2.3

**504.2 VOTING BOARD MEMBERS**

.3 Three athletes elected by the Athletes Committee shall be voting members. ~~Athlete Directors need not themselves be athlete representatives, but must at the time of their election be actively engaged in swimming competition or have represented the United States in international competition within the ten (10) years preceding their election.~~



<b>B-4 ACTION: Adopted Defeated Adopted/Amended</b>
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Location: Page 148 – **504.5 REMOVAL AND RESIGNATION OF DIRECTORS**

- (a) Any Director of USA Swimming who has failed to attend to his or her official duties or responsibilities or has done so improperly, or who would be subject to penalty for any of the reasons set forth in Article 404.1.3 of the USA Swimming Rules and Regulations, may be removed from office by the National Board of Review pursuant to Part Four of the USA Swimming Rules and Regulations, in an action authorized by a two-thirds (2/3) vote of the entire voting membership of the Board of Directors. Any appeal of the decision of the National Board of Review shall be heard by the Board of Directors as a whole (not by a panel thereof) and any decision of the Board of Directors in favor of removal of a Director shall require a two-thirds (2/3) vote of the entire voting membership of the Board of Directors.
- (b) Absence from more than one of the five (5) regularly scheduled meetings in the Board's annual planning cycle will constitute that member's resignation from the Board. The annual planning cycle starts upon adjournment of the House of Delegates annual meeting. In case of extenuating circumstances, a Board member may request a waiver to this provision. Waivers may be granted by vote of the Board or at the discretion of the Board Chair. In the latter case, the Board Chair shall inform the Board of such waiver

<b>B-5 ACTION: Adopted Defeated Adopted/Amended</b>
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Location: Page 150 – **505.1 STANDING COMMITTEES**

- .2 Except for those individuals who qualify for their positions under some other provision of Article 505:
- A Non-athlete committee members shall serve four-year terms, except as noted herein.
- (1) – (2) [No change]
- (3) Committee members shall only be subject to removal for any other reason by the USA Swimming Board of Directors.
- [Re-number remaining]

<b>B-6 ACTION: Adopted Defeated Adopted/Amended</b>
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Location: Page 151 – **505.2 ATHLETES COMMITTEE**

**505.2 ATHLETES COMMITTEE**

- .1 The Athletes' Committee shall be composed of the athlete members of the House of Delegates two (2) LSC Athlete Representatives from each LSC, ten (10) National Athlete Representatives who competed in the USA Swimming Summer National Championships and/or Open Water National Championships in their year of appointment, sufficient At-Large Athlete Representatives to constitute at least 20% of the voting membership of the USA Swimming House of Delegates, and the members of the Athletes' Executive Committee. The chair shall be elected pursuant to the Athletes Policy Manual. The Athletes' Executive Committee Chair shall chair this committee.
- .2 Members of the Athletes' Committee must be current athlete members of USA Swimming and must ~~have be:~~
- A Under the age of eighteen (18); or
- B Competed at a USA Swimming sanctioned event while eighteen (18) years of age or younger within the past ten (10) years  
Within ten (10) years of competing at a USA Swimming sanctioned competition while under the age of eighteen (18); or

- 76 C ~~Competed at any USA Swimming championship meet defined in Article 207 within the past ten (10) years~~ Within ten (10) years  
77 of competing (pool or open water) at a USA Swimming National Championship or Trials Class Meet; or
- 78 D ~~Represented USA Swimming in competition at any of the following meets within the past ten (10) years: Olympics, World~~  
79 ~~Championships, Short Course World Championships, World University Games, Pan Pacific Championships, or Pan American~~  
80 ~~Championships. Within ten (10) years of representing USA Swimming (pool or open water) at any one of the following meets:~~  
81 Olympic Games, World Championships, Pan Pacific Championships, World University Games, or Pan American Games.
- 82 .3 Athletes' Executive Committee – The Athletes Executive Committee (AEC) shall be a ~~twelve~~ thirteen (123) person subcommittee of  
83 the Athletes Committee and is charged with leading the business of the Athletes Committee. Members of the AEC must be eligible  
84 to be members of the Athletes' Committee. The AEC shall elect its own officers, pursuant to the procedures established in the  
85 Athletes' Executive Committee (AEC) and USA Swimming Athletes' Committee Operating Policy Manual located in the USA  
86 Swimming Operating Policy Manual. The AEC shall be chaired by the Athletes Chair, and is composed of the following additional  
87 members:
- 88 A ~~Four (4) Vice Chairs elected by the Athletes Committee each to a two year term, but no more than two consecutive terms, in~~  
89 ~~even numbered years (Executive, Convention, Recruitment & Leadership, National Team); Ten (10) At-Large Members elected~~  
90 ~~by the Athletes' Committee each to a two (2) year term, but no more than two (2) consecutive terms, except as provided in the~~  
91 ~~Athletes' Executive Committee (AEC) and USA Swimming Athletes' Committee Operating Policy Manual located in the USA~~  
92 ~~Swimming Operating Policy Manual. Five (5) At-Large Members shall be elected each year, except as listed in the Athletes'~~  
93 ~~Executive Committee (AEC) and USA Swimming Athletes' Committee Operating Policy Manual located in the USA Swimming~~  
94 Operating Policy Manual.
- 95 B The USOC Athletes Advisory Council representative for USA Swimming.
- 96 C ~~Four (4) Zone Athlete Representatives as determined by each Zone (Central, Eastern, Southern, Western); and One (1)~~  
97 Athlete Member of the USA Swimming Board of Directors elected by the Board of Directors Athlete Directors.
- 98 D ~~Two (2) at large members appointed by the AEC. One (1) National Team Athletes' Committee Chair elected by the National~~  
99 Team Athletes' Committee.
- 100 E ~~The Immediate Past Chair of the AEC shall be an ex officio member with voice but no vote. Additional ex officio members may~~  
101 be appointed by the AEC to serve at the pleasure of the AEC with voice but no vote.
- 102 .4 Athletes' Executive Committee Officers – The AEC officers shall be the Chair, Vice Chair, Athletes' Leadership Chair, and Athletes'  
103 Programming and Events Chair. Officers of the AEC shall be elected by the AEC to two (2) year terms, but no more than two (2)  
104 consecutive terms. Officers of the AEC must have been elected to the AEC by the Athletes' Committee for their current term as  
105 established in the Athletes' Executive Committee (AEC) and USA Swimming Athletes' Committee Operating Policy Manual located  
106 in the USA Swimming Policy Manual.
- 107 .5 Athletes' Executive Sub-Committees – The Athletes' Leadership Sub-Committee, the Athletes' Programming and Events Sub-  
108 Committee, and the National Team Athletes' Committee shall be sub-committees of the AEC.
- 109 [re-number remaining']  
110

**RESOLUTION PASSED BY THE HOUSE OF DELEGATES TO GRANT AN  
EXCEPTION TO THE 120-DAY RULE FOR ATHLETES DISPLACED BY  
HURRICANE FLORENCE**

Approved September \_\_, 2018

Due to the extraordinary and monumental devastation and destruction of Hurricane Florence, USA Swimming recognizes that member athletes have been displaced from their homes and clubs;

Further, USA Swimming believes enabling displaced athletes to be included as part of a team is important in recovery;

Therefore, be it resolved that, pursuant to Articles 507.2.8 and 511.1.3 of the Rules and Regulations of USA Swimming, USA Swimming establishes the following procedure to grant a temporary exception to the 120-day representation rule set forth in Article 203.3 of the Rules and Regulations of USA Swimming:

1. By November 1 or within thirty (30) days of beginning workouts with a new club, an athlete must submit the following information to USA Swimming Member Services for verification: His/her name, date of birth, Hurricane Florence FEMA number, club most recently represented and club which he/she wishes to represent.
2. Member Services will notify the Rules & Regulations Committee Chair of the eligibility facts. The Chair, or his designee, shall make the final determination, which shall be binding without right of appeal.
3. Each USA Swimming-approved transfer request under this resolution shall be exempt from Article 203.3 (the 120-day rule) and transfer effective immediately.
4. Each athlete whose transfer is approved pursuant to this resolution may, at any time within one year of passage of this resolution, return immediately to representing his/her original club or, if the original club is disbanded, any other club in the original LSC.
5. This resolution will take effect immediately upon approval by the USA Swimming House of Delegates and expire at the close of business of the House of Delegates meeting in 2019.
6. USA Swimming staff and the Rules & Regulations Committee Chair are authorized to follow a substantially similar procedure, as applicable, for any subsequent instances of devastation and destruction that may occur between now and the House of Delegates meeting in 2019.



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**TO:** Board of Directors  
**FROM:** Tim Hinchey III  
**COPY:** LSC General Chairs  
Committee Chairs  
Staff & Selected Others  
**DATE:** September 19, 2018  
**SUBJECT:** General Update

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Dear USA Swimming Board of Directors,

I look forward to seeing all of you next week in Jacksonville, Florida.

Please find below our USA Swimming Staff updates since our last meeting in May. The Strategy Team will provide verbal reports at the Board meeting specifically highlighting some key accomplishments and progress with ongoing projects.

Best regards,

A handwritten signature in black ink, appearing to read "Tim Hinchey III".

Tim Hinchey III

## **TECHNICAL/SPORT**

### **Member Services**

The 2019 Leadership Summit has been confirmed for April 25-28 at the Olympic Training Center in Colorado Springs, which will help significantly with logistics as well as cost.

Two Zone workshops are also scheduled:

- May 9-11 – Southern/Western in Denver
- May 17-19 – Eastern/Central in Chicago

The zone workshops will provide training, education, and networking for nine LSC leaders: general chairs, admin vice chairs, Safe Sport chairs, safety ed/risk management chairs, D&I chairs, officials, registration coordinators, times officers, and LSC staff.

Below is the 2018 and 2019 Swimposiums schedule:

- September 15, 2018 – Lake Erie
- October 6-7, 2018 – Illinois, Michigan, Iowa, and Southern California

- April 27, 2019 – North & South Carolina
- September 28, 2019 – Indiana and Oklahoma
- October 5, 2019 – Colorado
- October 19, 2019 – San Diego
- Dates TBD – Florida Gold Coast, Utah, Allegheny Mtn, North Dakota, and Ozark

### **Membership and Registration Committee**

Flex and Jr. Coach membership registration have been implemented and the programming to accommodate these has been completed in SWIMS.

The Online Member Services Data Validation program has been completed and the vendors are in the process of making final updates to their software to implement this and to execute the new Flex membership registration.

Team Unify will be hosting a demonstration on the Online Member Services Data Validation process at Convention.

### **National Team**

The 2018 Operation Gold competition was the 2018 Pan Pacific Championships this past August. The event provided our athletes, coaches and staff with an incredible opportunity to travel to the Olympic city two years before the Olympic Games. While the meet provided challenges, both in and out of the water, the athletes rose to the occasion winning 45 medals (20 gold, 14 silver, 11 bronze) and finished the summer with 64 unique athletes ranked in the top 16 in the world. The 2018 Junior Pan Pacific Championships, which took place in Suva, Fiji, saw the U.S. team win the medal count with 27 golds, 19 silver and 8 bronze for a total of 54 medals. The next closest nation was Japan with 23 medals. The 2018 medal haul represented six more medals than those won by the 2016 Junior Pan Pacs team.

The selection of the 2019 World Championship Team is complete, and the ongoing selection of Short Course World Championships is happening now. We have also sent invites out for the 2019 World University Games Team and hope to have all 2019 International Teams named by mid-October. With the three international teams selected on the pool team, almost 130 athletes will get international experience next summer.

Coaches for these events will be named in January.

We are in the final stages of the selection for the 2020 Olympic Team Head Coach with an announcement coming in October.

Additional programming for the National Team in the fall includes; open water altitude training camp, international site visits for 2019 and 2020 as well as Short Course World Championships and Winter Nationals.

Finally, after almost 30 years, Deanna Paschal will be retiring from USA Swimming to spend time with her family. She will be greatly missed.

## **Sport Development**

Sport Development has been very busy this summer, with more events slated for the fall, with numerous clinics and conferences for both athletes and coaches:

- August 10-12 – She Leads (leadership conference for 35 High School-age women)
- August 12-13 – Women’s Leadership Summit
- Regional Coach Clinics
  - August 17-19 – Nashville, Tenn.
  - August 24-26 – Scottsdale, Ariz.
  - September 14-16 – Providence, R.I.
  - September 21-23 – Milwaukee, Wis.
- August 23-26 – National Open Water Select Camp
- September 7-9 – Women’s Leadership Summit
- September 8-9 – Build a Pool Conference
- October 11-14 – Girls National Select Camp at the Olympic Training Center in Colorado Springs
- October 25-28 – Boys National Select Camp at the Olympic Training Center in Colorado Springs
- November 1-3 – Club Presidents’ Summit at the Olympic Training Center in Colorado Springs
- November 2-3 – Mighty 2500 LSC Workshop at the Olympic Training Center in Colorado Springs
- November 15-17 – National Age Group Coaches Summit at the Olympic Training Center in Colorado Springs

## **COMMERCIAL**

### **CRM/Data Project**

We have an ongoing project to create a comprehensive data collection and utilization architecture for the organization. We often refer to it as a Customer Relationship Management (CRM) project, but it expands beyond that to include data collection, donor management, membership communication and even acquisition (ex. members, ticket purchasers, etc.). To accomplish this, we are looking at three components to enhance our existing IT architecture:

- Master Data Management System – to de-duplicate, expand and standardize all data points coming into the organization
- CRM/Donor Management System – to effectively track relationships with every member, donor and sponsor
- Marketing Campaign Management System –to create personalized, multi-channel marketing campaigns targeting specific audiences

Through a comprehensive RFP process, we are close to finalizing vendors for each system and will use the remainder of 2018 to focus on an implementation timeline.

## **Phillips 66 National Championships**

There were many additions to the overall experience at the Phillips 66 National Championships in Irvine. Attendance exceeded 2,000 people per day with peak days of nearly 3,000. We also expanded the Aqua Zone, added a Speedo VIP deck and enhanced the venue with electronic signage. USA Swimming Productions produced two daily Deck Pass Live presented by Xfinity shows and added a new show called Taper Time in the Aqua Zone. USA Swimming's Facebook, Instagram, Snapchat and Twitter channels received over 410,000 engagements from July 23 through the 30<sup>th</sup>. Across platforms, USA Swimming accumulated 4,508 followers and #Phillips66Nats, the official national championships hashtag, was used 10,184 times reaching 15.4 million people over the seven day period. For comparison, 2017 Phillips 66 Nationals earned 300,000 engagements and gained 1,161 followers during the seven day period.

## **Sponsorships**

We are seeing a change in the market and great activity in the sponsorship world, both with renewals and new business. A verbal report will be given during the Board meeting in Jacksonville.

## **Splash**

This summer, Splash launched "Off the Blocks," a digital video series that included both social media and digital components. The three episodes, which followed various members of the U.S. National Team as they prepared for the Phillips 66 National Championships, reached more than 125,000 combined online views in less than two months. Instagram content for the series saw similar numbers, with 140,000 combined views. Splash magazine is currently reviewing design companies to aid in the redesign of the print magazine and is looking to have a new design in place by early 2019. The new direction will be teen-focused.

## **Athlete Partnership Agreement Update**

USA Swimming completed the 2017-2018 Athlete Partnership Agreement (APA) season with 84 appearances from 44 professional swimmers. In the upcoming APA season, we anticipate 39 professional athletes to sign the contract in September and complete 78 appearances this season. In March, we expect another 14 athletes to become professional following their collegiate careers and complete one appearance for USA Swimming.

## **2019 #SwimBiz Update**

The fifth annual #SwimBiz: Social Media, Sponsorship & Swimming conference will be held in Colorado Springs, Colo. on April 28-30, 2019. The Commercial team is currently working on the schedule. Registration will open the week of the USAS Convention, with an early bird discount available through November 30. For more information, please visit [usaswimming.org/swimbiz](https://usaswimming.org/swimbiz).

## **Event Marketing**

We just completed the 2019 TYR Pro Swim Series bid process. We received 15 bids under a new model that provides a rights fee to USA Swimming and a share of other revenue sources around the event. The cities will be released in early October. The bid process for 2020-21 will be released in October 2018.

## **BUSINESS AFFAIRS**

### **Safe Sport**

USA Swimming's Safe Sport program has gone through a reorganization as a result of two new hires—Abigail Howard, Associate Counsel, who will lead policy and compliance related components of the program, and Tiffany Midkiff, Safe Sport Coordinator, who will be responsible for intake and triage of complaints, as well as communications. Liz Hahn will continue to manage case work.

The Safe Sport Club Recognition program will launch in the very near future and has been developed to function on the existing Club Recognition platform. Consistent with the Board's direction at its April meeting, the Safe Sport Club Recognition program will initially rollout with some incentivized components with the intent to transition to all mandatory requirements in the future.

USA Swimming has also engaged Praesidium (the developer of USA Swimming's Athlete Protection Training) to conduct a review of USA Swimming's educational materials. Praesidium will offer independent analysis and feedback to ensure we are developing the most appropriate and effective Safe Sport education for our members.

Going forward, the Safe Sport team will be focused on increased and more effective communication, decreasing the length of time it takes to resolve cases that remain with USA Swimming, and assisting the U.S. Center for Safe Sport in whatever ways it can.

### **Risk Management**

Lucinda McRoberts and George Ward traveled to Scottsdale on August 29, at the request of Nationwide and K&K Insurance to discuss the history and status of our Safe Sport program and review pending litigation and claim files set up on abuse and molestation claims. The meeting went well, and we are comfortable with continuing the insurance partnership for 2019. Flat renewal pricing and the same terms and conditions have been negotiated for 2019.

The renewal information has been entered in the Certificates Now System, so clubs who renew their membership are able to issue 2019 certificates of insurance to facilities and lock in practice times and meets for 2019. An updated Operational Risk Manual has been posted on the Risk Management/Insurance section of the USA Swimming website. This will enable clubs with leadership changes to have a quick point of reference. Risk Management is also preparing a guide to help clubs navigate the USA Swimming furnished insurance and voluntary insurance programs.

It is anticipated that the reinsurance marketplace will impact insurer pricing and terms and conditions in 2020 for abuse and molestation insurance coverages. We are actively monitoring the situation and working with our contacts within the industry and the USOC to monitor the situation. Several other NGBs have already been impacted. Both conventional and alternative risk financing solutions will be explored, if necessary.



## **Human Resources**

Our employee engagement initiative kicked off in August, as we celebrated the unveiling of our new workspace configuration. Along with planned engagement, recognition, and development events this year, we have also launched a streamlined, rebranded internal communications strategy.

Our office redesign project is scheduled to begin October 1 and will be completed by early June. The new office space is intentionally designed to increase collaboration, transparency, and openness.

We have revised our independent contractor policy to standardize our operations and incorporate Safe Sport best practices and will be undergoing an internal audit of all independent contractor relationships to ensure contractors are appropriately classified.

Finally, we have identified a workplace harassment training partner, WILL Interactive, and will launch this virtual training to employees in October. Employees will be required to complete this training on an annual basis moving forward.

## **Information Technology**

Development of phase one of the Online Membership Services Project, the Member Data Validation Service (MDVS), is now complete. A few steps remain before MDVS is launched including a final round of testing and a pilot rollout to three clubs. Team Unify and Swim-Smarter have completed the changes to their swim team management software to support MDVS for the clubs that use their software. Active / HyTek has not yet updated their software but plan to make the necessary changes sometime in future.

Design for phase two of the project, online registration for non-athlete members, will begin following the successful launch of phase one.

## **FOUNDATION**

### **2018 Record- breaking Grant Distribution**

More than \$700,000 has been awarded to 151 Make a Splash Local Partners in 37 states, marking the largest single-year distribution since Make a Splash' inception, and serving an estimated 27,239 children in underserved communities with the opportunity to receive free or reduced cost swim lessons in 2018.

This year, over \$750,000 is being awarded to USA Swimming to provide support for the National Team athletes, coaches and the program – the largest since the Foundation's inception; 2017 total was \$612,000 – the highest ever at the time. (See more under Major Gifts & Grants). An additional \$120,000 is being provided to USA Swimming for Sport Development to support the Diversity Select Camp, Women's Leadership Conferences; Club President's Summit; and National Age Group Coaches Summit.

## **Fundraising**

This year we have secured 13 major gifts. Of those major gifts, we have added 5 Trustees for 2018-2021 commitments, increased our donor and athlete partnership program from four athletes receiving funding to eight, and secured our first restricted major gift to support USA Swimming's Open Water

National Team. In total, we have exceeded our major gift goal, and are working to meet and exceed our grant goal (currently at 35%).

We are working on renewals with Phillips 66, SwimWays, and securing a new sponsor and philanthropic partner.

Currently the annual fund is approximately \$52,000 ahead of where we were last year at this time. With more than 50% of our revenue historically donated in the last quarter of the year, we are cautiously optimistic for a successful year end.

Youth Performance Camp sold out this year at a higher price point (\$2,500 versus \$2,000 per attendee). The camp was a great success featuring Coach David Marsh, Jason Lezak, Cullen Jones, Kelsi Dahlia, and great help from our resident Olympians Lindsay Mintenko and Scott Usher. The Adult Performance Camp will be held October 5-7 at the OTC. Currently we are halfway sold for the Convention Luncheon Celebration.

In 2018, teams have raised more than \$4.5 million through the Swim-a-Thon program and the foundation is at 57% of our annual goal.

2017-  
2018

# USA Swimming Officiating Programs



1,692 officials applied for and received national certification in 2017-2018 (as of 7/24/18).

**1,692  
National  
Certifications**



OQM – Officials Qualifying Meet – meet where an official can be evaluated for national certification. 379 OQMs in 2017-2018.

**379 OQM**



New Referee Workshop – approximately 85 new referees trained every year from all LSCs.

**85 Referees**



We ARRE Mentors Workshop (June '18) trained 65 national Mentor Officials to mentor to other officials in their LSCs and nationally.

**65 Mentors**



**16,782  
Professional  
Officials**

Professionally trained officials = fair competition for athletes at all levels, age group to senior, LSC to national.  
As of 7/24/18, there are 16,782 registered USA Swimming officials.



**16 Nat'l Meet  
Applications**

Member Services creates and manages 16 national meet officiating applications every year. Over 120 officials on average apply to work each national meet.



**72 Officials  
Chairs**

LSC Officials Chairs Workshop held in odd years (72 attendees in 2017) trains Officials Chairs for consistent officiating programs in each LSC.



**36 Zone  
Officials**

36 officials participated in targeted training by zones in 2018.



**33 Open  
Water  
Officials**

33 Officials were trained in a hands-on Open Water Officials Workshop in May 2018 in conjunction with Open Water Nationals..



## **Board Chair's Report - September 11, 2018**

### **United States Aquatic Sports**

A new mission statement has been developed for U.S. Aquatic Sports. I worked with representatives from a couple of the other NGBs to develop it and after a couple of small tweaks, approved the following mission statement. I was asked to bring this back to the USA Swimming Board for approval.

"To serve its member organizations by providing representation and advocacy within the international aquatics federations. "

Also, at the U.S. Aquatic Sports meeting during the convention, there will be a need to elect new officers. All current officers are term limited. The open positions are president and two vice presidents. Bruce Stratton is currently one of the vice presidents. I am interested in being one of the vice presidents.

### **NGB Board Chairs Summit**

A meeting of the Board Chairs of most of the NGBs was held on August 17-18 in Denver. This was the first time there was an organized meeting of NGB chairs and was called to discuss areas of common concern to the chairs and to share best practices as appropriate. It was also intended that this meeting would occur on a regular basis in the future.

Both Suzanne Lyons and Denise Parker presented to the group and provided a deck of their presentations which are attached to this report. They also provided information about the NGB Needs Assessment that was done earlier this year by Deloitte.

Additionally, Malia Arrington spoke to the group about the Center for Safe Sport. Lastly, attached are the meeting notes provided by Barry Siff, Board Chair of USA Triathlon, who was the primary organizer of the meeting.

### **UANA**

As Bruce Stratton will not be available to attend the Pan American Games as a member of the UANA Technical Swimming Committee, Bruce thought it best to resign from the committee for the remainder of his term and allow someone else to take that spot and be available for the meet. As we approved Cecil Gordon to succeed Bruce in 2019, Dale Neuburger as President of UANA proposed that Cecil begin his tenure on the committee effective September 2, 2018 and I agreed with that approach. I want to thank Bruce for his service to UANA as part of the TSC and congratulate Cecil on his becoming a member of that committee.



## **Board Chair's Report - September 11, 2018**

### **Governance Committee - Frank Swigon, Chair**

The governance Committee is being sunset effective with this year's House of Delegates meeting as part of the overall governance transition. I want to thank Frank Swigon who has been chair of the committee for the past several years for his leadership and contribution to the great work this committee has done over those years. I also want to thank the members of the committee.

- George Block
- Richard Pockat
- Clint Benton
- Ellen Johnston
- Liz Kershaw
- Herb Schwab
- Hanna Lee
- Jack Swanson

The LSC Bylaws Task Force will be hosting a session at convention to provide the opportunity for attendees to ask questions or raise issues relative to the LSC Bylaws changes coming before the House of Delegates during Saturday's session.

### **National Board of Review - Doug Everett, 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 - September 11, 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 ASCA World Clinic Safe Sport Presentation
  - a. Friday evening, September 7, 2018
  - b. First ever Safe Sport presentation at ASCA: "Coaches – you are part of the team"
  - c. Presenters: Paul Lundsten, Meaghan Murphy, Kathleen Prindle, Greg York, Liz Hahn (moderator)
2. Safe Sport Designated 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, criteria revisions and Club Safe Sport Checklist completed.
  - c. Soft roll-out currently underway.
  - d. Remaining IT items to wrap up.
  - e. Presentation to LSC Safe Sport Chairs at US Aquatic Sports Convention.
  - f. Presentation for USA Swimming BOD once new BOD is in place.
  - g. Seek budget support from USA Swimming BOD for implementation and club incentives.
3. Train the Trainers Planning Team
  - a. Rationale: to create a pool of qualified Safe Sport Trainer volunteers available to provide In-person training to LSCs, Clubs, Camps, Swimposiums, etc., supplementing the Safe Sport Staff.
  - b. Develop training curriculum.
  - c. Identify and train volunteers.
  - d. Seek budget support from USA Swimming BOD for travel/training expenses.
4. Assessment of personnel and budget support needs for advancement of the USA Swimming Safe Sport
  - a. Additional USA Swimming Safe Sport staff
  - b. IT support: Safe Sport program development and Safe Sport Modules for LEARN Online Course Library



## **Board Chair's Report - September 11, 2018**

### **III. Items that Require Future Board Action or Input:**

1. Approval of Safe Sport Designated Club Program and budget support.
2. Approval of Train the Trainers Program and budget support for training expenses and volunteer travel expenses.

### **IV. Future Focus of Committee(s):**

1. *SwimAssist* Program Overview: revision/clarification (for presentation as a future Board Action item). Consider increasing the financial support for victim assistance.
2. Review/revise Safe Sport policies, procedures, and best practices. Establish a review cycle.
3. Explore opportunities for collaboration with other committees, such as Diversity and Inclusion and Operational Risk, to increase efficiencies and develop joint projects/programs.
4. Committee and Safe Sport Staff strategic planning to prioritize goals/direction/implementation in light of recent staff changes and activation of the US Center for Safe Sport.

### **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

# National Governing Body Board Chair Summit

July 17-18, 2018

Denver



# Summary

- On July 17-18, 2018, 26 NGB chairs met in Denver
- NGB chairs present collectively have 201 years of board experience
- Topics:
  - Safe Sport
  - Resources (funds, services)
  - Organizational culture
  - Governance
  - CEO relations
  - Relevance and athlete pipeline

# Purpose

- Develop relationships to pursue best practices toward key issues in your NGB

# Best Possible Outcomes

- More communication between chairs
- Specific recommendations to USOC
- Communication from USOC to chairs directly
- Specific best practices on relevant issues
- Ideas to drive culture change
- Address why some of our CEOs are nervous about this meeting
- Specific action items to do something
- Safe Sport clarity and continuity
- Response to Congress (House and Senate) on Safe Sport
- Best practices relating to tiers (from the Deloitte study)
- Identify trends emerging affecting our sport at a board level, internal and external
- Identify desired shared services from USOC

# USOC Staff Reports

- USOC Acting CEO Susanne Lyons presented on the status and direction of the Athlete Safety & Advocacy Action Plan (Safe Sport)
- USOC Vice President NGB Services Denise Parker presented on the Deloitte NGB Needs Assessment Report, as well as shared services for NGBs available from USOC.

# Emerging Issues Most Likely to Have the Biggest Impact on NGBs



# Issues

- Resources
- Culture
- Governance
- Relevance and pipeline
- CEO relations
- Safe Sport

# Resources

- Funding
- Lower tiers need more help
- Sponsorship competition is fierce
  - Need the ability to showcase NGB sponsors
  - Athletes getting their own sponsors complicates things
- Desire for financial independence from USOC eventually
- Web presence and donation destination needs to be clear (NGB v USOC template)
- Board member giving 100% participation
- Grant funding
- Attracting foundation funding
  
- Shared services from USOC
- Share among NGB chairs; borrow from each other
- Web and marketing help
- Pro bono and USOC legal help
- USOC crisis team assistance
- Grow membership
- Foundation fundraising
- Direct funding from USOC, especially Tier 4, e.g. \$500k
- Grant writing assistance
  
- Grow opportunities for adaptive sports
  - USOC medical network
  - Put a person on the board
  - Lots of grant funding available
  
- Olympic Training Center is a resource, getting more difficult
- Access to Olympic Channel
- Share programming schedule

# Culture

- Changing culture is important to everything else
- High performance culture
  - Grassroots versus professional
  - Uses of funds for professional versus amateur benefit
- Role of CEO in shaping the culture, staff change to affect culture change
- Adopting culture change at all levels—board to grassroots, coaches, staff, everybody
- “We’ve always done it this way.”
- Adopt a forward-looking process, avoid assigning blame
- Self-evaluation—how to measure if culture is changing?
  - Survey, e.g. Net Promoter with staff and membership, athletes, parents
  - Link to CEO compensation
- What is the public perception of your sport relevant to culture? Be aware but don’t obsess about it
- Consider outside help to assess and plan to shape culture
- Tie to strategic plan
- Booklet *High Velocity Culture Change*
- Tension between the past (independent directors) and institutional knowledge (to avoid repeating mistakes)—Good orientation of new directors needed
- Have a brief, powerful vision statement that everyone can recite
- Culture USOC needs to support



# Governance

- Structure and composition
- How big?
- What mix of independent and constituent
- What skills
  - Skills matrix
- Diversity—sex, age, ethnicity, para athletes, geographic
- What committees
  - Governance committees
  - Others?
  - What composition?
- Document these decisions through by-laws, policies and procedures
  - E.g. Communication and social media policy
  - Ethics and conflict of interest policies
  - Clear definition of independent director—disqualification criteria, grandfathering/ cooling off period, optics
  - Keep documents current and live
- Succession plan for board members
- How to identify qualified independent directors
  - Our networks, and USOC list, outside organizations, recruiting firms, e.g Boston Club (board match organizations)
- Examine selection process re automatic rights and align by laws
- Dealing with a crisis
  - Preparedness, systems and crisis teams in place in advance, seek expert advice when necessary. USOC crisis resources?

# Relevance

- Grassroots through high-performance
- Healthy entry into sport leading to greater engagement
- Project Play research from Aspen Institute
- Athletes dropping out during transition periods of their lives
  - Mentorships, employment
  - USOC matching employers with elite athletes?
- Retention of youth athletes
  - Athletes crossing over from other sports
  - Athlete Development Model
  - Coach and parent education
  - Play Ball program with Major League Baseball
- Leverage the USA brand through apparel
- Reaching underserved communities versus pay to play model
  - See Project Play for initiatives and case studies
- Relationships with schools to avoid having the drop programs
- College programs for athletes ending their careers and entering school
- NCAA engagement (e.g. Triathlon and AZ State University to develop elite males)

# CEO Relations

- Level of communication CEO-Chair
- Weekly (structure), open door (relationship)
- Clarity on span of control
- Level of trust
- Compensation Committee
  - Explicit in contract; set metrics early; weighting criteria
  - Measurable results
  - Tied to high-performance plan , strategic plan and annual operating plan
  - Surveys and interviews (staff, athletes, parents)
  - Annual performance review tied to compensation process including benchmarking
- Role of CEO in fundraising
  - Tied to financial plan

# Feedback to USOC

- More resources
  - Money
    - Basic support
  - Leads for sponsorships and co-marketing (Joint Venture?)
- Shared services
  - Recommendation for auditors
  - List of available services
  - Agenda item for next Assembly
  - Message to new USOC executive director re the role of NGB chairs

# Safe Sport

- High cost and staff resources to comply
- Grant from USOC to smaller organizations
- NGB communication to boards and members and parents
- Templates for screening
- How to find out across sports re banned individuals
- Training program for reviewers
  - Increasing pressure on lawyers to do pro bono work, potential sources of talent for review, policy creation, etc
- Could / should congress develop a national safe kid program (beyond sport)
- Need more resources for Center for Safe Sport
- What is / should be USOC role?
- Adult to adult problems also need attention

# Center for Safe Sport

## Presented by Malia Arrington

- Center priorities?
  - Growing staff to reduce response time
- What help does CSS need from NGBs?
  - Realize that CSS is a resource, not the enemy
- Relationship to USOC?
  - Independent with plans to wean off USOC funding
- Response time expectations?
  - Working to speed up the process
- National framework mandated by Congress?
  - Not a priority for the Center at this time

# Action Items

- Email list of all of us
- board contract
- Distribute sample board matrix
- Possibly meet once per year in person, quarterly on zoom, establish closed FB page or similar, agree on a name for this group
- Attend each others' board meetings
- Reach out NGBs who weren't here
- Rotate the chair of this group, recruit Denise for an organizing role
- Try to get on NGB council agenda at Assembly
- Zoom call next autumn

# Participants

Bruce Burton *Sailing*

Kathy Dacey *Diving*

Mark Flora-Swick *Boccia*

Kay Gallatin *Roller Sports*

Ursula Garza-Papandrea *Weightlifting*

Michael Gaski *Baseball*

Bree Gillespie *Field Hockey*

Michael Graff *Water Polo*

Mark Hill *Judo*

Nobu Ishizuka *Rowing*

Murray Kessler *Equestrian*

Alex Nieroth *Cycling*

Lori Okimura *Volleyball*

Karen Golz *Gymnastics*

Dexter Paine *Ski/Snowboard*

Gary Ream *Skateboarding*

Don Reynolds *Taekwondo*

Patti Rube *Climbing*

Jim Sheehan *Swimming*

Tom Shepard *Pentathlon*

Barry Siff *Triathlon*

David Simon *Badminton*

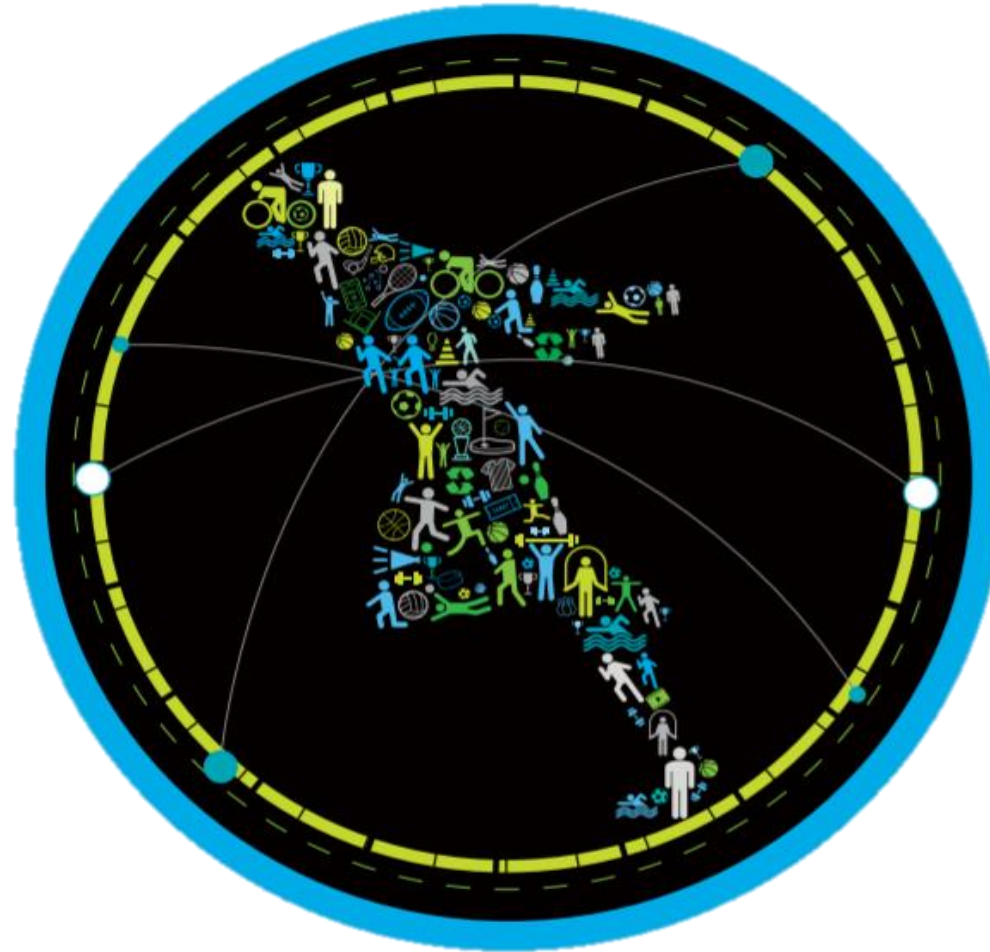
Jim Smith *Hockey*

Andrea Swayne *Surfing*

Anne Warner Cribbs *Table Tennis*

Erin Warren *Luge*





## **NGB Needs Assessment Read out**

May 25th, 2018

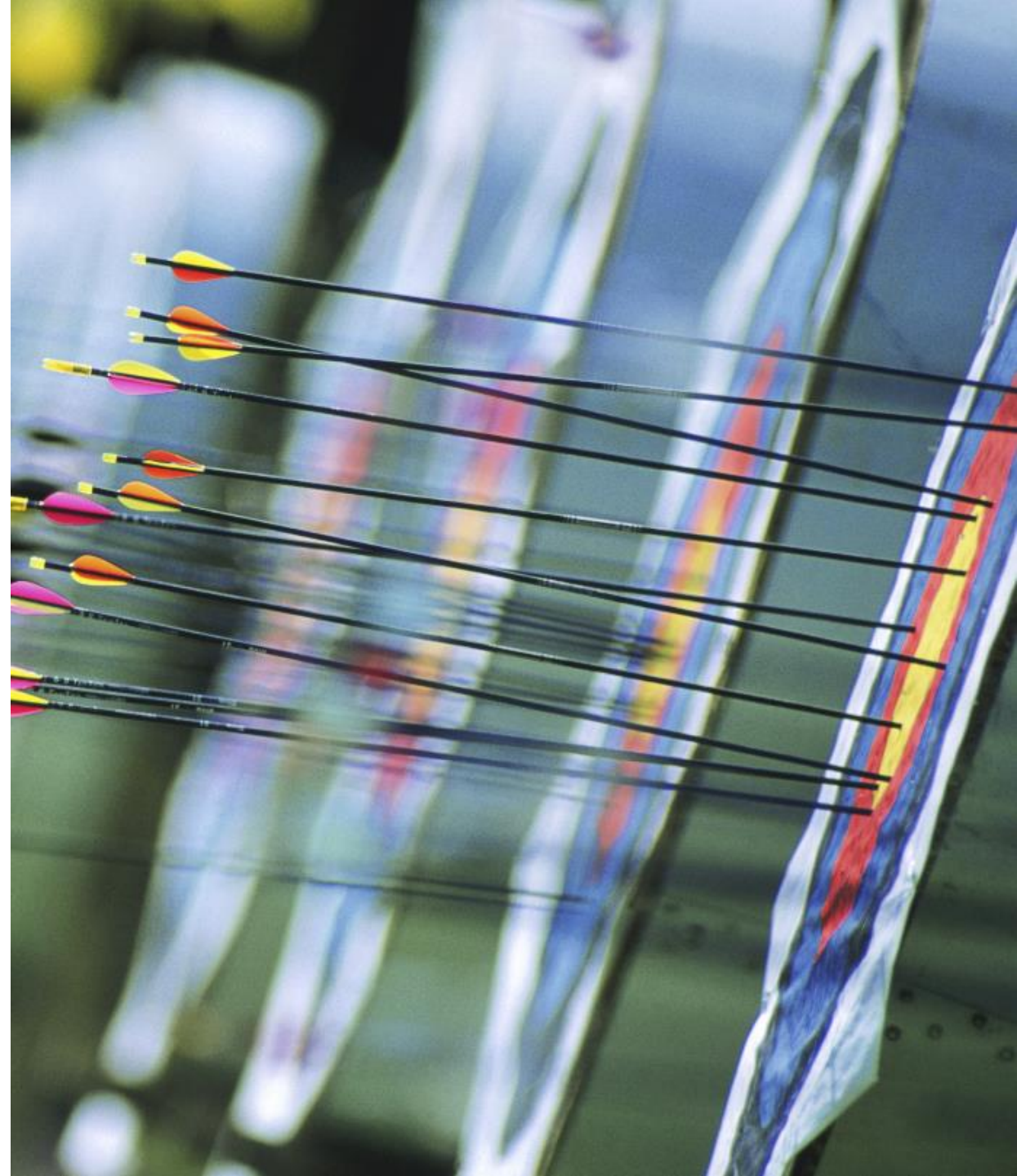


## Project Readout



# Agenda

1. Project Overview
2. Phase I: Interviews
3. Phase II: Segmentation
4. Phase III: Maturity Model
5. Phase IV: Opportunity Development
6. Next Steps



# The USOC engaged Deloitte to understand the current state of NGBs and identify opportunities for the USOC to provide additional support

## Goals

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The USOC launched an initiative to understand the business operations of the National Governing Bodies (NGBs). The goals of the initiative include:



### **Identify leading practices across NGBs**

Leveraging its visibility across NGBs presents an opportunity for the USOC to be a facilitator of best practice sharing and knowledge transfer across NGBs



### **Identify pain points across NGBs**

Analyzing current pain points or barriers that NGBs face will highlight areas where the USOC can be most effective providing additional support or resources



### **Understand different needs of NGBs**

Understanding the variations of membership size, organizational scale, resources and capabilities across NGBs will allow the USOC to better support all NGBs

## Output

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The USOC engaged Deloitte to explore NGB resources, programming, constraints and long term objectives by segment to identify customized programming opportunities. The analysis output includes:



### **NGB Interviews & Database**

A collection of data gathered for all in-scope NGBs to inform segmentation and possible opportunities



### **Segmentation Analysis**

Logical groupings of NGBs based on maturity, size, scale, revenue drivers, and aspirations informed by the NGB Database and interviews



### **Maturity Model**

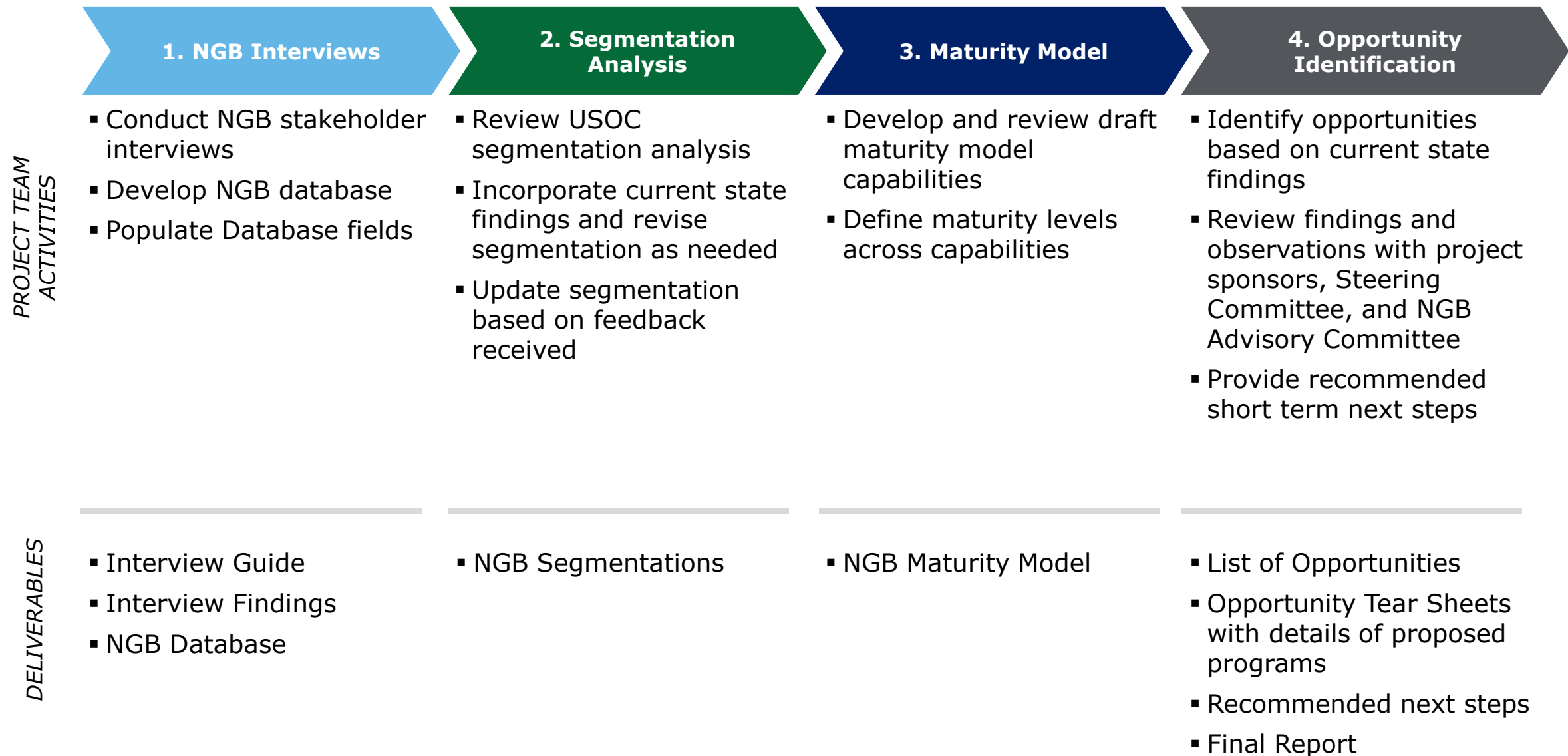
A capability maturity model that NGBs can use as a tool to understand their current state and map out their future state goals



### **Opportunities List**

Initiative list of opportunities the USOC will prioritize based on organizational goals

# The project was divided into four phases over the course of nine weeks



# An NGB Advisory Committee served as a sounding board throughout the project

## Role

Serve as representative voice for NGB perspective

## Responsibilities

- Attend Advisory Committee meetings
- Raise potential issues or challenges for proposed programs
- Collaborate on developing feasible and impactful programs

## Members

Tiger Shaw (USA Ski and Snowboard)

Rich Bender (USA Wrestling)

Kris Ekeren (USA Fencing)

Chris Ramsey (USA Waterpolo)

Darrin Steele (USA Bobsled and Skeleton)

Simon Hoskins (USA Field Hockey)

Jim Leahy (USA Luge)

Derek Bouchard-Hall (USA Cycling)

# PHASE I: NGB Interviews

*The goal of NGB interviews is to identify pain points and leading practices across NGBs*

The team interviewed executives from 38 NGBs to gather insights on how NGBs operate, their pain points, and potential opportunities



Completed NGB  
Interviews **in Person**

**21**

- Archery
- Basketball
- Bobsled & Skeleton
- Cycling
- Diving
- Fencing
- Field Hockey
- Figure Skating
- Gymnastics
- Handball
- Judo
- Pentathlon
- Rugby
- Sport Climbing
- Synchronized Swimming
- Table Tennis
- Track & Field
- Triathlon
- Volleyball
- Weightlifting
- Wrestling



Completed NGB  
Interviews **Remotely**

**17**

- Badminton
- Biathlon
- Boxing
- Canoe
- Curling
- Equestrian
- Golf
- Ice Hockey
- Luge
- Sailing
- Shooting
- Ski & Snowboard
- Speedskating
- Swimming
- Taekwondo
- Tennis
- Water Polo



NGBs **Not**  
Interviewed **3**

- Surfing
- Rowing
- Soccer



Overall, NGBs face similar challenges and agree there is opportunity for the USOC to provide additional support

## Interview Themes

- NGBs are in unanimous agreement there is opportunity to **work together to improve**
- Many mentioned **the positive impact of support provided by NGB services** for strategic planning and funding for programming
- All agree there is **opportunity to implement shared services** across NGBs including IT, HR, Safe Sport, and Legal Services, but realize not all NGBs need the same services or levels of support
- Many expressed **concern with managing new safe sport** requirements such as establishing new processes to handle incidents and having the right people in place to manage this process
- The financial realities of all NGBs **create a natural tension** when allocating resources across business operations, high performance, and investment in grassroots programs

"Change at my NGB moves at a glacially slow speed. I feel like the **only way to affect real change is with a mandate from the USOC**"

"The NGBs are all the same salad just with different dressing. **Without a doubt there is room for collaboration**, something we are absolutely open to"

"Despite the recent controversy, we have a fantastic **opportunity for the USOC and NGBs to take a giant step forward** in terms of who we are and the definition of our future"

Representative NGB quotes

# Interviews highlighted eight categories that encompass the major activities of all NGBs



## Governance

*Structure and effectiveness of the board, management of regional governing bodies, and execution of safe sport including the grievance process*



## Membership / Grassroots

*Management and growth of membership base as well as youth and development programs*



## High Performance

*Development of the high performance talent pipeline and support of high performance athletes*



## Certification / Education

*Administration of coach / referee certification programs and background checks*



## Revenue Management

*Management of revenues including events, membership, sponsorships, merchandise, and programming*



## Events

*Execution of key events hosted by the NGB as well as coordination with partners for external events*



## Marketing / Communications

*Development of marketing materials, digital content, communications, and the overall NGB brand*



## Administration

*Execution of all back office and general business functions including Finance, HR, and IT*

# The interviews uncovered pain points and leading practices across these categories



## Governance & Compliance

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- The level of business expertise on boards varies; at least seven NGBs have a 100% constituent board
- The average board size is 11-15 members, with outliers that have 32, 36 and 92 members
- Training for board members varies across NGBs; NGBs are in unanimous agreement that board training is something they would like to offer
- NGBs have varied experiences with athlete board members; some members are highly engaged, while others rarely attend meetings
- NGBs without dedicated safe sport staff expressed a need for additional support



## Membership / Grassroots

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- Many NGBs are working to redefine the value of membership to gain members
- NGBs that provide members with a unique value, such as official rankings or verified times, are able to create a larger membership base
- At least two NGBs have worked together to coordinate grassroots / membership events to drive interest; four others are creating an alliance to cross-promote among similar organizations
- One NGB created a “fan” membership to help connect fans with information on the sport and offered it free of charge to partner organizations
- At least one NGB offers alumni a “legacy” membership that is a complementary non participant membership for two years

# The interviews uncovered pain points and leading practices across these categories



## High Performance

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- Seven of the NGBs interviewed are responsible for training their athletes through the complete athlete development model; others rely on schools or clubs
- NGBs displayed a clear understanding of the funding process for HP even if they do not explicitly agree with it
- NGBs who are not in the top tier of USOC HP funding generally struggle to fund the HP pipeline



## Certification / Education

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- At least six NGBs have multi-level coach certification and education courses that are a distinguishing offering of the NGB
- NGBs that offer coach or athlete education vary in whether they provide it as a free service to members or charge for access to the content
- At least two NGBs provide sport education programs for athletes and parents
- Some NGBs noted safe sport compliance can be a differentiator, and see it as an opportunity to become the leader in their sport
- All sports expressed an interest in increased standardization for the safe sport process, including a consolidated list of banned individuals, strategic sourcing for background checks (currently all done individually), and common criteria for disqualification

# The interviews uncovered pain points and leading practices across these categories



## Revenue Management

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- NGBs generate revenue from some combination of the following sources; USOC direct funding, sponsorship, events, membership fees, donations, equipment, and merchandise
- Two NGBs have been able to generate revenue by licensing streaming rights for their sports
- One NGB has been able to generate over \$2M in annual revenue by providing training education programs to commercial gyms
- Small and mid-size NGBs struggle to develop sponsorship relationships
- At least 24 NGBs have foundations established; but only about half use it as a source of annual revenue
- Foundations have varying levels of success attracting donations; one NGB's foundation spent \$300K to drive donations, but realized almost no return, while another raises \$11M annually through galas and events



## Events

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- Seven of the NGBs interviewed face competition from private operators and organizations such as AAU
- Two NGBs are in the process of working with the sport's IF to create a professional league that HP athletes will participate in

# The interviews uncovered pain points and leading practices across these categories



## Marketing & Communications

- One NGB has grown membership by highlighting the Olympic aspiration to all athletes
- Ten of the 22 NGBs using the USOC web platform find it difficult to use
- A growing number of NGBs are working to stream events live; some are able to collect incremental revenue related to these events
- A number of NGBs publish magazines multiple times a year for members, all through separate vendors
- None of the NGBs indicated challenges around social media content generation, and noted open digital media positions fill quickly



## Administration

- Eight of the 38 NGBs interviewed have a dedicated HR FTE; only four have in-house counsel
- A majority of NGBs rely on their executive director to fill administrative roles such as HR and safe sport management
- The majority of NGBs expressed a desire for increased coordination of USOC requests
- At least ten NGBs have developed custom software to manage events and membership, and are satisfied with their tool's capabilities

# The interviews additionally revealed examples of current collaboration among NGBs



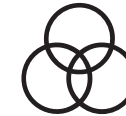
## Positional Support Groups

- ACES serves as a platform for sharing ideas and collaboration for NGB CEOs, and some CEOs have found the references provided to be valuable resources
- Informal groups exist for non-CEO level positions that have facilitated the sharing of ideas and leading practices, such as safe sport and events
- NGBs have expressed a desire to formalize these networking/sharing opportunities



## Events

- NGBs have commented on the past success of Olympic Day and expressed interest in the possibility of hosting a myriad of Olympic sports for boarder exposure
- Two NGBs co-located for an event, enabling them to yield higher gate revenue and lower event costs
- Multiple NGBs expressed a desire to increase engagement with MSOs



## Sports Alliance

- Four endurance sport NGBs are working to form an alliance to share strategies for engagement and growth
- Members of the alliance plan to collaborate across six working groups: Strategy, National Events, Marketing & Communications, Youth Engagement, Sport and Coaching, and High Performance
- Each working group will hold monthly calls, and quarterly calls will bring together all working groups

As an output of the interviews, the team compiled an “NGB Database” to provide NGBs with a tool to identify peer groups

## NGB Database

- Includes information gathered from the interviews and validated by the NGBs
- Will enable NGBs to identify peers within specific categories and compare across different categories

NGB	Administrative Support Technology Systems Used (HR, IT, Finance, Membership, Events)	Strategic Priorities			Coach and Official Certification/Training	
		#1 Priority	#2 Priority	#3 Priority	Certification Programs Offered	Certification Required to Participate in Sanctioned Events (Y/N)?
American Canoe Association	- CRM: Your Membership - Finance: QuickBooks	Sustain Competitive Excellence	Engage Members	Education	- Working on coach certification program, but no current certification requirement - Officials are required to be certified by the ICS	No
Golf	N/A	Be Known as World Leader in Sport	Sustain Competitive Excellence	Fundraise	N/A	No
US Biathlon Association	- Finance: QuickBooks - Membership: Neon	Sustain Competitive Excellence	Support Athlete Career Development	Fundraise	-No, but robust coaching and official education programs offered	No

*The database includes 43 data points for each NGB, including, but not limited to, the examples below:*

Category	Sub-Categories
<b>Governance</b>	<ul style="list-style-type: none"> <li>• Meeting Cadence</li> <li>• # of Board Members / % Independent</li> </ul>
<b>Revenue &amp; Expense</b>	<ul style="list-style-type: none"> <li>• Total Revenue</li> <li>• Top 3 Largest Revenue Drivers</li> <li>• Top 3 Largest Expenses</li> </ul>
<b>Grassroots/ Membership</b>	<ul style="list-style-type: none"> <li>• Membership Structure</li> <li>• # of Members</li> <li>• Value Proposition of Membership</li> </ul>
<b>High Performance</b>	<ul style="list-style-type: none"> <li>• Largest Recruitment Pipeline</li> <li>• Elite Athlete Support</li> </ul>
<b>Administrative Support</b>	<ul style="list-style-type: none"> <li>• # Business Staff by Function (Finance, HR, IT, etc.)</li> </ul>
<b>Strategic Priorities</b>	<ul style="list-style-type: none"> <li>• Top 3 Strategic Priorities</li> </ul>
<b>Certification</b>	<ul style="list-style-type: none"> <li>• Coach/Official Certification Programs</li> <li>• Certification Required?</li> </ul>
<b>Foundation</b>	<ul style="list-style-type: none"> <li>• Foundation Amount</li> </ul>
<b>Events</b>	<ul style="list-style-type: none"> <li>• # Sanctioned &amp; # NGB-Organized Events</li> <li>• Other Organizations Holding Events</li> </ul>



## PHASE II: Segmentation

*The goal of segmentation is to provide a framework and vocabulary to understand similar NGBs across multiple dimensions*

There are a number of ways to segment the data collected; the team initially looked at two variations

### **1 Business Operation Size**

NGBs grouped into one of four business tiers based on key data points related to business operations such as staff size and revenue

### **2 Primary Revenue Source**

NGBs grouped based on their largest revenue source:

- Membership
- Events
- USOC Funding
- Sponsorship/Licensing
- Grants/Donations/Fundraising
- Certification/Education

# 1 Business Tiers grouped NGBs based on size and resources

Tier 1	Tier 2	Tier 3	Tier 4
<ul style="list-style-type: none"> <li>• US Equestrian Federation</li> <li>• US Figure Skating</li> <li>• USA Golf</li> <li>• USA Gymnastics</li> <li>• USA Hockey</li> <li>• US Ski and Snowboard Association</li> <li>• US Soccer Federation<sup>1</sup></li> <li>• USA Swimming</li> <li>• US Tennis Association</li> <li>• USA Track &amp; Field</li> <li>• USA Volleyball</li> </ul> <p><b>Tier 1 Characteristics:</b></p> <ul style="list-style-type: none"> <li>• Staff - 88</li> <li>• Revenue - \$35M</li> <li>• Membership - 245K</li> <li>• 6.5% USOC Funding<sup>2</sup></li> <li>• NCAA Programs</li> </ul>	<ul style="list-style-type: none"> <li>• USA Basketball</li> <li>• USA Cycling</li> <li>• USA Fencing</li> <li>• USA Field Hockey</li> <li>• US Rowing<sup>1</sup></li> <li>• USA Rugby</li> <li>• US Sailing</li> <li>• USA Shooting</li> <li>• USA Triathlon</li> <li>• USA Water Polo</li> <li>• USA Wrestling</li> </ul> <p><b>Tier 2 Characteristics:</b></p> <ul style="list-style-type: none"> <li>• Staff - 31</li> <li>• Revenue - \$10M</li> <li>• Membership - 45K</li> <li>• 13% USOC Funding<sup>2</sup></li> <li>• NCAA Programs</li> </ul>	<ul style="list-style-type: none"> <li>• USA Archery</li> <li>• USA Bobsled &amp; Skeleton Federation</li> <li>• USA Boxing</li> <li>• USA Curling</li> <li>• USA Diving</li> <li>• USA Judo</li> <li>• USA Luge</li> <li>• US Speedskating</li> <li>• USA Taekwondo</li> <li>• USA Weightlifting</li> </ul> <p><b>Tier 3 Characteristics:</b></p> <ul style="list-style-type: none"> <li>• Staff - 11</li> <li>• Revenue - \$3.5M</li> <li>• Membership - 16K</li> <li>• 27% USOC Funding<sup>2</sup></li> <li>• No NCAA Programs</li> </ul>	<ul style="list-style-type: none"> <li>• USA Badminton</li> <li>• US Biathlon Association</li> <li>• American Canoe Association</li> <li>• USA Climbing</li> <li>• USA Pentathlon</li> <li>• USA Synchronized Swimming</li> <li>• USA Table Tennis</li> <li>• USA Team Handball</li> </ul> <p><b>Tier 4 Characteristics:</b></p> <ul style="list-style-type: none"> <li>• Staff - 3</li> <li>• Revenue - \$1M</li> <li>• Membership - 1.8K</li> <li>• 24% USOC Funding<sup>2</sup></li> <li>• No NCAA Programs</li> </ul>

*Staff size, revenue, and membership progressively increase from Tier 4 to Tier 1*

1. NGB was not interviewed, Tier placement based on publicly available data

2. Represents the median value for the tier

# Tier 1 NGBs

*Tier 1 NGBs have relatively abundant resources (revenue and staff) compared to other NGBs. They are able to focus on the strategic priorities of their choice and have robust athlete pipelines with well-developed grassroots programs*

## Key Characteristics

- Tier 1 NGBs are able to **choose how they prioritize** their strategic goals because they are not as resource constrained (e.g. limited revenue or staff) as other tiers
- The most common of the top three strategic priorities for NGBs in this tier are **competitive excellence** and **growing the sport**
- Tier 1 NGBs have a **large staff** spread across most major business functions and six NGBs have a dedicated Safe Sport staff
- **Five of the 11** NGBs in this tier have developed a membership management system **in-house**
- Tier 1 NGBs generate revenue through a **variety of sources**, including sponsorship, events, and membership, with half indicating membership as their largest revenue generator
- **NCAA and clubs** provide a robust recruiting pipeline
- Nine Tier 1 NGBs offer **coach/official certification**, and 4 of these offer multi-tiered programs

## Pain Points

- Need for additional transparency with USOC communications
- Opportunity to learn from others about new leading practices for business functions

## Outliers\*

- **Membership:** US Ski and Snowboard Association's membership (35K) is just over a third of the next smallest NGB's membership (100K)
- **Revenue:** US Soccer Federation's revenue (\$126M) is over 3x the revenue of most other NGBs in this group, and US Tennis Association's revenue is just over three times US Soccer Federation's (\$402M)
- **Staff:** US Equestrian Federation has nearly 2.5x the number of staff as any other NGB
- **Events:** US Equestrian Federation and USA Figure Skating do not host any events themselves (all events are sanctioned)
- **Pipeline:** US Figure Skating is the only non-NCAA sport

\*Excludes USA Golf

# Tier 1 Key Data Points

NGB	Revenue	# Members	Staff	NCAA?	# NGB Events	# Sanctioned Events	Pipeline	Priority #1	Priority #2	Largest Revenue
US Equestrian Federation	\$30,658,967	100,000	150	Yes emerging	0	2,500	Other – Affiliate Organizations	Provide Safe Environment	Competitive Excellence	Membership
US Figure Skating	\$19,683,739	184,000 (1.7%)	50	No	0	1,300	Club	Increase Membership	Competitive Excellence	Membership
US Ski and Snowboard Association	\$36,000,000	35,000	40.25	Yes	56	10,000	Club	Competitive Excellence	Grow the Sport	Donations
US Soccer Federation	\$152,122,659	No data	No data	Yes	No data	No data	No data	No data	No data	No data
US Tennis Association	\$402,154,000	650,000	464	Yes	108	22,000	Club	Grow the Sport	Competitive Excellence	Events
USA Gymnastics	\$24,611,829	174,000 (3.2%)	54	Yes	30	4,000	Club	Provide Safe Environment	Legal	Membership
USA Hockey	\$44,446,718	625,000 (23%)	47	Yes	No data	No data	NCAA	Sport Safety	Grow the Sport	Membership
USA Swimming	\$34,700,000	400,000	60.5	Yes	40	5,000	NCAA	Grow the Sport	Build Brand Affinity	Membership
USA Track & Field	\$37,300,000	133,000 (3.2%)	42	Yes	75	8,000	Club	Build Brand Affinity	Grow the Sport	Sponsorship
USA Volleyball	\$28,806,924	360,000 (2.2%)	48	Yes	16	1,000	NCAA	Competitive Excellence	Grow the Sport	Events
USA Golf	\$695,556	N/A	1	Yes	0	0	Other – Professional Circuit	World Leader in Sport	Competitive Excellence	Sponsorship

## 2 Revenue segments help identify NGBs with similar operational priorities

Primary Revenue Source	Tier 1	Tier 2	Tier 3	Tier 4	Segment Description
<b>Membership</b>	<ul style="list-style-type: none"> <li>US Equestrian Federation</li> <li>US Figure Skating</li> <li>USA Gymnastics</li> <li>USA Hockey</li> <li>USA Swimming</li> </ul>	<ul style="list-style-type: none"> <li>USA Cycling</li> <li>USA Rugby</li> <li>USA Triathlon</li> <li>USA Water Polo</li> <li>USA Wrestling</li> </ul>	<ul style="list-style-type: none"> <li>USA Boxing</li> <li>USA Judo</li> <li>USA Taekwondo</li> </ul>	<ul style="list-style-type: none"> <li>USA Badminton</li> <li>American Canoe Association</li> <li>USA Climbing</li> <li>USA Synchronized Swimming</li> <li>USA Table Tennis</li> </ul>	<p>Many NGBs <b>focus on growing the sport</b> to drive membership. Generally Tier 1 and 2 NGBs attract members through a <b>unique value proposition</b> while Tier 3 and 4 gain members because membership is necessary to compete</p>
<b>Events</b>	<ul style="list-style-type: none"> <li>US Tennis Association</li> <li>USA Volleyball</li> </ul>	<ul style="list-style-type: none"> <li>USA Fencing</li> <li>USA Field Hockey</li> </ul>		<ul style="list-style-type: none"> <li>USA Pentathlon</li> </ul>	<p>NGBs face <b>little competition</b> in the events space from other organizations</p>
<b>USOC Funding</b>			<ul style="list-style-type: none"> <li>USA Bobsled &amp; Skeleton Federation</li> <li>USA Curling</li> <li>USA Diving</li> <li>USA Luge</li> <li>US Speedskating</li> </ul>	<ul style="list-style-type: none"> <li>US Biathlon Association</li> </ul>	<p>Half of these NGBs are categorized in the USOC's <b>Gold or Silver HP tier</b>; all of these NGBs have smaller staff and revenue and rely on this funding to operate and develop programs</p>
<b>Sponsorship/Licensing</b>	<ul style="list-style-type: none"> <li>USA Golf</li> <li>USA Track &amp; Field</li> </ul>	<ul style="list-style-type: none"> <li>USA Basketball</li> </ul>			<p>NGBs capitalize on their <b>strong brand presence</b> to secure sponsorship and licensing deals</p>
<b>Grants/Donations/Fundraising</b>	<ul style="list-style-type: none"> <li>US Ski and Snowboard Association</li> </ul>	<ul style="list-style-type: none"> <li>US Sailing</li> <li>USA Shooting</li> </ul>	<ul style="list-style-type: none"> <li>USA Archery</li> </ul>	<ul style="list-style-type: none"> <li>USA Team Handball</li> </ul>	<p>NGBs generate revenue from specific parties who are <b>devoted to the sport</b></p>
<b>Certification/Education</b>			<ul style="list-style-type: none"> <li>USA Weightlifting</li> </ul>		<p>NGB differentiates by <b>selling educational products</b> in the marketplace, expanding offerings beyond members</p>

## PHASE III: Maturity Model

*The goal of the maturity model is to provide a framework to understand current NGB capabilities, create strategic goals, and measure progress over time*

# The maturity model can be used in multiple ways

## **Potential uses include...**

- Use as a personal exercise for the CEO to set goals and priorities by identifying ideal state and assessing current state
- Use with BOD to communicate goals and priorities
- Use as a group exercise with your leadership to establish a common vocabulary and set priorities
- Use as an on-boarding document for NGB staff to understand the activities included in business operations
- Use with other NGBs to discuss areas of collaboration and learning
- Use with the USOC/NGB Services to establish areas for help/coordination



The team developed a maturity model to summarize learnings and leading practices across categories

### A Maturity Model is...



- A method to inform organizations where they can increase performance in specific areas and differentiate themselves from peers
- A means to focus an organization to improve some capabilities and maintain others
- A tool that can be used over time to measure progress and shifting priorities





### A Maturity Model is NOT...

- A definitive ranking of an organization's ability to perform or a measure of an organization's future success
- A prescription of what capabilities an organization needs to be successful

*The goal is not to expect NGBs to excel across all capabilities, but to help NGBs **make strategic choices** about which **capabilities to prioritize***

# The model is composed of NGB specific capabilities across the eight categories

Category	Capabilities
 <b>Governance</b>	Recruitment & Succession Planning Training & Development Board of Directors Efficacy Local Affiliate Organization Relationship Grievance Process
 <b>Membership/ Grassroots</b>	Engaging Participants Membership Value Proposition Membership Conversion Membership Retention
 <b>High Performance</b>	Athlete Performance Elite Athlete Support Talent Identification Collegiate Pipeline
 <b>Education/ Certification</b>	Coach & Official Education/Certification Program Athlete Educational Content Athlete Well-Being Ecosystem Education

Category	Capabilities
 <b>Revenue Management</b>	Revenue Stream Diversity Events Revenue Membership Revenue Merchandise Revenue Sponsorship Revenue Programming Revenue Fundraising
 <b>Events</b>	Event Operations Level of Prominence Event Content Value Event Ecosystem
 <b>Marketing/ Communications</b>	Brand Value Digital Presence Marketing & Participant Engagement
 <b>Administration</b>	Finance Information Technology Human Resources Travel & Logistics Strategic Planning Legal

## Maturity Score

MINIMAL (1)	DEVELOPING (2)	PERFORMING (3)	LEADING (4)
The NGB does not currently have the people, process and technology in place to deliver this capability	The NGB has processes in place to deliver this capability but may be lacking adequate staff or technology	The NGB has the right people, process and technology to fully and consistently deliver on this capability	The NGB is a leader in this capability using the best staff and technology to develop innovative processes in this space

NGBs will be able to use this tool to self-assess their current capabilities and identify areas to prioritize

### EXAMPLE MATURITY SCORE CARD

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Events	Event Operations	<ul style="list-style-type: none"> <li>NGB sanctions events, but does not have the capability to host events themselves</li> </ul>	<ul style="list-style-type: none"> <li>NGB is able to partner with other organizations to host events</li> <li>NGB has staff members that help manage events, but are not dedicated to events</li> <li>NGB does not have dedicated event technology</li> </ul>	<ul style="list-style-type: none"> <li>NGB is able to host a few events a year on their own</li> <li>NGB has dedicated staff in charge of executing events</li> <li>NGB has stand-alone technology systems to support event management</li> </ul>	<ul style="list-style-type: none"> <li>NGB is able to host several events a year on their own</li> <li>NGB has a team of dedicated staff trained to execute events</li> <li>NGB has technology systems to support events that integrate with other systems such as finance and membership</li> </ul>
	Level of Prominence	<ul style="list-style-type: none"> <li>NGB is capable of hosting or sponsoring national events</li> </ul>	<ul style="list-style-type: none"> <li>NGB is capable of executing a national championship series</li> </ul>	<ul style="list-style-type: none"> <li>NGB is capable of executing international events every few years</li> </ul>	<ul style="list-style-type: none"> <li>NGB is capable of executing international events annually</li> </ul>
	Event Content Value	<ul style="list-style-type: none"> <li>Event content is not compelling and struggles to attract an audience</li> <li>Events are not conducive to spectators in person or via broadcast channels</li> </ul>	<ul style="list-style-type: none"> <li>Event content is compelling to a niche audience</li> <li>Events are conducive to spectators either in person or via broadcast channels</li> <li>Major events draw some spectators</li> </ul>	<ul style="list-style-type: none"> <li>Event content is compelling to sport enthusiasts</li> <li>Most events are conducive to spectators both in person and via broadcast channels</li> <li>Major events are able to draw spectators</li> </ul>	<ul style="list-style-type: none"> <li>Event content compelling to the general public</li> <li>All events are extremely conducive to spectators both in person and via broadcast channels</li> <li>Events are widely popular as spectator sports</li> </ul>
	Event Ecosystem	<ul style="list-style-type: none"> <li>NGB frequently loses participants to other organizations' events (e.g., AAU, private third parties)</li> <li>There is no unique benefit for athletes to participate in NGB sanctioned events</li> </ul>	<ul style="list-style-type: none"> <li>NGB faces some competition from other organizations holding events (e.g., AAU, private third parties)</li> <li>NGB is the leader in the ecosystem and host / sanction the majority of events</li> </ul>	<ul style="list-style-type: none"> <li>NGB hosts a vast majority of events in this sport</li> <li>NGB hosted events present a unique benefit for athletes to participate (e.g., qualification for other events)</li> </ul>	<ul style="list-style-type: none"> <li>NGB is the sole host of events in this sport</li> <li>Participating in NGB events is considered necessary for athletes competing in the sport</li> </ul>

### Maturity Score

The four point scale places NGBs across the maturity spectrum from Minimal to Leading

### Maturity Description

Descriptions illustrate the capabilities associated with organizations at each maturity level

### Category

Eight operational categories will be evaluated, ranging from events to administration

### Capability

Each category has various capabilities to be evaluated and assessed

## Maturity Model Example– Governance/Compliance (1 of 2)

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Governance/ Compliance	Recruitment & Succession Planning	<ul style="list-style-type: none"> <li>Nominating and Governance Committee does not work to vet new director candidates</li> <li>Succession planning does not exist</li> </ul>	<ul style="list-style-type: none"> <li>Nominating and Governance Committee spends some time reviewing new director candidates</li> <li>Succession planning exists informally on an individual basis</li> </ul>	<ul style="list-style-type: none"> <li>Nominating and Governance Committee thoroughly vets a number of director candidates</li> <li>Succession planning is managed by most directors but on an individual basis</li> </ul>	<ul style="list-style-type: none"> <li>Nominating and Governance Committee actively seeks director candidates based on skill needs and thoroughly vet candidates</li> <li>Succession planning is strategically managed by the board to optimize board effectiveness</li> </ul>
	Training & Development	<ul style="list-style-type: none"> <li>Board members do not undergo any form of training or onboarding</li> <li>Board members are unaware of their full duties to the organization</li> </ul>	<ul style="list-style-type: none"> <li>Board training and onboarding is informal and is not required of all members</li> <li>Board members are aware of their full duties to the organization</li> </ul>	<ul style="list-style-type: none"> <li>Formal training and onboarding is completed for all board members prior to joining</li> <li>Board members are aware of and understand their full duties to the organization</li> </ul>	<ul style="list-style-type: none"> <li>A robust onboarding as well as initial and ongoing training is completed by all members</li> <li>Board members are aware of, understand, and are contractually bound to their full duties to the organization with ramifications for failing to meet expectations</li> </ul>
	Board of Directors Efficacy	<ul style="list-style-type: none"> <li>The CEO spends a significant amount of time managing the board</li> <li>Board lacks sufficient business acumen and knowledge</li> <li>Some board members are disengaged and don't attend meetings</li> </ul>	<ul style="list-style-type: none"> <li>Board spends the majority of time "in the weeds" with day-to-day operational activities</li> <li>The CEO mainly engages with 2-3 board members for strategic direction</li> <li>The board meets on a regular basis (e.g. quarterly) and most members are engaged during meetings</li> </ul>	<ul style="list-style-type: none"> <li>Board mainly provides valuable strategic support, but occasionally strays towards operations</li> <li>A number of board members bring deep business experience and constituents bring sport-specific knowledge</li> </ul>	<ul style="list-style-type: none"> <li>Board provides valuable high-level strategic support on a regular basis</li> <li>Board members are accomplished business leaders and the group operates as a high-functioning, engaged team</li> <li>All board members bring robust sport-specific and/or business knowledge</li> </ul>

## Maturity Model Example– Governance/Compliance (2 of 2)

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Governance/ Compliance	<b>Local Affiliate Organization Relationship</b>	<ul style="list-style-type: none"> <li>Local affiliate organizations' strategic priorities are not aligned with those of the NGB</li> <li>NGB allows local affiliate organizations to run independently without oversight</li> </ul>	<ul style="list-style-type: none"> <li>Local affiliate organizations and the NGB are aligned on strategic priorities and plans for achieving them, but efforts are sometimes duplicated</li> <li>NGB manages local affiliates but is relatively hands-off</li> </ul>	<ul style="list-style-type: none"> <li>Local affiliate organizations and the NGB work together to achieve a common set of strategic priorities</li> <li>NGB manages local affiliates effectively, but there are no direct staff responsible for each affiliate</li> </ul>	<ul style="list-style-type: none"> <li>Local affiliate organizations and the NGB work to develop and successfully execute a plan for achieving the NGB's strategic priorities</li> <li>NGB provides effective management to all local affiliates with dedicated staff supporting the local affiliates</li> </ul>
	<b>Grievance Process</b>	<ul style="list-style-type: none"> <li>NGB has engaged other NGBs/USOC/Safe Sport Center to learn about handling grievances, but has not created formal processes</li> <li>Stakeholders know the high level process for grievances but are less familiar with the detailed steps</li> <li>Constituents do not know how to file a grievance</li> </ul>	<ul style="list-style-type: none"> <li>NGB has a documented process for handling grievances</li> <li>Stakeholders feel comfortable with the processes and steps for handling grievances, but would feel more comfortable with legal guidance</li> <li>The majority of constituents struggle to understand the grievance process</li> </ul>	<ul style="list-style-type: none"> <li>NGB has a documented process for handling grievances in a timely manner that includes independent support when needed</li> <li>Stakeholders are confident in their ability to manage all grievances</li> <li>Most constituents understand the process to file a grievance</li> </ul>	<ul style="list-style-type: none"> <li>NGB has a well defined process for handling grievances in a timely manner using an independent board</li> <li>The process is clearly communicated to all stakeholders</li> <li>All constituents are proactively informed of the process to file a grievance and find the process easy</li> </ul>

# PHASE IV: Opportunity Identification

*The goal of opportunity identification is to provide solutions for the USOC to address NGB pain points*

Based on all the analysis completed, the team created a comprehensive list of opportunities for the USOC to consider

- *This list is based on **Deloitte's recommendations as well as direct asks from NGBs** to address key pain points*
- *This list is **inclusive of all proposed opportunities** and does not reflect prioritization*
- *The next step will be for the **USOC to decide their strategy** going forward and **prioritize the initiatives that best align** with those goals*

The opportunity list spans 7 of the 8 NGB key categories, and also includes talent development as an enabler for all business operations



### Governance

*Structure and effectiveness of the board, management of regional governing bodies, and execution of safe sport including the grievance process*



### Membership / Grassroots

*Management and growth of membership base as well as youth and development programs*



### High Performance

*Development of the high performance talent pipeline and support of high performance athletes*



### Certification / Education

*Administration of coach / referee certification programs and background checks*



### Revenue Management

*Management of revenues including events, membership, sponsorships, merchandise, and programming*



### Events

*Execution of key events hosted by the NGB as well as coordination with partners for external events*



### Marketing / Communications

*Development of marketing materials, digital content, communications, and the overall NGB brand*



### Administration

*Execution of all back office and general business functions including Finance, HR, and IT*



### Talent Development

*Talent development focuses on creating programs to share resources and better develop talent across the Olympic ecosystem, enabling the above capabilities*



The USOC should begin executing the initiatives that are needed to “get to good” while starting to define the future strategy to prioritize longer term initiatives

## Work on Getting to Good...

## ...While Picking your Path for the Future

What this means

***First, the USOC should begin to identify initiatives that will make a meaningful impact and allow NGBs to “Get to Good”***

***At the same time, the USOC needs to define their strategic priorities and select the initiatives that will support that strategy***

What this could look like

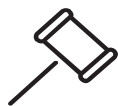
### Prioritized focus areas may include:

- **Governance** – provide training programs and resources to elevate board performance
- **Strategy** – formalize and expand support offered to NGBs to develop strategic and operational plans and support additional strategic initiatives
- **Safe Sport** – coordinate with the Center for Safe Sport to provide standard grievance guidelines and marketing materials for safe sport

### Strategic platforms could include:

- **Revenue Growth**– support revenue generating opportunities such as OTT platform, events, membership, sponsorships
- **Safety for Athletes** – focus on developing training, defining a process for grievances, and launching a safe sport campaign
- **Grassroots Development** – expand the mission of the USOC to include supporting grassroots development in sports
- **Athlete Development/Pipeline** – double down on athlete/coach/official talent development and pipeline
- **Focus on Strengths** –identify initiatives where the USOC is most likely to succeed

Three opportunity areas were identified where Deloitte believes additional support can be provided to NGBs in the short term



**Governance**

Key Learning

Many NGBs expressed a need for additional guidance and support from the USOC and more information on governance leading practices



**Strategy Development**

NGBs, particularly smaller NGBs, lack the time and expertise needed to effectively articulate a strategy and focus the organization in order to execute



**Safe Sport**

New safe sport regulations have overwhelmed many NGBs and they are looking for additional guidance / support in order to execute the new guidelines

Deloitte Recommendations

*The USOC should provide resources for NGBs and their boards to evaluate the capability of board members and support NGB's efforts to satisfy compliance checklist items*

*The USOC should formalize and evaluate the expansion of the strategic and operational planning support it currently provides to select NGBs*

*The USOC should continue to partner with the Center for Safe Sport, encouraging and facilitating relationships between NGBs and the Center. The USOC should also evaluate options to support NGBs with grievances out of the scope of the Center*

To execute these opportunities, the USOC will need to define a set of guiding principles

*Potential ideas include...*

- ★ **Define a communication plan** to effectively roll out changes across the organization
- ★ Find ways to **encourage collaboration** and work outside of current departmental silos
- ★ **Commit to changes**, even if a few NGBs are not in favor, the USOC must be willing to take a stand on implementing changes

## Next Steps

- 1 Distribute information from this report to NGBs and work with Advisory Committee to communicate how to best leverage the provided materials
- 2 Identify initiatives in governance and strategy to prioritize in the short term
- 3 Define long term goals of the USOC and identify initiatives that best align with those goals
- 4 Develop a long term execution plan based on prioritized initiatives

A photograph of four cyclists in blue and white uniforms racing on a track. They are wearing helmets and are in a crouched position, leaning forward over their handlebars. The track is a light-colored surface with a blue line. The background is a solid yellow wall. The cyclists are in a line, with the one in the foreground being the most prominent. The text "Maturity Model" is overlaid on the bottom left of the image.

## Maturity Model

## Maturity Model – Governance/Compliance (1 of 2)

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## Maturity Model – Governance/Compliance (2 of 2)

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## Maturity Model – Membership/Grassroots (1 of 2)

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Membership/ Grassroots	Engaging Participants	<ul style="list-style-type: none"> <li>• NGB knows the general number of grassroots participants but not who they are</li> </ul>	<ul style="list-style-type: none"> <li>• NGB tracks sport participation and has some idea who participants are</li> <li>• NGB engages some participants but not all</li> </ul>	<ul style="list-style-type: none"> <li>• NGB tracks sport participation and knows who the participants are</li> <li>• NGB engages the majority of sport participants, but does not partner with other organizations to maximize outreach</li> </ul>	<ul style="list-style-type: none"> <li>• NGB actively monitors sport participation and maintains an updated database of participants</li> <li>• NGB partners with their IF and/or MSOs to engage grassroots participants</li> </ul>
	Member Value Proposition	<ul style="list-style-type: none"> <li>• There is no unique value proposition for membership</li> <li>• People do not need to be a member to participate in the sport competitively</li> </ul>	<ul style="list-style-type: none"> <li>• Membership value proposition exists but members do not value the benefits offered</li> <li>• Members purchase membership when necessary for event participation</li> <li>• NGB determines the organization's value proposition</li> </ul>	<ul style="list-style-type: none"> <li>• Membership offers clear value, but may not be unique to the organization (e.g. insurance, sport related content)</li> <li>• Members purchase membership to participate in events as well as utilize additional membership benefits</li> <li>• NGB periodically reaches out to members to assess how satisfied they are with membership services</li> </ul>	<ul style="list-style-type: none"> <li>• Membership benefits include opportunities that members cannot get from another organization</li> <li>• Membership provides additional value outside of the sport (e.g. discount programs)</li> <li>• Membership in the NGB is a critical aspect of the overall sport</li> <li>• NGB continuously reaches out to members to assess how satisfied they are with membership services, and incorporates findings into new/revised services</li> </ul>



## Maturity Model – Membership/Grassroots (2 of 2)

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Membership/ Grassroots	Membership Conversion	<ul style="list-style-type: none"> <li>Membership numbers are not reflective of the sport's popularity at the grassroots level (e.g. sport is played universally but membership only captures a small percentage of total athletes)</li> </ul>	<ul style="list-style-type: none"> <li>Membership numbers may reflect the sport's popularity at the elite level, but this is less true at the grassroots level</li> <li>Membership is not growing as quickly as youth participation</li> </ul>	<ul style="list-style-type: none"> <li>Membership numbers may reflect the sport's popularity at the region/club and elite levels, but this is less true at the recreational level</li> <li>Membership is growing at a rate equal to youth participation</li> </ul>	<ul style="list-style-type: none"> <li>Membership is reflective of the sport's popularity at all levels</li> <li>Membership is growing at a faster rate than youth participation</li> </ul>
	Membership Retention	<ul style="list-style-type: none"> <li>Membership turnover is very high (above 50% per year)</li> <li>NGB does not stay connected with alumni of the sport</li> </ul>	<ul style="list-style-type: none"> <li>Membership turnover is high (25-50% per year)</li> <li>NGB stays connected with elite athlete alumni</li> </ul>	<ul style="list-style-type: none"> <li>Membership turnover is moderate (10-25% per year)</li> <li>NGB stays connected with alumni of the sport, keeping them engaged when possible</li> </ul>	<ul style="list-style-type: none"> <li>Membership turnover is low (under 10% per year)</li> <li>NGB actively engages alumni of the sport and works to keep them as interested parties in the organization</li> </ul>

# Maturity Model – High Performance

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
High Performance	<b>Athlete Performance</b>	<ul style="list-style-type: none"> <li>The sport is categorized in the USOC's Blue/Red Tier for High Performance</li> </ul>	<ul style="list-style-type: none"> <li>The sport is categorized in the USOC's Bronze Tier for High Performance</li> </ul>	<ul style="list-style-type: none"> <li>The sport is categorized in the USOC's Silver Tier for High Performance</li> </ul>	<ul style="list-style-type: none"> <li>The sport is categorized in the USOC's Gold Tier for High Performance</li> </ul>
	<b>Elite Athlete Support</b>	<ul style="list-style-type: none"> <li>NGB provides little or no support/funding for elite athletes, including training, travel, and equipment outside of the Olympic games</li> <li>Athletes participate in minimal formal training programs during the year</li> </ul>	<ul style="list-style-type: none"> <li>NGB provides some support to elite athletes, but athletes need to self-fund a significant portion of their training, travel, and equipment costs for non-Olympic events</li> <li>Athletes participate in sponsored training a few times during the year</li> </ul>	<ul style="list-style-type: none"> <li>NGB provides the majority of support for elite athletes, such as training, travel, and/or equipment</li> <li>Athletes receive training throughout the year but could benefit from additional specialized training from coaches and/or greater access to training facilities</li> </ul>	<ul style="list-style-type: none"> <li>NGB provides full support for elite athletes and pays athletes a stipend in addition to sport-related costs</li> <li>Athlete training needs are fully met by the NGB throughout the year, including top coaches and other experts (e.g. access to sport scientists or psychologists)</li> </ul>
	<b>Talent Identification</b>	<ul style="list-style-type: none"> <li>NGB has a passive talent identification process that relies on athletes to seek out the NGB</li> </ul>	<ul style="list-style-type: none"> <li>NGB has a process for identifying talent but struggles to support development of high performance athletes</li> <li>The talent identified is inconsistent year to year</li> </ul>	<ul style="list-style-type: none"> <li>NGB has a systematic process for both identifying and developing talent</li> <li>NGB is able to identify top athletes for the HP team through this process</li> </ul>	<ul style="list-style-type: none"> <li>NGB has a world class process for identifying and developing top talent</li> <li>NGB consistently produces top athletes through this process</li> </ul>
	<b>Collegiate Pipeline</b>	<ul style="list-style-type: none"> <li>The sport is not offered at a collegiate level</li> </ul>	<ul style="list-style-type: none"> <li>The sport is limited to clubs or varsity sports at the collegiate level</li> </ul>	<ul style="list-style-type: none"> <li>The sport is an emerging NCAA sport</li> </ul>	<ul style="list-style-type: none"> <li>The sport is a fully established NCAA program</li> </ul>

# Maturity Model – Education/Certification (1 of 2)

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Education/ Certification	<b>Coach and Official Education / Certification Program</b>	<ul style="list-style-type: none"> <li>• NGB does not offer education or certification programs</li> <li>• NGB relies on officials and coaches receiving programming through third parties, if at all</li> </ul>	<ul style="list-style-type: none"> <li>• NGB offers basic certification for coaches and officials to cover minimum requirements</li> <li>• Many coaches/officials receive certification through other organizations that have more robust or multi-level programs</li> <li>• Programs are mostly paper documents (e.g. word docs, brochures)</li> <li>• Certification is nice-to-have, but not essential</li> </ul>	<ul style="list-style-type: none"> <li>• NGB offers a multi-level certification program for coaches and officials that covers sport education and techniques for specific athlete groups and levels</li> <li>• Programs offer lessons on sport content as well as coaching specific demographics</li> <li>• Some programs are offered online, others are paper documents</li> <li>• Certification is required to participate in events</li> </ul>	<ul style="list-style-type: none"> <li>• NGB offers a multi-level certification programs for coaches and officials viewed as the standard for the sport</li> <li>• Programs offer robust learnings on sport content, tactics, and lessons on coaching specific demographics</li> <li>• Almost all programs are offered online or via mobile and include hands-on learning modules</li> <li>• Certification is regarded as essential in the sport</li> </ul>
	<b>Athlete Educational Content</b>	<ul style="list-style-type: none"> <li>• NGB has not developed sport performance education content</li> </ul>	<ul style="list-style-type: none"> <li>• NGB has developed some sport performance education content (e.g. sport nutrition, psychology, sport specific technique)</li> <li>• Programs are mostly paper documents (e.g. word docs, brochures)</li> <li>• Content is largely geared towards general learners and not specific tiers of athletes (e.g. grassroots athletes, varsity athletes, high performance athletes)</li> </ul>	<ul style="list-style-type: none"> <li>• NGB has developed a library of sport performance educational content that is refreshed frequently</li> <li>• Some programs are offered online, others are paper documents</li> <li>• Content is general but some customization exists for specific tiers of athletes (e.g. grassroots athletes, varsity athletes, high performance athletes)</li> </ul>	<ul style="list-style-type: none"> <li>• NGB has developed robust sport performance educational programs that consistently releases new content</li> <li>• Almost all programs are offered online or via mobile and include hands-on learning modules</li> <li>• Content is customized for specific tiers of athletes (e.g. grassroots athletes, varsity athletes, high performance athletes)</li> <li>• Programming attracts members to the sport, and serves as a differentiator</li> </ul>

## Maturity Model – Education/Certification (2 of 2)

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Education/ Certification	<b>Athlete Well-Being</b>	<ul style="list-style-type: none"> <li>NGB does not provide athlete well-being resources</li> <li>NGB meets minimum safe sport certification requirements</li> <li>Safe sport reporting is difficult to access and resolutions take a significant amount of time due to backlog</li> </ul>	<ul style="list-style-type: none"> <li>NGB provides basic athlete well-being resources (e.g. concussion safety protocols, injury prevention and recovery, career opportunities and development)</li> <li>NGB meets all safe sport certification requirements and utilizes additional Center for Safe Sport resources</li> <li>Safe sport reporting is accessible but resolutions may be slow due to backlog</li> </ul>	<ul style="list-style-type: none"> <li>NGB provides a library of athlete well-being resources that is refreshed frequently</li> <li>NGB exceeds all safe sport certification requirements and actively promotes Center for Safe Sport resources to local affiliates</li> <li>Safe sport reporting is easily accessible and provides resolution in a timely manner</li> </ul>	<ul style="list-style-type: none"> <li>NGB has developed robust athlete well-being resources and consistently releases new content</li> <li>Programming attracts members to the sport, and serves as a differentiator</li> <li>NGB exceeds all safe sport certification requirements, actively promotes Center for Safe Sport Resources to local affiliates, and provides additional educational opportunities</li> <li>Safe sport reporting is streamlined and transparent, resolutions are prompt</li> </ul>
	<b>Ecosystem Education</b>	<ul style="list-style-type: none"> <li>NGB does not provide stakeholder education content</li> </ul>	<ul style="list-style-type: none"> <li>NGB has created some stakeholder education content (e.g. water safety tips, parent education, spectator training)</li> <li>Programs are mostly paper documents (e.g. word docs, brochures)</li> <li>Content is largely geared towards general learners</li> </ul>	<ul style="list-style-type: none"> <li>NGB has developed a library of stakeholder education content that is refreshed frequently</li> <li>Some programs are offered online, others are paper documents</li> <li>Content is general but some customization exists for key stakeholders (e.g. parents, spectators, fans)</li> </ul>	<ul style="list-style-type: none"> <li>NGB has developed robust stakeholder education programs that consistently release new content</li> <li>Almost all programs are offered online or via mobile and include hands-on learning modules</li> <li>Content is customized for each stakeholder (e.g. parents, spectators, fans)</li> <li>Programming attracts members to the sport, and serves as a differentiator</li> </ul>

# Maturity Model – Revenue Management (1 of 2)

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Revenue Management	Revenue Stream Diversity	<ul style="list-style-type: none"> <li>NGB relies heavily on one source of revenue</li> <li>NGB has a difficult time generating revenue through other sources</li> </ul>	<ul style="list-style-type: none"> <li>NGB has 2-3 sources of revenue that make up at least 25% of total revenue each</li> <li>NGB would struggle financially if revenue from a main source declined</li> </ul>	<ul style="list-style-type: none"> <li>NGB has 3-4 sources of revenue that make up at least 15% of total revenue each</li> <li>NGB is not completely dependent on any one revenue source</li> </ul>	<ul style="list-style-type: none"> <li>NGB has at least 5+ significant sources of revenue that are equally balanced</li> <li>If any one source of revenue were to decline, NGB could easily make up lost revenue from other sources</li> </ul>
	Event Revenue	<ul style="list-style-type: none"> <li>Event expenditures often exceed revenue</li> </ul>	<ul style="list-style-type: none"> <li>Events generally break even or generate small profits</li> </ul>	<ul style="list-style-type: none"> <li>NGB generates ~10-30% of revenue from events (e.g. ticketing, merchandise, broadcasting)</li> <li>Events are a top 3 source of revenue</li> </ul>	<ul style="list-style-type: none"> <li>NGB generates at least 30% of revenue from events (e.g. ticketing, merchandise, broadcasting)</li> <li>Events are the top source of revenue</li> </ul>
	Membership Revenue		<ul style="list-style-type: none"> <li>Membership is not a top 3 source of revenue</li> </ul>	<ul style="list-style-type: none"> <li>NGB generates ~10-30% of revenue through membership</li> <li>Membership is a top 3 source of revenue</li> </ul>	<ul style="list-style-type: none"> <li>NGB generates at least 30% of revenue through membership, often from multiple membership types (e.g. event membership, annual membership)</li> <li>Membership is the top source of revenue</li> </ul>
	Merchandise Revenue		<ul style="list-style-type: none"> <li>Merchandise is not a top 3 source of revenue</li> </ul>	<ul style="list-style-type: none"> <li>NGB generates ~10-30% of revenue through merchandise sales</li> <li>Merchandise is a top 3 source of revenue</li> </ul>	<ul style="list-style-type: none"> <li>NGB generates at least 30% of revenue through merchandise sales that provide product royalties</li> <li>Merchandise is the top source of revenue</li> </ul>

## Maturity Model – Revenue Management (2 of 2)

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Revenue Management	Sponsorship Revenue	<ul style="list-style-type: none"> <li>NGB struggles to acquire sponsors, and therefore does not generate sponsorship revenue</li> </ul>	<ul style="list-style-type: none"> <li>NGB mainly has small, one-year deals with sponsors, and as a result sponsorship is not a major revenue category</li> <li>Sponsorship is not a top 3 source of revenue</li> </ul>	<ul style="list-style-type: none"> <li>NGB has formed multi-year deals with sponsors that generate ~10-30% of total revenue each year</li> <li>Sponsorship is a top 3 source of revenue</li> </ul>	<ul style="list-style-type: none"> <li>NGB is able to generate at least 30% of revenue from multi-year deals with major sponsors</li> <li>Sponsorship is the top source of revenue</li> </ul>
	Programming Revenue	<ul style="list-style-type: none"> <li>Programming expenditures often exceed revenue</li> </ul>	<ul style="list-style-type: none"> <li>Programming is not a top 3 source of revenue</li> </ul>	<ul style="list-style-type: none"> <li>NGB generates ~10-30% of revenue through programming</li> <li>Programming is a top 3 source of revenue</li> </ul>	<ul style="list-style-type: none"> <li>NGB generates at least 30% of revenue through multiple programs (e.g. camps &amp; clinics, coach education)</li> <li>Membership is the top source of revenue</li> </ul>
	Fundraising	<ul style="list-style-type: none"> <li>NGB does not actively seek donations or are not able to attract donors</li> <li>Fundraising events are not hosted or are not effective at raising contributions</li> </ul>	<ul style="list-style-type: none"> <li>Fundraising efforts attract a few donors annually</li> <li>Most donations are relatively small and one time gifts</li> <li>Fundraising events typically generate small contributions (\$50K or under)</li> </ul>	<ul style="list-style-type: none"> <li>Fundraising efforts create a pool of donors that give on a consistent basis</li> <li>Donations include smaller donations as well as large gifts</li> <li>Fundraising events raise large contributions (\$100K+ at most events)</li> </ul>	<ul style="list-style-type: none"> <li>Fundraising efforts consistently attract new donors while retaining current donors</li> <li>Donors are loyal supporters of NGB and give regularly at all levels</li> <li>Fundraising events raise significant contributions (\$500K+ at major events)</li> </ul>

# Maturity Model – Events

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Events	Event Operations	<ul style="list-style-type: none"> <li>NGB sanctions events, but does not have the capability to host events</li> </ul>	<ul style="list-style-type: none"> <li>NGB is able to partner with other organizations to host events</li> <li>NGB has staff members that help manage events, but are not dedicated to events</li> <li>NGB does not have dedicated event technology</li> </ul>	<ul style="list-style-type: none"> <li>NGB is able to host 1- 3 events a year on their own</li> <li>NGB has dedicated staff in charge of executing events</li> <li>NGB has stand-alone technology systems to support event management</li> </ul>	<ul style="list-style-type: none"> <li>NGB is able to host &gt; 3 events a year on their own</li> <li>NGB has a team of dedicated staff trained to execute events</li> <li>NGB has technology systems to support events that integrate with other systems such as finance and membership</li> </ul>
	Level of Prominence	<ul style="list-style-type: none"> <li>NGB is capable of hosting or sponsoring national events</li> </ul>	<ul style="list-style-type: none"> <li>NGB is capable of executing a national championship series</li> </ul>	<ul style="list-style-type: none"> <li>NGB is capable of executing international events every few years</li> </ul>	<ul style="list-style-type: none"> <li>NGB is capable of executing international events annually</li> </ul>
	Event Content Value	<ul style="list-style-type: none"> <li>Event content is not compelling and struggles to attract an audience</li> <li>Events are not conducive to spectators in person or via broadcast channels</li> </ul>	<ul style="list-style-type: none"> <li>Event content is compelling to a niche audience</li> <li>Events are conducive to spectators either in person or via broadcast channels</li> <li>Major events draw some spectators</li> </ul>	<ul style="list-style-type: none"> <li>Event content is compelling to sport enthusiasts</li> <li>Most events are conducive to spectators both in person and via broadcast channels</li> <li>Major events are able to draw spectators</li> </ul>	<ul style="list-style-type: none"> <li>Event content is compelling to the general public</li> <li>All events are extremely conducive to spectators both in person and via broadcast channels</li> <li>Events are widely popular as spectator sports</li> </ul>
	Event Ecosystem	<ul style="list-style-type: none"> <li>NGB frequently loses participants to other organizations' events (e.g. AAU, private third parties)</li> <li>There is no unique benefit for athletes to participate in NGB sanctioned events</li> </ul>	<ul style="list-style-type: none"> <li>NGB faces some competition from other organizations holding events (e.g. AAU, private third parties)</li> <li>NGB is the leader in the ecosystem and hosts / sanctions the majority of events</li> </ul>	<ul style="list-style-type: none"> <li>NGB hosts a vast majority of events in this sport</li> <li>NGB hosted events present a unique benefit for athletes to participate (e.g. qualification for other events)</li> </ul>	<ul style="list-style-type: none"> <li>NGB is the sole host of events in this sport</li> <li>Participating in NGB events is considered necessary for athletes competing in the sport</li> </ul>

# Maturity Model – Marketing/Communications

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Marketing/ Communications	Brand Value	<ul style="list-style-type: none"> <li>Brand value is not well defined</li> <li>Brand is generally only known by members</li> </ul>	<ul style="list-style-type: none"> <li>Brand value is defined</li> <li>Brand is well known among those involved in the sport at multiple levels, but less known among the greater sporting community</li> </ul>	<ul style="list-style-type: none"> <li>Brand value is well defined and able to be articulated</li> <li>Brand is well known and respected among those involved in the sport and the greater sporting community</li> <li>Brand is used as an asset to attract sponsors and donors</li> </ul>	<ul style="list-style-type: none"> <li>Brand value is succinctly defined and easily articulated</li> <li>Brand is well known and valued among the general public</li> <li>Brand is a key asset that attracts sponsors and donors</li> </ul>
	Digital Presence	<ul style="list-style-type: none"> <li>NGB social media accounts are updated infrequently and have relatively few followers (10K or under)</li> <li>Website has outdated information and is difficult to navigate (e.g. find contact information or member registration link)</li> </ul>	<ul style="list-style-type: none"> <li>NGB has a following of 50K+ on at least one major platform</li> <li>NGB posts content on each account weekly but information is mostly content and does not actively engage followers</li> <li>Website is fully functional and mostly up to date, but posting may lag a few days</li> </ul>	<ul style="list-style-type: none"> <li>NGB has a following of 200K+ on most major social media accounts</li> <li>NGB posts new content on each account daily including content used to engage followers</li> <li>Accounts feature athletes in content</li> <li>Website is visually appealing, easy to navigate, and content is updated daily to reflect the latest news and information</li> </ul>	<ul style="list-style-type: none"> <li>NGB has a following of 500K+ on most social media accounts</li> <li>NGB posts new content multiple times per day, including content designed specifically to engage with different followers</li> <li>Accounts leverage athletes and integrate with athlete accounts</li> <li>Website is best in class and content updates in real time (e.g. with event results)</li> </ul>
	Marketing & Participant Engagement	<ul style="list-style-type: none"> <li>Members only receive communications around major events</li> <li>Interaction with membership is mostly reactive; responding to questions/ inquiries and not proactive engagement</li> <li>There is no effort to reach out to non-members</li> </ul>	<ul style="list-style-type: none"> <li>Members receive communications a few times per year through general channels (e.g. newsletters, emails) and around upcoming events</li> <li>Interaction with membership includes mostly outreach</li> <li>There is some effort to market to potential members</li> </ul>	<ul style="list-style-type: none"> <li>Members receive offers and communications targeted to their interests</li> <li>Interaction with membership is proactive and personalized when possible</li> <li>There are targeted efforts to proactively market to potential members and fans</li> </ul>	<ul style="list-style-type: none"> <li>Members receive customized offers and communications based on their stated interests</li> <li>Interaction with membership is proactive and personalized</li> <li>There is a consistent effort to engage with potential members and fans using data driven marketing campaigns</li> </ul>



# Maturity Model – Administration (1 of 3)

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Administration	Finance	<ul style="list-style-type: none"> <li>Manual processes or excel used for financial analysis</li> <li>Part time staff or contractor responsible for finances</li> </ul>	<ul style="list-style-type: none"> <li>Basic financial software is used (e.g. QuickBooks)</li> <li>Staff manage finances day to day, but also work in other functions</li> </ul>	<ul style="list-style-type: none"> <li>Advanced finance system is used but it is not integrated with other systems (e.g. NetSuite)</li> <li>Dedicated staff manages finance activities</li> </ul>	<ul style="list-style-type: none"> <li>Robust financial system is used and system integrates with other systems</li> <li>Dedicated team manages finances including rigorous financial planning process</li> </ul>
	Information Technology	<ul style="list-style-type: none"> <li>NGB manages most of their data manually; systems that do exist are slow and outdated</li> <li>No dedicated in-house IT support; staff resolve issues themselves</li> </ul>	<ul style="list-style-type: none"> <li>Most technology systems are up-to-date, but some systems have not been updated in years</li> <li>Systems generally are not integrated with each other</li> <li>Part time or contract IT support resolves technical issues</li> </ul>	<ul style="list-style-type: none"> <li>All technology systems are up-to-date, and some systems are integrated (e.g. event results and membership)</li> <li>IT staff addresses technology issues</li> </ul>	<ul style="list-style-type: none"> <li>All technology systems are leading practice and communicate with one another</li> <li>IT staff both maintains system functionality and builds system enhancements as needed</li> </ul>
	Human Resources	<ul style="list-style-type: none"> <li>No formal processes are in place for onboarding or off-boarding staff</li> <li>There is no performance management process</li> <li>No formal career development programs are provided to staff</li> </ul>	<ul style="list-style-type: none"> <li>Administrative staff manages HR-related duties such as onboarding staff, screening resumes, and documenting policies</li> <li>Performance management is handled individually by managers</li> <li>Some career development offered, but program is not rigorous</li> </ul>	<ul style="list-style-type: none"> <li>HR staff manage HR-related duties such as onboarding staff, screening resumes and actively refreshing policies as needed</li> <li>A performance management process is followed throughout the organization</li> <li>Career development program is in place for most staff</li> </ul>	<ul style="list-style-type: none"> <li>Full time HR staff manage all HR-related duties such as onboarding staff, screening resumes, actively refreshing policies, and providing skills based training to staff</li> <li>A robust performance management process exists and is tied to organizational outcomes</li> <li>Customized career development is provided to all staff</li> </ul>

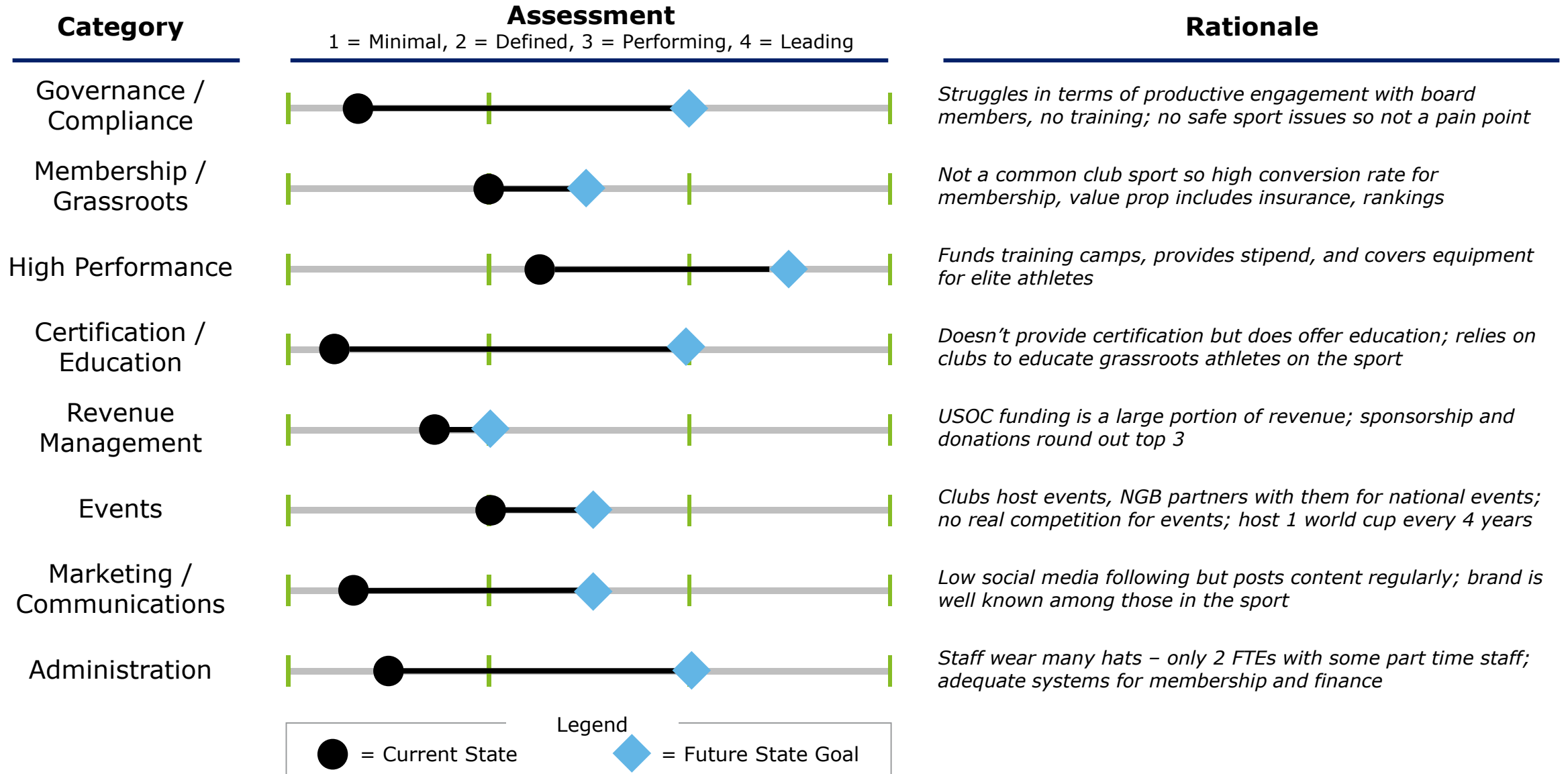
## Maturity Model – Administration (2 of 3)

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Administration	Travel & Logistics	<ul style="list-style-type: none"> <li>Athletes and staff book travel and manage logistics independently through a variety of vendors</li> </ul>	<ul style="list-style-type: none"> <li>Athletes book travel and manage logistics independently using preferred vendors</li> </ul>	<ul style="list-style-type: none"> <li>Dedicated staff books athletes' travel and manages logistics for major events</li> </ul>	<ul style="list-style-type: none"> <li>Dedicated staff books athletes' travel, manages logistics for major events, and coordinates preferred rates with vendors</li> </ul>
	Strategic Planning	<ul style="list-style-type: none"> <li>No formal strategic plan exists or has been revisited in the past 4+ years</li> </ul>	<ul style="list-style-type: none"> <li>NGB tries to revisit their strategy every 4 years</li> <li>NGB has determined its top strategic pillars but struggles to define a clear path to execute</li> <li>NGB is able to make progress on some strategic objectives, but other objectives are not addressed</li> <li>NGB has no formal process in place for socializing the strategic plan with stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>NGB evaluates and refines its strategy every 4 years</li> <li>NGB has developed a clear strategic plan with some metrics to measure success</li> <li>NGB creates an operational plan to help achieve strategic goals</li> <li>NGB is able to make progress on most of its strategic objectives year after year</li> <li>NGB coordinates with local affiliates to align on strategic objectives</li> <li>NGB clearly communicates strategic plan to all stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>NGB evaluates and refines its strategy every 4 years through a robust process</li> <li>NGB develops strategic goals and clear metrics to measure each goal</li> <li>NGB creates an annual operational plan to help achieve strategic goals</li> <li>NGB consistently makes progress on strategic objectives</li> <li>NGB works with local affiliates to ensure their work will directly contribute to strategic objectives</li> <li>NGB clearly communicates strategic plan to stakeholders and ensures staff understand their role in achieving strategic objectives</li> </ul>

## Maturity Model – Administration (3 of 3)

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Administration	Legal	<ul style="list-style-type: none"> <li>NGB has no in-house counsel and seeks legal advice from a variety of sources on an ad hoc basis (e.g. board members, members)</li> <li>NGB updates policies (e.g. by-laws) on an ad hoc basis</li> </ul>	<ul style="list-style-type: none"> <li>NGB uses legal contractor to address issues when they arise</li> <li>NGB updates policies (e.g. by-laws) on an ad hoc basis with support from legal when necessary</li> <li>NGB tries to ensure all stakeholders (e.g. board members, committees, staff, volunteers) complete ethics training and conflict of interest disclosure</li> </ul>	<ul style="list-style-type: none"> <li>NGB has a legal contractor on retainer to address issues quickly when they arise</li> <li>NGB performs risk assessment and updates policies (e.g. by-laws) on an annual basis with support from legal contractor</li> <li>NGB requires all stakeholders (e.g. board members, committees, staff, volunteers) to complete ethics training and conflict of interest disclosure</li> </ul>	<ul style="list-style-type: none"> <li>NGB has in-house counsel with sports expertise</li> <li>NGB performs risk assessment and updates policies (e.g. by-laws) at least annually with support from legal counsel, the board of directors, and dedicated committees</li> <li>NGB requires all stakeholders (e.g. board members, committees, staff, volunteers) to complete ethics training and conflict of interest disclosure on an annual basis</li> </ul>

# Maturity Model Assessment Template







Segmentation



# Tier 1 NGBs

*Tier 1 NGBs have relatively abundant resources (revenue and staff) compared to other NGBs. They are able to focus on the strategic priorities of their choice and have robust athlete pipelines with well-developed grassroots programs*

## Key Characteristics

- Tier 1 NGBs are able to **choose how they prioritize** their strategic goals because they are not as resource constrained (e.g. limited revenue or staff) as other tiers
- The most common of the top three strategic priorities for NGBs in this tier are **competitive excellence** and **growing the sport**
- Tier 1 NGBs have a **large staff** spread across most major business functions and six NGBs have a dedicated Safe Sport staff
- **Five of the 11** NGBs in this tier have developed a membership management system **in-house**
- Tier 1 NGBs generate revenue through a **variety of sources**, including sponsorship, events, and membership, with half indicating membership as their largest revenue generator
- **NCAA and clubs** provide a robust recruiting pipeline
- Nine Tier 1 NGBs offer **coach/official certification**, and four of these offer multi-tiered programs

## Pain Points

- Need for additional transparency with USOC communications
- Opportunity to learn from others about new leading practices for business functions

## Outliers\*

- **Membership:** US Ski and Snowboard Association's membership (35K) is just over a third of the next smallest NGB's membership (100K)
- **Revenue:** US Soccer Federation's revenue (\$126M) is over 3 times the revenue of most other NGBs in this group, and US Tennis Association's revenue is just over three times US Soccer Federation's (\$402M)
- **Staff:** US Equestrian Federation has nearly 2.5 times the number of staff as any other NGB
- **Events:** US Equestrian Federation and USA Figure Skating do not host any events themselves (all events are sanctioned)
- **Pipeline:** US Figure Skating is the only non-NCAA sport

\*Excludes USA Golf

# Tier 1 Key Data Points

NGB	Revenue	# Members	Staff	NCAA?	# NGB Events	# Sanctioned Events	Pipeline	Priority #1	Priority #2	Largest Revenue
US Equestrian Federation	\$30,658,967	100,000	150	Yes emerging	0	2,500	Other – Affiliate Organizations	Provide Safe Environment	Competitive Excellence	Membership
US Figure Skating	\$19,683,739	184,000 (1.7%)	50	No	0	1,300	Club	Increase Membership	Competitive Excellence	Membership
US Ski and Snowboard Association	\$36,000,000	35,000	40.25	Yes	56	10,000	Club	Competitive Excellence	Grow the Sport	Donations
US Soccer Federation	\$152,122,659	No data	No data	Yes	No data	No data	No data	No data	No data	No data
US Tennis Association	\$402,154,000	650,000	464	Yes	108	22,000	Club	Grow the Sport	Competitive Excellence	Events
USA Gymnastics	\$24,611,829	174,000 (3.2%)	54	Yes	30	4,000	Club	Provide Safe Environment	Legal	Membership
USA Hockey	\$44,446,718	625,000 (23%)	47	Yes	No data	No data	NCAA	Sport Safety	Grow the Sport	Membership
USA Swimming	\$34,700,000	400,000	60.5	Yes	40	5,000	NCAA	Grow the Sport	Build Brand Affinity	Membership
USA Track & Field	\$37,300,000	133,000 (3.2%)	42	Yes	75	8,000	Club	Build Brand Affinity	Grow the Sport	Sponsorship
USA Volleyball	\$28,806,924	360,000 (2.2%)	48	Yes	16	1,000	NCAA	Competitive Excellence	Grow the Sport	Events
USA Golf	\$695,556	N/A	1	Yes	0	0	Other – Professional Circuit	World Leader in Sport	Competitive Excellence	Sponsorship

## Tier 2 NGBs

*Tier 2 NGBs generate less revenue and have fewer staff than Tier 1 NGBs, but have built successful programs through various pipelines. NGBs in this tier are looking to further excel, especially around growing the sport. Membership conversion rates vary, but are generally on par with Tier 1 sports*

### Key Characteristics

- Nearly all Tier 2 NGBs cited “**growing the sport**” as their top strategic priority
- Recruiting pipelines vary – nine sports have a **NCAA program**, but only one Tier 2 NGB considers the NCAA its single largest HP pipeline source; many rely on clubs or their own programs to funnel talent into the HP program
- Tier 2 NGBs have technology systems for most major business functions, and over a third of these NGBs have built **membership management** platforms **in-house**
- Only four out of 11 Tier 2 NGBs are on the **USOC website** platform; some have opted out due to streaming restrictions or functionality issues
- All Tier 2 NGBs have a **dedicated events staff** to host events
- Eight out of 11 Tier 2 NGBs provide a high level of **support to elite athletes**, paying them a stipend on top of sport-related costs

### Pain Points

- Need for increased alignment between the USOC and NGBs around safe sport processes and leading practices
- Opportunity to loosen HP funding restrictions so NGBs can allocate money further down the pipeline to support aspiring elite athletes instead of just current elite athletes
- Need for additional volunteer education

### Outliers

- **Staff:** USA Cycling and USA Triathlon have staff sizes that are on par with the smaller Tier 1 NGBs
- **Events:** USA Triathlon is the only Tier 2 NGB that does not host events; they only sanction events
- **Pipeline:** US Sailing and USA Cycling are the only non-NCAA sports



## Tier 2 Key Data Points

NGB	Revenue	# Members	Business Staff	NCAA?	# NGB Events	# Sanctioned Events	Pipeline	Priority #1	Priority #2	Largest Revenue
US Rowing	\$10,393,694	No data	No data	Yes	No data	No data	No data	No data	No data	No data
US Sailing	\$11,472,005	46,000 (1.1%)	34	No	17	55	Own Program	Grow the Sport	Build Brand Affinity	Donations
USA Basketball	\$13,200,000	N/A	25	Yes	5	0	Other – NBA, NCAA	World Leader in Sport	Competitive Excellence	Sponsorship
USA Cycling	\$15,000,000	60,000	43	No	17	25,000	Other – some NGB, some BMX	Increase Membership	Fundraise	Membership
USA Fencing	\$8,936,805	38,000	18.5	Yes	11	1,200	Club	Competitive Excellence	Increase Membership	Events
USA Field Hockey	\$8,751,402	27,000 (1.7%)	22.5	Yes	10	10	Club	Grow the Sport	Engage Members	Events
USA Rugby	\$11,188,896	130,000 (8.3%)	31	Yes emerging	No data	No data	States/ Regions	Increase Membership	Grow the Sport	Membership
USA Shooting	\$5,386,549	5,000 (0.04%)	11	Yes	No data	No data	Club	Grow the Sport	Diversify Revenue	Donations
USA Triathlon	\$16,227,565	400,000	39	Yes emerging	4	4,000	Own Program	Grow the Sport	Brand Affinity	Membership
USA Water Polo	\$10,844,093	47,000	18	Yes	12	350	NCAA	Grow the Sport	Competitive Excellence	Membership
USA Wrestling	\$12,974,860	220,000 (11%)	25	Yes	12	2,200	States/ Regions	Grow the Sport	Fundraise	Membership

## Tier 3 NGBs

*Tier 3 NGBs have been able to build a fully-operating organization, although most are very small. Staff wear a number of hats in order to keep the business running. Most NGBs in this tier are focused on achieving competitive excellence and are working to develop the capabilities needed to do so*

### Key Characteristics

- Most Tier 3 NGBs are focused **on competitive excellence**, with two NGBs focused on growing the sport and one focused on increasing organizational health
- **USOC Funding is the largest revenue source** for half of Tier 3 NGBs, making competitive success very important to the business
- Many Tier 3 NGBs are less well-known or have a smaller membership base compared to Tiers 1 and 2
- However, **membership is the largest revenue source** for three of the Tier 3 NGBs; the remaining two NGBs primarily generate revenue through grants and certification/education programs
- Many of these NGBs do not have NCAA programs or robust club systems to develop athletes
- There is a **large drop-off in both membership conversion and overall membership** from Tier 2

### Pain Points

- Challenged to continually build the athlete pipeline and support the current elite athletes
- Lacking dedicated staff for some business functions
- Desire to think more strategically, while continuing to operate effectively, with limited staff resources and depth of capabilities

### Outliers

- **Revenue:** USA Weightlifting has a larger revenue base than others with \$5.1M
- **Staff:** USA Archery and USA Boxing have larger staff with 16 and 11.5 FTEs respectively
- **Pipeline:** Diving is the only Tier 3 sport that is a NCAA sport

## Tier 3 Key Data Points

NGB	Revenue	# Members	Staff	NCAA?	# NGB Events	# Sanctioned Events	Pipeline	Priority #1	Priority #2	Largest Revenue
<b>USA Bobsled &amp; Skeleton Federation</b>	\$3,106,335	293	4	No	3	No data	Other – target individual athletes	Increase Health of Org	Competitive Excellence	USOC Funding
<b>US Speedskating</b>	\$3,783,442	2,300	6	No	8	60	Club	Competitive Excellence	Grow the Sport	USOC Funding
<b>USA Archery</b>	\$4,574,000	21,000 (0.2%)	16.25	No	21	300	Club	Competitive Excellence	Grow the Sport	Grants
<b>USA Boxing</b>	\$4,558,366	42,000	11.5	No	4	1,800	Club	Competitive Excellence	Athlete Career Development	Membership
<b>USA Curling</b>	\$2,340,751	23,500	8	No	15	40	Club	Competitive Excellence	Grow the Sport	USOC Funding
<b>USA Diving</b>	\$2,513,876	8,000 (0.2%)	7	Yes	4	No data	NCAA	Competitive Excellence	Increase Health of Org	USOC Funding
<b>USA Judo</b>	\$1,872,010	10,000	3	No	4	200	Club	Grow the Sport	Build Brand Affinity	Membership
<b>USA Luge</b>	\$2,852,450	300	5	No	3	15	Own Program	Grow the Sport	Competitive Excellence	USOC Funding
<b>USA Taekwondo</b>	\$3,065,870	15,000 (0.2%)	5	No	0	1,500	Club	Competitive Excellence	Provide Safe Environment	Membership
<b>USA Weightlifting</b>	\$5,147,637	27,000	9	No	9	628	Other – Club & active elite recruitment	Competitive Excellence	Fundraise	Coaching Certification/ Education

# Tier 4 NGBs

*Tier 4 NGBs lack the resources to focus on priorities outside of meeting basic needs, as almost all have a staff size of less than five and revenue generation is a major concern. None of these NGBs are NCAA sports; many rely on their own programs to identify and develop talent*

## Key Characteristics

- Tier 4 NGBs are largely focused on **increasing organizational health**, while half of the NGBs state competitive excellence as their top priority; all of these NGBs must increase their revenue in order to achieve this, among other goals
- Membership is the **largest revenue source** for five of the eight NGBs in this group, but three of these NGBs have membership numbers of under 10K
- For the two Tier 4 NGBs with **membership conversion data**, conversion rates are 0.05% and 0.03%; both of these NGBs list membership as the top revenue source but have **ample opportunity to increase membership**
- Three of the eight Tier 4 NGBs are **responsible for developing athletes** from the grassroots up; they **rely primarily on their own programs** to identify and train talent
- All but one of the Tier 4 NGBs have a staff size of less than five; as a result, all staff including the CEO spend a **significant amount of time performing administrative tasks**

## Pain Points

- Struggle to identify and develop top talent with limited revenue
- Lack of dedicated staff to support business functions and a heavy reliance on volunteers and board members to fill key roles and capabilities
- Lack of technology to support key business functions

## Outliers

- **Membership:** American Canoe Association has 30K members, which is over three times the size of the next largest membership base (9K members)
- **Revenue:** Revenue for US Biathlon Association and USA Climbing are significantly larger than the majority of Tier 4 NGBs, and is on par with that of nearly half the NGBs in Tier 3
- **Staff:** American Canoe Association has ten staff members; the next largest staff size is four FTEs

# Tier 4 Key Data Points

NGB	Revenue	# Members	Staff	NCAA?	# NGB Events	# Sanctioned Events	Pipeline	Priority #1	Priority #2	Largest Revenue
<b>American Canoe Association</b>	\$1,736,354	30,000	10	No	20	4,300	Own Program – camps & trials	Competitive Excellence	Engage Members	Membership
<b>US Biathlon Association</b>	\$2,696,248	900	2	No	2	200	Club	Competitive Excellence	Athlete Career Development	USOC Funding
<b>USA Badminton</b>	\$470,896	2,500 (0.03%)	3.25	No	2	35	Club	Increase Health of Org	Membership	Membership
<b>USA Pentathlon</b>	\$946,349	1,000	2	No	No data	No data	Other – World Class Athlete Program	Competitive Excellence	No data	Events
<b>USA Synchronized Swimming</b>	\$1,945,985	5,600	3	No	5	250	Club	Increase Health of Org	Diversify Revenue	Membership
<b>USA Table Tennis</b>	\$2,168,190	9,000 (0.05%)	3	No	No data	No data	Club	Competitive Excellence	Increase Membership	Membership
<b>USA Team Handball</b>	\$347,825	800	1	No	4	10	Other – Direct outreach, clubs	Build Brand Affinity	Increase Health of Org	Donations
<b>USA Climbing</b>	\$2,297,821	8,000	4	No	No data	No data	Own Program – private gyms	Fundraise	Build Brand Affinity	Membership

# NGB Board Chair Summit

Susanne Lyons and Denise Parker

July 17, 2018



U.S. PARALYMPICS



*Confidential*

# **ATHLETE SAFETY & ADVOCACY ACTION PLAN**

Updated

June 21, 2018



U.S. PARALYMPICS





# ATHLETE SAFETY & ADVOCACY ACTION PLAN

## CASE FOR CHANGE

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**The United States Olympic Committee (USOC) is deeply focused on critical initiatives and collaboration across the entire Olympic and Paralympic family to protect, support and empower America's athletes.**

Across the world, girls and women, in particular, are bravely sharing the egregious sexual abuse, harassment and discrimination they have faced for too long. This behavior has no place in our Olympic and Paralympic community, and now is the time for organizations, institutions and individuals alike to reignite a culture for competitive excellence – one that is a safe, respectful and supportive environment. The USOC has made significant progress to strengthen protections for athletes, and our collective efforts to improve athlete safety must never cease.

### ATHLETE SAFETY & ADVOCACY ACTION PLAN

#### 1. Important Lessons Learned

The USOC is at a critical point in its history. After the survivors' brave testimonies of sexual abuse, the U.S. Olympic and Paralympic community has an obligation to find out how this happened and take the necessary steps to help prevent such tragedies from happening again.

#### 2. Our Commitment to Change (today)

While we are eager to receive the findings of the independent investigation, the USOC is taking important actions now based on what we already know.

#### 3. The Path Forward (*long-term*)

As we move forward, we are reviewing the culture of elite sports in the U.S. to determine what safeguards must be strengthened and modernized to ensure the safety of our athletes.

### ATHLETE SAFETY & ADVOCACY VISION



Our overarching, multi-disciplinary Athlete Safety & Advocacy Action Plan will provide a safer environment for athletes and create a more effective USOC in achieving our mission.





# ATHLETE SAFETY & ADVOCACY ACTION PLAN

## WHAT ARE WE PLANNING TO DO?



Stakeholders	Initiatives	Progress
Athlete Community, Athletes' Advisory Council (AAC), Survivors/Families	Launch Athlete Funds	Gymnastics Fund Other Sports Fund <b>COMPLETE</b> 3Q18
	Improve Athlete Advocacy, Communication, and Representation	Gymnastics Survivors' Site Athlete Issues Survey <b>COMPLETE</b> Athlete CRM Platform <b>COMPLETE</b> 2019
	Strengthen Athlete Safety Policies and Procedures	USOC Director of Athlete Safety Respond to Independent Investigation <b>COMPLETE</b> Athlete Safety Advisory Group Aug (Est.) 3Q18
USOC	Evaluate and Reform USOC Engagement with NGBs and Athletes	Form Governance Working Group Working Group Recommendations 2Q18 4Q18
National Governing Bodies (NGBs)	Reform USA Gymnastics Leadership and Culture	Complete Daniels Report Actions Gymnastics Culture Training 3Q18 3Q18
	Improve Sport Culture & Behaviors Across USOC and National Governing Bodies	Publish NGB Banned Lists Invest in Centralized Case Management System Culture Training for All Sports 2Q18 3Q18 4Q18
Center for SafeSport	Increase Funding and Support to the Center for SafeSport	Double Funding for Center Support Center's Athlete Visibility Support Center's Service Expansion <b>COMPLETE</b> <b>COMPLETE</b> 4Q18
	Extend Center for SafeSport's Services Beyond Sexual Abuse	



# ATHLETE SAFETY & ADVOCACY ACTION PLAN

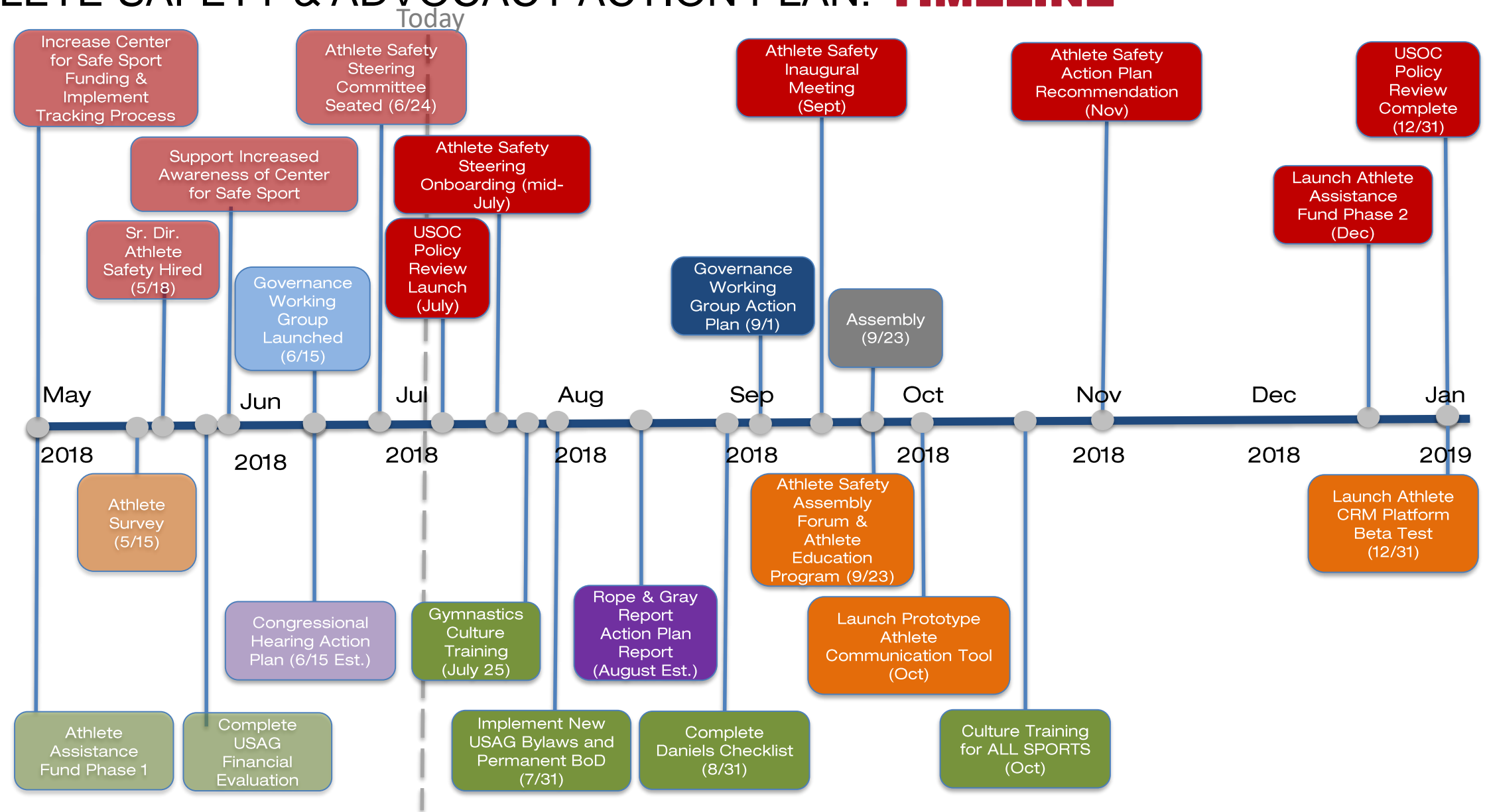
## HOW ARE WE ORGANIZED TO IMPLEMENT?

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The Action Plan effort involves six major workstreams, or “pillars”; each pillar involves several projects aimed at addressing shortcomings. Project lifespans range from 6 months to 1-2 years and beyond.

Reform USA Gymnastics	Institutionalize SafeSport & Athlete Safety Programs	Athlete Advocacy	Evaluate and Reform USOC Engagement with NGBs and Athletes	Respond to Congressional Inquiries	Act on Independent Investigation
<p><b><u>Board Sponsor:</u></b> Robbie Bach</p> <p><b><u>Executive Lead:</u></b> Rick Adams</p> <p><b><u>Pillar Objectives:</u></b></p> <p>Secure USAG financial and organizational stability.</p> <p>Place permanent USAG board with appropriate changes to bylaws completed.</p> <p>Stabilize performance support for Tokyo elite athletes.</p> <p>Improve training environment for athletes.</p>	<p><b><u>Board Sponsor:</u></b> Cheri Blauwet</p> <p><b><u>Executive Lead:</u></b> Kevin Penn</p> <p><b><u>Pillar Objectives:</u></b></p> <p>Stabilize the Center and help them scale to meet demand.</p> <p>Get government support for the Center.</p> <p>Solidify internal SafeSport policies and procedures.</p> <p>.</p>	<p><b><u>Board Sponsor:</u></b> Whitney Ping</p> <p><b><u>Executive Lead:</u></b> Alan Ashley</p> <p><b><u>Pillar Objectives:</u></b></p> <p>Empower Athletes' Voice shaping key USOC and NGB Policies and Programs, and improve education and communication to build better athlete leaders and representatives</p>	<p><b><u>Board Sponsor:</u></b> Dan Doctoroff</p> <p><b><u>Executive Lead:</u></b> Chris McCleary</p> <p><b><u>Pillar Objectives:</u></b></p> <p>Convene and support a Working Group to develop proposals for greater NGB and athlete engagement, ombudsman, grievance process.</p> <p>Ensure Working Group efforts account for investigation findings.</p>	<p><b><u>Board Sponsor:</u></b> Larry Probst</p> <p><b><u>Executive Lead:</u></b> Desiree Filippone</p> <p><b><u>Pillar Objectives:</u></b></p> <p>Report regularly to Congress with crisis updates.</p> <p>Implement USOC bylaw changes/reforms recommended by advisory groups, the independent investigation, and Congress.</p>	<p><b><u>Board Sponsors:</u></b> Robbie Bach, Whitney Ping, Bill Marolt</p> <p><b><u>Executive Lead:</u></b> Patrick Sandusky</p> <p><b><u>Pillar Objectives:</u></b></p> <p>Plan for investigation findings, and respond quickly and decisively to investigation report.</p> <p>Complete investigation successfully in alignment with its aims.</p> <p>Communicate effectively throughout investigation.</p>





# ATHLETE SAFETY & ADVOCACY ACTION PLAN

## PILLARS PROJECT SUMMARY

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	Reform USA Gymnastics (USAG)
PILLAR OBJECTIVES	<ol style="list-style-type: none"><li>1. Work with USAG to address governance issues and ensure USAG cooperates with and acts on the results of the independent investigation (including completing all Daniels report recommendations and rolling out enhanced ethics training).</li><li>2. Support USAG implementation of a culture change across the organization.</li><li>3. Perform forensic investigation to determine financial gaps and provide adequate resources (Financial and People) required to undergo changes.</li><li>4. Provide new funding and resources for support and counseling for gymnasts impacted by Nassar's crimes. (Athlete Fund Phase 1)</li><li>5. Prepare for decertification possibility, as appropriate.</li><li>6. Plan for high performance and Tokyo elite athlete support.</li></ol>
ACTIONS/ACCOMPLISHMENTS TO DATE	<ul style="list-style-type: none"><li>• Issued letter to USAG requiring 70 specific actions on Daniels report recommendations and established regular review and audits to test compliance with all required actions.</li><li>• Provided USOC representation by Executive Leadership and Independent Board member to attend all USAG interim Board meetings and supported scheduling of permanent board meeting.</li><li>• Performed forensic evaluation of USAG financial position and insurance coverage.</li><li>• Supported USAG in obtaining D&amp;O insurance with no lapse at double the coverage.</li><li>• Required USAG to review and update current USAG Ethics and Conflict of Interest policies, and conduct ethics training with USAG board and staff by July 25, 2018.</li><li>• Completed \$1.3M Athlete Assistance Fund grant funding agreement; including broad communication from USAG President sent to constituents.</li><li>• Hired Chris Tebo as USAG General Counsel; CMO search in progress; CFO search in progress; Standing offer to support USAG CEO with additional executive support.</li><li>• Agreed to host interim national team training site in Bradenton Florida using IMG housing; ongoing RFI to identify permanent solution.</li><li>• Created a joint event for USAG with the Summer Championships Series to help with first non endemic sponsor post scandal.</li></ul>



# ATHLETE SAFETY & ADVOCACY ACTION PLAN

## PILLARS PROJECT SUMMARY



Institutionalize SafeSport and Athlete Safety Programs	
PILLAR OBJECTIVES	<ol style="list-style-type: none"><li>1. Double USOC’s annual funding of the Center for SafeSport.</li><li>2. Provide guidance to help the Center elevate its visibility with athletes.</li><li>3. Identify and provide external support needed by the Center to bridge current gaps in expertise and bandwidth.</li><li>4. Determine how best to extend scope of the Center for SafeSport’s support from sexual misconduct to include bullying and hazing prevention and education.</li><li>5. Develop a plan for getting government support for funding the Center.</li><li>6. Appoint a Director of Athlete Safety at the USOC to help ensure that best practices are regularly reviewed and NGB efforts to support survivors and athletes are in full compliance.</li><li>7. Form an Athlete Safety Advisory Group to provide guidance on improving athlete safety and wellbeing in the Olympic and Paralympic Movement.</li><li>8. Revisit USOC SafeSport procedures and evaluate feedback from the Athlete Safety Advisory Group to determine what measures are necessary to ensure that follow-ups occur.</li><li>9. Launch Phase 2 funding resource for athletes from other Olympic and Paralympic sports recovering from similar abuse.</li></ol>
ACTIONS/ACCOMPLISHMENTS TO DATE	<ul style="list-style-type: none"><li>• Required NGBs to disclose investigations and publish banned lists.</li><li>• Hired USOC Senior Director of Athlete Safety and expanded support to hire additional resources.</li><li>• Updated USOC Athlete Safety Policy to comply with recent legislation.</li><li>• Granted 2x increase in USOC funding to the Center for SafeSport (the Center).</li><li>• Met with the Center to discuss various topics including policies, resources, and awareness.</li><li>• Launched two Public Service Announcements for the Center which drove 30% increase in traffic to website.</li><li>• Ensured all USOC employees and Board of Directors have completed SafeSport and Ethics trainings.</li><li>• Launched vendor evaluation to identify independent partner to provide culture training for NGBs.</li><li>• Launched vendor evaluation to provide case management system shared across USOC and NGBs.</li><li>• Planning a “Phase 2” Athlete Assistance fund that will extend to other sports.</li><li>• Developing a plan to offer response services beyond the current Sexual Abuse scope offered by the Center to include Bullying, Hazing, Harassment, Emotional Abuse, and Physical Abuse.</li><li>• Working with SafeSport on recommendations for strengthening their website.</li></ul>



# ATHLETE SAFETY & ADVOCACY ACTION PLAN

## PILLARS PROJECT SUMMARY



Athlete Advocacy	
PILLAR OBJECTIVES	<ol style="list-style-type: none"><li>1. Engage with AAC Leadership to obtain input into topics, attendance and format for Athlete Symposium.</li><li>2. Field a quantitative athlete survey to gain an understanding of top of mind issues and relative merit of USOC and NGB programs.</li><li>3. Develop a proposal to strengthen website resources and content for athletes on key topics and gain approval from AAC to improvements to website.</li><li>4. Launch the first module of leadership training at Olympic and Paralympic Assembly.</li><li>5. Ongoing Advocacy and Education Platform – Restructure how the Olympic and Paralympic movement engage athletes at all levels to educate and communicate key policies and programs.</li></ol>
ACTIONS/ ACCOMPLISHMENTS TO DATE	<ul style="list-style-type: none"><li>• Worked with AAC to identify their top priority issues requiring action by USOC and NGBs.</li><li>• Conducted athlete survey that received 900+ responses and debriefing results with USOC Leadership, NGBC, and AAC.</li><li>• Completed draft of Agent Certification training.</li><li>• Collaborating across the organization to improve proactive education and communication (including athlete survey acknowledgment, Ombudsman site, About the USOC page, and Ombudsman Program Coordinator).</li></ul>



# ATHLETE SAFETY & ADVOCACY ACTION PLAN

## PILLARS PROJECT SUMMARY



	Evaluate and Reform USOC NGB and Athlete Engagement
PILLAR OBJECTIVES	<p>Form a Working Group to address whether and how to change USOC in these areas:</p> <ol style="list-style-type: none"><li>1. The relationship between the USOC and NGBs as reflected in USOC structure (as defined in the Ted Stevens Olympic and Amateur Sports Act, USOC Bylaws, and USOC policies) including what is, and what should be, the means of USOC engagement with, and scope of responsibilities and oversight of, NGBs.</li><li>2. The relationship between the USOC and athletes as reflected in USOC structure including what is, and what should be, the means of USOC engagement with and service to athletes.</li></ol> <p>In this work generally, ensure that these issues are addressed:</p> <ol style="list-style-type: none"><li>1. Review process for handling athlete grievances and identify improvements that build trust and address concerns with fairness, due process and transparency.</li><li>2. Review structure of USOC Athlete Ombudsman Office and whether it is configured and empowered to provide appropriate athlete support.</li></ol>
ACTIONS/ ACCOMPLISHMENTS TO DATE	<ul style="list-style-type: none"><li>• Convened USOC internal staff support team to develop education resources for Governance Working Group.</li><li>• Drafted Governance Working Group charter and selected Lisa Borders (President of the WNBA) as chairperson.</li><li>• Begun the process for a Board-level review of the USOC Mission Statement to ensure it is aligned with responsibilities of the organization.</li></ul>



# ATHLETE SAFETY & ADVOCACY ACTION PLAN

## PILLARS PROJECT SUMMARY

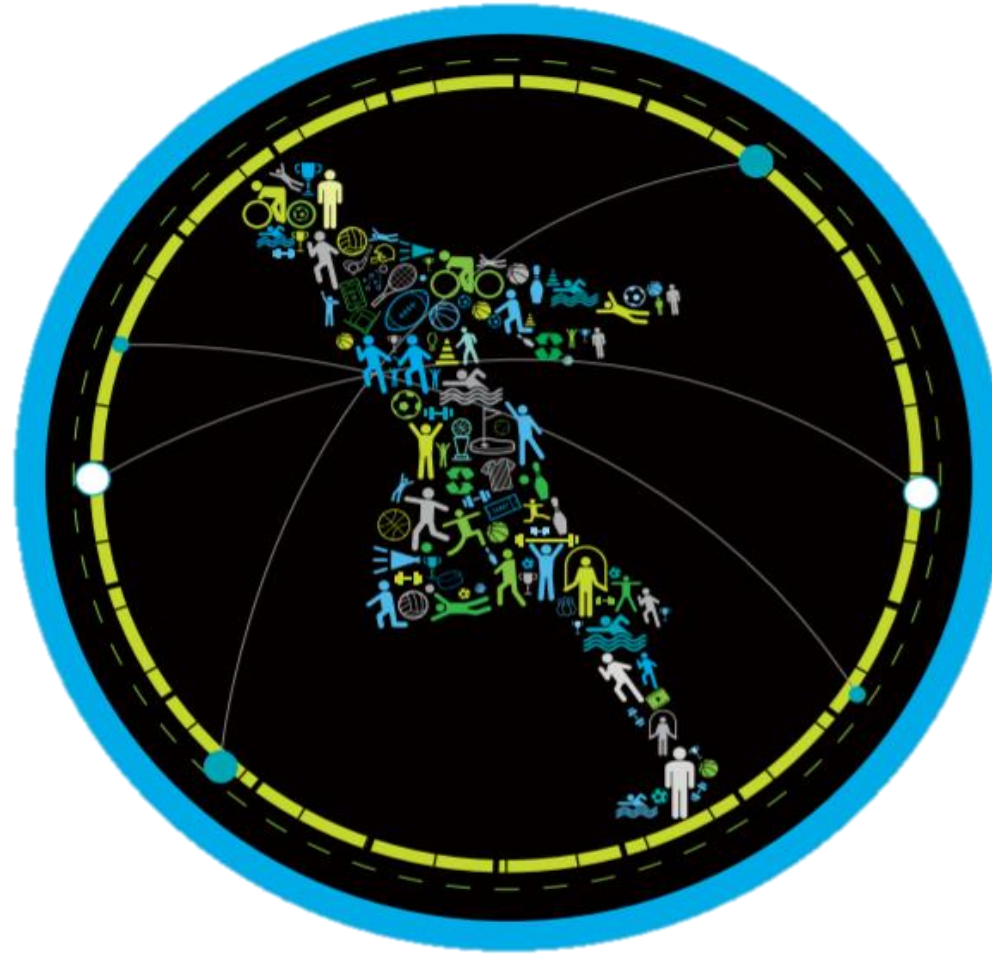


Respond to Congressional Inquiries	
PILLAR OBJECT.	<ol style="list-style-type: none"><li>1. Ensure coordinated and complete responses to and cooperation with Congressional inquiries.</li><li>2. Develop outreach strategy for key congressional targets and milestones for reporting updates..<ul style="list-style-type: none"><li>• Engage influential supporters to carry key messages.</li><li>• Leverage trip to Washington with Team USA in April.</li></ul></li><li>3. Prepare for Congressional Hearings and/or Working Groups.</li></ol>
ACTIONS/ ACCOMP. TO DATE	<ul style="list-style-type: none"><li>• Completed congressional stakeholder mapping exercise.</li><li>• Visited key congressional stakeholders during “Team USA DC Week” to provide update on progress and approach to addressing athlete safety.</li><li>• Developing list of action response to address feedback provided during congressional hearings.</li></ul>
Act on Independent Investigation	
PILLAR OBJECTIVES	<ol style="list-style-type: none"><li>1. Ensure coordinated and complete responses to and cooperation with independent investigation.</li><li>2. Ensure adequate support and resources for independent investigation.</li><li>3. Prepare operational plans to identify comprehensive Q&amp;A, response timeline, and who needs to be involved in advance; coordinate with Board as appropriate.</li><li>4. Execute coordinated response and communication plan for investigation report.</li></ol>
ACTIONS/ ACCOMP. TO DATE	<ul style="list-style-type: none"><li>• Complied fully with all investigation requests for information.</li><li>• Promoted independent investigation on USAG website to encourage individuals with relevant information to speak with independent investigators.</li><li>• Continuing to coordinate support for USOC and NGBs responding to investigation.</li></ul>



# Deloitte NGB Needs Assessment Overview





# The USOC engaged Deloitte to understand the current state of NGBs and identify opportunities for the USOC to provide additional support

## Goals

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The USOC launched an initiative to understand the business operations of the National Governing Bodies (NGBs). The goals of the initiative include:



### **Identify leading practices across NGBs**

Leveraging its visibility across NGBs presents an opportunity for the USOC to be a facilitator of best practice sharing and knowledge transfer across NGBs



### **Identify pain points across NGBs**

Analyzing current pain points or barriers that NGBs face will highlight areas where the USOC can be most effective providing additional support or resources



### **Understand different needs of NGBs**

Understanding the variations of membership size, organizational scale, resources and capabilities across NGBs will allow the USOC to better support all NGBs

## Output

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The USOC engaged Deloitte to explore NGB resources, programming, constraints and long term objectives by segment to identify customized programming opportunities. The analysis output includes:



### **NGB Interviews & Database**

A collection of data gathered for all in-scope NGBs to inform segmentation and possible opportunities



### **Segmentation Analysis**

Logical groupings of NGBs based on maturity, size, scale, revenue drivers, and aspirations informed by the NGB Database and interviews



### **Maturity Model**

A capability maturity model that NGBs can use as a tool to understand their current state and map out their future state goals



### **Opportunities List**

Initiative list of opportunities the USOC will prioritize based on organizational goals

# PHASE I: NGB Interviews

*The goal of NGB interviews is to identify pain points and leading practices across NGBs*

The team interviewed executives from 38 NGBs to gather insights on how NGBs operate, their pain points, and potential opportunities



Completed NGB  
Interviews **in Person**

**21**

- Archery
- Basketball
- Bobsled & Skeleton
- Cycling
- Diving
- Fencing
- Field Hockey
- Figure Skating
- Gymnastics
- Handball
- Judo
- Pentathlon
- Rugby
- Sport Climbing
- Synchronized Swimming
- Table Tennis
- Track & Field
- Triathlon
- Volleyball
- Weightlifting
- Wrestling



Completed NGB  
Interviews **Remotely**

**17**

- Badminton
- Biathlon
- Boxing
- Canoe
- Curling
- Equestrian
- Golf
- Ice Hockey
- Luge
- Sailing
- Shooting
- Ski & Snowboard
- Speedskating
- Swimming
- Taekwondo
- Tennis
- Water Polo



NGBs **Not**  
Interviewed **3**

- Surfing
- Rowing
- Soccer

Overall, NGBs face similar challenges and agree there is opportunity for the USOC to provide additional support

## Interview Themes

- NGBs are in unanimous agreement there is opportunity to **work together to improve**
- Many mentioned **the positive impact of support provided by NGB services** for strategic planning and funding for programming
- All agree there is **opportunity to implement shared services** across NGBs including IT, HR, Safe Sport, and Legal Services, but realize not all NGBs need the same services or levels of support
- Many expressed **concern with managing new safe sport** requirements such as establishing new processes to handle incidents and having the right people in place to manage this process
- The financial realities of all NGBs **create a natural tension** when allocating resources across business operations, high performance, and investment in grassroots programs

"Change at my NGB moves at a glacially slow speed. I feel like the **only way to affect real change is with a mandate from the USOC**"

"The NGBs are all the same salad just with different dressing. **Without a doubt there is room for collaboration**, something we are absolutely open to"

"Despite the recent controversy, we have a fantastic **opportunity for the USOC and NGBs to take a giant step forward** in terms of who we are and the definition of our future"

Representative NGB quotes

# Interviews highlighted eight categories that encompass the major activities of all NGBs



## Governance

*Structure and effectiveness of the board, management of regional governing bodies, and execution of safe sport including the grievance process*



## Membership / Grassroots

*Management and growth of membership base as well as youth and development programs*



## High Performance

*Development of the high performance talent pipeline and support of high performance athletes*



## Certification / Education

*Administration of coach / referee certification programs and background checks*



## Revenue Management

*Management of revenues including events, membership, sponsorships, merchandise, and programming*



## Events

*Execution of key events hosted by the NGB as well as coordination with partners for external events*



## Marketing / Communications

*Development of marketing materials, digital content, communications, and the overall NGB brand*



## Administration

*Execution of all back office and general business functions including Finance, HR, and IT*

As an output of the interviews, the team compiled an “NGB Database” to provide NGBs with a tool to identify peer groups

## NGB Database

- Includes information gathered from the interviews and validated by the NGBs
- Will enable NGBs to identify peers within specific categories and compare across different categories

NGB	Administrative Support	Strategic Priorities			Coach and Official Certification/Training	
	Technology Systems Used (HR, IT, Finance, Membership, Events)	#1 Priority	#2 Priority	#3 Priority	Certification Programs Offered	Certification Required to Participate in Sanctioned Events (Y/N)?
American Canoe Association	- CRM: Your Membership - Finance: QuickBooks	Sustain Competitive Excellence	Engage Members	Education	- Working on coach certification program, but no current certification requirement - Officials are required to be certified by the ICS	No
Golf	N/A	Be Known as World Leader in Sport	Sustain Competitive Excellence	Fundraise	N/A	No
US Biathlon Association	- Finance: QuickBooks - Membership: Neon	Sustain Competitive Excellence	Support Athlete Career Development	Fundraise	-No, but robust coaching and official education programs offered	No

*The database includes 43 data points for each NGB, including, but not limited to, the examples below:*

Category	Sub-Categories
<b>Governance</b>	<ul style="list-style-type: none"> <li>• Meeting Cadence</li> <li>• # of Board Members / % Independent</li> </ul>
<b>Revenue &amp; Expense</b>	<ul style="list-style-type: none"> <li>• Total Revenue</li> <li>• Top 3 Largest Revenue Drivers</li> <li>• Top 3 Largest Expenses</li> </ul>
<b>Grassroots/ Membership</b>	<ul style="list-style-type: none"> <li>• Membership Structure</li> <li>• # of Members</li> <li>• Value Proposition of Membership</li> </ul>
<b>High Performance</b>	<ul style="list-style-type: none"> <li>• Largest Recruitment Pipeline</li> <li>• Elite Athlete Support</li> </ul>
<b>Administrative Support</b>	<ul style="list-style-type: none"> <li>• # Business Staff by Function (Finance, HR, IT, etc.)</li> </ul>
<b>Strategic Priorities</b>	<ul style="list-style-type: none"> <li>• Top 3 Strategic Priorities</li> </ul>
<b>Certification</b>	<ul style="list-style-type: none"> <li>• Coach/Official Certification Programs</li> <li>• Certification Required?</li> </ul>
<b>Foundation</b>	<ul style="list-style-type: none"> <li>• Foundation Amount</li> </ul>
<b>Events</b>	<ul style="list-style-type: none"> <li>• # Sanctioned &amp; # NGB-Organized Events</li> <li>• Other Organizations Holding Events</li> </ul>



## PHASE II: Segmentation

*The goal of segmentation is to provide a framework and vocabulary to understand similar NGBs across multiple dimensions*

There are a number of ways to segment the data collected; the team initially looked at three variations

### **1 Business Operation Size**

NGBs grouped into one of four business tiers based on key data points related to business operations such as staff size and revenue

### **2 Primary Revenue Source**

NGBs grouped based on their largest revenue source:

- Membership
- Events
- USOC Funding
- Sponsorship/Licensing
- Grants/Donations/Fundraising
- Certification/Education

# 1 Business Tiers grouped NGBs based on size and resources

Tier 1	Tier 2	Tier 3	Tier 4
<ul style="list-style-type: none"> <li>• US Equestrian Federation</li> <li>• US Figure Skating</li> <li>• USA Golf</li> <li>• USA Gymnastics</li> <li>• USA Hockey</li> <li>• US Ski and Snowboard Association</li> <li>• US Soccer Federation<sup>1</sup></li> <li>• USA Swimming</li> <li>• US Tennis Association</li> <li>• USA Track &amp; Field</li> <li>• USA Volleyball</li> </ul> <p><b>Tier 1 Characteristics:</b></p> <ul style="list-style-type: none"> <li>• Staff - 88</li> <li>• Revenue - \$35M</li> <li>• Membership - 245K</li> <li>• 6.5% USOC Funding<sup>2</sup></li> <li>• NCAA Programs</li> </ul>	<ul style="list-style-type: none"> <li>• USA Basketball</li> <li>• USA Cycling</li> <li>• USA Fencing</li> <li>• USA Field Hockey</li> <li>• US Rowing<sup>1</sup></li> <li>• USA Rugby</li> <li>• US Sailing</li> <li>• USA Shooting</li> <li>• USA Triathlon</li> <li>• USA Water Polo</li> <li>• USA Wrestling</li> </ul> <p><b>Tier 2 Characteristics:</b></p> <ul style="list-style-type: none"> <li>• Staff - 31</li> <li>• Revenue - \$10M</li> <li>• Membership - 45K</li> <li>• 13% USOC Funding<sup>2</sup></li> <li>• NCAA Programs</li> </ul>	<ul style="list-style-type: none"> <li>• USA Archery</li> <li>• USA Bobsled &amp; Skeleton Federation</li> <li>• USA Boxing</li> <li>• USA Curling</li> <li>• USA Diving</li> <li>• USA Judo</li> <li>• USA Luge</li> <li>• US Speedskating</li> <li>• USA Taekwondo</li> <li>• USA Weightlifting</li> </ul> <p><b>Tier 3 Characteristics:</b></p> <ul style="list-style-type: none"> <li>• Staff - 11</li> <li>• Revenue - \$3.5M</li> <li>• Membership - 16K</li> <li>• 27% USOC Funding<sup>2</sup></li> <li>• No NCAA Programs</li> </ul>	<ul style="list-style-type: none"> <li>• USA Badminton</li> <li>• US Biathlon Association</li> <li>• American Canoe Association</li> <li>• USA Climbing</li> <li>• USA Pentathlon</li> <li>• USA Synchronized Swimming</li> <li>• USA Table Tennis</li> <li>• USA Team Handball</li> </ul> <p><b>Tier 4 Characteristics:</b></p> <ul style="list-style-type: none"> <li>• Staff - 3</li> <li>• Revenue - \$1M</li> <li>• Membership - 1.8K</li> <li>• 24% USOC Funding<sup>2</sup></li> <li>• No NCAA Programs</li> </ul>

*Staff size, revenue, and membership progressively increase from Tier 4 to Tier 1*

1. NGB was not interviewed, Tier placement based on publicly available data

2. Represents the median value for the tier

## 2 Revenue segments help identify NGBs with similar operational priorities

Primary Revenue Source	Tier 1	Tier 2	Tier 3	Tier 4	Segment Description
<b>Membership</b>	<ul style="list-style-type: none"> <li>US Equestrian Federation</li> <li>US Figure Skating</li> <li>USA Gymnastics</li> <li>USA Hockey</li> <li>USA Swimming</li> </ul>	<ul style="list-style-type: none"> <li>USA Cycling</li> <li>USA Rugby</li> <li>USA Triathlon</li> <li>USA Water Polo</li> <li>USA Wrestling</li> </ul>	<ul style="list-style-type: none"> <li>USA Boxing</li> <li>USA Judo</li> <li>USA Taekwondo</li> </ul>	<ul style="list-style-type: none"> <li>USA Badminton</li> <li>American Canoe Association</li> <li>USA Climbing</li> <li>USA Synchronized Swimming</li> <li>USA Table Tennis</li> </ul>	<p>Many NGBs <b>focus on growing the sport</b> to drive membership. Generally Tier 1 and 2 NGBs attract members through a <b>unique value proposition</b> while Tier 3 and 4 gain members because membership is necessary to compete</p>
<b>Events</b>	<ul style="list-style-type: none"> <li>US Tennis Association</li> <li>USA Volleyball</li> </ul>	<ul style="list-style-type: none"> <li>USA Fencing</li> <li>USA Field Hockey</li> </ul>		<ul style="list-style-type: none"> <li>USA Pentathlon</li> </ul>	<p>NGBs face <b>little competition</b> in the events space from other organizations</p>
<b>USOC Funding</b>			<ul style="list-style-type: none"> <li>USA Bobsled &amp; Skeleton Federation</li> <li>USA Curling</li> <li>USA Diving</li> <li>USA Luge</li> <li>US Speedskating</li> </ul>	<ul style="list-style-type: none"> <li>US Biathlon Association</li> </ul>	<p>Half of these NGBs are categorized in the USOC's <b>Gold or Silver HP tier</b>; all of these NGBs have smaller staff and revenue and rely on this funding to operate and develop programs</p>
<b>Sponsorship/Licensing</b>	<ul style="list-style-type: none"> <li>USA Golf</li> <li>USA Track &amp; Field</li> </ul>	<ul style="list-style-type: none"> <li>USA Basketball</li> </ul>			<p>NGBs capitalize on their <b>strong brand presence</b> to secure sponsorship and licensing deals</p>
<b>Grants/Donations/Fundraising</b>	<ul style="list-style-type: none"> <li>US Ski and Snowboard Association</li> </ul>	<ul style="list-style-type: none"> <li>US Sailing</li> <li>USA Shooting</li> </ul>	<ul style="list-style-type: none"> <li>USA Archery</li> </ul>	<ul style="list-style-type: none"> <li>USA Team Handball</li> </ul>	<p>NGBs generate revenue from specific parties who are <b>devoted to the sport</b></p>
<b>Certification/Education</b>			<ul style="list-style-type: none"> <li>USA Weightlifting</li> </ul>		<p>NGB differentiates by <b>selling educational products</b> in the marketplace, expanding offerings beyond members</p>

## PHASE III: Maturity Model

*The goal of the maturity model is to provide a framework to understand current NGB capabilities, create strategic goals, and measure progress over time*

The team developed a maturity model to summarize learnings and leading practices across categories

## A Maturity Model is...



- A method to inform organizations where they can increase performance in specific areas and differentiate themselves from peers
- A means to focus an organization to improve some capabilities and maintain others
- A tool that can be used over time to measure progress and shifting priorities





## A Maturity Model is NOT...

- A definitive ranking of an organization's ability to perform or a measure of an organization's future success
- A prescription of what capabilities an organization needs to be successful

*The goal is not to expect NGBs to excel across all capabilities, but to help NGBs **make strategic choices** about which **capabilities to prioritize***

# The model is composed of NGB specific capabilities across the eight categories

Category	Capabilities
 <b>Governance</b>	<i>Recruitment &amp; Succession Planning Training &amp; Development Board of Directors Efficacy Local Affiliate Organization Relationship Grievance Process</i>
 <b>Membership/ Grassroots</b>	<i>Engaging Participants Membership Value Proposition Membership Conversion Membership Retention</i>
 <b>High Performance</b>	<i>Athlete Performance Elite Athlete Support Talent Identification Collegiate Pipeline</i>
 <b>Education/ Certification</b>	<i>Coach &amp; Official Education/Certification Program Athlete Educational Content Athlete Well-Being Ecosystem Education</i>

Category	Capabilities
 <b>Revenue Management</b>	<i>Revenue Stream Diversity Events Revenue Membership Revenue Merchandise Revenue Sponsorship Revenue Programming Revenue Fundraising</i>
 <b>Events</b>	<i>Event Operations Level of Prominence Event Content Value Event Ecosystem</i>
 <b>Marketing/ Communications</b>	<i>Brand Value Digital Presence Marketing &amp; Participant Engagement</i>
 <b>Administration</b>	<i>Finance Information Technology Human Resources Travel &amp; Logistics Strategic Planning Legal</i>

## Maturity Score

MINIMAL (1)	DEVELOPING (2)	PERFORMING (3)	LEADING (4)
<i>The NGB does not currently have the people, process and technology in place to deliver this capability</i>	<i>The NGB has processes in place to deliver this capability but may be lacking adequate staff or technology</i>	<i>The NGB has the right people, process and technology to fully and consistently deliver on this capability</i>	<i>The NGB is a leader in this capability using the best staff and technology to develop innovative processes in this space</i>

NGBs will be able to use this tool to self-assess their current capabilities and identify areas to prioritize

### EXAMPLE MATURITY SCORE CARD

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Events	Event Operations	<ul style="list-style-type: none"> <li>NGB sanctions events, but does not have the capability to host events themselves</li> </ul>	<ul style="list-style-type: none"> <li>NGB is able to partner with other organizations to host events</li> <li>NGB has staff members that help manage events, but are not dedicated to events</li> <li>NGB does not have dedicated event technology</li> </ul>	<ul style="list-style-type: none"> <li>NGB is able to host a few events a year on their own</li> <li>NGB has dedicated staff in charge of executing events</li> <li>NGB has stand-alone technology systems to support event management</li> </ul>	<ul style="list-style-type: none"> <li>NGB is able to host several events a year on their own</li> <li>NGB has a team of dedicated staff trained to execute events</li> <li>NGB has technology systems to support events that integrate with other systems such as finance and membership</li> </ul>
	Level of Prominence	<ul style="list-style-type: none"> <li>NGB is capable of hosting or sponsoring national events</li> </ul>	<ul style="list-style-type: none"> <li>NGB is capable of executing a national championship series</li> </ul>	<ul style="list-style-type: none"> <li>NGB is capable of executing international events every few years</li> </ul>	<ul style="list-style-type: none"> <li>NGB is capable of executing international events annually</li> </ul>
	Event Content Value	<ul style="list-style-type: none"> <li>Event content is not compelling and struggles to attract an audience</li> <li>Events are not conducive to spectators in person or via broadcast channels</li> </ul>	<ul style="list-style-type: none"> <li>Event content is compelling to a niche audience</li> <li>Events are conducive to spectators either in person or via broadcast channels</li> <li>Major events draw some spectators</li> </ul>	<ul style="list-style-type: none"> <li>Event content is compelling to sport enthusiasts</li> <li>Most events are conducive to spectators both in person and via broadcast channels</li> <li>Major events are able to draw spectators</li> </ul>	<ul style="list-style-type: none"> <li>Event content compelling to the general public</li> <li>All events are extremely conducive to spectators both in person and via broadcast channels</li> <li>Events are widely popular as spectator sports</li> </ul>
	Event Ecosystem	<ul style="list-style-type: none"> <li>NGB frequently loses participants to other organizations' events (e.g., AAU, private third parties)</li> <li>There is no unique benefit for athletes to participate in NGB sanctioned events</li> </ul>	<ul style="list-style-type: none"> <li>NGB faces some competition from other organizations holding events (e.g., AAU, private third parties)</li> <li>NGB is the leader in the ecosystem and host / sanction the majority of events</li> </ul>	<ul style="list-style-type: none"> <li>NGB hosts a vast majority of events in this sport</li> <li>NGB hosted events present a unique benefit for athletes to participate (e.g., qualification for other events)</li> </ul>	<ul style="list-style-type: none"> <li>NGB is the sole host of events in this sport</li> <li>Participating in NGB events is considered necessary for athletes competing in the sport</li> </ul>

### Maturity Score

The four point scale places NGBs across the maturity spectrum from Minimal to Leading

### Maturity Description

Descriptions illustrate the capabilities associated with organizations at each maturity level

### Category

Eight operational categories will be evaluated, ranging from events to administration

### Capability

Each category has various capabilities to be evaluated and assessed



## Maturity Model Example– Governance/Compliance (1 of 2)

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Governance/ Compliance	Recruitment & Succession Planning	<ul style="list-style-type: none"> <li>Nominating and Governance Committee does not work to vet new director candidates</li> <li>Succession planning does not exist</li> </ul>	<ul style="list-style-type: none"> <li>Nominating and Governance Committee spends some time reviewing new director candidates</li> <li>Succession planning exists informally on an individual basis</li> </ul>	<ul style="list-style-type: none"> <li>Nominating and Governance Committee thoroughly vets a number of director candidates</li> <li>Succession planning is managed by most directors but on an individual basis</li> </ul>	<ul style="list-style-type: none"> <li>Nominating and Governance Committee actively seeks director candidates based on skill needs and thoroughly vet candidates</li> <li>Succession planning is strategically managed by the board to optimize board effectiveness</li> </ul>
	Training & Development	<ul style="list-style-type: none"> <li>Board members do not undergo any form of training or onboarding</li> <li>Board members are unaware of their full duties to the organization</li> </ul>	<ul style="list-style-type: none"> <li>Board training and onboarding is informal and is not required of all members</li> <li>Board members are aware of their full duties to the organization</li> </ul>	<ul style="list-style-type: none"> <li>Formal training and onboarding is completed for all board members prior to joining</li> <li>Board members are aware of and understand their full duties to the organization</li> </ul>	<ul style="list-style-type: none"> <li>A robust onboarding as well as initial and ongoing training is completed by all members</li> <li>Board members are aware of, understand, and are contractually bound to their full duties to the organization with ramifications for failing to meet expectations</li> </ul>
	Board of Directors Efficacy	<ul style="list-style-type: none"> <li>The CEO spends a significant amount of time managing the board</li> <li>Board lacks sufficient business acumen and knowledge</li> <li>Some board members are disengaged and don't attend meetings</li> </ul>	<ul style="list-style-type: none"> <li>Board spends the majority of time "in the weeds" with day-to-day operational activities</li> <li>The CEO mainly engages with 2-3 board members for strategic direction</li> <li>The board meets on a regular basis (e.g. quarterly) and most members are engaged during meetings</li> </ul>	<ul style="list-style-type: none"> <li>Board mainly provides valuable strategic support, but occasionally strays towards operations</li> <li>A number of board members bring deep business experience and constituents bring sport-specific knowledge</li> </ul>	<ul style="list-style-type: none"> <li>Board provides valuable high-level strategic support on a regular basis</li> <li>Board members are accomplished business leaders and the group operates as a high-functioning, engaged team</li> <li>All board members bring robust sport-specific and/or business knowledge</li> </ul>

## Maturity Model Example– Governance/Compliance (2 of 2)

Category	Capability	Assessment Scale			
		1 = Minimal	2 = Defined	3 = Performing	4 = Leading
Governance/ Compliance	Local Affiliate Organization Relationship	<ul style="list-style-type: none"> <li>Local affiliate organizations' strategic priorities are not aligned with those of the NGB</li> <li>NGB allows local affiliate organizations to run independently without oversight</li> </ul>	<ul style="list-style-type: none"> <li>Local affiliate organizations and the NGB are aligned on strategic priorities and plans for achieving them, but efforts are sometimes duplicated</li> <li>NGB manages local affiliates but is relatively hands-off</li> </ul>	<ul style="list-style-type: none"> <li>Local affiliate organizations and the NGB work together to achieve a common set of strategic priorities</li> <li>NGB manages local affiliates effectively, but there are no direct staff responsible for each affiliate</li> </ul>	<ul style="list-style-type: none"> <li>Local affiliate organizations and the NGB work to develop and successfully execute a plan for achieving the NGB's strategic priorities</li> <li>NGB provides effective management to all local affiliates with dedicated staff supporting the local affiliates</li> </ul>
	Grievance Process	<ul style="list-style-type: none"> <li>NGB has engaged other NGBs/USOC/Safe Sport Center to learn about handling grievances, but has not created formal processes</li> <li>Stakeholders know the high level process for grievances but are less familiar with the detailed steps</li> <li>Constituents do not know how to file a grievance</li> </ul>	<ul style="list-style-type: none"> <li>NGB has a documented process for handling grievances</li> <li>Stakeholders feel comfortable with the processes and steps for handling grievances, but would feel more comfortable with legal guidance</li> <li>The majority of constituents struggle to understand the grievance process</li> </ul>	<ul style="list-style-type: none"> <li>NGB has a documented process for handling grievances in a timely manner that includes independent support when needed</li> <li>Stakeholders are confident in their ability to manage all grievances</li> <li>Most constituents understand the process to file a grievance</li> </ul>	<ul style="list-style-type: none"> <li>NGB has a well defined process for handling grievances in a timely manner using an independent board</li> <li>The process is clearly communicated to all stakeholders</li> <li>All constituents are proactively informed of the process to file a grievance and find the process easy</li> </ul>

# PHASE IV: Opportunity Identification

*The goal of opportunity identification is to provide solutions for the USOC to address NGB pain points*

The opportunity list spans 7 of the 8 NGB key categories, and also includes talent development as an enabler for all business operations



### Governance

Structure and effectiveness of the board, management of regional governing bodies, and execution of safe sport including the grievance process



### Membership / Grassroots

Management and growth of membership base as well as youth and development programs



### High Performance

Development of the high performance talent pipeline and support of high performance athletes



### Certification / Education

Administration of coach / referee certification programs and background checks



### Revenue Management

Management of revenues including events, membership, sponsorships, merchandise, and programming



### Events

Execution of key events hosted by the NGB as well as coordination with partners for external events



### Marketing / Communications

Development of marketing materials, digital content, communications, and the overall NGB brand



### Administration

Execution of all back office and general business functions including Finance, HR, and IT



### Talent Development

Talent development focuses on creating programs to share resources and better develop talent across the Olympic ecosystem, enabling the above capabilities

The USOC should begin executing the initiatives that are needed to “get to good” while starting to define the future strategy to prioritize longer term initiatives

### Work on Getting to Good...

### ...While Picking your Path for the Future

***First, the USOC should begin to identify initiatives that will make a meaningful impact and allow NGBs to “Get to Good”***

***At the same time, the USOC needs to define their strategic priorities and select the initiatives that will support that strategy***

#### **Prioritized focus areas may include:**

- **Governance** – provide training programs and resources to elevate board performance
- **Strategy** – formalize and expand support offered to NGBs to develop strategic and operational plans and support additional strategic initiatives
- **Safe Sport** – coordinate with the Center for Safe Sport to provide standard grievance guidelines and marketing materials for safe sport

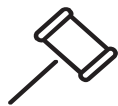
#### **Strategic platforms could include:**

- **Revenue Growth**– support revenue generating opportunities such as OTT platform, events, membership, sponsorships
- **Safety for Athletes** – focus on developing training, defining a process for grievances, and launching a safe sport campaign
- **Grassroots Development** – expand the mission of the USOC to include supporting grassroots development in sports
- **Athlete Development/Pipeline** – double down on athlete/coach/official talent development and pipeline
- **Focus on Strengths** –identify initiatives where the USOC is most likely to succeed

What this means

What this could look like

Three opportunity areas were identified where Deloitte believes additional support can be provided to NGBs in the short term



**Governance**

Key Learning

Many NGBs expressed a need for additional guidance and support from the USOC and more information on governance leading practices



**Strategy Development**

NGBs, particularly smaller NGBs, lack the time and expertise needed to effectively articulate a strategy and focus the organization in order to execute



**Safe Sport**

New safe sport regulations have overwhelmed many NGBs and they are looking for additional guidance / support in order to execute the new guidelines

Deloitte Recommendations

*The USOC should provide resources for NGBs and their boards to evaluate the capability of board members and support NGB’s efforts to satisfy compliance checklist items*

*The USOC should formalize and evaluate the expansion of the strategic and operational planning support it currently provides to select NGBs*

*The USOC should continue to partner with the Center for Safe Sport, encouraging and facilitating relationships between NGBs and the Center. The USOC should also evaluate options to support NGBs with grievances out of the scope of the Center*



**September 2018  
Administration Committee Reports  
Robert Broyles  
National Administration Vice Chair**

**Awards Committee, Ellaine Cox, chair**

Nomination forms for the USA Swimming Award, to be presented at this year's convention, were mailed out in May. Nominations have been returned and will be read, discussed and voted upon during the closed session meeting by all past recipients of the award who are present at the convention and this meeting.

National Meet awards were ordered and presented at appropriate meets.

Preparation underway for the other Awards that are presented at the convention. Awards that are stored in house in Colorado Springs have been shipped and will also be presented during the convention.

**Convention Education Committee: Jayne Spittler, chair**

**Credentials/Elections Committee: Laurie Benton, chair**

Credential/Elections is finalizing everything needed for Convention, the delegate lists, Athlete of the Year, etc.

**Operational Risk Committee: Mary Jo Swalley, chair**

- Committee has conducted pre-convention business by conference calls. Major convention workshop item will be the rollout of the updated Safety Training for Swim Coaches presented by the American Red Cross on Friday morning. This is an education element requiring renewal every 2 years by all coach members. The workshop will also include a presentation by Hammer Head on concussion prevention and an insurance report.
- Committee will use its business meeting time to plan for the 2019 Zone Workshops in Denver and Chicago where Operational Risk will have a track for LSC OpRisk Chairs. This will replace a separate OpRisk weekend workshop.
- At convention, Committee will give a presentation on concussion at the Officials' meeting.

- The updated Operational Risk Manual is now posted on the website.
- Discussion has been held regarding the most recent requirement States are placing on youth coaches: education and awareness of Sudden Cardiac Arrest. Now mandatory in 10 states, pending in 5 and adopted by athletic associations in California and Florida. States are modeling after concussion laws including annual requirement to sign an information form before competing.
- Thank you to all of this year's committee members: John Kline, Starre Haney, Jade Mueller-Galbraith, Jennifer Ridge, George Sampson, Mike Seip, Lynne Shine, Adam Zeichner and our outstanding partners Connie Harvey (ARC), Mike Espino (Y) and Sandi Blumit (Risk Management Services). Plus our staff liaison, George Ward and our VP Robert Broyles.

## **Registration/Membership Committee: Mark Brown, chair**

## **Rules Committee – Jay Thomas, chair**

1. Rules and Regulations Committee Meeting – Held in Dallas, TX , June 1-2, 2018.
2. 2019 – Rules Proposals – the package includes 24 total items. 19 – R items, 5 – HK items.
3. Interpretations – No new interpretations issued since the last report.
4. Trans Gender Task Force - Served as a member of this Task Force. Continued to support the TF Chair in developing the recommendations for BOD Policy Manual and supporting legislation.
5. Multi-Discipline Swim Suit Working Group – Participated in a conference call with USA Diving concerning the growing issue of inappropriate wear of swim suits by athletes across a large cross section of aquatics disciplines. Diving is considering legislation to address the issue. We will attempt to meet face to face at Convention to collaborate regarding possible solutions to what is perceived to be a growing issue.





**Athletes' Executive Committee**  
USA Swimming, Inc.  
1 Olympic Plaza  
Colorado Springs, CO 80909-5770  
t: 719.866.4578

To: USA Swimming Board of Directors

From: Van Donkersgoed, Deputy Vice Chair Athletes'

Re: September 2018 Board of Directors Report

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**Action Items:**

1. Approval of Policy Manual Changes
2. Proposed Changes to 505

**May Athletes' Executive Committee Meeting**

The AEC met in May in Ft. Lauderdale and the majority of the meeting was focused on discussing and passing the committee restructure. We were pleased to have guests from Synchro and CONSANAT attend our meeting to discuss areas of mutual athlete interest and learn from each other. The minutes for this meeting can be found [here](#).

**2019 Summit Update**

We are pleased to announce that the 2019 Athlete Leadership Summit will be held Thursday, April 25 – Sunday, April 28, 2019 in Colorado Springs, Colorado. A significant cost savings is anticipated as a result of using Colorado Springs and the Olympic Training Center/USA Swimming office as the venue for the summit. LSCs have been notified of the date and location, and a joint task force led by staff, and comprised of staff and AEC members, will start the planning process very soon.

**2018 Convention Update**

This year's convention is a bit different for our athlete attendees. In continuing with the theme of leadership, the session will be facilitated by the group that worked with us on the leadership summit in the spring. The sessions are going to be geared to helping athletes find their voice, learn the value and skill of personal reflection, and chart meaningful paths toward impacting culture within their LSCs.

**USAS Athlete Representation**

United States Aquatic Sports has asked USA Swimming to identify an athlete member from the NGB to represent the NGB to USAS. The newly seated AEC will take up this nomination at its first business meeting on Friday at convention.

**AEC Elections**

The AEC restructure has been a tremendously thorough process, resulting in the elections that will take place in conjunction with the board athlete elections on Friday afternoon. The AEC will

be nimbler in size, focused on helping staff with various KPIs they are accountable for, and reaching deeper into the membership constituency than ever before. The AEC will elect it's own officers from among those that are elected by the athletes' committee on Friday. This mirrors the direction that the Board has taken with its governance restructure.

### **AEC Transitions**

I will not be running for an AEC leadership position; however, I intend to remain on the committee for one more term to help with the transition. Cathy Durance has been fantastic in navigating this transition, and I trust that she will be an incredible person for the committee to report to in the coming years.

### **Personal Anecdote**

Thank you for allowing me to serve for the past four years. I have really appreciated my experience, and more importantly, value and cherish the wonderful colleagues I have been humbled to work with. I know this organization is moving onto new and exciting things, and I trust that the new board will nurture this growth for years to come.



The mission of the Eastern Zone is: To develop a unified organization designed to work in cooperation with the LSCs to support and promote the Eastern Zone Swimming Membership.

#### **Eastern Zone Swimming Report**

**USA Swimming Board of Directors Meeting – September 25<sup>th</sup> 2018**

**Respectfully submitted by Tristan Formon and Mary Turner**

[tristan@berkeleyaquaticclub.com](mailto:tristan@berkeleyaquaticclub.com) [myturner525@gmail.com](mailto:myturner525@gmail.com)

[www.easternzoneswimming.org](http://www.easternzoneswimming.org)

#### **EZ Diversity and Inclusion Committee**

**Nadine J.-Jesioneck, Eastern Zone Diversity and Inclusion Coordinator, [ezdiversityandinclusion@gmail.com](mailto:ezdiversityandinclusion@gmail.com)**

The EZ Diversity and Inclusion Committee continues to convene regularly via conference call. The Committee's continued challenge is to activate the D & I representatives within all 12 EZ LSC's to support the athletes and provide programming. To date they have achieved 11 LSC's participating therefore well on their way to achieving full participation.

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.
- Construction of a list of National level athletes to support events and meets in various LSC's
- Discussion of what are challenges being faced and how to turn these Challenges into opportunities within our LSC's.
- Aspen Institute – enrollment into organized sports has declined by 10 percent in the past 10 years and is projected to decrease by another 10 percent in the next 10 years
- Exploring what's been done in other Zones (i.e. Central Zone Multi-Cultural Meets)
- Developing a proposal for an EZ Travel team to attend multicultural meet – seeking funding support from EZ on the off years from the EZ D & I Camp & Summit
- Western Zone sent a Travel Team to EZ Black History Meet; resulting in conference call with EZ & WZ
- LSC Camps & Clinics in this off year from D & I Camp & Regional Summit
- Working to get bid finalized from VA Swimming for the 2019 EZ D & I Camp & Regional Summit
- Congratulations to the Award winners "mostly from EZ" at the Diversity and Aquatics Convention.
- Looking forward to continued success within the new structure with the Zone Coordinator positions being appointed by the D & I National Committee

EZ Committee hope to connect at convention and its next formal meeting to be held in October 2018

#### **EZ Board of Review**

**Ward Foley, Eastern Zone Board Of Review Chair, [gefoley@yahoo.com](mailto:gefoley@yahoo.com)**

From July 15 to today:

One case dismissed.

Two cases referred back to the LSC.

One case possibly pending. Waiting on more information from the LSC



### **2018 EZ Championship Meets**

#### **2018 Zone Open Water Championship**

**Saturday, June 30, 2018, Lake Quassapaug in Middlebury, CT (hosted by Shoreline Aquatic Club, CT Swimming)**

**Meet Referee: Dave Heller / Meet Director: Jen Lyman**

*Number of Athletes: 472*

*Number of Splashes: 474*

*Number of Scratches: 50*

*Number of Teams: 60*

*Number of LSC: 11*

*Number of male athletes entered in the 5k: 65*

*Number of female athletes entered in the 5k: 71*

*Number of athletes entered in the 2k combined: 255*

*Number of athletes entered in the Mini combined: 83*

*Dave Heller: There were 24 officials that volunteered to work the event. Five of the 12 LSC's in the Eastern Zone were represented. The officiating crew did an outstanding job providing the best possible opportunities for the swimmers throughout the event on June 30, 2018. All of the swimmers that entered the water safely completed their races and all participants complied with all USA Swimming Open Water rules.*

#### **2018 Long Course Senior Zone Championship**

**August 2-5, 2018, Buffalo, NY (hosted by Star Swimming)**

**Meet Referee: Jan van Nimwegen / Meet Director: Phil Aronica**

*Athletes: 455 (around 100 fewer than last year)*

*Relays: 39*

*Total Splashes: 1762 (first round)*

*Number of Improved Times: 443 (about 25%)*

*Number of Meet Records / Re-Broken: 7*

*Jan van Nimwegen: The meet was smaller compared to last year. This resulted in some challenges for the time lines to offer swimmers reasonable times between swims. Time trials were offered each day (the first day after the distance sessions, per request from the coaches). In total about 218 splashes were counted in time trials.*

#### **2018 Long Course Age Group Championship**

**August 8-11, 2018, Richmond, VA (hosted by Virginia Swimming)**

**Meet Referee: Bob Rustin / Meet Director: Lori Hopewell**

*Teams: 12*

*Athletes: 946 Total, 472 Women, 474 Men*

*First Round Splashes: 3897 (379 Relays)*

*New Meet Records: 25*

*Improved Times: 47% (HyTek Meet Manager)*

*Bob Rustin: Although there were some concerns about the attendance being down from last year, this was a very good size for this meet and made the timelines and meet management quite easy. We considered chase starts in the pre-planning, but when we ran those scenarios we found that significant numbers of athletes would be coming back for the next event in*



*15 minutes or less, so we did not use chase starts in any sessions. We had 54 officials work the meet and all the sessions were well staffed. 21 officials had national evaluations, thanks to Paul and Bob for making them a positive experience with excellent mentoring. Thanks also to Mari Weferling (Maine) and JoAnn Faucett who worked every session at Deck Ref and made sure the meet ran well. Thanks also to NOVA Virginia, our host club, who did an excellent job staffing and overseeing the meet. Well Done NOVA!*

**2019 EZ Championship Meets**

**2019 Short Course Age Group Championship**

April 3-6, 2019, Webster, NY (hosted by Fairport Swimming)

**2019 Speedo Sectionals Spring Long Course**

March 28-31, 2019, Buffalo, NY (hosted by Star Swimming)

**2019 Speedo Sectionals Region 2 (South)**

March 28-31, 2019, Christiansburg, VA (hosted by Virginia Swimming)

**2019 Speedo Sectionals Region 1 (North)**

March 28-31, 2019, Ithaca, NY (hosted by Syracuse Chargers)

**2019 IM Extreme Games-NE**

January 25-27, 2019, University of Maryland, College Park, MD (hosted by Potomac Marlins)

**2019 Long Course Age Group Championship**

August 7-10, 2019, Richmond, VA (hosted by Virginia Swimming)

**2019 Long Course Senior Zone Championship**

August 1-4, 2019, Buffalo, NY (hosted by Star Swimming)

**2019 Speedo Sectionals Long Course "Super Sectional"**

No Bids Received

**2019 Zone Open Water Championship**

TBD



# FINA STRATEGIC PLAN 2018 - 2021



**FINA**  
WATER IS OUR WORLD



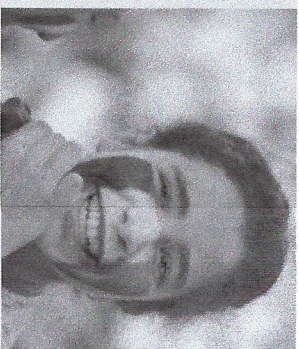
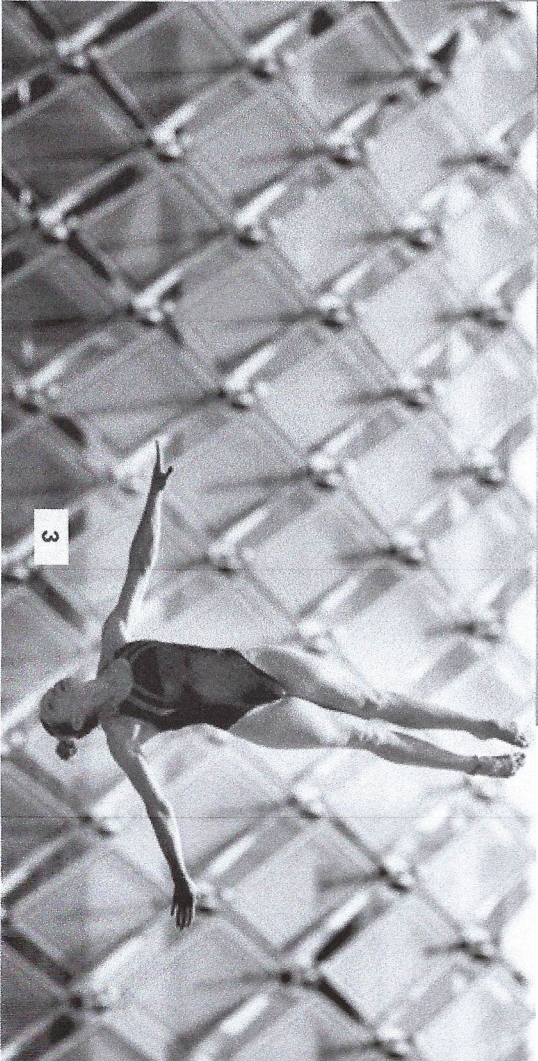
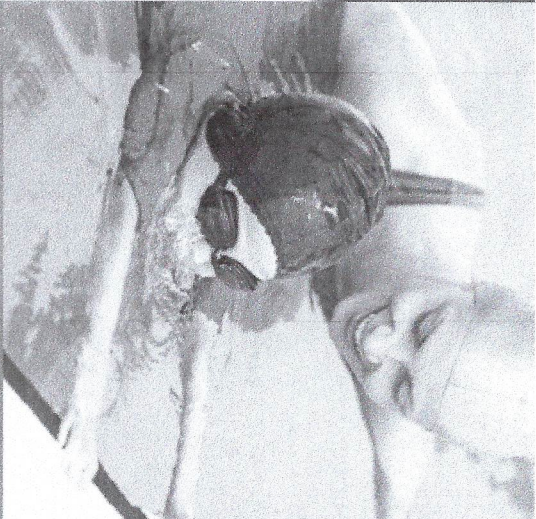
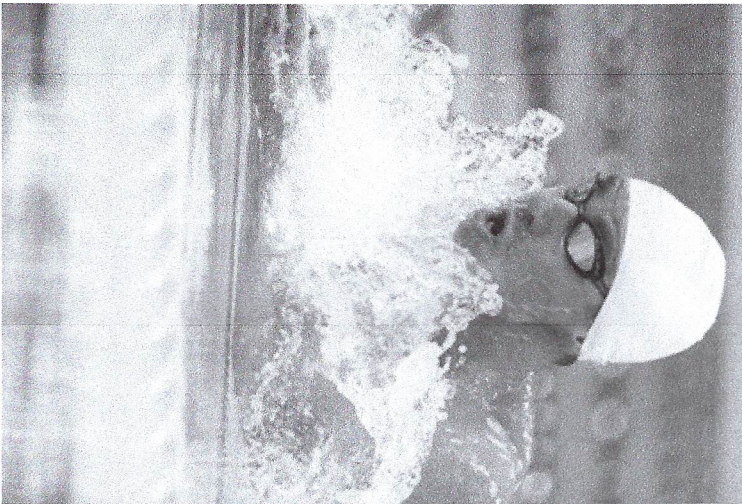
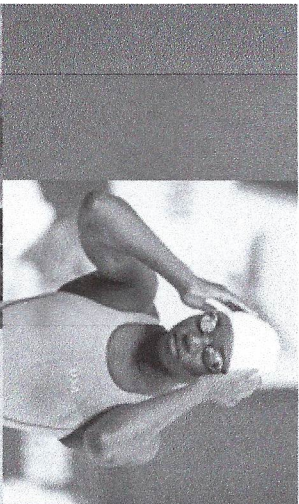


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WATER IS OUR WORLD

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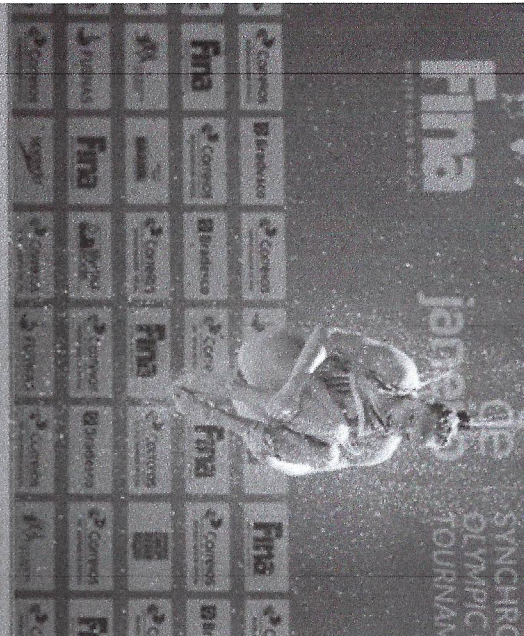


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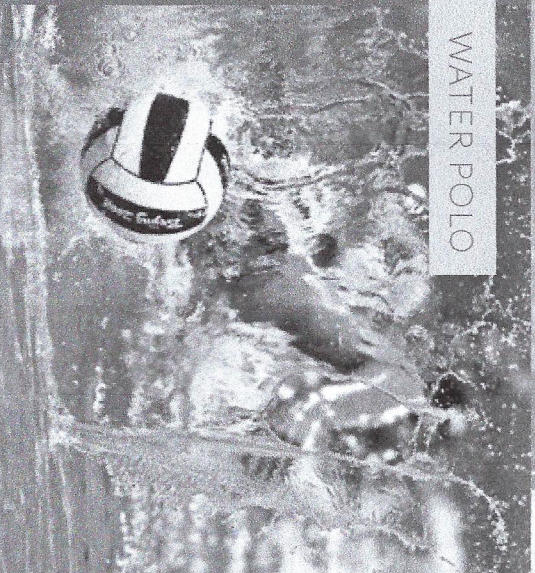




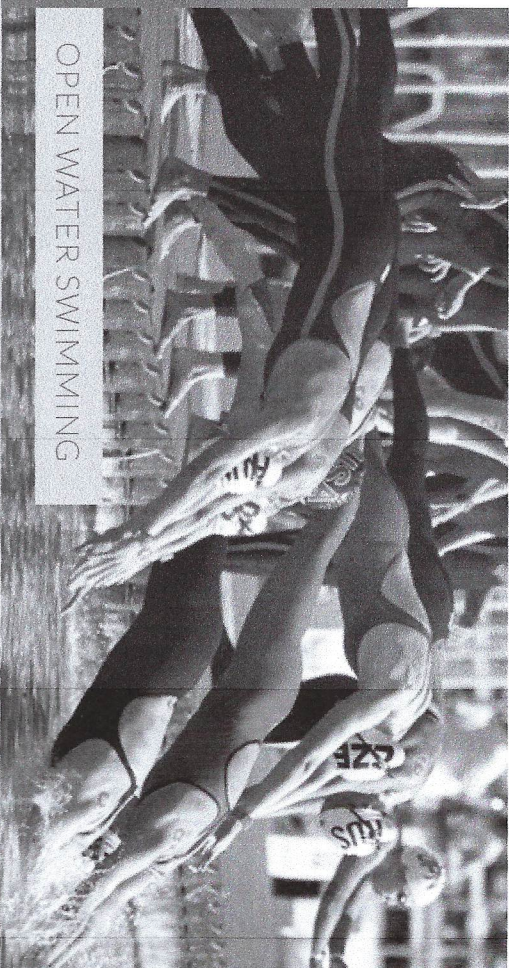
ARTISTIC SWIMMING



WATER POLO



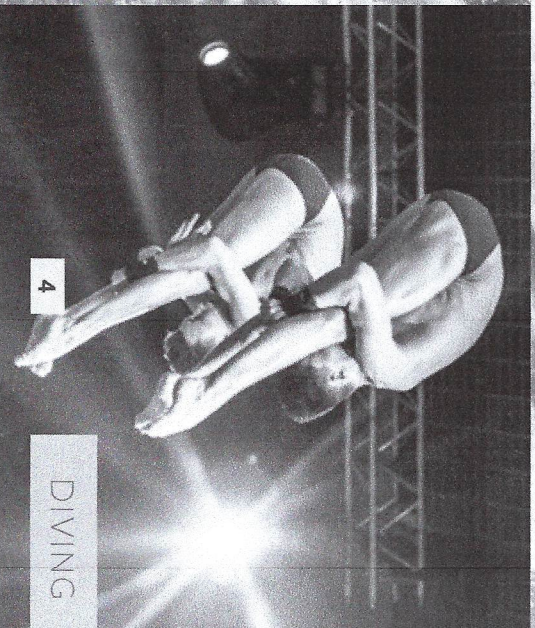
OPEN WATER SWIMMING



SWIMMING



DIVING



HIGH DIVING







## Message from the President

The last four years have proved hugely successful for FINA.

In May 2013, the International Olympic Committee promoted FINA to the top tier of Summer Olympic Sports. In June 2017, the International Olympic Committee reinforced this reward, confirming aquatics will have the highest number of medals (49) of any sport at the Tokyo 2020 Summer Olympic Games.

We have experienced 3 successful editions of the FINA World Championships – in Barcelona (2013), Kazan (2015) and Budapest (2017) – and our top-level annual events for each discipline have grown.

Success at the top end of our sport has enabled FINA to invest at record levels in aquatic sports worldwide.

In 2018, we have an excellent starting point to build on recent successes; to pursue our mission of increasing participation in aquatic sports and our vision to enable everyone in the world to swim. This Strategic Plan sets the framework as to how FINA will accomplish this.

### **The FINA Strategic Plan 2018 – 2021 will be underpinned by 4 pillars:**

**1. Raising Standards 2. Accelerating Potential 3. Uniting Passions 4. Sustaining Growth**

Everything FINA does between 2018 and 2021 will be focused on strengthening one of these pillars.

Our Strategic Plan lays out 10 goals FINA will work to deliver over the next 4 years.

We look forward to working with all partners and stakeholders in the coming years to achieve these goals and grow our aquatic sports family.

Yours,

A handwritten signature in blue ink, appearing to read 'J. Maglione'.

Dr. Julio Maglione  
*FINA President*



# VISION

To enable everyone in the world to swim.

# MISSION

To increase participation in all aquatic sports.







# 4 PILLARS OF THE STRATEGIC PLAN

1.

## RAISING STANDARDS

make continuous improvements to the way aquatic sports is governed and experienced, and to the health and well-being of athletes.

2.

## ACCELERATING POTENTIAL

develop framework supporting National Federations to grow participation and facilitate performance pathways to world-class competition.

3.

## UNITING PASSIONS

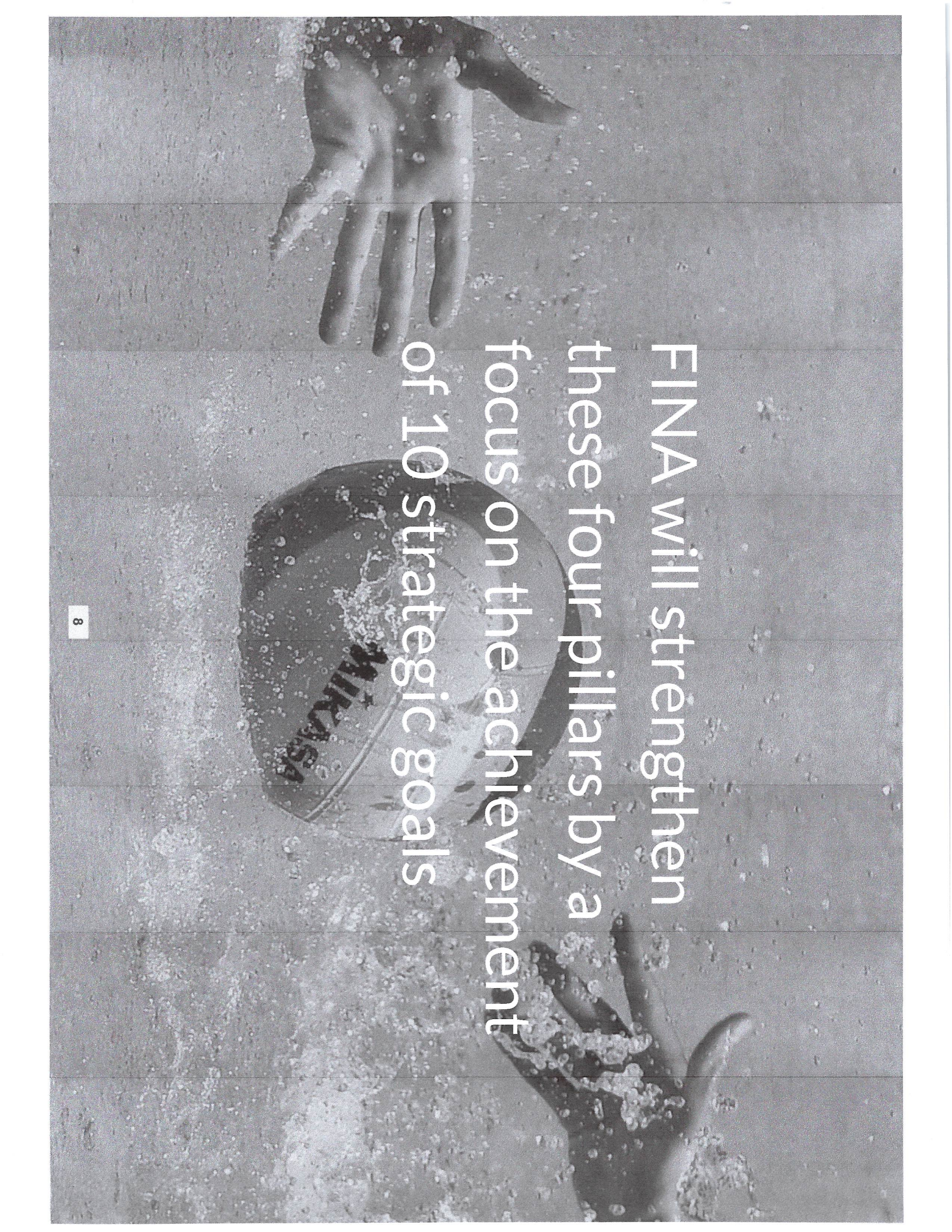
work in partnership with athletes and teams to engage and grow audiences worldwide for all aquatic sports.

4.

## SUSTAINING GROWTH

deliver entertaining events, working with great partners to grow revenues to reinvest in aquatic sports.





FINA will strengthen  
these four pillars by a  
focus on the achievement  
of 10 strategic goals



# OUR STRATEGIC GOALS

RAISING STANDARDS	ACCELERATING POTENTIAL	UNITING PASSIONS	SUSTAINING GROWTH
1 Optimise organisational effectiveness.	4 Increase participation in aquatic sports.	6 Engage and grow audiences worldwide.	8 Consistently deliver entertaining events.
2 Apply good governance throughout FINA and its stakeholders.	5 Optimise high-performance pathways.	7 Inspire athletes to be the best they can be.	9 Unite stakeholders in the promotion of aquatic sports.
3 Ensure the well-being of our athletes and our sport.			10 Maximise revenues for sustainable growth of aquatic sports.





## GOALS

### 1. Optimise organisational effectiveness

For aquatic sports to thrive worldwide, FINA and its employees must operate as a high-performance workforce. FINA will continue to leverage talent, knowledge and technology to raise standards, improve effectiveness, and deliver exceptional levels of service to its members and the global aquatics community.

- 1.1:** Continue to develop internal capabilities, communication and collaboration
- 1.2:** Develop strategies and systems to increase business intelligence
- 1.3:** Ensure FINA provides the highest levels of service to its members, with a focus on administration and technology, to adapt to and enhance the global aquatics community

### 2. Apply good governance throughout FINA and its stakeholders

FINA recognises that a culture of good governance must permeate every aspect of aquatic sports. FINA will regularly scrutinise, and identify ways to improve, its own governance and help its National Federations adopt and implement the principles of good governance.

- 2.1:** Ensure FINA governance is transparent, effective and agile so aquatic sports can thrive in an ever-changing world
- 2.2:** Ensure FINA supports all member National Federations in the adoption of good governance
- 2.3:** Ensure FINA financial management reflects the highest recognised international standards aquatics community

### 3. Ensure well-being of our athletes and our sport

Fundamental to the growth and development of aquatic sports is the health and well-being of athletes. FINA will continue to work in support of athletes, providing guidance and a regulatory framework so they remain healthy and can compete in the knowledge that everyone has a fair and equal chance of success.

- 3.1:** FINA to promote the highest possible ethical values to protect the integrity of aquatic sports
- 3.2:** FINA to ensure its robust anti-doping rules, regulations and procedures safeguard clean athletes
- 3.3:** FINA to educate its athletes, coaches, officials, and National Federations to ensure their well-being and compliance with ethical principles



## GOALS

### 4. Increase participation in aquatic sports

Building strong foundations is a requirement for the growth and development of aquatic sports. FINA development programmes will provide resources to help more people experience the enjoyment of swimming and its health benefits, and to launch the journeys of future aquatics stars.

**4.1:** Increase number of registered participants in aquatic sports to 30 million by 2021

**4.2:** Support National Federations to grow aquatics communities and promote healthy living

**4.3:** Work with International Olympic Committee, United Nations, and governmental organisations to reduce number of people drowning each year

### 5. Optimise high-performance pathways

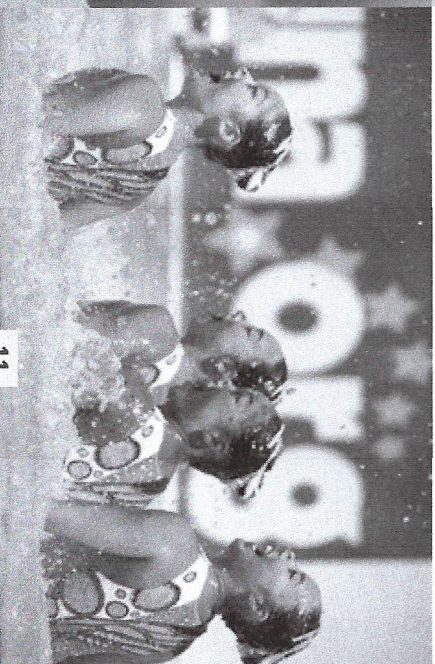
Increasing the number of National Federations represented in FINA and Olympic aquatics competitions will stimulate greater participation in our sports. FINA will continue to develop the framework that helps talented athletes, coaches and officials realise their potential and compete, coach and officiate at the highest level.

**5.1:** Increase number of National Federations that develop elite athletes and teams qualifying for FINA events and the Olympic Games

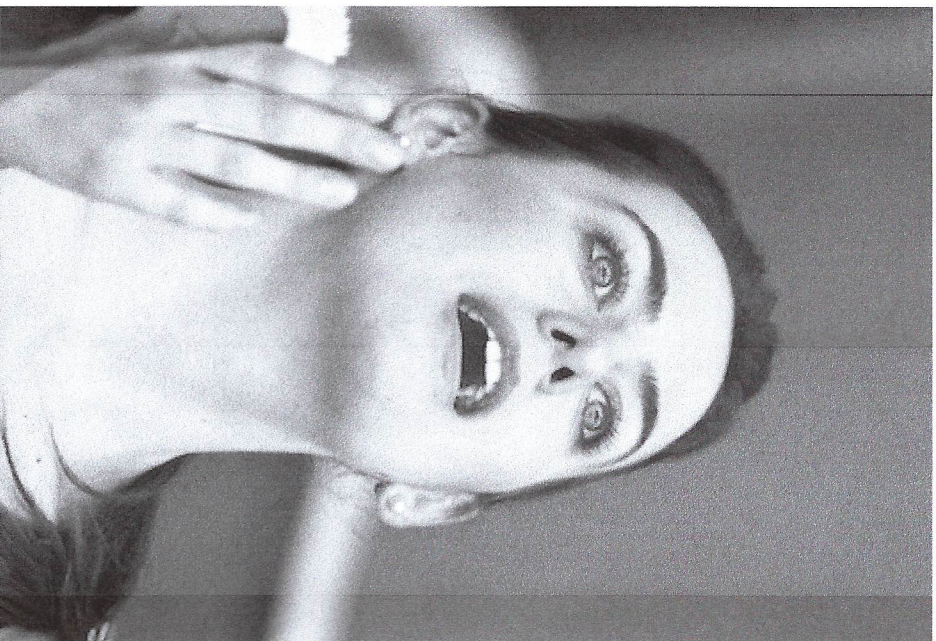
**5.2:** 100% of athletes competing in FINA events have coaches certified by FINA

**5.3:** 100% of judges and referees at FINA events are certified by FINA

# ACCELERATING POTENTIAL







# UNITING PASSIONS

## GOALS

### 6. Engage and grow audiences worldwide

Inspiring fans of our sport by the incredible performances and achievements of their heroes, FINA will communicate powerful, emotional and factual stories about our athletes, our teams and our events, to fuel passions and inspire more people worldwide to engage with and follow our sports.

**6.1:** Build strong relationships with athletes

**6.2:** Create strong narratives around athletes and teams, and more consistent and improved coverage of all FINA events

**6.3:** Leverage Olympic Games to place aquatics centre stage

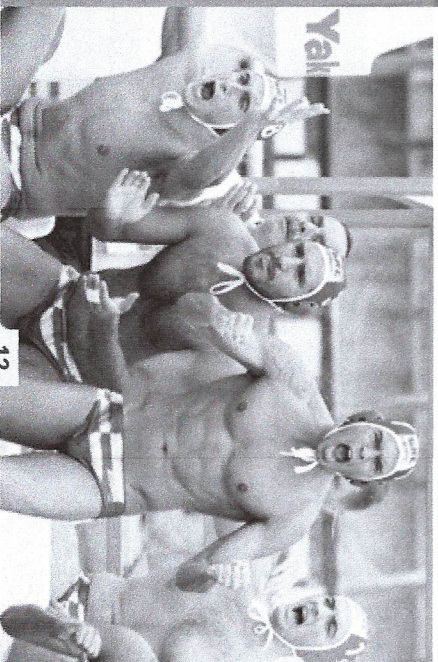
### 7. Inspire athletes to be the best they can be

Creating competition environments in which athletes thrive is vital to inspire world-class performances. FINA will design great event experiences for athletes and motivate more to compete at the highest level.

**7.1:** Deliver successful events that showcase the world's best athletes

**7.2:** Increase the spread of medal winners and event hosts across more National Federations

**7.3:** Ensure FINA Awards are seen as the ultimate aquatics accolade for athletes, coaches, and officials



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## GOALS

### 8. Consistently deliver entertaining events

Capturing the attention of audiences worldwide, FINA events will create unique and valuable entertainment properties that attract and grow audiences for every discipline.

- 8.1: Develop a consistent calendar of exciting events to include all disciplines
- 8.2: Build loyal and valuable audiences for each discipline
- 8.3: Regulate the delivery of events according to FINA rules and standards

### 9. Unite stakeholders in the promotion of aquatic sports

Promoting aquatic sports worldwide, FINA will maintain and grow strong relationships with sport, government, and industry organisations at an international, national, and local level.

- 9.1: Maintain strong partnerships with National Federations, continental Associations, broadcasters, sponsors, and event organisers
- 9.2: Remain a valuable and committed partner to the International Olympic Committee
- 9.3: Encourage the development of the global aquatics industry through the increase of networking opportunities

### 10. Maximise revenues for sustainable growth of aquatic sports

Increasing income from FINA's elite competitions is essential to sustain the growth of our sport. FINA's commercial strategy will encourage investment in aquatic sports, create valuable partnerships, and generate revenues to reinvest in participation and high-performance programmes.

- 10.1: Maximise commercial value of FINA World Championships and drive record levels of revenue through all assets
- 10.2: Protect the legitimate and commercial interests of FINA and its stakeholders
- 10.3: Deliver ongoing sustainable investment in aquatic sports



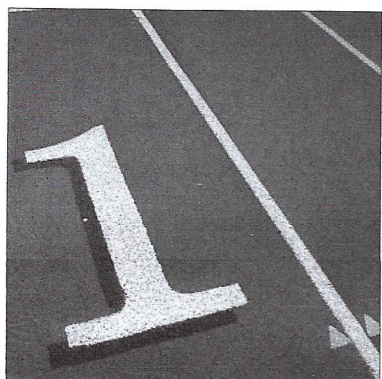
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• Lane One •

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***Are we making progress?  
Doping tests up, positives down in 2017***

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Elaron via Wikipedia Commons

▣ Maybe, just maybe, there is news of progress from the doping front.

The new report from the World Anti-Doping Agency (WADA) showed that in 2017, the number of tests in Olympic sports surpassed 200,000 for the first time and doping positives dropped by 18.3%.

That's good, right?

Indeed, the statistics show that the current fight against doping is pushing more deeply – at least in Olympic sports – into just about all of the sports and the incidence of positive tests fell below 1% for the

first time in three years. The key numbers:

- *Tests:* 2017: 205,405, a 6.2% increase over 2016 (193,345)
- *Positives/Number:* 2017: 1,575, down 18.3% over 2016 (1,927)
- *Positives/Percentage:* 2017: 0.77%, down 0.23% over 2016 (1.0%)

Still, the nearly 1,600 positives is worrying, but that's a lot less than 1,927 in 2016. In the Olympic sports, there were eight with positive rates at 1.0% or higher:

- |                  |                |                |
|------------------|----------------|----------------|
| • Boxing:        | 4,036 samples  | 1.9% positives |
| • Wrestling:     | 4,878 samples  | 1.7% positives |
| • Weightlifting: | 10,570 samples | 1.5% positives |
| • Equestrian:    | 434 samples    | 1.4% positives |
| • Judo:          | 3,968 samples  | 1.3% positives |
| • Cycling:       | 23,575 samples | 1.2% positives |
| • Rugby:         | 7,631 samples  | 1.0% positives |
| • Golf:          | 389 samples    | 1.0% positives |

This is good news for weightlifting, which is teetering on exclusion from the Olympic program, but has brought its finding rate in line with other sports, although still on the high side. Boxing, which is also potentially subject to be thrown out of the Games because of governance issues, has a fairly high rate of positives in a fairly small number of tests.

The most-tested Olympic sports included:

- Football: 37,118 samples 0.4% positives



Monday,  
6 August 2018

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• Athletics:	31,483 samples	0.9% positives
• Cycling:	23,575 samples	1.2% positives
• Swimming:	15,138 samples	0.4% positives
• Weightlifting:	10,570 samples	1.5% positives

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Those were the only sports with more than 10,000 tests carried out last year.

If you're wondering about the Winter sports, none had doping rates of more than 0.7%, which were recorded for Bobsleigh and Ice Hockey. However, it's worth noting that a criminal investigation is going on concerning Biathlon, which had 2,343 samples taken in 2017 and reported only one positive (0.2%). *That situation alone is cause for concern that the situation is perhaps not as good as the numbers would indicate.*

However, the situation in the Olympic sports is better than elsewhere. The biggest offender was Bodybuilding, which a 22% positives rate out of just 1,301 samples and Darts had a 13% positives rate (what?). And Powerlifting, long a problem sport, had a 4.5% positives rate, three times that of weightlifting.

You may have read some stories about Arm Wrestling wanting to get into the Olympic Games. They'll have to clean up their act quite a bit: out of just 191 tests, it showed 19 positives for a 9.9% rate; that's not going to cut it. Professional boxing is also a problem, with a 6.3% positives rate out of 399 tests.

However, the WADA report also noted that while the number of tests increased, it viewed the decrease in positives as "primarily due to the significant decrease in the reported cases of meldonium," which was banned completely in 2016, but for which there was a reprieve for a number of cases due to confusion about the date on which the ban would go into effect.

WADA identified 436 less meldonium cases in all sports in 2017 than in 2016, so the number of positives in the Olympic sports was perhaps down just slightly, but with an increased number of tests.

The offending substances haven't changed much: Anabolic agents led the parade with 44% of all positives, followed by diuretics and masking agents (15%), then stimulants (14%), hormones and metabolic modulators (8%).

The busiest labs in terms of testing were Salt Lake City (USA: 38,727), Los Angeles (USA: 38,007) and Cologne (GER: 27,739).

The 336 pages of statistics and tables tells a story of an enormous effort being made to try and combat doping in a lot of countries and a lot of events. Is doping still a problem? Yes, absolutely. But the effort to find it, penalize it and make it unacceptable is rising, and that's a good thing.

Rich Perelman  
Editor



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# ***Fédération Internationale de Natation***

*Lausanne*

## ***Report of the statutory auditor to the Bureau on the financial statements 2017***





# ***Report of the statutory auditor to the Bureau of Fédération Internationale de Natation Lausanne***

## ***Report of the statutory auditor on the financial statements***

As statutory auditor, we have audited the accompanying financial statements of Fédération Internationale de Natation, which comprise the balance sheet, income statement, cash flow statement and notes, for the year ended 31 December 2017.

### ***Honorary Treasurer's responsibility***

The Honorary Treasurer is responsible for the preparation of the financial statements in accordance with the requirements of Swiss law and the association's articles of incorporation. This responsibility includes designing, implementing and maintaining an internal control system relevant to the preparation of financial statements that are free from material misstatement, whether due to fraud or error. The Honorary Treasurer is further responsible for selecting and applying appropriate accounting policies and making accounting estimates that are reasonable in the circumstances.

### ***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 Swiss law and Swiss Auditing Standards. Those standards require that we plan and perform the audit to obtain reasonable assurance whether the financial statements are free from 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 the internal control system relevant to the entity's preparation 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 system. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made, 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 for the year ended 31 December 2017 comply with Swiss law and the association's articles of incorporation.



## ***Report on other legal requirements***

We confirm that we meet the legal requirements on licensing according to the Auditor Oversight Act (AOA) and independence (article 69b paragraph 3 CC in connection with article 728 CO) and that there are no circumstances incompatible with our independence.

In accordance with article 69b paragraph 3 CC in connection with article 728a paragraph 1 item 3 CO and Swiss Auditing Standard 890, we confirm that an internal control system exists which has been designed for the preparation of financial statements according to the instructions of the Association Honorary Treasurer.

We recommend that the financial statements submitted to you be approved.

Further, we refer to the fact that, contrary to the provisions of article 958 para. 3 CO, a business report was not prepared within six months of the end of the financial year and submitted to the Bureau for approval.

PricewaterhouseCoopers SA

A handwritten signature in blue ink, followed by a small red circular stamp containing a white cross.

Guillaume Nayet  
Audit expert  
Auditor in charge

A handwritten signature in blue ink, followed by a small red circular stamp containing a white cross.

Mathieu Roth

Genève, 4 July 2018

Enclosure:

- Financial statements (balance sheet, income statement, cash flow statement and notes)

**Fédération Internationale de Natation, Lausanne**

**Balance sheet at December 31  
(in Swiss Francs)**

	Notes	31.12.2017	31.12.2016
<b>Assets</b>			
<b>Current assets</b>			
Cash and cash equivalents	3	36 624 854	61 279 772
Financial assets at fair value	3	99 546 398	66 183 521
Accounts receivable, net	4	3 640 591	11 049 824
Other short term receivables		59 749	18 089
Prepayments and accrued income	5	409 190	1 502 372
<b>Total current assets</b>		<u>140 280 782</u>	<u>140 033 578</u>
<b>Non-current assets</b>			
FINA Property	6	17 467 989	17 640 978
Other tangible fixed assets	6	35 722	0
<b>Total non-current assets</b>		<u>17 503 711</u>	<u>17 640 978</u>
<b>Total assets</b>		<u><u>157 784 493</u></u>	<u><u>157 674 556</u></u>
<b>Liabilities, deferred income and funds</b>			
<b>Current liabilities</b>			
Accounts payable	7	3 324 717	2 329 455
Other short term payables	8	158 679	1 909 861
Accrued liabilities	9	6 913 161	6 811 772
Deferred income - short term	10	2 086 452	31 398 383
Host City Guarantees in deposit	11	175 336	401 226
<b>Total current liabilities</b>		<u>12 658 345</u>	<u>42 850 697</u>
<b>Non current liabilities</b>			
Deferred income - long term	10	17 250 788	10 809 592
Provisions	12	1 428 000	5 410 791
Host City Guarantees in deposit	11	6 324 053	6 126 017
<b>Total non-current liabilities</b>		<u>25 002 841</u>	<u>22 346 400</u>
<b>Funds restricted capital</b>	13	0	37 284
<b>Organisation capital</b>			
Tied funds	13	108 500 000	86 000 000
Organisation free Capital	13	11 623 307	6 440 175
<b>Total liabilities and equity</b>		<u><u>157 784 493</u></u>	<u><u>157 674 556</u></u>



Fédération Internationale de Natation, Lausanne

Income and expenditure Statement for the year ended  
December 31  
(in Swiss Francs)

	Notes	2017	2016
<b>Income</b>			
IOC Contributions and OG related income	14	5 136 478	30 485 838
FINA Events Income	15	72 484 217	26 226 153
Communication programmes		50 436	7 453
Penalty fees and other fees		556 682	2 596 877
Other Income		118 368	139 226
		<u>78 346 181</u>	<u>59 455 547</u>
<b>Expenditure</b>			
Olympic Games expenses		14 984	3 670 525
FINA Events expenses	16	40 131 222	19 134 834
Development activities	17	2 231 659	1 557 128
Out of competition doping control		3 243 397	2 276 605
Communication and promotion expenses		840 549	983 718
Rules and regulations control activities		156 603	30 694
Administration expenses	18	8 112 582	7 459 241
Movements in provision for doubtful debtors and bad debt expenses		2 349 396	( 857 229)
		<u>57 080 392</u>	<u>34 255 516</u>
<b>Excess of income gain (loss) before financial results and exceptional items</b>		<b>21 265 789</b>	<b>25 200 031</b>
Financial activities - Gain (Loss)	19,24	2 434 552	2 493 337
Exchange difference release of provision	24	3 982 791	0
<b>Annual result before allocation to organisation capital</b>		<b>27 683 132</b>	<b>27 693 368</b>
Organisation free capital at beginning of year		6 440 175	8 746 807
<b>Free capital prior allocation to restricted funds and reserves</b>		<b>34 123 307</b>	<b>36 440 175</b>
<b>Allocations / Appropriations:</b>	13, 27		
Event cancellation reserve		5 000 000	0
Development programmes reserves and funds		15 000 000	15 000 000
FINA 110th anniversary and Open House Ceremony		2 500 000	0
FINA Anti-doping Foundation		0	15 000 000
<b>Organisation free capital as at December 31,</b>		<b>11 623 307</b>	<b>6 440 175</b>

Fédération Internationale de Natation, Lausanne

Cash flow statement for the financial year  
ended 31 December  
(in Swiss francs)

	2017	2016
Result for the year	27 683 132	27 693 368
Change in fund capital	( 37 284)	( 225 318)
Depreciation and amortisation	289 815	0
Decrease (increase) in receivables and other short term receivables	7 367 575	(3 597 591)
Decrease (increase) in prepayments and accrued income	1 093 182	1 861 770
(Decrease) increase in current liabilities	( 755 920)	( 49 603)
(Decrease) increase in deferred income	(22 870 736)	9 187 012
(Decrease) increase in guarantees	( 27 854)	147 172
(Decrease) increase in non current provisions	(3 982 791)	361 624
(Decrease) increase in accrued liabilities	101 388	3 074 400
<b>Cash flow from operating activities</b>	<b>8 860 507</b>	<b>38 452 834</b>
Decrease (increase) in securities	(33 362 877)	(4 547 635)
(Investments) in tangible fixed assets	( 152 548)	(6 082 499)
Disposals of tangible fixed assets	0	22 288
<b>Cash flow from investment activities</b>	<b>(33 515 425)</b>	<b>(10 607 846)</b>
(Decrease) increase in financial liabilities	0	(2 399 000)
<b>Cash flow from financing liabilities</b>	<b>0</b>	<b>(2 399 000)</b>
<b>Change in cash</b>	<b>(24 654 918)</b>	<b>25 445 988</b>
Cash as at 1.1.	61 279 772	35 833 784
Cash as at 31.12	36 624 854	61 279 772
<b>Evidence of change in cash</b>	<b>(24 654 918)</b>	<b>25 445 988</b>

## NOTES TO THE FINANCIAL STATEMENTS 2017

**1. Activity**

The Fédération Internationale de Natation (FINA), the world governing body for the sport of Aquatics, domiciled in Lausanne, Switzerland, is an international non-governmental non-for-profit organization in the form of an association with legal personality ruling under article 60 ff of the Swiss Civil Code.

The objectives of FINA are:

- a) to promote and encourage the development of Aquatics in all possible regards throughout the world,*
- b) to provide fair and drug free sport,*
- c) to promote and encourage the development of international relations,*
- d) to encourage participation in Aquatic disciplines at all levels throughout the world regardless of age, gender or race,*
- e) to adopt necessary uniform rules and regulations and to hold competitions in swimming, open water swimming, diving, high diving, water polo, artistic swimming, and masters,*
- f) to promote and organise World Championships and other FINA competitions,*
- g) to encourage the increase of facilities for Aquatic disciplines throughout the world with the support of other interested parties, and*
- h) to carry out such other activities as may be desirable to promote the sport.*

FINA's resources are generated by affiliation fees, Host Cities Event fees, Television broadcasting rights and sponsorships in relation to FINA's Events and quadrennial revenues from the participation at the Olympic Games.

These financial statements aim to present a clear and complete picture of the financial situation and results of FINA in line with the best practices in force within the major international sports federations.

The accounts are presented in accordance with Swiss GAAP RPC (Accounting and reporting recommendation).

The financial statements are presented in Swiss Francs (CHF).

**2. Summary of significant accounting policies****2.1 Basis of preparation**

The statutory financial statements have been prepared as per Swiss Code of Obligations, applying the Swiss GAAP RPC for the year 2017.

FINA has adopted for the key presentation and disclosure aspects of Swiss RPC 21 (Accounting for Charitable Non-Profit Organisations) which best reflects FINA's status of Non-Profit Organisation. The main impact of this presentation is reflected in changes in equity and remuneration disclosures.

Impact on the presentation for RPC Purpose is identified under Financial activities - Gain (Loss) and Exchange difference release of provision.

Income statement was presented by activity-based costing method.

**2.2 Foreign currencies**

Transactions in foreign currencies are accounted at exchange rates prevailing at the date of the transaction. Gains and losses resulting from the settlement of those transactions are brought to the Income and Expenditure Statement.

## NOTES TO THE FINANCIAL STATEMENTS 2017

Monetary assets and liabilities denominated in currencies other than Swiss francs are converted based on exchange rates ruling at December 31. Exchange differences resulting from these transactions are recorded in the Income and Expenditure Statement under Financial Income.

The exchange rates used for transactions conducted during the course of the year and for items in the profit and loss statement are the monthly AFC published exchange rates.

Non-monetary items, prepaid and deferred income in foreign currencies are reported using the historical exchange rate at the date of transaction.

The main exchange rates used are as follows:

Swiss francs against		2017	2016
1 USD	Average rate	0.98	0.99
1 EURO	Average rate	1.11	1.09
1 USD	Year end rate	0.974	1.016
1 EURO	Year end rate	1.1702	1.072

### 2.3 Cash and cash equivalents

Cash and cash equivalents are cash in hand and at bank, short term deposits and other financial investments easily convertible in liquidities with maturities up to 3 months.

Cash and cash equivalents are recorded at market fair value; cash and cash equivalents held in foreign currencies are converted into Swiss francs at year end rate.

### 2.4 Financial assets

Financial assets are short term deposits and investments held at the bank, easily convertible in liquidities. They are valued at fair market value; financial assets in foreign currencies are converted into Swiss Francs at the rate prevailing as of December 31.

Structured products are short term deposits including derivative financial instruments to hedge exposure against currency fluctuations; at year end these deposits are valued at fair value, being the market value on balance sheet date of the quoted structured product.

### 2.5 Accounts receivable

Accounts receivable are recognised in the accounts at their fair value, invoiced amount less deduction of payment received if any; accounts receivable denominated in foreign currencies are converted at year end exchange rate.

Accounts receivable with contractual due date up to December 31, which have not been settled by the end of February of the following year and which impact the income statement, are considered uncertain and provided for until payment occurs.



## NOTES TO THE FINANCIAL STATEMENTS 2017

**2.6 Tangible assets**

Property and equipment are stated in the balance sheet at historical cost.

*FINA Property:*

The value represents the property's purchase, construction and renovation costs. As FINA moved into its Headquarters in the fall of the year 2016, depreciation on the property (land and buildings) is recorded starting 2017, at 1.5% per year. Only costs which are directly linked to the construction / renovation were capitalised in the year 2017.

*FINA vehicles:*

Vehicles are recorded at purchase value and depreciated over 2.5 years using the straightline method.

Other tangible assets and expenses costs are taken to income statement when expenses occur.

*Depreciation:*

Calculated depreciation is taken to income statement. Depreciation is calculated over the estimated useful life and usual practice.

Land and property: 1.5% per year on historic value

Vehicles: 40% per year on acquisition value

**2.7 Deferred income, prepaid expenses and other current assets**

Any revenues received in relation to future Events such as royalties from the licensing of Television rights, Sponsorships or Host City's fees are recognised and taken to income statement after full completion of the event they relate to.

Instalments received prior to this date are deferred as they may be repayable in full or in part up to the completion of the Event they relate to, should any unfortunate condition mentioned in the agreements occur.

Costs incurred on future events where impact is material are capitalized within "Prepaid expenses and other current assets" and are taken to the income statement in line with the recognition of the related revenue.

Deferred income is recorded applying the exchange rate prevailing on the date of invoicing. Provision is recorded where FINA's liability has increased due to exchange rate fluctuation.

**2.8 Provision for doubtful accounts**

Provision is made for accounts whose collection is considered by management to be uncertain; this is described as provision for doubtful accounts in the financial statements.

## NOTES TO THE FINANCIAL STATEMENTS 2017

## 3. Cash and cash equivalents and financial assets

Financial assets by type of asset	December 31, 2017 CHF	December 31, 2016 CHF
<b>Cash and cash equivalents</b>	<b>36 624 854</b>	<b>61 279 772</b>
Fiduciary and term deposits, structured products	22 251 071	19 565 857
Marketable securities, net	77 295 327	46 617 664
<b>Financial assets</b>	<b>99 546 398</b>	<b>66 183 521</b>
Total cash, cash equivalents and financial assets	136 171 252	127 463 293
<i>Third parties funds deposited as guarantee, included above</i>	<b>6 159 436</b>	<b>4 344 914</b>

Financial assets as at December 31, 2017 are valued at true and fair value, which is the market value as at December 31, converted into Swiss Francs at the exchange rate ruling at year-end.

Financial assets as at December 31, 2016 are valued at the lower of historic costs and market value.

Marketable securities are invested in bonds, equities and other investments.

Financial assets are considered to be highly liquid even for investments in bonds where official repayment date is above 12 months.

Above caption includes funds deposited by future host cities as guarantees as contractually provided. These funds will be returned after the Event they relate to as per the agreed terms of the Host City or staging contract.

#### Assets used to secure own liabilities and assets under reservation of ownership:

They are no pledged assets to cover liabilities besides usual transactions on structured products and guarantees held in deposit to secure FINA Events.



## NOTES TO THE FINANCIAL STATEMENTS 2017

	December 31, 2017 CHF	December 31, 2016 CHF
<b>4. Accounts receivable, net</b>		
Accounts receivable		
Federations	1 974 550	2 592 870
Host cities	3 748 318	5 805 669
Broadcasters and sponsors	2 561 074	4 991 855
FINA Family	51 993	28 167
Other debtors	32 334	87 826
	<u>8 368 269</u>	<u>13 506 387</u>
Provision for doubtful accounts	<u>(4 727 678)</u>	<u>(2 456 563)</u>
	<u><b>3 640 591</b></u>	<u><b>11 049 824</b></u>

Only accounts receivable overdue at year-end or considered as doubtful which impact on Income statement have been provided for.

Accounts receivable denominated in foreign currencies are converted into swiss francs at year-end exchange rates.

	December 31, 2017 CHF	December 31, 2016 CHF
<b>5. Prepayments and accrued income</b>		
Prepaid general expenses	181 612	93 803
Prepaid expenses for events	33 112	1 088 275
Accrued income on short term deposits and marketable securities	<u>194 466</u>	<u>320 294</u>
	<u><b>409 190</b></u>	<u><b>1 502 372</b></u>

## NOTES TO THE FINANCIAL STATEMENTS 2017

## 6. FINA Property and other tangible fixed assets

## Tangible assets

## Statement of changes in tangible fixed assets

in Swiss francs	FINA Property CHF	Other tangible assets CHF	December 31, 2017 CHF	December 31, 2016 CHF
Net carrying value as of January 1,	17 640 978	0	17 640 978	11 580 767
Beginning of the period 01.01.	17 640 978	0	17 640 978	11 580 767
Additions	93 011	59 537	152 548	6 132 498
Disposals			0	( 72 288)
End of the period 31.12	17 733 989	59 537	17 793 526	17 640 978
Accumulated depreciation				
Beginning of the period 01.01	0	0	0	0
Depreciation	266 000	23 815	289 815	0
Disposals	0	0	0	0
Impairment	0	0	0	0
End of the period 31.12	266 000	23 815	289 815	0
Net carrying value as of December 31,	17 467 989	35 722	17 503 711	17 640 978
Depreciation rate per year	1.50%	40%		

## NOTES TO THE FINANCIAL STATEMENTS 2017

	December 31, 2017 CHF	December 31, 2016 CHF
<b>7. Accounts payables</b>		
General suppliers		
Federations	836 167	790 729
Fina Family	586 192	322 022
Host Cities	8 076	7 952
Other suppliers	1 894 282	1 208 752
	<u>3 324 717</u>	<u>2 329 455</u>
<b>8. Other short term payables</b>		
Swiss VAT	( 3 263)	1 909 624
Employee related liabilities	161 942	237
	<u>158 679</u>	<u>1 909 861</u>
<b>9. Accrued liabilities</b>		
Events related accruals	2 849 760	3 954 445
Agents fees payables	1 970 974	2 213 834
Staff related provisions	696 951	519 537
Other accrued expenses	1 395 476	123 956
	<u>6 913 161</u>	<u>6 811 772</u>
<b>10. Deferred income</b>		
<b>Changes in deferred income balances</b>		
Net value as of January 1,	42 207 975	33 020 963
Additions	8 535 068	12 093 815
Release to income statement	(31 389 977)	(2 906 803)
Other adjustments	( 15 826)	0
Value as of December 31	<u>19 337 240</u>	<u>42 207 975</u>
<b>Deferred income by type of income</b>		
Affiliation fees	5 800	13 400
Bid and registration fees	65 780	134 845
Host Cities (WCH) partnership rights and fees	19 024 386	33 135 365
Host Cities (WCH) HB and TV budgeted costs	174 895	3 582 424
Broadcasters and sponsors	61 894	5 337 456
Olympic Games related and other income	4 485	4 485
	<u>19 337 240</u>	<u>42 207 975</u>

## NOTES TO THE FINANCIAL STATEMENTS 2017

	December 31, 2017 CHF	December 31, 2016 CHF
As per balance sheet, short and long term liability		
Current liabilities deferred income - < 12 Monthes	2 086 452	31 398 383
Non current liabilities deferred income - > 12 monthes	17 250 788	10 809 592
	<u>19 337 240</u>	<u>42 207 975</u>

Deferred income relates to Instalments invoiced on a contractual basis for Events to be held in the future. Revenue will be taken to Income statement in the year where the Event the income relates to takes place.

Deferred income in foreign currencies will be taken to Income at the transaction exchange rate prevailing on the date of invoicing.

11. <b>Guarantees held in deposit</b>	2017 CHF	2016 CHF
<b>Changes in guarantees held in Deposit</b>		
Carrying amount as per January 1,	6 527 243	6 380 071
Guarantees invoiced	2 517 211	2 760 102
Utilisation		
Guarantees refunded or released	(2 545 065)	(2 612 930)
Carrying amount as per December 31,	<u>6 499 389</u>	<u>6 527 243</u>
Deposits to release - < 12 monthes	175 336	401 226
Deposits held - long term > 12 monthes	6 324 053	6 126 017
	<u>6 499 389</u>	<u>6 527 243</u>

Guarantees are funds received in deposit as contractually provided in relation with the organisation of an Event.

12. <b>Provisions</b>	December 31, 2017 CHF	December 31, 2016 CHF
Legal matters and other provisions	<u>1 428 000</u>	<u>5 410 791</u>
Provisions as at January 1	5 410 791	5 410 791
Constitution of provisions	0	0
Release of provisions	(3 982 791)	0
Provisions as at December 31	<u>1 428 000</u>	<u>5 410 791</u>

The provision on unrealised exchange difference was taken to Income and Expenditure statement in line with Swiss Gaap RPC.

## NOTES TO THE FINANCIAL STATEMENTS 2017

## 13. Funds and organisation capital

## Statement of changes in capital 2016

	Balance 1.1.2016 CHF	Allocations CHF	Appropriation CHF	Internal transfer CHF	Foreign exchange CHF	Total change CHF	Balance 31.12.2016 CHF
<b>Fund capital</b>							
<b>Restricted funds</b>							
Swimming world cup	37 284	0	0	0	0	0	37 284
Target Rio	225 318	208 810	( 434 128)	0	0	( 225 318)	0
<b>Total fund capital</b>	<b>262 602</b>	<b>208 810</b>	<b>( 434 128)</b>	<b>0</b>	<b>0</b>	<b>( 225 318)</b>	<b>37 284</b>
<b>Organisation capital</b>							
<b>Restricted funds</b>							
Development programmes	8 000 000	15 000 000	0	0		15 000 000	23 000 000
<b>Reserves</b>							
Funds for antidoping foundation	0	15 000 000	0	0	0	15 000 000	15 000 000
FINA Headquarters funds	18 000 000	0	0	0	0	0	18 000 000
Event cancellation reserve	30 000 000	0	0	0	0	0	30 000 000
<b>Total tied funds</b>	<b>56 000 000</b>	<b>30 000 000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>30 000 000</b>	<b>86 000 000</b>
Free available capital	8 746 807	(2 306 632)	0		0	(2 306 632)	6 440 175
Current year result excess (deficit)	0	(27 693 368)	27 693 368	0	0	0	0
<b>Total organisation free capital</b>	<b>8 746 807</b>	<b>(30 000 000)</b>	<b>27 693 368</b>	<b>0</b>	<b>0</b>	<b>(2 306 632)</b>	<b>6 440 175</b>

## Funds capital and organisation free capital for the year ended 2017

## Statement of changes in capital 2017

	Balance 1.1.2017 CHF	Allocations CHF	Appropriation CHF	Internal transfer CHF	Foreign exchange CHF	Total change CHF	Balance 31.12.2017 CHF
<b>Fund capital</b>							
<b>Restricted funds</b>							
Swimming world cup	37 284	0	( 37 284)	0	0	( 37 284)	0
<b>Total fund capital</b>	<b>37 284</b>	<b>0</b>	<b>( 37 284)</b>	<b>0</b>	<b>0</b>	<b>( 37 284)</b>	<b>0</b>
<b>Organisation capital</b>							
<b>Restricted funds</b>							
FINA 110th Anniversary and Open House	0	2 500 000	0	0	0	2 500 000	2 500 000
Development activities	23 000 000	15 000 000	0	0	0	15 000 000	38 000 000
<b>Reserves</b>							
Funds for antidoping foundation	15 000 000	0	0	0	0	0	15 000 000
FINA Headquarters maintenance funds	18 000 000	0	0	0	0	0	18 000 000
Event cancellation reserve	30 000 000	5 000 000	0	0	0	5 000 000	35 000 000
<b>Total tied funds</b>	<b>86 000 000</b>	<b>22 500 000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>22 500 000</b>	<b>108 500 000</b>
Free available capital	6 440 175	0	0	5 183 132	0	5 183 132	11 623 307
Current year result excess (deficit)	0	(22 500 000)	27 683 132	(5 183 132)	0	0	0
<b>Total organisation free capital</b>	<b>6 440 175</b>	<b>(22 500 000)</b>	<b>27 683 132</b>	<b>0</b>	<b>0</b>	<b>5 183 132</b>	<b>11 623 307</b>



## NOTES TO THE FINANCIAL STATEMENTS 2017

Restricted funds are created either due to the explicit intent on the part of the donor or due to the specifics of the the donation that imply a restriction on the part of the donor.

Funds for which the organisation itself has imposed a purpose are reported as restricted funds under organization capital.

Restricted funds, wheter restricted on the part of the donor or the organisation have to be used for the purpose imposed.

Reserve funds are set up with the aim to secure the "going concern" and the "sustainability" of the organisation against any unforeseen event:

*Event cancellation fund:* The purpose of this reserve is to secure the organisation of FINA events, in case of any catastrophic event or fallback. Any utilisation or attribution to the fund is made by the FINA Bureau. Objective is to set up a reserve covering the expenses of a FINA World Championships.

*FINA Headquarter fund:* This fund has been set up to cover commitments in relation with FINA's Headquarters. Any utilisation or attribution to the fund is made by the FINA Bureau.

*Anti-doping reserve fund:* This fund was set up to cover the financial needs of a FINA Anti-doping foundation.

*Development reserve funds:* The Development funds are set up to secure the FINA Development activities over the next 4 years;

As per Bureau decision, additional funds were allocated to Development activities:

*FINA Aquatics Support Programme:* The objective of this programme is to enable the Aquatics National Federations to develop and strengthen their activities. The programme shall be financed by the allocation of 70% of the Olympic Games Television Rights income.

*Continental support programme:* the aim of this programme is to support the Continental Associations with a grant for the Development and Growth of Aquatics within their region.

*Scholarships support programme:* This programme offers financial and technical assistance for potential elite athletes in their preparation and qualification for major Aquatics Events.

*Development Centres:* Financing of development centres to be used for coaching and training purposes by FINA athletes.



## NOTES TO THE FINANCIAL STATEMENTS 2017

	December 31, 2017 CHF	December 31, 2016 CHF
14. IOC Contributions and other OG related income		
IF Development programmes	1 721 094	1 767 354
Olympic Games share of TV Rights (Rio 2016)	3 415 384	27 792 252
Other OG related income	0	926 232
	<u>5 136 478</u>	<u>30 485 838</u>

FINA Bureau decided to allocate 70% of the RIO 2016 Olympic Games Television Rights to finance the FINA Aquatics Support Programme, part of FINA Development activities.  
Total funds to be allocated over the quadrennial period 2018-2021 represent USD 20.9 mio.

	December 31, 2017 CHF	December 31, 2016 CHF
15. Events income		
Bid and registration fees		
World Championships	18 869	0
World Swimming Championships	0	2 954
Other Events	<u>1 942 628</u>	<u>1 637 606</u>
	<u>1 961 497</u>	<u>1 640 560</u>
Host Cities World Championships		
Partnership rights and fees	18 960 975	0
Partnership cancellation fees	<u>6 846 000</u>	<u>0</u>
	<u>25 806 975</u>	<u>0</u>
TV Rights and sponsorship income		
World Championships	21 945 941	6 848 304
World Swimming Championships	1 015 775	7 251 189
Other Events	<u>5 740 187</u>	<u>5 248 793</u>
	<u>28 701 903</u>	<u>19 348 286</u>
Value in kind		
World Championships	12 837 268	0
World Swimming Championships	8 926	2 443 855
Other Events	<u>1 911 261</u>	<u>1 760 364</u>
	<u>14 757 455</u>	<u>4 204 219</u>
Other Income		
World Championships	560 986	1 058
World Swimming Championships	( 107 755)	106 654
Other Events	803 157	925 376
	<u>1 256 388</u>	<u>1 033 088</u>
	<u>72 484 218</u>	<u>26 226 153</u>

## NOTES TO THE FINANCIAL STATEMENTS 2017

	December 31, 2017 CHF	December 31, 2016 CHF
<b>16. FINA Events expenses</b>		
<b>FINA Family Expenses</b>		
Hotel, travel and per diem		
World Championships	3 133 756	31 698
World Swimming Championships	357 193	1 098 422
Other events	2 147 666	3 343 107
Members medical insurance	195 239	158 405
Professional and liability insurance	50 852	49 430
Protocol awards	309 587	277 255
Other expenses	511 863	125 024
	<u>6 706 156</u>	<u>5 083 341</u>
<b>Third parties services</b>		
Marketing agent		
World Championships	3 513 375	494 021
World Swimming Championships	( 92 202)	1 568 905
Other Events	712 404	611 652
Value in kind and TV Host Broadcaster costs		
World Championships	9 092 520	( 5 544)
World Swimming Championships	( 15 232)	1 404 971
Other events	3 129 694	1 838 222
Legal services	559 719	154 059
Other third parties services	681 728	400 064
	<u>17 582 006</u>	<u>6 466 350</u>
<b>Federations support</b>		
World Championships	2 599 728	0
World Swimming Championships	( 24 306)	826 080
Other FINA Events travel support and contributions	3 256 153	1 833 954
	<u>5 831 575</u>	<u>2 660 034</u>
<b>Athletes support</b>		
Prize monies		
World Championships	5 749 933	( 1 182)
World Swimming Championships	19 332	1 206 928
Other FINA Events	4 242 220	3 719 363
	<u>10 011 485</u>	<u>4 925 109</u>
	<u><u>40 131 222</u></u>	<u><u>19 134 834</u></u>

## NOTES TO THE FINANCIAL STATEMENTS 2017

	December 31, 2017 CHF	December 31, 2016 CHF
<b>17. Development activities</b>		
Clinics, schools and certification programme	428 184	589 562
Scholarships athletes	1 462 383	607 182
Federation support (travel; accommodation)	57 920	245 416
Other expenses	222 899	25 560
	<u><b>2 231 658</b></u>	<u><b>1 557 128</b></u>

Scholarship programmes offer financial and technical assistance to athletes as per the programmes regulations. Clinics and school expenses consists in organisation support, boarding and travel expenses. Federations are granted support to attend other FINA Events in relation with Development.

	December 31, 2017 CHF	December 31, 2016 CHF
<b>18. Administration expenses</b>		
Payroll charges	6 765 469	5 685 162
Communication and software related consultancy services	637 368	661 505
FINA HQ Premises equipment and maintenance costs	280 381	866 844
General administration costs	139 549	245 730
Depreciation tangible assets	289 815	0
	<u><b>8 112 582</b></u>	<u><b>7 459 241</b></u>

Payroll charges include salaries, social charges, benefits and other employee-related costs. Executive management comprises the Executive Director.

FINA Executives, Bureau Members, Committee members and other FINA officials act on a volunteer basis and do not perceive a salary. They are indemnified with a daily indemnity (per diem) while on function for FINA and covered for accommodation and travel costs. These costs are included in the income statement under "FINA Events Expenses".

## NOTES TO THE FINANCIAL STATEMENTS 2017

	December 31, 2017 CHF	December 31, 2016 CHF
<b>19. Financial activities</b>		
<b>Investment activities</b>		
Interest on bonds, money markets and derivatives	1 113 040	1 033 563
Custody fee, commissions and bank charges	( 693 887)	( 292 615)
Interest charges on loan for FINA Headquarters	0	( 15 693)
	<u>419 153</u>	<u>725 255</u>
<b>Valuation variations</b>		
Financial assets value fluctuation	1 309 405	586 455
Fluctuations on marketable securities reimbursed values	499 739	235 303
	<u>1 809 144</u>	<u>821 758</u>
<b>Exchange difference fluctuations</b>		
Capital premium on structured products	854 567	1 226 513
Realized and unrealized exchange differences	( 648 312)	( 280 189)
	<u>206 255</u>	<u>946 324</u>
Financials results - net (Loss)	<u><u>2 434 552</u></u>	<u><u>2 493 337</u></u>

<b>20. Full-time positions</b>	<b>2017</b>	<b>2016</b>
Full-time positions at the end of the period	32.75	30.05

The number of full time equivalents did not exceed 50 on an average basis.

<b>21. Fees paid to the auditors</b>	<b>December 31, 2017 CHF</b>	<b>December 31, 2016 CHF</b>
Audit services	<u><u>39 500</u></u>	<u><u>31 154</u></u>

**22. Pension Liabilities**

FINA has joined a collective insurance foundation providing full benefit coverage for its pension plans in Switzerland. FINA therefore has no economic obligation arising from pension solutions that has to be recognised in the balance sheet and FINA's responsibility is limited to the annual contributions. As at December 31, there were no liabilities towards the pension fund.



NOTES TO THE FINANCIAL STATEMENTS 2017

**23. Contingent liabilities**

The Federation is involved in claims and legal disputes. Wherever a loss is possible and determinable, management has set up adequate provision.

**24. Total amount resulting from the dissolution of replacement reserves and the material dissolution of excess reserves or provision**

Excess reserves or provisions carried forward from the year 2016 were released to Income statement.

Unrealized exchange provision - in order to comply with the true and fair view, the unrealised exchange provision of CHF 3 982 791 was release to income and expenditure statement.

Marketable securities were valued at true and fair view as at December 31, 2017. Release to income statement of the valuation difference of CHF 2 692 532 .

**25. Significant events occurring after the balance sheet date**

None

**26. Deviations from the going concern principle, the principle of consistency in presentation and valuation and from the prohibition to offset**

Due to the first application Swiss Gaap RPC, adjustments between the Swiss Code des Obligations and the new reporting frame were recorded in Income Statement.

The restatement impact of CHF 6 675 324 relates to the release of the unrealized exchange provision and the valuation of marketable securities at true and fair view.

Furthermore and where necessary, comparative 2016 figures have been revised to conform with the current year 2017 presentation.

**27. Allocation of result**

At the Bureau meeting held in Sanya in December 2017, the Bureau decided to grant Development activities with additional funds to secure activities and projects over the next quadrennial period. These funds are restricted in their use and follow the rules and regulations as defined for each Development project.

The Bureau made also funds available for the 110th Anniversary and Open House Ceremony.

The Event Cancellation reserve was increased to follow the additional expenses required at Events.

## FINA BUREAU MEETING

18 July 2018

### Minutes

#### A CALL TO ORDER

#### B OPENING BY FINA PRESIDENT / WELCOME

The FINA President Dr Julio C. Maglione welcomed all the members in Lausanne (SUI) for this joyful time for FINA: the celebration of our International Federation's 110 years and the inauguration of its headquarters in the Olympic capital.

#### C ROLL CALL

All the members were present with the exception of: Second Vice-President Sam Ramsamy and members Khaleel Al-Jabir and Dr Margo Mountjoy (all arriving later); member Tamas Gyarmas (excused); Vice-President Paolo Barelli and member Dimitris Diathessopoulos (both absent).

The Executive Director Cornel Marculescu then read the Constitution Rule C17.13 concerning the absence of members to Bureau meetings.

On the Executive proposal, the Bureau approved that a warning letter should be sent to Vice-President Paolo Barelli and member Dimitris Diathessopoulos, after their second and third consecutive absence at the Bureau meeting, respectively.

#### 1. MINUTES

- ***Minutes - Bureau Meeting in Sanya – 30 November 2017***

The minutes of the Bureau Meeting held in Sanya (CHN) on November 30, 2017 were unanimously approved.

- ***Minutes - Executive Meetings In Lausanne – 05 March 2018***

- ***Minutes - Executive Meetings in Budapest – 28 April 2018***

The minutes of the Executive meetings held on March 5 and April 28, 2018 were presented to the Bureau for information.

#### 2. REPORTS OF OFFICIALS

- ***President – Report***

The President presented his report, updating the members on the FINA activities since the last gathering of the Bureau in November 2017. (annex)



Dr Maglione considered that FINA “arrived at this stage in a very healthy and positive situation, both in terms of the importance of Aquatics in the international sports environment and regarding FINA’s economical sustainability”.

The FINA President recalled many of the development activities being carried out by FINA, highlighted the good governance principles, and appealed once more to the unity and common effort of the FINA Family.

On the new headquarters, Dr Maglione considered that “it is also a proof of FINA’s maturity in terms of its administration and it represents a strong legacy for all those taking care of our International Federation in the future”.

• ***Honorary Treasurer – Financial Matters***

The Chairman of the Audit Committee, Mr Debendranath Sarangi, was invited to make a short presentation to the Bureau.

Mr Sarangi introduced the other two members of the Committee (Mr Jan Exner and Mr Gustavo Mastroianni Bernasconi) and thanked the Bureau and the President for the confidence and trust expressed to this Committee. He recalled that three meetings of the Committee were organised so far and extensive discussions were held with the FINA management.

Prior to its presentation, the Audit Committee shared some observations:

- Following the change in the accounting standards from Swiss Code of Obligations to Swiss GAP FER in 2017, the opening balance was restated in order to comply with the new norm. The main impact appears in the evaluation of the financial assets starting from January 1, 2017 at the market value in accordance with the true and fair view.
- The method on how the FINA events’ related income is booked in the accounts is explained. The hosting, sponsorships and broadcasting agreements are recorded as soon as they are signed and invoiced. The related amounts will be booked as deferred income and included in the Income statement after the full completion of the event they relate to.

Consequently, the deferred income on the balance sheet is included in the received cash flow.

In conclusion, income is recognised on an actual basis and not on an accrual basis; therefore, cash flows vary from one year to another in relation to the scheduled events.

- Due to the FINA event calendar, which changes from one year to another on a four year cycle basis, it is not relevant to compare one year to the next. On the contrary, the comparison on the four year cycle basis is significant. The budget exercise and the monitoring of income and expenditure are done on annual basis.

The Audit Committee presented their Audit result as follows:

- The statutory auditor has not come across any instance of non-compliance;
- The statutory auditor has not identified any suspected or actual fraud, illegal acts or non-compliance with laws and regulations;
- The external auditor identified no material misstatements;
- During the audit, the external auditor gained a positive impression of the quality of accounting in accordance with Swiss-Gap FER accounting standard.

In case of deficit, a reduction of expenditures reductions or new contracts are to be considered.

The FINA President pointed out that FINA is now the International Federation taking part in the Olympic Games with the highest number of events and medals (49). In light of this strong position, the Olympic Games share of TV right is expected to evolve accordingly.

The increasing difficulties encountered during the quest of new partners were underlined by the FINA management.

Mr. Sarangi explained that the withdrawal of the Organising Committee of Guadalajara (MEX) impacted positively on the budget with a cancellation fee which created additional revenue for FINA. Additional income was generated by the renewals and newly signed agreements during 2017 and the increase of FINA's Olympic Games share of TV rights for 2016.

The Audit Committee suggested the creation of a reserve fund by transferring a percentage of the annual surplus to this fund. The reserve fund can act as a fall back for FINA in difficult times.

The FINA Bureau thanked the Audit Committee for their engagement and their thorough analysis of FINA's financial position and procedures.

Dr Maglione recalled that the annual statements have to be published and reiterated that his obligation is to ensure that the financial situation is sustainable for the future of FINA.

The conclusions and the analysis of FINA's financial situation were then confirmed by FINA Honorary Treasurer Pipat Paniangvait.

The FINA Financial Statements for 2017 were approved by the Bureau. (annex)

Mr Marculescu recalled that the FINA General Congress – now being held every two years – must also approve the FINA budget.

Moreover, in accordance with the FINA Rules C25.4 and 25.5, FINA must appoint a **Chief Internal Audit Officer**. After having received two proposals, the FINA management and the

Audit Committee suggested to hire the company **Ernst & Young** for a period of two years. The Bureau approved this nomination.

Mr Marculescu thanked the accounting and financial department of FINA for their essential work on this matter.

Member Erik van Heijningen complimented the President, the Treasurer and the Executive Director for following the recommendations of the Audit Committee.

- **Executive Director**

- ***FINA Strategic Plan 2018 – 2021***

The Executive Director presented the final draft of the FINA Strategic Plan for the quadrennial 2018-2021, prepared in co-operation between the FINA Office and the specialised company RedTorch.

The Plan was approved by the Bureau and will be published and sent to National Member Federations. [\(annex\)](#)

### 3. **FINA BUREAU & COMMITTEES**

- ***FINA Bureau Liaison for TOWSC – resignation / replacement***

After the resignation of Vice-President Dennis Miller as Bureau Liaison for the FINA Technical Open Water Swimming Committee, the Bureau approved the nomination of member Zouheir El-Moufti, as new TOWSC Liaison.

- ***FINA TSC Member – decease / replacement***

Following the tragic loss of Ms Tatiana Zhukova, from Belarus, the respective Federation proposed Mr Siarhei Khazhempa as new FINA Technical Swimming Committee member. The Bureau approved this nomination.

- ***FINA TWPC Member – resignation / replacement***

After the resignation of Mr John Whitehouse, as member of the FINA Technical Water Polo Committee, the Oceania Swimming Association and Swimming Australia proposed Mr Don Cameron as a replacement. The Bureau approved this nomination.

### 4. **NATIONAL FEDERATIONS & CONTINENTAL MATTERS**

- **CPV** (Cape Verde) – new Constitution: approved
- **AASF** (Asian Swimming Federation) – new Constitution: approved
- **HUN** (Hungarian Synchro) – change of name: approved
- **CAY** (Cayman Islands) – change of name: approved
- **GAM** (Gambia) – change of name: not approved
- **UKR** (Ukrainian Diving) – sub-affiliation: approved

- **PHI** (Philippines) – governance issue: Bureau member Taha Al-Kishry recalled his visit to Philippines and the success of the negotiations between the Swimming Federation and the National Olympic Committee
- **AFG** (Afghanistan) – governance issue: First Vice-President Husain Al Musallam explained that the new elected National Olympic Committee of Afghanistan has recognised a different swimming body from the one accepted by FINA. The Olympic Council of Asia advised the NOC of Afghanistan that it could not interfere with the affairs of the Swimming National Federation. Moreover, it was made clear that only athletes sent by FINA's recognised body can participate in international competitions. The NOC of Afghanistan changed opinion and accepted this solution – only athletes coming from FINA's recognised body are allowed to take part in international events.
- **KEN** (Kenya) – governance issue: Second Vice-President Sam Ramsamy explained that there was confusion on who was running Aquatics in the country. According to the government regulations, a Committee has been formed to look after those matters and Mr Ramsamy will keep CANA and FINA informed on the next electoral procedure.
- **TAN** (Tanzania) – governance issue: Mr Ramsamy recalled that complaints from parents were received on the running of operations in the country, apparently not being done by recognised bodies. At the moment, there is an organisation formed but there is some confusion on the way it would run elections.
- **NAM** (Namibia) – governance issue: the issue has been solved, as there was a problem of an athlete discrimination, after he changed club.

The President highlighted that FINA continues supporting the recognised body in **Kuwait**, led by Sheikh Khalid Al-Sabah and Secretary General Husain Al Musallam. This decision had been taken by the Bureau previously. Moreover, the statutes in place remain those approved by FINA in 2013.

## 5. FINA RULES

- ***BL – amendment – WPWL***

The updated BL rules related with the draw for the Water Polo Olympic Games Qualification Tournament were approved by the Bureau. [\(annex\)](#)

- ***FINA Extraordinary Congress on Water Polo in Hangzhou 2018***

Mr Marculescu explained the procedure for this Extraordinary Congress, aimed at approving the new Water Polo rules. The Congress will be held on December 10, 2018 in Hangzhou and the Notice to National Federations was sent within the five-month notice period, as determined by the FINA Rules. [\(annex\)](#)

- ***FINA General Congress in Gwangju 2019***

The Executive Director also briefed the Bureau members on the announcement for the FINA General Congress in 2019, with the occasion of the FINA World Championships in Gwangju (KOR). The Congress will be held on July 19, 2019 and besides the approval of FINA's financial report, changes in the FINA Constitution, Code of Ethics, General Rules, Facilities Rules, Medical Rules and Doping Control Rules may be considered.

Motions, applications and proposals to change these rules must be received by FINA by no later than November 19, 2018. (annex)

## 6. SWIMMING – by Dale Neuburger & Cornel Marculescu

The Qualification procedure for the 2018 Buenos Aires Youth Olympic Games was presented to the Bureau. Bureau Liaison Dale Neuburger explained the complexity of the process, underlining that the Universality Places are not controlled by FINA, thus creating some confusion among National Federations and NOCs.

Concerning the 2018 Swimming World Cup, Mr Marculescu explained that is difficult to find a title sponsor. In Japan, for example, the massive investments with the Olympic Games are limiting the sponsorship opportunities. Moreover, in 2017, title sponsor Airweave declined to make a payment and the case is in CAS. If no sponsor is found in 2018, a reserve fund must be created.

## 7. OPEN WATER SWIMMING

### • ***Low Temperature Study – proposal***

Following a previous recommendation of the Bureau, a study proposal has been received by the Indiana University (USA) on the lowest possible temperature for open water races. The present rules need to be updated as the interval between 18° and 20° (when wetsuit may be an option) is still confusing and not consistently applied. An update on this study will be given at the next Bureau meeting.

### • ***OWS events 2018 - update***

A report on the 2018 open water events has been presented to the Bureau. (annex)

## 8. DIVING – by Zhou Jihong & Cornel Marculescu

### • ***Minutes & recommendations – FINA TDC Meeting in Wuhan – June 2018***

The Minutes of the recent TDC meeting were presented (annex) and the following recommendations were submitted to the Bureau:

- Recommendation 1: DWS 2019 calendar – approved
- Recommendation 2: DGP 2019 calendar – approved
- Recommendation 3: World Conference 2021 – approved in principle
- Recommendation 4: Juniors in Kyiv delegates – approved
- Recommendation 5: YOG delegates – approved
- Recommendation 6: BL Tokyo 2020 – approved
- Recommendation 7: DV World Ranking – approved

- Recommendation 8: ISS events for 2019 - approved

- ***FINA Diving World Cup in Wuhan (CHN) 2018 – Marketing Report***

A summary report on the FINA Diving World Cup 2018 was presented to the Bureau. (annex)

## **9. HIGH DIVING – by Dr Donald Rukare**

The FINA Technical High Diving Committee has been busy with two important matters:

1. The organisation of the 2018 World Cup next November in Abu Dhabi (UAE) – The Executive Director explained that this event will be held in conjunction with a 10km Marathon Swimming race; and
2. The qualification procedure for the 2019 FINA World Championships in Gwangju (KOR)

## **10. WATER POLO – by Andriy Kryukov**

- Minutes & recommendations – TWPC
- Super Final 2018 - reports
- FINA WP Video Analysis report
- WPWL 2019

Bureau Liaison Andrey Kryukov presented a detailed report to the Bureau, apologising for not having facilitated some of the documents before the meeting to all members.

In this presentation, there was a summary concerning the organisation of the Water Polo competitions held in the first half of 2018, plus a brief on the TWPC activities during the same period.

Mr Kryukov then presented the recommendations of the Committee, as follows:

- Recommendation 1-1: Omega Timing new software
- Recommendation 1-2: Camera monitoring system – Mr Marculescu recalled that the TV signal is already available if the referee needs help. Moreover, the proposal presented for goal/no goal represents a significant additional cost, as there is already a referee devoted to that. Finally, this technology should not interfere with the result of the match. The Bureau urged TWPC to look into this recommendation with more detail.
- Recommendation 1-3: System for visual effects
- Recommendation 1-4: Procedure for Post-Game Discipline
- Recommendation 2-1: Working Group for Rules Testing
- Recommendation 2-2: WP expert at 2018 Extraordinary Congress – Mr Marculescu pointed out that National Federations' representatives will be invited to the Congress. It is then up to each body to designate an appropriate delegate.



- Recommendation 2-3: WP Development Sub-Commission
- Recommendation 3-1: Working Group for Testing Procedure
- Recommendation 4-1: Sanction to 3 WP Hungarian referees – The Bureau agreed on sending a warning letter to these three officials.
- Recommendation 4-2: Working Group for Testing rules
- Recommendation 4-3: Water Polo rules rewriting – On this point, Vice-President Dennis Miller proposed that a Bureau member should be represented in this group. He proposed Erik van Heijningen, approved by the Bureau.

The President informed that the Executive agreed in investing resources for developing Water Polo worldwide. As an example, FINA has decided to support all teams participating in the European and Intercontinental World League events. On the nomination of officials, a commission will be formed by FINA and LEN and if no agreement is reached FINA position will prevail.

On the introduction of Beach Water Polo at the 2019 FINA World Championships in Gwangju (KOR), it was underlined that this is a good way to increase the number of countries playing Water Polo. It was suggested that this remain an exhibition event in 2019, where one team per continent should be invited for both the men's and women's tournament. The competition will be held in a pool and should be played by teams of four players. This was approved by the Bureau.

Second Vice-President Sam Ramsamy considered that Liaison Andrey Kryukov and his colleagues need to be complimented for the work done during the last months. Mr Ramsamy also added that human and financial resources must be considered when talking about adding technical elements to the game.

First Vice-President Husain Al Musallam, supported by the Bureau, thanked the President, the TWPC and the Executive Director for the considerable effort spent on the last year on Water Polo. He also considered that the support of Water Polo in Europe and the other continents is really useful and will lead to a better future for the oldest Olympic team sport. The initiative to provide support to every team playing in Europe or at the Intercontinental Cup is a very good decision. Equal prize money for men and women is also very positive. Finally, maintaining the uniformity of the rules worldwide is of paramount importance.

The President advised the Bureau that Water Polo must be careful in its future development. The strategy to adopt in the years to come is fundamental regarding the very hard negotiations between FINA and the IOC concerning the place of the discipline in the Olympic Games' programme.

## 11. ARTISTIC SWIMMING

### • **TASC Reports & Recommendations**

The Minutes of the TASC meeting were presented (annex) and the following recommendations were submitted to the Bureau:

- Recommendation 1: Gala Water Show – approved
- Recommendation 2: ASWS final event – in principle approved, but to work on with the Technical Committee
- Recommendation 3: Scoring system – approved
- Recommendation 4: Lobby with IOC for mixed duets – when the new IOC Programme Commission is formed, FINA will request the inclusion of this event in the Olympic programme
- Recommendation 5: Highlight Routine as part of the Team event at the Olympics, starting in Paris 2024 – FINA needs to explain to the IOC the additional excitement this event will bring.

## 12. MASTERS COMMITTEE – by Mohamed Diop

### • ***Masters Competition Schedule – Gwangju 2019***

The Commission visited Gwangju (KOR) and the calendar of the competition was set – 5-18 August 2019. The Opening Ceremony will be at the middle of the Championships in order to have the maximum number of participants. 10/11,000 athletes are expected to be in Korea.

Mr Marculescu informed that an Athletes' Village will be constructed in Gwangju – it will be a similar model than the one used in Kazan 2015. It is a real-estate investment, with modern apartments: full board costs per person/night is around US\$100, an affordable rate.

## 13. SPORTS MEDICINE – by Dr. Margo Mountjoy

### • ***Minutes & Recommendations – SMC Meeting in Lausanne – 25 March 2018***

The Minutes of the SMC meeting were presented (annex) and the following recommendations were submitted to the Bureau:

- Recommendation 1: Injury and Illness project (running since 2009) – approved, for an approximate cost of US\$ 10,000
- Recommendation 2: SMC representative at each discipline conference – approved
- Recommendation 3: Organisation of the FINA World Sports Medicine Congress in 2020 – approved
- Recommendation 4: same as number 2

## 14. ATHLETES COMMITTEE – by Matthew Dunn

Bureau Liaison Matthew Dunn informed that no meeting of the Athletes Committee was held since December 2017.

A List of AC representatives attending different FINA Events and their reports were presented to the Bureau (annex)

He recalled that Chairman Penny Heyns and Vice-Chairman Britta Kamrau are working with FINA's Legal Department to propose slight changes in the Constitution.

- ***IOC Athlete Charter of Rights and Responsibilities***

Penny Heyns briefed the Bureau about the "Athlete Charter of Rights and Responsibilities", an initiative developed by the IOC. Moreover, the second survey within this project is to be sent to athletes briefly. Mr Marculescu urged the Athletes Committee to support and adopt the IOC programme.

**15. COACHES COMMITTEE – by Vladimir Salnikov**

- ***Report of FINA CC representatives at FINA:***

Bureau Liaison Vladimir Salnikov informed the Bureau that in recent months there has been a very fruitful work for the Coaches sub-committees.

Overall, there has been a consistent improvement in terms of judging, competition, and communication. The recommendations will be summarised and presented in the next meeting, in Hangzhou (CHN).

- ***2018 IOC Coaches Lifetime Achievement Awards***

After receiving a request on this matter from the IOC, the Executive will follow-up this matter, after receiving proposals from the Technical Committees and Awards Committee.

**16. FINA DCRB – by Erik van Heijningen**

- ***Meeting in Lausanne – 24 March 2018***

After the meeting in Lausanne (SUI), there are no formal recommendations. (annex) Liaison Erik van Heijningen considered that DCRB is working well and the situation regarding FINA and doping is relatively calm.

Related with ITA, the International Testing Authority, it is presently hardly functioning and it could not ensure the services in the upcoming Asian Games. ITA will be responsible for the doping operations at the YOG in Buenos Aires, so it will be a good occasion to see them functioning. Mr Marculescu explained that FINA suggested that ITA could use FINA's

independent agency IDTM for the collection of samples and FINA's Doping Panel but no response has been received so far.

## 17. DOPING ISSUES – by Cornel Marculescu

- **Testing Programme 2018 – statistics**

A report on the Testing Programme for 2018 was presented to the Bureau. (annex)

- **Berlinger Group (media release)**

Concerning the Berlinger case, Mr Van Heijningen provided a clarification on this matter. He has the assurance that everything will be running as per WADA and FINA rules for the 2018 FINA World Swimming Championships (25m) in Hangzhou (CHN). In accordance to a recent Press Release by Berlinger Group, the company will continue to produce Berlinger BEREK products to “ensure clean and fair sporting competition. (annex)

- **Latest CAS Cases – update**

The list of the latest cases going to CAS was presented. Without exception, FINA has won all cases. (annex)

## 18. LEGAL – by Cornel Marculescu

- **International Swimming League /// Energy Standard Club**

Mr Marculescu considered this a serious problem. He informed the Bureau that a communication was sent to NFs, stating the FINA position. The so-called International Swimming League is registered in Zurich (SUI) and its sport base is in Belek, Turkey.

Specifically concerning Energy Standard club, ran by the same persons as ISL, the Ukrainian Swimming Federation has informed FINA that this club is registered within its jurisdiction. FINA will seek further clarification on this matter.

Member Matthew Dunn asked for the implication of this case if this club is duly registered in Ukraine. Mr Marculescu replied that this would change the situation and that FINA couldn't do much to refrain their activities.

Member David Sparkes then highlighted that he is not involved at all with this so-called organisation. However, he reminded the Bureau that a very successful entrepreneur wants to put money in swimming. In principle, there is no problem in dialoguing with this person and explain to him that just putting money into sport is not enough and must respect the FINA rules. Despite young athletes being attracted by this money, NFs and respective competitors must follow FINA's recommendation.

Mr Marculescu highlighted that the FINA goal on this matter is to keep the structure of the sport intact: it all starts with clubs, affiliated to National Federations, then affiliated to International Federations. The same with National Olympic Committees, then members of the IOC. The Executive Director also underlined that athletes participating in competitions or having relations with bodies not recognised by FINA are exposed to sanctions, in accordance with the FINA rules.

Member Vladimir Salnikov reinforced the idea that if Energy Standard is a “normal” club it will be very difficult for FINA to prevent this organisation to hold events.

Member Erik van Heijningen also agreed that this was a business-approach initiative, without taking care of the National Federations’ or athletes’ interests. In the short term, it may bring some benefits for FINA, but on a long run, this project won’t be useful.

- ***World High Diving Federation***

Mr Marculescu informed the Bureau that FINA is closely following the activities and existence of a so-called World High Diving Federation. This organisation is based in Switzerland and they are organising four events in Europe in 2018. FINA has already sent letters to the concerned National Federations advising them that this body is not recognised by FINA.

## **19. ETHICS PANEL – by Cornel Marculescu**

During the Executive meeting on the previous day, a media article unveiled that LEN and the International Swimming League (ISL) had signed a framework agreement on May 4, 2018.

Based on this article, in the past history of this case, and on the April meeting in Budapest with FINA President Dr Julio C. Maglione, FINA First Vice-President Husain Al Musallam, FINA Executive Director Cornel Marculescu and FINA Legal Counsel Irene Romero, where LEN President Paolo Barelli, in the presence of LEN Honorary Treasurer Tamas Gyarmas, and LEN Bureau Member Fernando Carpena firmly denied any kind of partnership with ISL, the Executive decided to take the case to the Ethics Panel.

The Bureau acknowledged the Executive proposal.

## **20. DEVELOPMENT PROGRAMME – by Dale Neuburger**

Vice-President Dale Neuburger briefed the Bureau on the activities undertaken under each of the programmes, such as:

- Continental Support Programme Report 2018
- OASP Rules & Regulations (update)
- OASP Interim Report
- OASP – request DMA
- Schools Report
- Clinics Report

- Scholarships Report
- FINA WP National Development Programme
- WP Development Sub-Committee

(annex)

He highlighted the success of the newly Olympic Aquatic Support Programme – whose Rules and Regulations have been slightly updated – and underlined the importance of creating a Water Polo Development Sub-Committee. The composition of this group, chaired by well-known Croatian coach Ratko Rudic, was approved by the Bureau.

- E-learning Presentation (<https://we.tl/WvaLhuPwKp>)

Pere Miro, Head of FINA Development Programme made a presentation to Bureau on the E-Learning Platform, a tool recently launched to help all the National Federations with their administration.

Vice-President Dennis Miller praised the importance of these programmes, namely for the aquatic development in his continent, Oceania.

## 21. MEDIA COMMITTEE – by Taha Al-Kishry

### • ***Minutes & recommendations – Meeting in Budapest – April 2018***

The Minutes of the Media Committee meeting were presented and the following recommendations were submitted to the Bureau:

- Recommendation 1: Social media package before major FINA events – this is being already done
- Recommendation 2: Promote stars with video clips on social media – already being done by the FINA Communications Department
- Recommendation 3: Promote developmental stars on social media - approved
- Recommendation 4: Creation of a TV weekly show – approved in principle, but subject to a detailed budget
- Recommendation 5: Site visit on photo issues – this is already done for major FINA events
- Recommendation 6: Upcoming site visits - approved
- Recommendation 7: Coverage of FINA events by MC members – approved, subject to the existing network of local correspondents
- Recommendation 8: FINA delegates – approved, based on Recommendation 7



- Recommendation 9: Press Officers Seminar in Hangzhou – approved in principle, but given the very busy schedule in Hangzhou and the short time until December 2018, this initiative could be postponed until Gwangju 2019
- Recommendation 10: Awards to MC Members – approved in principle, but liaison with Awards Committee is necessary
- Recommendation 11: MC members attending non-FINA events - approved
- Recommendation 12: PR for junior WR - approved

Vice-President Dennis Miller asked if FINA had relations with the Olympic channel and the answer was positive.

## 22. SWIM FOR ALL-SWIM FOR LIFE

The President informed the Bureau that he intends to hold a meeting in the months to come in Lausanne in order to proceed further with this initiative.

## 23. FINA WORLD AQUATICS DAY

The Executive Director presented a short report on the National Federations that decided to be associated with this initiative in 2018. A total of 50 countries were engaged in the FINA World Aquatics Day and almost US\$ 200,000 were given by FINA as a support to those National Federations. [\(annex\)](#)

## 24. FINA EVENTS

### • *Hangzhou 2018*

Mr Marculescu informed the Bureau on the key dates for the Hangzhou rendezvous, comprising the FINA World Swimming Championships 25m (December 11-16), the FINA World Aquatics Convention and FINA Swimming Coaches Golden Clinic (December 8-11), the FINA Extraordinary Congress (December 10), the FINA World Aquatics Gala (December 16, immediately after the finals of the last day of competition), the FINA Executive meeting (December 12), and the Bureau meeting (December 14).

A report from the OC Hangzhou 2018 was also available for the Bureau. [\(annex\)](#)

### • *Gwangju 2019*

The Executive Director briefed the Bureau on the venue plans, accommodation operations and recalled that a very successful celebration was recently held for the “One Year to go” ceremony. Mr Marculescu informed that the Athletes Village will be concluded in April 2019, and that no more than 20 minutes is separating the Village from the venues. The cost of the accommodation for the members of the national teams will be around US\$ 75/80 per night.

The Executive Director also informed the Bureau that there were plans to move the High Diving venue to the same location (120km away from Gwangju) as the Open Water races, but after a visit of Joey Zuber, from the FINA Technical High Diving Committee, it was decided to keep the original location, in Gwangju.

Finally, Mr Marculescu recognised that there are delays with some of the venues, but emphasized that the level of co-operation with the new Mayor of Gwangju is excellent and very encouraging.

- ***Fukuoka 2021***

The structure of the newly formed Organising Committee for the 2021 FINA World Championships in Fukuoka (JPN) was presented to the Bureau.

➤ **Bids**

- ***FINA Artistic Swimming Age Group Championships 2019***

The Bureau approved the allocation of the FINA Artistic Swimming Age Group Championships 2019 to the city of Samorin, in Slovakia, subject to the finalisation of the contract.

## 25. SWIMSUITS

- ***Wetsuits OWS – report from Setubal***

Mr Marculescu informed that the Setubal 10km race was marked by some problems related with the use of wetsuits. The Swimwear Approval Commission will now look at these problems in order to avoid them in the future.

- ***Minutes & Recommendations – SAC Meeting (26 & 27 June 2018)***

The Minutes (with no recommendations) of the SAC Meeting were presented to the Bureau.

[\(annex\)](#)

- ***Case of Potential Non-Compliance***

In the matter of a possible case of non-compliance, the Bureau approved SAC's proposal to not proceed further and close the case.

## 26. OLYMPIC GAMES

- ***Tokyo 2020***

Mr Marculescu revealed that the Japanese Swimming Federation had informed FINA that the Organising Committee of the Tokyo 2020 Olympics is having difficulties in staging some Test Events. A possible calendar was presented to the Bureau and FINA highlighted the

importance of hosting such competitions. Member Taha Al-Kishry suggested that the Asian Water Polo Championships could be staged in Tokyo and work as a Test Event for this discipline.

In terms of accommodation, the Executive Director explained that the FINA hotel will most probably be quite close from the IOC hotel.

Concerning transport, there are also some challenges, and the solution adopted in Rio 2016 – hiring of private drivers by FINA – will be envisaged for Tokyo 2020.

Finally, related with the staging of Swimming finals in the morning, FINA confirmed to the IOC that it agreed with this solution.

- **Paris 2024**

Mr Marculescu informed the Bureau that two meetings were held with the Paris 2024 team. On those occasions, FINA urged the organisers to keep the initial plans for an Aquatic complex. A new structure will be projected and further details will be given to the Bureau. Temporary pools will be used, but a venue will still remain in Paris as a valuable legacy of the Games.

## **27. FINA DELEGATES**

- **Reports: Tarragona 2018**

The report from Honorary Life President Mustapha Larfaoui on the 2018 Mediterranean Games in Tarragona (ESP) was presented to the Bureau. (annex)

- **Nominations:**

- **Mediterranean Beach Games 2019**

The name of the discipline is “Beach Water Polo”, not “Sea Water Polo”. The nomination for delegates will be considered at the next Bureau meeting.

- **FISU Games 2019**

The Bureau approved the nomination of the following delegates for this competition:

- Swimming – a representative from Europe;
    - Diving – Alexey Vlasenko, TDC Chairman;
    - Open Water – Ronnie Wong, TOWSC Chairman;
    - Water Polo – a representative from Europe.

## **28. FINA GOOD GOVERNANCE**

Second Vice-President Sam Ramsamy presented a Draft for a FINA Policy and Procedure Manual on Good Governance.

This document was in principle approved by the Bureau.

## 29. FINA PROTOCOL

Second Vice-President Sam Ramsamy presented a Policy and Procedure document concerning the FINA Protocol, to be applied for FINA events.

Mr Ramsamy highlighted that the co-operation with the FINA staff is of paramount importance on this matter.

The Bureau approved these principles.

## 30. NEXT BUREAU MEETING

- ***Dates & location***

The next Bureau Meeting will be held in Hangzhou (CHN) on December 14, 2018.

- ***Documents distribution***

The Bureau approved the possibility of distributing the documents for the Bureau meeting to its members only electronically. For the members still wanting the paper copy of these documents, the FINA Office will provide them on a timely manner.

## 31. MISCELLANEOUS

- ***ISHOF***

The Bureau approved the revalidation of the FINA annual support to ISHOF – US\$ 25,000.

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Member Dr Donald Rukare asked if FINA would envisage the creation of rules concerning female athletes with high levels of testosterone. Member Dr Margo Mountjoy informed that this matter should be studied by the Sports Medicine Committee and that the IAAF regulations for these cases are not consensual.

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Second Vice-President Sam Ramsamy thanked the FINA Executive Director and all the FINA staff for the excellent preparation and smooth running of the meeting.

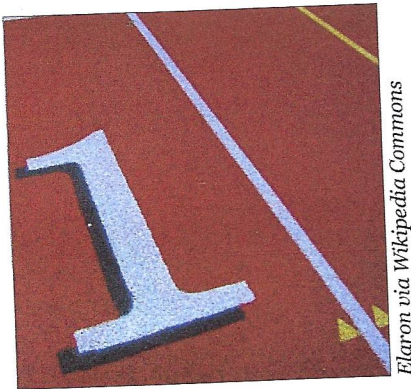
Without any other business, the President expressed his gratitude for the Bureau support and wished every members a nice time in Lausanne.

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• Lane One •

## ***Behind-the-scenes compromise has WADA poised to reinstate Russia on Thursday***



Elaron via Wikipedia Commons

▣ After multiple indications last week that the World Anti-Doping Agency would maintain its suspension of the Russian Anti-Doping Agency at this coming Thursday's meeting in the Seychelles, word leaked out that, in fact, WADA is poised to reinstate it.

What happened?

On Friday (14th), the sub-group within WADA responsible for the Russian situation – the six-member Compliance Review Committee – sent a recommendation to the WADA governing body, the Executive Committee that new developments justified reinstatement. This happened during a Review Committee conference call on Thursday

(13th); according to a WADA statement:

- “During its usual pre-ExCo conference call, held on 13 September, the CRC reviewed at length a letter from the Russian Ministry of Sport to WADA and was satisfied that this letter sufficiently acknowledged the issues identified in Russia, therefore fulfilling the first of the two outstanding criteria of RUSADA’s Roadmap to Compliance.”
- “For the second outstanding criterion, the CRC accepted that the new commitment to provide access to the data and samples in the Moscow laboratory to WADA via an independent expert would be sufficient to justify reinstatement, provided that the ExCo imposes a clear timeline for such access.”

This was met with a firestorm of protest, including the very public resignation of Canada’s highly-respected **Beckie Scott**, an Olympic gold medalist in Cross Country Skiing in 2002, from the Compliance Review Committee.

American hurdles star **Edwin Moses**, the chair of the United States Anti-Doping Agency and who attends the WADA Executive Committee meetings, wrote in an Op-Ed essay that appeared in Saturday’s New York Times, that “WADA’s decision is questionably timed, coming just as international athletes on Friday began one of the strongest antidoping campaigns ever, imploring WADA to make the right decision not to readmit Russia. The decision will anger sports fans and clean athletes, whose trust in the global antidoping authority is already wafer thin. They want a strong WADA that backs clean sport, and doesn’t look to appease a handful of sports politicians.”

Moses noted that “Having spoken to athletes, I know they overwhelmingly support the right decision being made in the Seychelles — they overwhelmingly support WADA’s sticking to its road map. This



was not the time, they say, for the global antidoping body to perform the U-turn of all U-turns."

WADA itself felt enough heat that it published another [statement](#) on Saturday that included this justification: "The fact is that leadership requires flexibility. The proposals made in the leaked letter are grounded in pragmatism and are nuanced interpretations of the Roadmap in order to bring matters to a conclusion and to not allow the significant progress that the Russian Anti-Doping Agency (RUSADA) has made over the last two years, under WADA's supervision, to be undone."

The WADA statement was accompanied by six attachments of letters between the Russian sports ministry and the WADA compliance committee and the WADA leadership, specifically chair **Craig Reedie** (GBR) and Director General **Oliver Niggli** (SUI).

The key letter is from Reedie and Niggli to Russian Minister of Sport **Pavel Kolobkov** on 22 June:

- Reedie and Niggli proposed that a written confirmation of Russia's acceptance of the International Olympic Committee's [Schmid Commission Report](#) from December 2017, which concluded that the Ministry of Sport and its subordinates had involvement in the doping scheme, would suffice in place of acceptance of the McLaren Reports, which went into much greater detail.
- The two further proposed that instead of unlimited access to the records of the Moscow Laboratory and the samples stored there, copies of the raw data provided to a mutually-agreed, "independent expert" would suffice and then re-analysis of only those samples which are identified from the raw data as having been doping positives. The letter states, "This number is likely to be very limited and once again can be done jointly with the Investigative Committee."

On 13 August, Kolobkov [wrote back](#), including this passage:

*"We have accepted and executed the decision of the IOC, based on the findings of the the Schmid Commission, and at the same time we believe that the processes of identifying and punishing the perpetrators must be carried out in accordance with the adopted procedures. The Investigative Committee of the Russian Federation continues the investigation. Information about possible persons whose guilt will be established accordingly will be transferred to the courts and these persons will be punished. We assure you that we will do our best to continue the work of identification and punishing the perpetrators."*

On this basis, Reedie, Niggli and Kolobkov agreed that the acknowledgment of a government-led doping scheme has been met, although cynical observers would suggest that the Investigative Committee will simply blame the whistle-blowers – [Dr. Grigory Rodchenkov](#) and [Vitaliy Stepanov](#) of the Moscow Lab – and ask for their extradition to Russia!

In a [follow-up letter](#) of 13 September, Kolobkov accepted the second proposal for providing the lab data to a mutually-agreed independent expert and "If based on the LIMS data and the raw data, potential Adverse Analytical Findings are identified in respect of samples stored in the laboratory sealed by the Investigative Committee we will work in a spirit of cooperation with the Russian



Criminal Procedural Code to enable the independent re-testing of these samples in accordance with the International Standard for Laboratories.”

The letter concluded with, “As you can see, we have accepted your offer of June 22, 2018. I hope that WADA will perform its undertaking and re-instate the compliance of RUSADA at the next meeting of the WADA Executive Committee of September 20, 2018.”

It's worth noting that in a letter to the WADA Executive Committee back on 19 June of this year, the Compliance Review Committee chair **Jonathan Taylor** (GBR) wrote that:

*“**Gunter Younger**, Director of WADA's Intelligence & Investigations Department, told the CRC that the copy that WADA has of the Moscow laboratory's LIMS database includes 9,453 suspicious findings that were not reported in ADAMS, some of which relate to the 2,876 samples still stored at the Moscow laboratory.”*

So the number of samples and potential positives is hardly the modest number suggested by Reedie and Niggli's 22 June letter.

So what happens now?

The decision whether to reinstate Russia's Anti-Doping Agency (RUSADA) is up to the WADA Executive Committee meeting on Thursday, not Reedie and Niggli. The Compliance Review Committee has made its recommendation, but the Executive Committee does not have to accept it.

There is no doubt that the International Olympic Committee and others aligned with IOC President Thomas Bach would like to see Russia reinstated. But they are not the only ones involved:

- The International Association of Athletics Federations (IAAF) has continued its suspension of the Russian Athletics Federation pending the same two conditions as WADA, but wants its own access to the Moscow lab data and samples as regards track & field athletes. It would likely follow WADA's lead.
- The International Biathlon Union has some modest political penalties in place against Russia, but not Russian athletes. But there is also an ongoing Austrian and Norwegian police inquiry into whether the former IBU President and Sectreary General – **Anders Besseberg** (NOR) and **Nicole Resch** (GER) – covered up Russian doping positives in return for bribes.
- French authorities are still working on their case against former IAAF President **Lamine Diack** (SEN) on charges that he took bribes to cover up Russian doping positives in road running and track & field events.

The WADA Executive Committee has multiple possible avenues it can take on Thursday:

- (1) It can accept the bargain proposed by Reedie and Niggli and reinstate Russia, which will then lead to further in-fighting inside the anti-doping movement. Already, **Linda**



Monday,  
17 September 2018

**Helleland**, the Norwegian Minister for Children and Equality, wants to run to replace Reddie as the WADA President in late 2019 and has promised a thorough review of the Russian issue if elected.

- (2) WADA can table the recommendation and ask for further clarity on the lab data transfer and access to samples.
- (3) The Executive Committee can reject some or all of the recommendations of the Review Committee and maintain Russia's suspension. It doesn't have to be all vinegar, however. The Executive Committee could agree to accept the Russian agreement to the Schmid Commission report as satisfactory to acknowledge Russian governmental involvement in the doping scandal.
- (4) If it wanted to split hairs, the WADA Executive Committee could also decide to "provisionally reinstate" Russia **but only when** (1) access to the lab records, (2) access to the stored samples and (3) re-testing of all samples requested by WADA and under supervision to WADA's satisfaction, is completed.

That would maintain the suspension in place for some time and give the Russians *a direct incentive* to provide the lab data and access to the samples sooner than later.

This is the flip side of what the Review Committee recommended – reinstate now and re-suspend if the data and samples aren't provided quickly – but changes the burden of action completely ... to the Russians.

There is a great desire, in many quarters, to be sure that not only is Russia punished for its transgressions against the Olympic Movement, but against those athletes who had to compete against doped-up competitors, but that this does not happen again. Getting to the bottom of the doping records held in Russia is part of that and reinstating Russia now does not motivate Moscow's "Investigative Committee" to cooperate quickly or fully.

The WADA Executive Committee includes 12 members, including Reddie and Helleland, and five observers (including Moses and Scott). The discussion is not likely to be short and could be quite lively.

But the question of how strongly WADA is willing to push Russia will be a signal of how much trust all sides have in WADA's integrity. It would do well to be as precise as possible in its decision, and in disclosing the discussion, the options and in the end, who voted for what.

Rich Perelman  
Editor



Outlined are the TSC activities since the May Board meeting:

Travel:

May: Oris meetings in Switzerland. The Oris project is an IOC program to insure results, reporting and problem solving is consistent across all sport disciplines for the Olympic Games.

July: Travel to Switzerland for the opening of the new FINA offices and the celebration of the 110<sup>th</sup> anniversary of FINA.

Other activities:

Regular communication with the FINA office relative to rules, etc.

Assignment of TSC members for the World Cup events.

Approval of competitions to qualify for short course 2018 World Championship in Hangzhou and 2019 long course Championship in Gwangju.

Recommendations to the FINA Bureau for officials for Hangzhou.

Planning the agenda for the TSC meeting in Buenos Aires during YOG. Not all members will be present. We have been asked to again review suggestions to improve participation in World Cup events.

Planning the agenda for the TSC meeting in December in Hangzhou. We will be recommending officials for the long course Championship in Gwangju.

There has been a lot of work done on the schedule for Tokyo 2020. There are additional events and also the finals will be morning much like Beijing.

Carol Zaleski

TSC Chairman



Dear Friends,

Today, on **August 5, 2018**, we are precisely one year away from the UANA General Congress in Lima (PER), and it is timely to provide you with some important information about what we have accomplished – together – as we reach this important milestone.

In the first seven months of 2018, our sport – Swimming, across all of its disciplines – has achieved many important objectives, and it gives me great pleasure to provide you with an update on recent UANA activities, as well as provide you with important information about upcoming events.

#### [XVIII Pan American Games - Lima, Peru:](#)

With one year to the Pan American Games, construction on two new aquatic facilities is underway, and the venues will be truly outstanding.

With extraordinary support of **Panam Sports President Nevin Ilic, and Secretary General Ivar Sisniega**, 716 athletes will compete in the five aquatic disciplines, an increase of 13% -- 84 athletes – from Toronto 2015, the largest increase in the athlete quota of any of the 38 sports on the Pan American Games program. These additional quota positions will improve the competition, assist development, and ensure that our sport has a high level of prominence.

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We also have an ideal event schedule, which was not easy to accomplish because the FINA World Championships in Gwangju (KOR) take place immediately before the Pan American Games. With remarkable assistance from the Lima 2019 Organizing Committee – in particular, **Akio Tamashiro, Felix Loreto, and Alvaro Del Pozo** – the athletes in each discipline will have a minimum of seven days between the last event in Gwangju and their first competition in Lima. And, the schedule ensures medal events in aquatics for twelve consecutive days, bringing maximum spectator audiences and excellent broadcast opportunities.

The UANA Technical Delegates for each discipline – **Sonia O’Neal, Gordon Peterson, Rose Cody, Roberto Cabral, and Dennis Ryther** – have done outstanding work, and collaboration with Lima 2019 has been efficiently organized. Additionally, **Peru Swimming Federation President Carlos Tabini and Director Jose Torres** have provided helpful advice and support over the last several years, and their technical expertise has been very valuable.

The qualification period has begun for Swimming, with the first qualification meet in December 2017 – the Central American Games, superbly organized by **Nicaragua Swimming Federation President Juan Estrada Garcia** – and the UANA Swimming Cup in Coral Springs (USA).

The Pan American Games will serve as a qualifying event for Swimming, Diving, Water Polo, and Artistic Swimming in the Tokyo 2020 Olympic Games, heightening the importance of our competitions.

#### FINA:

Under the leadership of **FINA President Julio Cesar Maglione**, and with the

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support of FINA Bureau members from the Americas -- **Juan Carlos Orihuela, Errol Clarke, Algernon Cargill, and Margo Mountjoy** – the FINA Olympic Aquatic Support Programme (OASP) has been initiated, with grants of up to \$25,000 USD available for projects in eight eligible categories. Over a four-year period from 2018 to 2021, National Federations can receive up to \$100,000 USD to advance important development initiatives, giving a significant opportunity for growth and improvement in the Americas.

As Chairman of the FINA Development Commission, I have had an opportunity to read the applications of each National Federation in the Americas. The three major categories of support are, first, preparation and training of athletes, coaches, and officials; second, participation in important regional and continental events; and, third, purchase of sport-specific technical equipment.

Additionally, FINA has begun direct funding to UANA of \$100,000 USD annually, beginning in 2018 and extending for four years through 2021, specifically to assist and support development programs. And, FINA will continue to provide \$10,000 USD annually to CCCAN and CONSANAT to support regional championship events.

These new areas of financial support are in addition to other elements of the FINA Development Programme, including FINA Clinics and Schools. A new Coaching Certification Programme has been initiated in 2018, and UANA will be the first Continental Association to conduct the FINA Aquatic Management Programme. Virtually every National Federation in the Americas is participating in the FINA Development Programme. FINA has made an enormous investment in the Americas, and I know that it will bring benefits for many years to come.

[Fluidra S.A./ASTRAL POOL:](#)

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For the second year, our great friends at Fluidra S.A./ASTRAL POOL are providing \$60,000 USD (50,000 euros) in sponsorship support to UANA.

This is the first commercial sponsor for UANA in its seventy-year history, and we are most grateful to our friend, **Sr. Pere Ballart**, for his confidence in UANA.

The sponsorship funds are distributed as follows: \$10,000 USD to CONSANAT to support its championship events; \$10,000 USD to CCCAN to support its championship events; and, \$2,500 USD to each of the National Federations that are hosting UANA championship events. The remainder – about \$30,000 USD – is allocated to UANA to advance development in the region.

#### UANA Championships:

In 2018, UANA will conduct, or has conducted, continental championships in the following disciplines, and at the following locations:

- **UANA Swimming Cup – United States (USA)**

32 National Federations participated in the largest swimming event in the Americas (outside of the Pan American Games) since the formation of UANA in 1948. The event was a huge success, and already, plans are being made for the next edition in 2020, including athletes from the USA and Canada.

- **UANA Open Water Swimming Championships – Cayman Islands (CAY)**

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For the second consecutive year, Cayman Islands was the host of this championship event, held in conjunction with the 26<sup>th</sup> Annual Flowers Sea Swim. From 2007 to 2016, UANA did not conduct a championship event in open water swimming, and the hosting of this championship, in such an ideal environment, is a major success story for UANA, which recognizes the important contribution of **CIASA President, Michael Lockwood**.

- **UANA Water Polo Cup – Bolivia (BOL)**

Although the men's championship included only four teams, the event was an important test for the Bolivia Swimming Federation (FEBONA), conducted just three weeks before the ODESUR South American Games. The Bolivian city of Cochabamba was an ideal host, and special thanks are extended to **FEBONA President Pedro Cervantes and CONSANAT President Juan Carlos Orihuela**.

- **UANA Junior Water Polo Championships – United States (USA)**

This championship event was hosted in Florida to provide optimal accessibility for teams from the Americas. The event featured 13 teams, demonstrating the rapid development of water polo in the Americas. Special appreciation is given to **USA Water Polo CEO Chris Ramsey**, and **USAWP High Performance Director John Abdou**, for their commitment and diligence.

- **UANA Masters Championships – United States (USA)**

With more than 2,500 athletes from every region within UANA, this event was the largest Masters event ever held in the Americas, except previous FINA World Masters Championships in Indianapolis and Montreal. Orlando, Florida

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was an ideal location for the event, and the participants were able to enjoy many of the tourist attractions in the area. Special thanks go to **UANA Masters Committee Chairman Mel Goldstein**, and **three-time Olympic gold medalist and Event Director, Rowdy Gaines**.

- **UANA Junior Artistic Swimming Championships – United States (USA)**

Riverside, California (USA) will again host this championship event under ideal competitive circumstances. UANA recognizes the contributions of **USA Synchro President Linda Loehndorf** and **USA Synchro Technical Advisor, Betty Hazle**, and the UANA Technical Committee, under the chairmanship of **Rose Cody**.

UANA gratefully acknowledges the support of all of the host National Federations, particularly their dedication to enhancement of the athlete experience at UANA events.

[Panam Sports/UANA Swimming Camp:](#)

In early June, more than 30 athletes from 22 National Federations in the Americas took part in a swimming camp in Davie, Florida (USA), under the guidance of Azura Aquatics coach, **Gianluca Alberani**.

The athletes were chosen specifically for this additional training opportunity because they have achieved times that are within 3% of the B qualifying time standards for Lima 2019. Their coaches were encouraged to attend the camp, and 10 coaches were present at the camp.

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Panam Sports funded the housing, meals, and training fees of the athletes, with additional contributions from the National Olympic Committees of participating athletes, and from UANA. The three-way partnership was ideal, and Coach Alberani and his colleagues were outstanding.

UANA extends special appreciation for the initiation of this program to **Panam Sports Secretary General Ivar Sisniega** and **Panam Sports Program Director Ricardo Probert**.

FINA Scholarship Programme:

I am very pleased that fifteen athletes from the Americas have participated in the FINA Scholarship Programme in 2018. All are promising athletes who have achieved swimming times within 3% of the “B” standard times for the 2019 FINA World Championships.

The following athletes are in the program:

- **Maria Garcia (PER)**
  - **Leandro Costabile (URU)**
  - **Felix Delron (GRN)**
  - **Joseph de Nobrega (GUY)**
  - **Papy Dossous (HAI)**
  - **Daniel Jacobs (ARU)**
  - **Katie Kyle (SLC)**
  - **Lismar Lyon (VEN)**
  - **Matheo Mateos (PAR)**
  - **Stefano Mitchell (ANT)**
  - **Juan Morales (COL)**
  - **Helena Moreno (CRC)**
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- **Sara Pastrana (HON)**
- **Jose Quintanilla (BOL)**
- **Alex Sobers (BAR)**

UANA extends congratulations to each athlete and to each National Federation, and hopes for success in qualifying for Lima 2019 and Gwangju 2019.

UANA Extraordinary Congress:

UANA will conduct an Extraordinary Congress on December 10, 2018, immediately following the FINA Water Polo Congress in Hangzhou (CHN), in conjunction with the FINA World Aquatics Convention and the FINA World Swimming Championships (25m).

This will be the second UANA Extraordinary Congress (after a successful effort in Budapest last summer) and its primary purpose is to amend the UANA Constitution to increase participation in organizational governance by athletes. Specifically, the UANA Executive would increase from eight members to ten members, with the addition of two athlete representatives, elected by the athletes themselves.

By doing so, UANA will be the leader among all sports in the Americas in terms of athlete involvement in governance, aligning with important principles established by the International Olympic Committee and by FINA. Our hemisphere has some remarkable athlete leaders, from many countries, and UANA can benefit greatly from their participation.

Conclusion:

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Every day, I am motivated by the amazing commitment of National Federation leaders within the Americas and the athletes who strive for excellence in their chosen disciplines

UANA has made many advances over the last three years, owing in large measure to your dedication to our sport and to its athletes. I also thank the UANA Executive Committee and, in particular, **UANA Director Gregory Eggert**. We often say, “the UANA Office never sleeps,” and this is due to Greg’s daily volunteer efforts to keep us organized, on track, and fulfilling our promises.

Please know that your work is noticed and appreciated. Our counterparts throughout the world admire UANA, and we have made substantial progress.

But like coaches in all of our disciplines, I ask you to do more and to do better. Continue your great work, knowing that the athletes benefit from your efforts.

I conclude by saying THANK YOU! I am so appreciative of your support, your goodwill, and your hard work!

All best wishes,

A handwritten signature in black ink, appearing to read "Dale Neuburger". The signature is fluid and cursive, with a long horizontal stroke at the end.

Dale Neuburger  
UANA President

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## **SARAH HIRSHLAND**

### **Chief Executive Officer**

Sarah Hirshland began her term as chief executive officer of the United States Olympic Committee in August 2018. As CEO, Hirshland oversees the USOC in its stewardship as both the National Olympic Committee and National Paralympic Committee for the United States, while leading the organization in delivering on its mission to support America's elite athletes and inspiring all Americans. Prior to her role at the USOC, she served as the chief commercial officer for the United States Golf Association.

At the USGA, Hirshland was responsible for the company's global media and content distribution, corporate partnerships, merchandise and licensing, marketing, communications, community outreach and Golfer Handicap Information Network. Among her accomplishments at the USGA, she established a centralized marketing function, transformed relationships and service offerings with the Allied Golf Associations, oversaw media rights negotiations, secured and managed global partnerships and guided the transformation of tournament management software services.

Prior to joining the USGA in 2011, she was senior vice president for strategic business development at Wasserman Media Group (now Wasserman). She also previously worked in Wasserman's consulting division, leading the development of sports marketing strategies for clients such as American Express, Nationwide, Nokia, Scotts and Wachovia. In addition, Hirshland has served in key executive positions with sports and entertainment firm OnSport, and sports news and technology company Total Sports.

Hirshland is a graduate of Duke University. She and her husband reside in Colorado Springs, Colorado, and have three adult children.

**U.S. Olympic Committee board of directors announces leadership changes**  
*Board chair Larry Probst to step down at end of 2018 term, replaced by Susanne Lyons*

COLORADO SPRINGS, Colo. – The United States Olympic Committee today announced that USOC Board Chair Larry Probst will step down from the board at the end of 2018 and be succeeded by Susanne Lyons, independent USOC board member and until recently the USOC's acting CEO (Feb. 28-Aug. 20, 2018). Lyons' four-year term as chair will begin on Jan 1, 2019. She was succeeded as CEO by Sarah Hirshland.

Probst was first elected chair of the board in October 2008 and reelected in 2012 and 2016. He leaves the board having led a transformative period in USOC history, both on and off the field of play.

"Serving as chairman of the USOC board of directors has been an extraordinary honor and I'm proud of the work we did during my tenure to support American athletes, and advance the Olympic and Paralympic movements," said Probst. "I became chairman at a difficult time for the USOC and worked diligently with my colleagues here in the U.S., and around the world, to change the USOC for the better. It's now time for a new generation of leaders to confront the challenges facing the organization and I have the utmost confidence in Susanne's and Sarah's ability to do just that."

Probst led board approval of a first-of-its-kind athlete safety program and the launch of the U.S. Center for SafeSport, an independent entity with a critically important role to play as the sport community continues to respond to incidents of abuse.

The successful renegotiation of the USOC's revenue sharing agreement with the International Olympic Committee is seen as a signature success of Probst's tenure. That agreement contributed to renewed positive relationships with the international community and led to Probst's election to the IOC in 2013. Probst is also a member of the Association of National Olympic Committees Executive Council, as well as the Panam Sports Organization's Executive Committee. That engagement played a significant role in the USOC's successful campaign to bring the Olympic and Paralympic Games back to the United States in LA 2028.

Probst also led the USOC during one of the most successful periods on the field of play in American history with Team USA athletes topping the Olympic medal counts in Vancouver, London and Rio, as well as the Paralympic medal count in PyeongChang.

Additionally, significant financial stability was achieved during Probst's time as chair through long-term broadcast and corporate partner agreements, and the launch of the U.S. Olympic and Paralympic Foundation, leaving the organization well-positioned to continue unprecedented support for American athletes.

"Larry led the USOC at a critical time in the history of the organization," said IOC President Thomas Bach. "At the same time, he became a trusted voice and valuable member of the IOC, chairing one of the most important commissions, he played a crucial role in the creation of the Olympic Channel and its success both worldwide and in the United States. Under his leadership, and through his personal efforts, the standing of the United States in the international sport community was greatly improved. The awarding of the 2028 Olympic and Paralympic Games to Los Angeles is a fitting testament to his efforts."

Lyons was elevated to chair from her role as an independent director via unanimous election of the full USOC board. She was first elected to the board in December 2010, bringing with her more than 30 years of expertise in organizational management, marketing, sponsorship, business strategy and revenue generation. In January 2018, Lyons was selected as chair of the USOC board's working group addressing issues of athlete safety, and a response to the Nassar case specifically. Since then she has dedicated herself to leading the USOC's efforts to ensure a process that is independent, transparent, sensitive and accessible.

"I'm honored that the board has entrusted me with this position, eager to continue to support our Olympic and Paralympic athletes, and ready to do the work necessary to regain the trust of our athlete community; particularly survivors of abuse," said Lyons. "I've been associated with the Olympic and Paralympic movements for nearly two decades and never dreamed I would be in this position. It's no secret that the USOC is at critically challenging time in its history and we simply must get it right. I intend to make sure we do."

Lyons served as the executive vice president and chief marketing officer of Visa USA – a member of the IOC's The Olympic Partner (TOP) Program – from 2004-07. Prior to that, Lyons held leadership roles for Charles Schwab & Co., and Fidelity Investments. She has also served on a variety of public and not-for-profit boards.

To IRC & BOD:  
From Ron Van Pool  
Subject: USOC BOD NGB Council Candidates

The USOC NGB Council will nominate two candidates to the USOC Nominating Committee for the position on the USOC BOD representing the NGBC. The initial slate of candidates is as follows:

Andrews	Phil	Paid	Weightlifting
Bender	Rich	Paid	Wrestling
Cobb	Max	Paid	Biathlon
Harris	Rocky	Paid	Trithlon
Ramsey	Chris	Paid	Water Polo
Siegel	Max	Paid	Track & Field
Adams	Katrina	Non-paid	US Tennis Association
Paine	Dexter	Non-paid	Ski & Snowboard
Plant	Mike	Non-paid	US Speedskating
Shepard	Tom	Non-paid	USA Pentathlon

The field will be narrowed to 3 in each category and at the NGB Council meeting at the Assembly the vote will select the two finalists to send to the Nominating Committee. At least one candidate must be a non-paid person (could be two).

Ron Van Pool



FOR YOUTH DEVELOPMENT  
FOR HEALTHY LIVING  
FOR SOCIAL RESPONSIBILITY

## YMCA Report to USA Swimming September 25, 2018

### Y Competitive Swimming

#### *Registrations*

<u>2014-15</u>	<u>2015-16</u>	<u>2016-17</u>	<u>2017-18</u>
<b>610</b> Y Teams 60,939 Swimmers 2,077 Y Coaches  317 YMCA/USA-S Teams 26,698 Y Registered USA-S Swimmers	<b>637</b> Teams 62,297 Swimmers 2,270 Coaches 5,060 Officials 343 YMCA/USAS Teams 28,447 Y Registered USA-S Swimmers	<b>639</b> Teams 62,075 Swimmers 2,275 Coaches 5,455 Officials 377 YMCA/USA Teams 33,113 Y Registered USA-S Swimmers	<b>631</b> Teams 61,257 Swimmers 2,304 Coaches 5,190 Officials 347 YMCA/USA Teams 28,593 Y Registered USA-S Swimmers

The numbers of swimmers (both YMCA and USA Swimming) are numbers as declared by teams through the YMCA registration site. They do not encompass the total Y s participating in some level of swimming competition.

The numbers of teams and coaches registered through our system and the numbers of officials are from the team registration data-base.

Keep in mind that these are only the teams and coaches that complete our registration process- essentially those teams who intend to participate in district/regional/area competition through Y National Championship competition. We are aware that there are more out there to serve who are participating in local seasonal leagues and recreational meets.

### YMCA Swimming Council.

The YMCA Swimming Council is composed of the 13 regional representatives who provide volunteer leadership in competitive swimming and diving around the country, along with individuals who represent the following areas: Technology, Officials, USA Swimming Liaison, YMCA CEOs and USA Diving Liason. (See attached detailed 2018 YMCA Swimming National and Regional Data.)

Also serving to support the Council are a committee of CEO/COO Partners who advocate for YMCA Swimming and Diving among their peers.

Currently the Y of the USA in Chicago is restructuring their delivery of service to local YMCAs. As this restructuring rolls out, it is yet to be seen if and how this may impact Y competitive swimming. We do not anticipate any significant drift from the current central role that swimming serves as a key component in the matrix of Youth Development programs offered by the Y.

#### **Program Growth and Impact**

Under the leadership of Lindsay Mondick, Senior Manager of Aquatics, Y-USA has expanded its resources available to local Ys for the growth and impact of competitive swimming programs. These include structural and operational guidance for local programs, rules and best practices, promotional and benefit-focused materials. We now also have a toolkit for local Y CEOs and leaders to use in advocacy of competitive swimming. Currently in development is a comprehensive guide for Y aquatic directors on competitive swimming.

Y Nationals- (See detailed Fun Facts attachments)

#### **Short Course**

April 3-7, 2018 Greensboro, NC

1467 Total Participants

779 Women 688 Men

204 Teams

The YMCA has committed to holding Short Course Nationals in Greensboro for at least the next two years.

#### **Long Course**

July 31- August 3, 2018 University of Maryland, College Park

943 Total Participants

481 Women 462 Men

113 Teams

Sites and dates for the Future are TBD

Submitted by,

Jim Ryan

**2018 YMCA Swimming National and Regional Data**

<b>YMCA Regional Representative</b>	<b>States</b>	<b>LSCs</b>	<b>Y Reg Teams</b>	<b>Declared Y Swimrs</b>	<b>Y / USAS Teams</b>	<b># USA Swimrs</b>	<b>Coaches - Rgstrd</b>	<b>YMCA Officials / AOs</b>	<b>Regional Officials Rep</b>	<b>USA-S SDC</b>
Janet Harty	ME, NH, VT, MA, RI	ME, New England	62	5,978	38	2,546	219	273/29	Bob Menck	Jeff Allen
Donald Pirrie	IA, MN, ND, SD, NE	IA, MN, ND, SD, Midwestern	58	4,272	15	558	189	481/64	Jack VerHelst	Randy Julian
Jodi Clute	NE Ohio, NW Ohio, MI	OH, MI, Lake Erie	58	4,959	22	1,440	181	837/147	Fang Liu	Randy Julian
Jack Caucino	NJ, DE, MD, DC	NJ, Middle Atlantic, Potomac Valley, MD	51	7,951	42	5,809	318	981/103	Val Gibson	Jeff Allen
Vacant (Meredith Griffin)	TX, OK, AR, NM, LA	West TX, North TX, Gulf, South TX, Border, AR, LA, NM, OK	3	380	0	175	6	162/5	Phil Nelson	Randy Julian, and Dave Thomas
Aaron Heiss	IL, WI, MO, KS	IL, WI, Ozark, Missouri Valley	99	8,620	46	4,017	265	558/158	Tom Alef	Randy Julian
Todd Marsh	ID, WA, OR, MT, WY, AK	Snake River, Inland Empire, OR, MT, WY, Pacific Northwest, AK	29	2,406	15	1,212	62	148/26	Jim Cornforth	Scott Shea
Mike Gobrecht	PA	Middle Atlantic, Alleghany Mountain	78	7,817	42	2,112	317	846/139	Brad Bason	Jeff Allen
Kirk Hampleman	VA, NC, SC, TN	VA, NC, SC, Southeastern, Potomac Valley	47	5,005	28	3,417	174	151/8	Eddie Hughes	Dave Thomas
Kaeley Steinnagel	CT, NY	CT, Metro, Niagara, Adirondack	63	6,146	40	3,441	257	428/84	Brian Bradstreet	Jeff Allen
Lisa Bitting	FL, GA, AL, MS	FL, Florida Gold Coast, GA, Southeastern, MS	13	2,262	12	2,063	52	88/4	Kathy Fish	Dave Thomas
Bill Whatley	KY, WV, IN, SE Ohio, SW Ohio	WV, KY, IN, OH	58	4,941	35	1,640	236	171/28	Jon Saxton	Randy Julian and Dave Thomas
Chris Kang	CA, CO, UT, HI, AZ, NV	SoCal, San Diego-Imperial, Central CA, Pacific, Sierra NV, UT, AZ, CO, HI, Snake River	12	520	6	163	28	66/10	Vacant	Scott Shea
<b>Totals</b>			<b>631</b>	<b>61,257</b>	<b>347 (54.9%)</b>	<b>28,593</b>	<b>2,304</b>	<b>5,190/805</b>		



**943 SWIMMERS**



**481 Women**  
**462 Men**

## Ratio

1.04 Women to Men

## Swimmers per Team

54 from Red Bank, NJ  
41 from Somerset Valley, NJ  
36 from Lakeland Hills, NJ  
31 from Cheshire  
26 from York YMCA, PA



**217 COACHES**



**VOLUNTEER OFFICIALS**

**74**



**48 COLLEGE/ UNIVERSITY COACHES**



## AGE Avg=16.0; Median=16

8 Swimmers 12 years old  
42 Swimmers 13 years old  
91 Swimmers 14 years old  
179 Swimmers 15 years old  
215 Swimmers 16 years old  
261 Swimmers 17 years old  
137 Swimmers 18 years old  
8 Swimmers 19 years old

**2018**

**YMCA LONG COURSE NATIONALS**

**MEET**

**STATISTICS**

**ESTIMATED SPECTATORS**

**1,750**



**TEAMS**

**113**



## Team Size:

**Avg size= 8; Median Size= 5**

21 teams with 1 swimmer  
14 teams with 2 swimmers  
6 teams with 3 swimmers  
9 teams with 4 swimmers  
8 Teams with 5 swimmers  
8 Teams with 6 swimmers  
5 Teams with 7 swimmers  
3 Teams with 8 swimmers



**7 BROKEN RECORDS**



**ENTRIES**  
**3424**

**3074 Individuals**  
**350 Relays**

**1012 Pre-entered Time Trials**  
**1223 Total Time Trials**



## Averages

**3.3 Entries per swimmer**  
**1.3 Time Trials per swimmer**  
**2.0 Time Trials by TT entered swimmers**

**23 from PA**  
**18 from NJ**  
**16 from OH**  
**9 from NY**  
**7 from NC**  
**6 from MD**  
**4 from ME**

**TEAMS FROM**  
**20 STATES**



CT, DE, FL,  
IL, IN,  
KY, MA, MD, ME, MI,  
NC, NJ, NY,  
OH, PA, RI, SC,  
VA, WI, WV

**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**  
**1,450**



**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