

# SPORTS GOVERNANCE OBSERVER 2018

An assessment of good governance in five  
international sports federations

Arnout Geeraert

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## Introduction

The first Sports Governance Observer (SGO) report was published at the end of 2015, a year that proved an *annus horribilis* for international sports governance. Corruption and controversy surrounded particularly the Fédération Internationale de Football Association (FIFA) and the International Association of Athletics Federations (IAAF). The SGO 2015 report demonstrated that a large number of international federations are subject to risks due to structural deficits (Geeraert, 2015). More specifically, it showed that the large majority of the 35 Olympic international federations had failed to implement basic standards of good governance relating to transparency, democratic processes, internal accountability, and societal responsibility.

More surprisingly perhaps, the SGO 2015 report also debunked the perception that FIFA's governance deficits are more severe than those of other international federations. In fact, of the 35 Olympic international federations, FIFA achieved 68%, the second-best SGO index score. FIFA's score reflected the governance reforms it had undertaken since 2011. Most of these reforms were implemented shortly before SGO benchmarking occurred (Pieth, 2014). Yet while FIFA had strengths in some areas, the analysis showed that it also failed to implement a number of basic good governance standards. Indeed, FIFA's 68% score on this measure of basic elements can only be considered good in comparison. In other words, FIFA's relatively high SGO index score only served to highlight the overall low index scores achieved by the large majority of the federations. These scores demonstrated the need for better governance across the Olympic international federations in general.

Since the publication of the SGO 2015 report, a significant number of international federations have engaged in governance reforms. Federations like FIFA and the IAAF have recently initiated reform processes through the establishment of (ad hoc) reform committees. In addition, reforms have also been initiated at the sectoral level. The Association of Summer Olympic International Federations (ASOIF), an association of the 28 international federations that are part of the Summer Olympic Programme, introduced the 'Key Governance Principles and Basic Indicators' in 2016 (ASOIF, 2016). ASOIF actively supports implementation of the principles among Summer Olympic international federations and monitors compliance through a self-assessment questionnaire. Most recently, the Winter Olympic international federations have also engaged in ASOIF's assessment process (ASOIF, 2018).

The main challenge of any reform process, however, is to achieve fundamental rather than cosmetic change. Governance reforms are usually introduced in response to outside pressure. Organisations are incentivised to signal their commitment to governance improvements in order to minimise both public interventions and reputation costs imposed by civil society actors. Yet, organisations, their senior officials, and their stakeholders often have a vested interest in the status quo. Governance reforms indeed have an impact on established equilibria, as they may restrict particular individuals' leeway, influence, and decision-making power. Those negatively affected by imminent reforms will therefore have a strong incentive to minimise change. As a result, governance reforms are often not sufficiently far-reaching in particular areas. At the worst, they function primarily as public relations ploys that privilege business-as-usual practices.

There is thus an objective need for external assessment and pressure to ensure that the governance deficits of international federations are adequately addressed. The stakes are high. If international federations do not implement a sufficiently high standard of good governance, how can they be expected to be effective actors in the fight against doping, match-fixing, human trafficking, fraud, and money laundering in sports? Obviously, international federations cannot address these transnational and multi-faceted issues alone. Yet their private regulatory authority enables them to play a pivotal role in the governance networks that are established to effectively address these problems. In addition, international federations operate in an environment where corruption risks are high. It is clear that the rapid and vast commercialisation of sport as well as sport's potential for political instrumentalisation has incentivised individuals to engage in corrupt practices. While implementing good governance in itself does not eradicate such practices, it does discourage corruption by increasing the likelihood that related acts will be discovered and punished. Those federations that do not adhere to high levels of transparency, democracy, and internal accountability are therefore exposed to higher corruption risks.

To accurately signal governance strengths and deficits, we need to move beyond basic indicators and principles. The SGO 2015 indicators have therefore been overhauled. This report introduces the new SGO 2018 benchmarking instrument. It builds on a new set of 57 principles of good governance, measured through 309 indicators of good governance. The indicators are dispersed over the same four dimensions of good governance as those used in the SGO 2015 report, namely transparency, democratic processes, internal accountability and control, and societal responsibility.<sup>2</sup>

More specifically, this report employs the SGO 2018 benchmarking instrument to assess the governance of five international federations, namely FIFA, the IAAF, the International Swimming Federation (FINA), the International Handball Federation (IHF) and the International Tennis Federation (ITF). The aim is to stimulate an open debate by providing an objective, reliable, and holistic overview of which elements of good governance are implemented by these federations and which ones are not.

In what follows, the methodology underpinning the construction of the SGO indicators and the method for gathering data from the five federations is explained. The subsequent chapter summarises the main results and explores the way forward. Finally, individual reports detail the results of the five surveyed federations.

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<sup>2</sup> Note that in the SGO 2015 report, 'internal accountability and control' was referred to as 'checks and balances' and 'societal responsibility' as 'solidarity'.

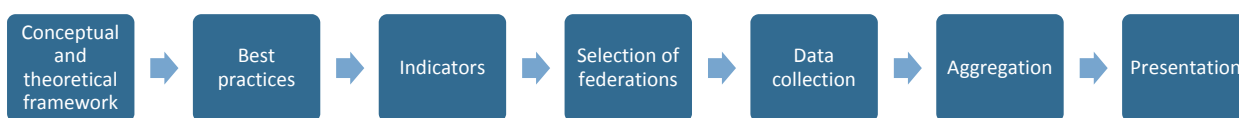


## Methodology

The SGO indicators build on the indicators developed within the framework of the National Sports Governance Observer (NSGO) project (Geeraert, 2018a). The NSGO indicators were developed to assess good governance in national sports federations. These indicators were further refined, while more specific indicators and criteria were added in order to capture the specific responsibilities and risks of international federations. Nonetheless, the SGO and NSGO indicators are underpinned by similar methodologies. This section therefore provides a summary of the methodological choices that are explained in detail in the NSGO report (see Geeraert, 2018b).

Figure 1 visualises the seven steps underpinning the construction of the SGO (and NSGO) benchmarking instrument. These steps build on the guidelines for constructing (composite) indicators as advanced by Nardo et al. (2005). Though a single method for constructing governance indicators does not exist, these guidelines have been tried and tested and are widely adopted (Gómez-Limón & Sanchez-Fernandez, 2010).

**Figure 1: The methodology underpinning the SGO benchmarking instrument**



### Theoretical framework

Governance indicators should be based on a sound theoretical and conceptual framework (Nardo et al., 2005). The SGO and NSGO consider bureaucratic practices, rules, and procedures ‘good governance’ when they have a positive impact in terms of legitimacy, effectiveness and resistance to unethical practices. To select adequate elements of good governance, the notion of ‘good governance’ is broken down into four sub-dimensions, namely transparency, democratic processes, internal accountability and control, and societal responsibility. These dimensions are mutually reinforcing and, to a large extent, mutually constitutive. Nonetheless, they are analytically distinct and can be defined in accordance with the relevant theoretical literature.

- **Transparency** refers to the reporting of the organisation’s own internal workings, which allows others to monitor these workings (Meijer, 2014, p. 511).
- **Democratic processes** entail free, fair, and competitive elections; actors’ involvement in decision-making processes that affect them; and fair and open internal debates (Bexell, Tallberg, & Uhlin, 2010).
- **Internal accountability and control** refers to both the separation of powers in the organisation’s governance structure and a system of rules and procedures that ensures that staff and officials comply with internal rules and norms (Parsons Miller, forthcoming).

- **Societal responsibility** refers to deliberately employing organisational potential and impact to have a positive effect on internal and external stakeholders and society at large.

The theoretical assumptions advanced by relevant literature lead to the expectation that implementing these dimensions of good governance maximises legitimacy and effectiveness and minimises unethical practices. The following summarises the main impact of implementing the four dimensions of good governance.

- Implementing the **four dimensions** contributes to perceptions of fairness and legitimacy.
- **Transparency** enhances trust and incentivises staff and officials to perform better.
- **Democratic processes** allow for more effective policies because stakeholders contribute specialised knowledge to the decision-making process. Stakeholders are also more likely to accept policies when they feel a sense of ownership over those policies. In addition, open debate generates more effective solutions to policy problems, and free, fair, and competitive elections incentivise officials to perform better and to solve problems more creatively.
- **Internal accountability and control** stimulates learning and decreases the likelihood of power imbalances, abuses of power and unethical conduct.
- Demonstrating **societal responsibility** has a positive impact on legitimacy because it enhances the trust brought forward by external audiences. A positive relationship with internal and external stakeholders also contributes to more effective policies.

## Best practices

In order to measure the four abstract dimensions of good governance identified in the theoretical framework, they are replaced with 'intermediate objectives' (Nardo et al. 2005, p. 5). To identify these objectives, existing governance indicators and best practice recommendations were reviewed (Aguilera & Cuervo-Cazurra, 2004; Nardo et al., 2005; De Peuter et al., 2007). The NSGO benchmarking tool built on an extensive review of more than 40 sets of good governance principles and recommendations. The review included documents issued by national governments, international organisations, and sports organisations that focus on national and international sports federations, the non-profit sector, as well as the corporate and cultural sectors. On the basis of this review, 46 general practices, rules, and procedures that fit the definitions of the four dimensions of good governance were selected. These 46 principles were the starting point for selecting relevant principles for international federations.

The 46 principles were amended and complemented to fit the risks and responsibilities specific to international federations. The strategy for doing so was two-fold. First, the relevance of the 46 principles for international federations was assessed. Second, additional sets of best practices were reviewed to select supplementary principles. The review focused on standards issued by international organisations and the SGO 2015 indicators. This process resulted in minor changes in the wording of the principles and the addition of principles in the following main areas:

- **Transparency:** The reporting of corruption risk assessments, allocated funds, and strategic plans.
- **Democratic processes:** Organising open and competitive elections and establishing a nomination committee.
- **Internal accountability and control:** Establishing corruption risk assessments, open tenders for major contracts, an objective and transparent process for the allocation of major events, an internal compliance system, whistleblower protection, and independent board members.
- **Societal responsibility:** Implementing a human rights policy and requesting anti-corruption controls as a requirement for external entities receiving funding.

Ultimately, 57 general practices, rules, and procedures that fit the definitions of the four dimensions of good governance were selected (see table 1). They constitute principles of good governance that require further quantification to allow for assessment.

**Table 1: The 57 SGO principles of good governance**

<p><b>Dimension 1: Transparency</b></p> <p><b>[Principle 1]</b> The organisation publishes its statutes/ constitution, internal regulations, sports rules, and organisation chart on its website.</p> <p><b>[Principle 2]</b> The organisation publishes the agenda and minutes of its general assembly meeting on its website.</p> <p><b>[Principle 3]</b> The organisation publishes board and standing committee decisions on its website.</p> <p><b>[Principle 4]</b> The organisation publishes information about its board members on its website.</p> <p><b>[Principle 5]</b> The organisation publishes information about its members (national federations) on its website.</p> <p><b>[Principle 6]</b> The organisation publishes annual general activity reports on its website.</p>
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**[Principle 7]**

The organisation publishes on its website financial statements that are externally audited according to recognised international standards.

**[Principle 8]**

The organisation publishes regulations and reports on the remuneration, including compensation and bonuses, of its board members and of management on its website.

**[Principle 9]**

The organisation reports on corruption risks, including conflicts of interest.

**[Principle 10]**

The organisation publishes its strategic plan on its website.

**[Principle 11]**

The organisation publishes details on allocated funds on its website.

**Dimension 2: Democratic processes**

**[Principle 12]**

Board members are (re-)appointed according to clear and democratic procedures.

**[Principle 13]**

The organisation undertakes steps to ensure that elections of senior officials are open and competitive.

**[Principle 14]**

The organisation has a nomination committee that oversees the appointment of senior officials.

**[Principle 15]**

The organisation establishes a quorum (a minimum number of attendees required to conduct business and to cast votes) in its statutes or internal regulations for the board and the general assembly.

**[Principle 16]**

The organisation has established term limits.

**[Principle 17]**

The general assembly represents all affiliated members and meets at least once a year.

**[Principle 18]**

The board meets regularly to discuss relevant issues according to established procedures.

**[Principle 19]**

The organisation ensures the participation of athletes in its policy processes.

**[Principle 20]**

The organisation ensures the participation of referees in its policy processes.

**[Principle 21]**

The organisation ensures the participation of coaches in its policy processes.

**[Principle 22]**

The organisation ensures the participation of volunteers in its policy processes.

**[Principle 23]**

The organisation ensures the participation of employees in its policy processes.

**[Principle 24]**

The organisation implements a gender equality policy.

**Dimension 3: Internal accountability and control**

**[Principle 25]**

The general assembly supervises the board appropriately.

**[Principle 26]**

The board establishes procedures regarding the premature resignation of board members.

**[Principle 27]**

The organisation defines in its statutes those circumstances in which, due to a serious conflict of interest or integrity issue, a person is ineligible to serve as a member of the board.

**[Principle 28]**

The organisation applies a clear governance structure according to the principle of separation of powers.

**[Principle 29]**

The board supervises management appropriately.

**[Principle 30]**

The organisation has an internal financial or audit committee.

**[Principle 31]**

The organisation regularly conducts a corruption risks assessment.

**[Principle 32]**

The organisation implements a financial control system.

**[Principle 33]**

The organisation employs open tenders for major commercial and procurement contracts.

**[Principle 34]**

Decisions on the allocation of major events are made through a democratic, open, transparent, and objectively reproducible process.

**[Principle 35]**

The board annually evaluates its own composition and performance.

**[Principle 36]**

The organisation is externally audited by an independent auditor.

**[Principle 37]**

The organisation has or recognises a code of conduct applicable to the members of the board, management, and personnel.

**[Principle 38]**

The organisation establishes clear conflict of interest procedures that apply to the members of the board.

**[Principle 39]**

The organisation takes steps to ensure that applicable rules of conduct are adequately checked and that transgressors face consequences.

**[Principle 40]**

The organisation establishes procedures for the processing of complaints about violations of applicable rules of conduct.

**[Principle 41]**

The organisation establishes procedures that ensure whistleblower protection.

**[Principle 42]**

The organisation's decisions can be contested through internal or external mechanisms.

**[Principle 43]**

The organisation implements procedures that ensure that a proportion of the board members are independent.

**Dimension 4: Societal responsibility**

**[Principle 44]**

The organisation offers consulting to its member federations in the areas of management or governance.

**[Principle 45]**

The organisation implements a policy aimed at mitigating the health risks of sporting activities.

**[Principle 46]**

The organisation implements a policy on combating sexual harassment in sport.

**[Principle 47]**

The organisation implements an anti-doping policy.

**[Principle 48]**

The organisation implements a policy on social inclusion through sport.

**[Principle 49]**

The organisation implements a policy combating discrimination in sport.

**[Principle 50]**

The organisation implements a policy to promote gender equality in sport.

**[Principle 51]**

The organisation implements a policy to combat match-fixing.

**[Principle 52]**

The organisation implements a policy for the promotion of environmental sustainability.

**[Principle 53]**

The organisation implements a policy on promoting the dual career of athletes.

**[Principle 54]**

The organisation implements a policy on promoting sport for all.

**[Principle 55]**

The organisation ensures the fair treatment of professional athletes.

**[Principle 56]**

The organisation implements a policy for the promotion and safeguarding of human rights.

**[Principle 57]**

The organisation requires entities that receive funding to implement anti-corruption controls.

## Indicators

To evaluate to what extent the 57 principles of good governance are implemented, it is necessary to construct indicators. Indicators allow for benchmarking and evaluation by simplifying and quantifying raw data. In recent years, different sets of indicators have been issued to evaluate the governance of international sports federations. In general, these indicators build on ordinal variables using a Likert-type scale: pre-established criteria are used to assign a score ranging from 1 to 5 (or 0 to 4). This system, which was also used in the 2015 Sports Governance Observer, allows for capturing nuance. The problem with this type of variable, however, is that it usually leaves a substantial margin for interpretation (Geeraert & Drieskens, 2016). Consequently, ordinal governance indicators are not reliable, as they cannot be expected to produce the same results when they are applied across different case settings (Carmines & Zeller, 1979). This is due to the fact that it is very difficult to determine *a priori* criteria that capture all possible classifications of an element of governance. The Association of Summer Olympic International Federations (ASOIF), for instance, notes that the ordinal indicators used for the self-evaluation of its member federations ‘lacked clarity in places’ (ASOIF, 2017, p. 7) and thus, ‘in many cases there was room for debate’ (Ibid., p. 8).

For the sake of reliability, and to avoid futile discussions, the SGO 2018 relies on dichotomous variables, which have only two categories: ‘yes’ and ‘no’. Compared to ordinal variables, dichotomous variables permit a more reliable measurement of good governance through the formulation of a strict standard with clearly defined minimum criteria. Put simply, a federation either meets the minimum criteria (‘yes’ category) or not (‘no’ category). The variables are then quantified by giving the ‘yes’ category a value of 1 and the ‘no’ category a value of 0.

A particular concern when selecting indicators and criteria is ‘construct validity’, a term coined by the seminal work of Cook and Campbell (1979) that is concerned with whether one measures what one intends to measure. When devising (governance) indicators, however, one is confronted with “the inescapable subjectivity involved in their construction” (Cherchye et al., 2006, p. 111). According to Nardo et al. (2005, p. 23), “the data selection process can be quite subjective as there may be no single definitive set of indicators”. Moreover, governance indicators constructed with the purpose of comparing a group of organisations must be sufficiently generic and basic in order to allow for meaningful comparison (Kaufmann, Kraay & Matuzzi, 2011). Because the validity of governance indicators is therefore inherently imperfect, researchers must be transparent about the selection and use of indicators and underlying criteria while aiming to achieve an acceptable level of validity (Gómez-Limón & Sanchez-Fernandez, 2010, p. 1063; Marlier & Atkinson, 2010, p. 289; Nardo *et al.* 2005, p. 22).



The validity of the SGO indicators was enhanced in three ways. First, the selection process benefitted from the insights gained in the context of the NSGO project (see Geeraert, 2018a). Where appropriate, the NSGO indicators and criteria were kept. Second, additional indicators were constructed on the basis of the review of best practices which also informed the selection of the 57 principles of good governance. Minimum criteria were derived as much as possible from international standards. Third, like the NSGO indicators, the SGO indicators are both rules-based and outcome-based (Kaufmann & Kraay 2008). Though rules-based indicators are more straightforward to quantify, outcome indicators are able to capture bureaucratic practices that are not formalised. A mix of rules-based and outcome-based indicators thus matches the definitions of the four governance dimensions better (Nardo et al., 2005).

This process resulted in 309 dichotomous indicators of good governance that evaluate the implementation of 57 broad principles of good governance, dispersed over the four dimensions. The SGO 2018 principles and indicators are published in the annex. To enhance the practicality and usability of the indicators, meta-data sheets were developed. These explicitly detail the scoring criteria, possible data sources, and the relevance and importance of the principles.

## Selection of federations

Given the large number of indicators, the limited project resources, and the time frame, this report focuses on benchmarking the limited number of five international federations, namely FIFA, IAAF, FINA, IHF and ITF. These federations were selected to allow for comparisons with the surveyed federations in the NSGO report (Geeraert, 2018b). The ten research partners that carried out the NSGO research focused on assessing the governance of the federations responsible for administering football, handball, swimming, tennis, and athletics. These sports were selected on the basis of their historical importance to the Olympic Games (handball, swimming, athletics) and their general importance in Europe (football and tennis).

## Data collection and scoring

Data must be collected to determine the values of the individual variables. To ensure reliable data on the federations' governance, independent assessment is necessary. Indeed, as organisations typically have incentives to report favourably on themselves, self-evaluation cannot be expected to produce reliable data. Nonetheless, researchers must engage with federations in order to gain access to particular types of data and to ensure that the collected data is valid. To ensure that the right balance between independent assessment and input from the federations themselves was struck, and in order to incentivise cooperation, a standardised data gathering strategy was followed. It comprises six phases. The research was coordinated by the author of this report. Phases 1, 3 and 4 were carried out by a research assistant under supervision of the author.

### **Phase 1: Data gathering and first preliminary scoring**

During the first phase, desktop research was conducted. The federations' websites, statutes, internal regulations, and any other relevant documents available were analysed. Data was collected in July and August 2018. A preliminary scoring with a view to completeness of the collected data was conducted.

We found that the IAAF had (formally) planned a number of reforms that were not yet implemented. We took these into account insofar as relevant and appropriate. The specific elements that would be implemented had to be clear. A reasonable level of certainty was also required on the actual implementation of imminent reforms. However, the transparency dimension was assessed on the basis of the documentation that was actually available on the IAAF website at the time of the data gathering process.

### **Phase 2: Contacting**

In the second research phase, the five federations were contacted to inform them about the research process and to formally invite them to participate. It was explained that they would have the opportunity to provide feedback during three phases (phases 4 to 6 of the data gathering process). The federations were equally informed of applicable deadlines. They were asked to inform the research coordinator in case they foresaw difficulties meeting them. The deadline for providing feedback in each of the first two phases was two weeks after initiation (phases 4 and 5). In the final phase (phase 6), the applicable deadline occurred after one week.

It was stressed that participation in the research was voluntary. However, the federations were also informed that scoring would take place on the basis of publicly available data in case they declined to cooperate. They were also reminded of the second final resolution of the 14th Council of Europe Conference of Ministers responsible for Sport, which encourages sports organisations to "co-operate with independent researchers and academics reviewing good governance [thereof]" (Council of Europe, 2016, p. 9).

FIFA, the IAAF, and the IHF agreed to participate in the research. The ITF declined cooperation. FINA did not reply to multiple requests. Consequently, scoring for the ITF and FINA occurred on the basis of publicly available data. It was assumed that indicator criteria were not fulfilled when no evidence was found on the basis of publicly available data.

### **Phase 3: Feedback**

In the third phase, a questionnaire was sent through which the federations' contact points were asked to provide missing data. A second questionnaire was sent to the IAAF and the IHF to further clarify responses. This phase proved challenging, as the three participating federations were unable to meet the deadlines.

### **Phase 4: Second preliminary scoring**

The fourth phase comprised the second preliminary scoring based on the feedback received.

### **Phase 5: Final feedback**

In the fifth phase, the federations were requested to comment on the scores. They had the opportunity to provide additional evidence in case of disagreement. The IHF did not provide feedback. FIFA and the IAAF provided feedback on 5 and 6 November 2018, respectively. Due to the multiple delays that occurred in the third phase of the research, the IAAF had only one week to provide feedback in phase 5.

### **Phase 6: Final scoring**

In the final phase, the federations were informed about the final scores. They were given the opportunity to comment on them. Due to multiple delays, this phase was eventually carried out after the publication of this report.

The data underlying the scores, the questionnaires, and the federations' feedback were recorded in an Excel file, which will be publicly available via the project website ([www.sports-governanceobserver.org](http://www.sports-governanceobserver.org)) once phase 6 is concluded. The aim is to ensure full transparency about data, scoring decisions, and the federations' feedback in order to avoid misunderstandings and to stimulate debate.

## **Aggregation and weighting of scores**

Before the SGO scores can be presented in a meaningful, i.e. comparative, way the values of the individual scores must be aggregated and weighted to result in a number of 'composite indicators'. A composite indicator is "a mathematical combination of individual indicators that represent different dimensions of a concept whose description is the objective of the analysis" (De Lombaerde et al., 2011, p. 333). By combining sub-indicators into a single *index*, composite indicators summarise complex and multi-dimensional realities and aid comparison of performance ('benchmarking') across organisations (Nardo et al., 2005; Saisana & Tarantola, 2002; Saisana et al., 2005).

Like the NSGO, the SGO uses different composite indicators to produce meaningful scores. In order to do so, first, a score is calculated for each of the 57 principles drawn from the average score of the underlying indicators. Second, each SGO dimension is assigned a score drawn from the average scores of the principles that underlie the dimension. Finally, an SGO 2018 index score is calculated on the basis of the average score of the four SGO dimensions. Consequently, like most composite indicators, the SGO index, the dimension scores, and the principles scores rely on equal weighting. All variables are given the same worth for every principle; all principles are given the same worth for every dimensions; and all dimensions are given the same worth in the calculation of the SGO index. The choice for equal weighting was informed by two factors. First, the SGO scores must be understandable for practitioners and equal weighting is the simplest weighting option. Second, weighting tends to be particularly subjective when academic research is still in its infancy (Nardo et al., 2005, p. 31; Van den Berghe & Levrau, 2003). Equal weighting, while inherently subjective in its own right, is in this context the least subjective solution.

While aggregation may aid comparison across federations, it is also important to ensure *objective* comparison. Given that sports federations vary in terms of their administrative capacity and the governance-related risks they are subject to, the same governance standard cannot apply to all federations (Nardo et al., 2005). Three categories of international sports federations were discerned: small federations (fewer than 10 full-time equivalent (FTE) employees), mid-size federations (more than 10, but fewer than 30 FTE employees), and large federations (30 or more FTE employees). Accordingly, the indicators were divided into three categories, namely ‘basic’, ‘intermediate’, and ‘advanced’.

- Basic indicators constitute a minimum standard of good governance. All types of federations can be expected to have sufficient capacity to implement the indicators in this category.
- Intermediate indicators are costlier and, thus, more demanding to implement. This category is therefore only applicable to mid-size to large federations.
- Advanced indicators can only be expected to be implemented by large federations.

The meta-data sheets in the annex specify the category for each of the indicators. When indicators are not applicable, they are simply not taken into account in the calculation of scores. A Microsoft Excel sheet was developed to calculate the scores. The sheet automatically takes into account the size of the federation.

The five international federations that are surveyed in this report all fall into the large category. FIFA has 717 FTE employees according to its 2017 Financial Report, FINA has 32,75 FTE employees according to its 2017 Financial Report, the IAAF has 70 FTE employees according to its website, the IHF has 19 FTE employees working at its headquarters and 5 permanent commissions with 8 members each according to the 2013 IHF handbook, and the ITF has 115 FTE employees according to its 2017 financial statements. In principle, all SGO indicators are thus applicable to the five federations.

## Presentation

Using the same visualisation techniques as in the NSGO report, the SGO 2018 index scores and the dimension scores are visualised via a combination of numbers, bar charts, donut charts and dimension icons. These techniques present the scores in a clear, accurate, and visually appealing manner (cf. Nardo et al., 2005). In addition, a traffic light scoring system provides a holistic overview. Figure 2 visualises this system. A label and a corresponding traffic light colour were assigned to each of the 57 principles on the basis of the federations’ scores on these principles. The usual traffic light system consisting of three colours was expanded to include five colours to allow for a more nuanced visualisation of the scores.

**Figure 2: Scoring labels and the corresponding colours of the NSGO traffic light scoring system**

Not relevant	Not fulfilled	Weak	Moderate	Good	Very good
	0-19 %	20-39 %	40-59 %	60-79 %	80-100 %

On the basis of the information provided by the traffic light scoring system, the reader can decide which strengths or weaknesses need to be explored in detail. More detailed information can then be obtained by consulting the individual indicator scores.

To aid the interpretation of the dashboard and traffic light scores, and to highlight relevant indicator scores, the individual federation's SGO scores are explored and analysed in the next chapter. The aim of this chapter is to inform policy making by guiding the reader through the main strengths and weaknesses of the federations analysed.

## What the SGO provides - and what not

Given the inescapable subjectivity involved in the construction of governance indicators and because the indicators are always imperfect proxies for the abstract concepts they intend to measure, any measurement of good governance is inherently imperfect. Consequently, there exists no single method for constructing governance indicators. The intention of this report is therefore not to provide a definitive measurement of good governance. The methodological choices underpinning the SGO 2018 indicators have particular implications for the use of the instrument and the meaning of the produced scores. This final section of the methodology summarises these implications by stressing what the SGO provides – and what not.

The implementation of the SGO indicators increases the likelihood of effectiveness, legitimacy, and ethical behaviour. Put simply, it increases a federation's chances for success. Implementation does not necessarily imply, however, that federations are automatically effective, legitimate, and ethical. Conversely, federations that fail to implement the indicators are not necessarily corrupt, ineffective, and illegitimate. Such federations will, however, experience a higher risk for falling into these categories.

SGO scores reflect the proportion of good practices implemented. The SGO thus provides a clear and holistic overview of which good governance practices federations implement and which ones they do not. It also shows why deficits could be problematical. It is important to stress that federations should not be expected to implement all SGO indicators. Federations may develop their own good practices and they may have valid reasons for doing things differently. The SGO should therefore be regarded as a barometer rather than a dogmatic instrument. Consequently, the tool should be used as a starting point for discussions about deficits and the policies aimed to address these. These discussions need to go beyond the minimum criteria defined in the SGO indicators. In other words, an assessment based on the SGO 2018 provides a valuable first step towards improving international federations' governance.

**What the SGO 2018 provides**

- An improved set of indicators of good governance in international sports federations.
- A holistic set of best practices from which minimum standards can be derived.
- Benchmarking that serves as an ideal starting point for a discussion on good governance (reform) policies.
- A reliable and clear assessment through dichotomous (yes/no) indicators that use clearly defined minimum criteria.
- An objective external assessment via clear, detailed measurement instructions.
- A holistic overview of strengths and weaknesses via the use of 57 principle and 309 indicators, dispersed over four dimensions of good governance.
- A barometer that quickly and accurately communicates strengths and weaknesses through a traffic light scoring system.
- An overview of good practices and why they are important.
- An indication of risks.

**What the SGO 2018 does not provide**

- A definitive set of good governance principles.
- A definitive measurement of good governance.
- A direct measurement of effectiveness, legitimacy, and ethical conduct.
- A set of best practices that guarantee effectiveness and eradicate corruption.
- A blueprint that international federations can implement as such.

## General findings and conclusions

This section discusses the findings of the SGO 2018 benchmarking of five international federations. Table 2 presents the scores of the surveyed international federations on the 57 SGO principles. It demonstrates that, of the five surveyed federations, FIFA achieves the highest proportion of 'good' and 'very good' principle scores in the four dimensions of good governance. FINA achieves the highest proportion of 'not fulfilled' scores on the principles across the four dimensions. A similar picture unfolds when looking at the dimension scores depicted in figure 3. The figure shows that FIFA achieves the highest SGO 2018 index score as well as the highest transparency, internal accountability and control, and societal responsibility dimension scores. The IAAF achieves a higher score on the democratic processes dimension. FINA achieves the lowest SGO 2018 index score as well as the lowest scores on three dimensions. The ITF achieves a slightly lower score than FINA on the societal responsibility dimension.

To aid the interpretation of the dashboard and traffic light scores, the five federations' SGO scores are discussed in more detail in individual federation reports. The aim of these reports is to inform policy makers. They provide a dashboard overview of the federations' SGO index and dimension scores. The dashboard also shows how these scores compare with the NSGO scores of the nine federations of the same sport that were surveyed within the framework of the NSGO project (see Geeraert, 2018b). Though the SGO and NSGO comprise different principles and indicators, the comparison is meaningful. As explained in the methodology section, the SGO and NSGO benchmarking instruments use comparable principles of governance as the basis for measurement. The SGO principles and indicators are more advanced to fit the risks and responsibilities specific to international federations.

To show whether the surveyed federations have made progress since the publication of the SGO 2015 report, the federation reports provide a brief overview of the most important SGO 2015 scores and findings. In the case of FIFA and the IAAF, the most important governance improvements of their 2016 reform processes are also highlighted. It must be stressed that the SGO 2015 and SGO 2018 scores are difficult to compare because the SGO 2018 benchmarking instrument uses a more advanced and detailed set of indicators and measurement criteria.

Finally, the federation reports explore the federations' main strengths and weaknesses across the four SGO dimensions of good governance.

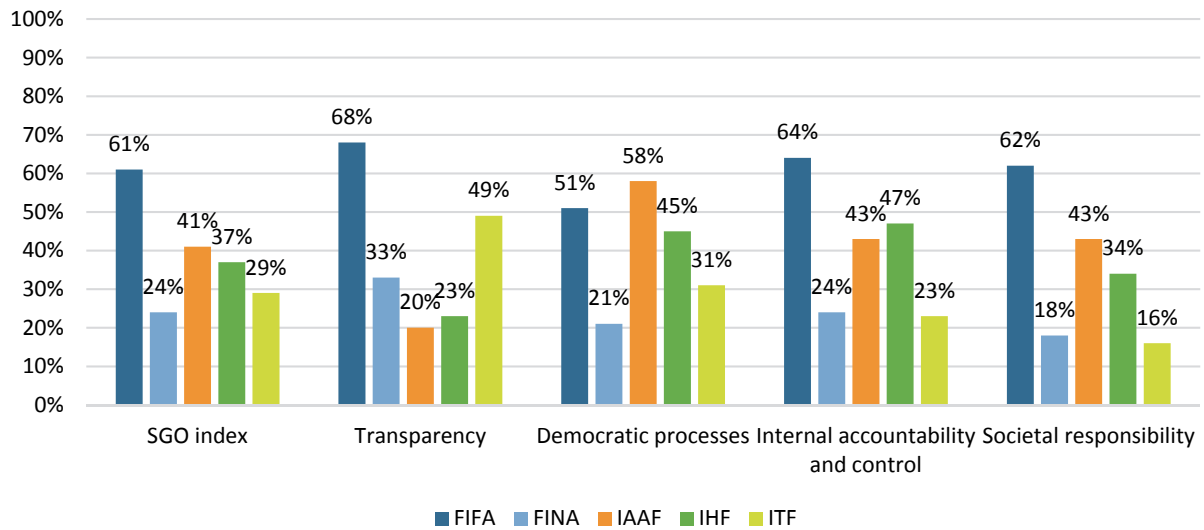
**Table 2: Scores of the five surveyed international federations on the 57 SGO principles**

	Principle	FIFA	IAAF	FINA	IHF	ITF	Average
Transparency	1. Legal and policy documents	Very good	Very good	Very good	Very good	Very good	Very good
	2. General assembly agenda and minutes	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Very good	Very good
	3. Board and committee decisions	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	4. Board member information	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	5. Information on member federations	Very good	Very good	Very good	Very good	Very good	Very good
	6. Annual general activity report	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Very good	Not fulfilled
	7. Financial statements	Very good	Very good	Very good	Very good	Very good	Very good
	8. Remuneration reports and regulations	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	9. Conflicts of interest and risk assessment	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	10. Strategic plan	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	11. Allocated funds	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
Democratic processes	12. Clear election procedures	Very good	Very good	Not fulfilled	Very good	Very good	Very good
	13. Competitive elections	Very good	Very good	Not fulfilled	Very good	Not fulfilled	Very good
	14. Nomination committee	Very good	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	15. Board and general assembly quorums	Not fulfilled	Not fulfilled	Not fulfilled	Very good	Very good	Not fulfilled
	16. Term limits	Very good	Very good	Very good	Not fulfilled	Very good	Not fulfilled
	17. Member representation	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	18. Regular board meetings	Not fulfilled	Very good	Not fulfilled	Very good	Not fulfilled	Not fulfilled
	19. Athletes' participation	Not fulfilled	Not fulfilled	Not fulfilled	Very good	Not fulfilled	Not fulfilled
	20. Referees' participation	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	21. Coaches' participation	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	22. Volunteers' participation	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	23. Employees' participation	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	24. Gender equality policy	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
Internal accountability	25. The general assembly supervises the board	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	26. Board resignation procedures	Not fulfilled	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	27. Board eligibility rules	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	28. Clear governance structure	Very good	Not fulfilled	Not fulfilled	Very good	Not fulfilled	Not fulfilled
	29. The board supervises management	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	30. Internal audit committee	Very good	Very good	Very good	Not fulfilled	Not fulfilled	Not fulfilled
	31. Regular corruption risk assessment	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	32. Financial control system	Very good	Not fulfilled	Not fulfilled	Very good	Not fulfilled	Not fulfilled
	33. Open tenders for major contracts	Very good	Not fulfilled	Not fulfilled	Very good	Not fulfilled	Not fulfilled
	34. Objective event allocation procedure	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	35. Annual board self-evaluation	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	36. External audit	Very good	Very good	Not fulfilled	Very good	Not fulfilled	Very good
	37. Code of conduct	Very good	Very good	Very good	Very good	Very good	Very good
	38. Conflict of interest procedures	Not fulfilled	Very good	Not fulfilled	Very good	Not fulfilled	Not fulfilled
Societal responsibility	39. Enforcement of code of ethics	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	40. Internal complaints procedure	Very good	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	41. Whistle-blower protection rules	Very good	Not fulfilled	Not fulfilled	Very good	Very good	Very good
	42. Internal appeals procedure	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Very good
	43. Independent board members	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	44. Governance consulting for members	Not fulfilled	Not fulfilled	Not fulfilled	Very good	Not fulfilled	Not fulfilled
	45. Mitigating health risks of sport	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	46. Sexual harassment policy	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	47. Anti-doping policy	Very good	Very good	Not fulfilled	Very good	Not fulfilled	Very good
	48. Social inclusion policy	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	49. Anti-discrimination policy	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	50. Gender equality policy	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
	51. Anti-match-fixing policy	Very good	Very good	Not fulfilled	Very good	Very good	Very good
	52. Environmental sustainability policy	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled
53. Dual careers policy	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	
54. Sport for all policy	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	
55. Athletes' rights policy	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	
56. Human rights policy	Very good	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	
56. Corruption controls as funding requirement	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	Not fulfilled	

Not relevant	Not fulfilled	Weak	Moderate	Good	Very good
	0-19 %	20-39 %	40-59 %	60-79 %	80-100 %



**Figure 3: Scores of the surveyed international federations on the SGO index and dimensions**



The individual federation reports demonstrate that progress has been made with regard to good governance since the publication of the SGO 2015 report. Despite these improvements, the federations achieve lower scores because the SGO 2018 benchmarking instrument uses more detailed and more advanced principles and indicators. This allows for signalling governance strengths and deficits more accurately. The surveyed federations' strengths and deficits in the four dimensions of good governance are discussed in detail in the remainder of the report. While the SGO 2018 scores vary greatly among these federations, a few common issues are noteworthy.

- The surveyed federations' boards are not adequately held to account by the general assembly.
- The surveyed federations fail to act strategically, meaning that they do not establish clear strategic plans that outline objectives and envisioned actions.
- The surveyed federations do not have formal strategies for involving different stakeholder groups in their policy processes.
- Establishing term limits appears to become an accepted standard of good governance in international federations. By contrast, a number of good governance elements are not (yet) regarded as standard for appropriate conduct by international federations. These include ensuring that a proportion of the board members are independent, reporting on corruption risk assessments and conflicts of interest, requiring entities that receive funding to implement anti-corruption controls, and organising board self-evaluations.
- With the exception of FIFA, the surveyed federations generally fail to report adequately on policy plans, board decisions, and allocated funds. While implementing new governance structures may take time, publishing information is less demanding from a practical point of view. Adequate reporting could therefore be regarded as a short-term priority in federations' good governance (reform) policies.

- The devil is in the detail when implementing good governance. Elements of good governance that, on the surface, appeared to be implemented were often not found to adhere to sufficiently high standards.

The latter point underscores the added value of detailed independent benchmarking for assessing reforms. The analysis reveals, for instance, that FIFA outperforms the other four surveyed international federations on good governance. Yet although FIFA's scores reflect the positive impact of its most recent governance reforms, they also show that there is still room for improvement as they reveal a number of important deficits.

The other surveyed federations have more weaknesses with regard to good governance. For instance, the IAAF's recent and ongoing reforms have had a positive impact on the quality of its governance. Compared to FIFA, however, its remaining deficits are more significant. Further analysis will have to show to what extent the IAAF's forthcoming reforms adequately address these governance weaknesses. Yet progress needs to be monitored with regard to good governance in international federations in general. Reforms may have a positive impact, but federations' corruption risks are only minimised and their chances of success are maximised when their deficits are adequately addressed.

A word of caution is in order here, as two federations (i.e. FINA and the ITF) did not participate in the data collection process. These federations' assessment therefore relied solely on publicly available data. Furthermore, only FIFA and the IAAF participated in phase five of the research, in which all surveyed federations were asked to comment on their preliminary scores. The federations also have the opportunity to comment on their final scores. For the sake of transparency and in order to stimulate further debate, the federations' feedback as well as all the data used for scoring will be published on the project website [www.sportsgovernanceobserver.org](http://www.sportsgovernanceobserver.org).

Unfortunately, it is not possible to compare the five surveyed federations' SGO 2018 scores with their scores on ASOIF's Key Governance Principles and Basic Indicators. Indeed, ASOIF only publishes anonymised federation scores. It is likely, however, that the five federations achieve higher scores on ASOIF's assessment. The reason is two-fold. First, though the SGO benchmarking instrument is based on principles similar to those issued by ASOIF, it relies on more detailed indicators of good governance. Achieving high scores simply is easier when the parameters used for assessment are broad. Second, the SGO 2018 advances a number of principles and indicators that are clearly not (yet) considered standard for appropriate conduct in international federations. This despite the fact that the SGO principles and indicators are based on established international best practices and recommendations.

It is therefore likely that the SGO 2018 indicators will generate discussion and debate about international federations' appropriate governance standard. This is, in fact, exactly what this project set out to do. It is also the reason why all indicators and data are published on the project's website. Open debates can lead to better ideas and policies on good governance, especially when they are informed by objective data. FIFA's, the IAAF's and the IHF's constructive attitude throughout the research process is a positive sign of their willingness to engage in such debates. Moreover, international federations' recent reforms show that good governance is now firmly established on the agenda of international sports governance. This facilitates dialogue on a sensitive issue that was once off-limits for serious discussion.

The hope is that more federations will be willing to engage in external SGO benchmarking. By facilitating an open debate on the basis of objective data, external benchmarking provides a valuable first step for truly improving international sports federations' governance. International sports governance can only benefit from an open discussion about good governance.

# FEDERATION REPORT:

## FIFA

# Key results: FIFA

Figure 4: FIFA's SGO 2018 index score

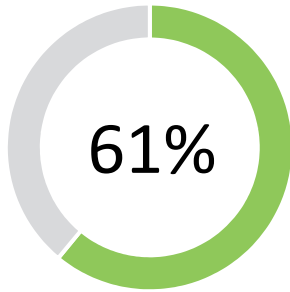


Figure 5: FIFA's scores on the four SGO dimensions

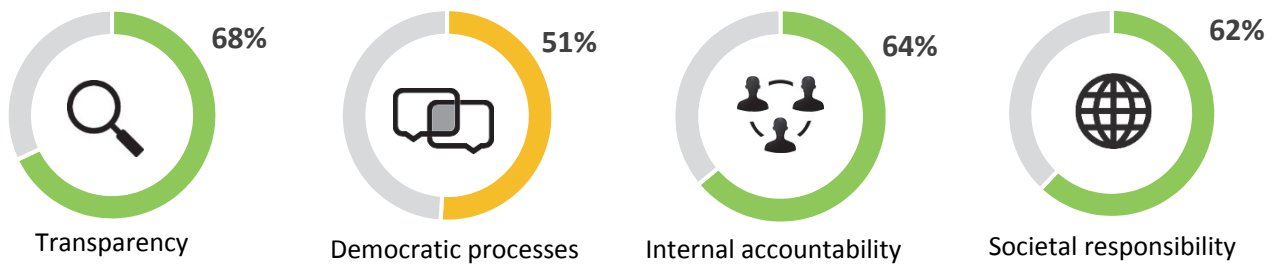
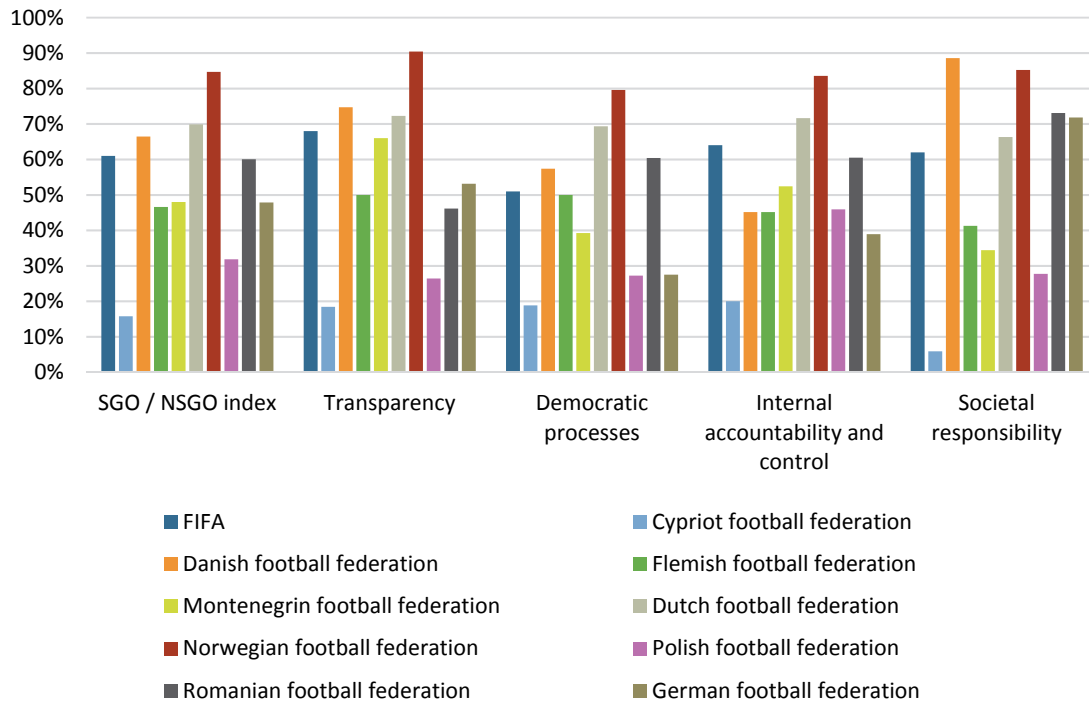


Figure 6: Comparison of FIFA's SGO 2018 scores and nine European football federations' NSGO scores



## Background: SGO 2015 scores and governance reforms

In the SGO 2015 report, FIFA achieved a 68% SGO index score. It scored high on the transparency (73%), internal accountability and control (71%), and societal responsibility dimensions (75%), but achieved a lower score on the democratic processes dimension (53%).

FIFA's relatively high scores reflected the governance reforms it had undertaken since 2011 (Pieth, 2014). Thanks to these reforms, FIFA distinguished itself from most other surveyed federations. It did so, for instance, by implementing a (revised) ethics code and establishing an ethics commission.

The 2015 SGO scores demonstrated that FIFA had strengths in particular areas. Regarding transparency, for instance, FIFA published general assembly minutes, board decisions, and externally audited reports. FIFA's most important strengths regarding internal accountability pertained to the establishment of ethics and audit committees and the adoption of a code of ethics. Finally, FIFA achieved notable high scores in the societal responsibility dimension on indicators relating to the adoption social responsibility programmes and anti-discrimination policies. The organisation also offered governance consulting to its member organisations.

While FIFA had strengths in some areas, the analysis showed that it also failed to implement a number of basic good governance standards. Most notably, the organisation failed to publish remuneration reports and annual activity reports of its standing committees. In addition, FIFA did not implement term limits, gender equality policies, and clear environmental and social sustainability requirements for its major events. It also failed to establish a transparent and objective bid procedure for the FIFA World Cup.

In a response to pressure following the 2015 corruption scandal, FIFA implemented a new series of governance reforms in 2016. Most notably, it established a 12-year term limit for elected officials, integrity checks for candidates standing for election, and a gender equality policy that establishes that at least one female representative is elected as a Council member per confederation. FIFA also overhauled the World Cup bidding procedure to make it more transparent and objective and established annual reporting on the remuneration of the president, the Council members, the Secretary General, and the chairpersons of the standing committees (FIFA, 2016).

## Main findings

The dashboard graphically summarises the results of the SGO 2018 benchmarking. It demonstrates that the FIFA SGO 2018 index is 61%, which corresponds with a 'good' label. FIFA's score on the transparency dimension is the highest of the four, namely 68% (good). FIFA's scores on the internal accountability and control and societal responsibility dimensions stand at 64% (good) and 62% (good), respectively. Its democratic processes dimension score is 51% (moderate), the lowest of the four dimensions.

Figure 6 shows how FIFA's SGO scores compare with the NSGO scores of the nine football federations that were surveyed within the framework of the NSGO project (see Geeraert, 2018b). The figure shows that FIFA's SGO 2018 index score is comparable with the NSGO index scores achieved by the Dutch (66%) and Romanian football federation (62%).

### Dimension 1: Transparency

FIFA generally achieves strong scores in the transparency dimension. Most notably, the organisation publishes key documents such as its statutes, internal regulations, sports rules, and organisation chart on its website. It also publishes detailed information about its member federations. FIFA publishes the agenda of its general assembly meetings as well as annual general activity reports and it reports on the decisions taken by the board. Regarding finances, FIFA reports on the remuneration of board members and management as well as its remuneration policies. It also publishes externally audited financial statements and reports on the amount of funding distributed to member federations.

Despite these strengths, FIFA achieves weak scores on a few principles. Most importantly, FIFA does not publish corruption risk assessments or declarations of conflict of interest. The organisation also does not detail specific objectives and actions when reporting on (multi-annual) policy plans. Finally, in some areas where FIFA achieves good scores, there is still room for improvement. Most notably, the organisation does not report on the activities of all the standing committees and it does not publish the deliverables of funded development projects.

### Dimension 2: Democratic processes

The picture is more mixed with regard to the democratic processes dimension. On the positive side, FIFA implements clear procedures for the appointment of board members and a committee oversees the election of the FIFA president. Candidates for the FIFA presidency must announce their candidacy in good time (i.e. four months before the election takes place) and have the opportunity to present their programme. Furthermore, FIFA establishes term limits for board members and it ensures the representation of both genders on the board.

On the negative side, FIFA does not establish a quorum for board meetings. The board also does not meet regularly, and there is no annual meeting schedule in which meetings are scheduled and topics to be discussed are established. Furthermore, though athletes and referees are formally represented in relevant committees, FIFA does not adopt a formal strategy outlining specific objectives and actions for involving different stakeholder groups, including also coaches and referees, in its policy processes. FIFA's employees are also not formally represented in the organisation's relevant policy processes.

### Dimension 3: Internal accountability and control

FIFA achieves high scores on a high proportion of the principles in the internal accountability and control dimension. For instance, FIFA applies a clear governance structure according to the principle of separation of powers. It also adopts specific rules that establish when a person is ineligible to serve as a member of the board (hereinafter: 'board eligibility rules'). Regarding financial controls, FIFA has an audit committee that has clearly defined and broad responsibilities and it implements a decent financial control system. FIFA also conducts an annual corruption risk assessment and its financial statements as well as its governance practices are externally audited. In addition, FIFA organises open tenders for major procurement contracts.

FIFA has an independent ethics committee with separate investigatory responsibilities. The committee is appointed by the general assembly and it has the authority to investigate violations of applicable rules of conduct on its own initiative. Regarding these rules, FIFA implements a code of ethics that applies to the board, management, and staff. The code includes provisions regulating expenses, conflicts of interest, and accepting gifts. It also contains an obligation to notify breaches of the code of ethics. FIFA has a specific procedure for handling complaints of breaches of rules of conduct. Apart from establishing rules regarding reporting and investigating complaints, the procedure also ensures whistleblower protection.

Furthermore, the recently overhauled bid procedure for the FIFA World Cup establishes that bidding dossiers are reviewed, evaluated and scores are assigned on the basis of pre-established criteria. External experts assist with this evaluation and only bids achieving a minimum score are shortlisted. Finally, the general assembly awards the hosting privileges.

In other areas, however, there is significant room for improvement. Though FIFA adopts a procedure for handling complaints of applicable rules of conduct, the procedure does not establish rules for notifying the person who submitted the complaint about the outcome of the investigation. Furthermore, FIFA's general assembly does not approve a detailed (multi-)annual policy plan and a long-term financial planning. There are also no rules regarding the premature resignation of board members. In addition, the board does not organise an annual appraisal with management and it also does not engage in an annual self-evaluation. FIFA also does not ensure that a proportion of the board members are independent. Importantly, the conflict of interest rules applicable to the board members do not establish that conflicts of interest are reported before or at the start of every board meeting,



listed in the minutes, and recorded in a registry. They also do not require that every commercial transaction with a third party, with which a board member has an (in)direct familial or commercial relationship, must be submitted to the general assembly or to a body mandated by the general assembly. Finally, the rules do not establish the circumstances in which board members must abstain from voting.

#### **Dimension 4: Societal responsibility**

Overall, FIFA achieves good scores in the societal responsibility dimension. FIFA implements rules and/or undertakes actions aimed at supporting member federations in the areas of management and governance and at mitigating athletes' health risks and combating sexual harassment in sport. It also promotes social inclusion, environmental sustainability, gender equality, and sport for all. Furthermore, FIFA implements rules and policies aimed at combating doping and match-fixing. It also undertakes action to safeguard human rights, including in relation to the FIFA World Cup.

The problem with these actions is that they do not occur within the framework of well-defined strategies that outline clear and specific objectives and actions. FIFA also does not evaluate the impact of its actions. Furthermore, FIFA undertakes limited action with regard to promoting the dual careers of athletes. With regard to ensuring the fair treatment of professional athletes, FIFA implements the use of minimum requirements for standard athlete contracts and it promotes social dialogue. These requirements, however, do not include standards on minimum wages, internal disciplinary rules, and the process for the resolution of disputes not covered by the contract. Finally, FIFA does not require all entities that receive funding to implement anti-corruption controls.

# FEDERATION REPORT:

## FINA

# Key results: FINA

Figure 7: FINA's SGO 2018 index score

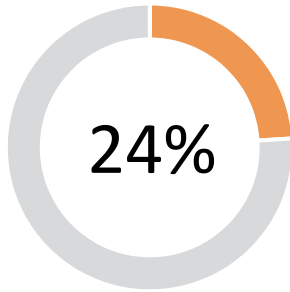


Figure 8: FINA's scores on the four SGO dimensions

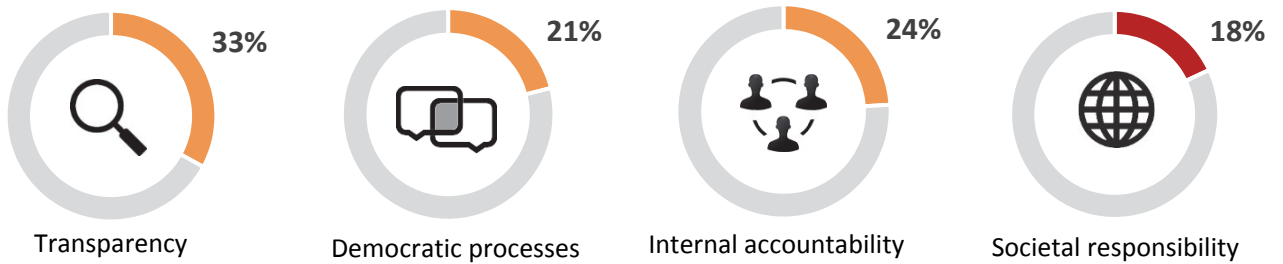
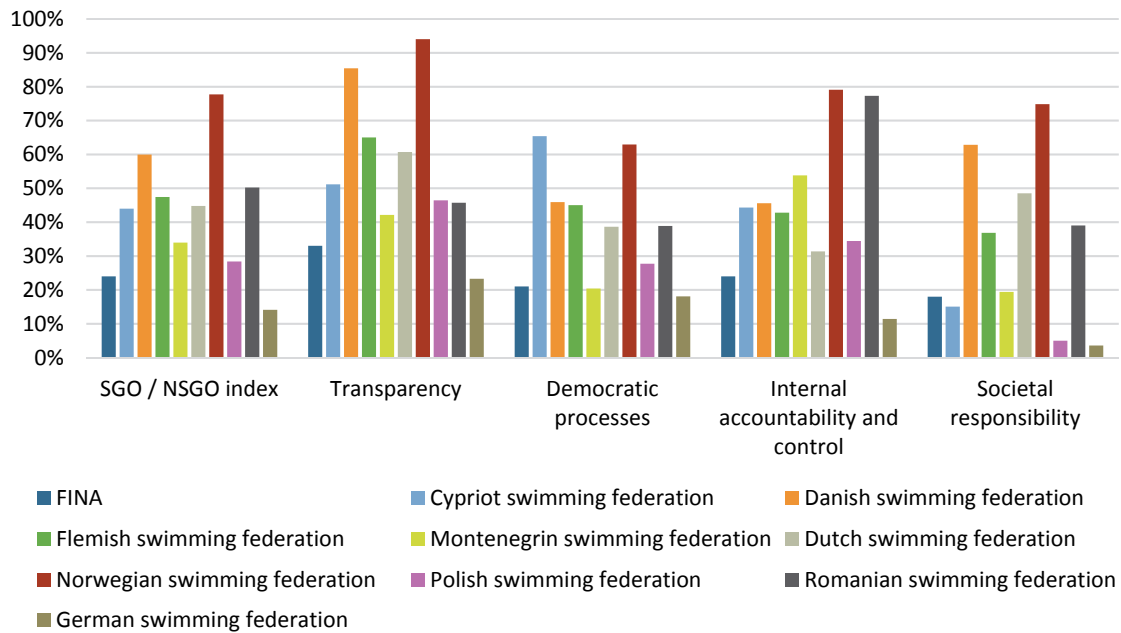


Figure 9: Comparison of FINA's SGO 2018 scores and nine European swimming federations' NSGO scores



## **Background: SGO 2015 scores**

In the SGO 2015 report, FINA achieved a 44% SGO index score. It achieved low scores on the transparency (45%) and internal accountability and control (46%) dimensions but scored the lowest on the democratic processes dimension (41%). There was no reliable data available for benchmarking FINA on the societal responsibility dimension.

Despite these overall low scores, FINA also had a few strengths in relation to good governance. Most notably, it published its statutes as well as contact details for senior officials, held elections for senior officials, and implemented an ethics code.

The analysis also showed, however, that FINA failed to publish an externally audited financial report, annual general activity reports, main event reports, as well as reports on the remuneration of senior officials. FINA also did not organise annual general assembly meetings, ensure the representation of athletes in its policy processes, or establish a transparent and objective bidding process for the allocation of major events. Finally, the organisation did not have an ethics or audit committee and elections of senior officials did not take place on the basis of secret ballots and clear procedures.

## Main findings: SGO 2018

The dashboard graphically summarises the results of the SGO 2018 benchmarking. It demonstrates that the FINA SGO 2018 index is 24%. This score, the lowest SGO 2018 index score of the five surveyed federations, corresponds with a 'weak' label. FINA's score on the transparency dimension is the highest of the four, namely 33% (weak). The organisation's democratic processes and internal accountability and control dimension scores stand at 21% (weak) and 24% (weak), respectively. FINA's societal responsibility score is 18% (not fulfilled), the lowest of the four dimensions.

Figure 9 shows how FINA's SGO 2018 scores compare with the NSGO scores of the nine swimming federations that were surveyed within the framework of the NSGO project (see Geeraert, 2018b). The figure shows that FINA's SGO 2018 index score is comparable with the NSGO index score achieved by the Polish swimming federation (28%).

### Dimension 1: Transparency

Though FINA generally scores low in the transparency dimension, it achieves good scores in particular areas of this dimension. For instance, FINA publishes its statutes, internal regulations, and sports rules. It also publishes detailed information about its member federations as well as its recent annual general activity reports. Finally, FINA also reports on the remuneration of its board members.

However, FINA fails to report on a number of key issues, including board or standing committee decisions, corruption risks including conflicts of interest, and allocated funds. In addition, the organisation does not publish information about its board members, annual general activity reports, and strategic plans.

### Dimension 2: Democratic processes

FINA generally achieves very low scores in the democratic processes dimension. Nonetheless, the organisation scores well on a small number of indicators. Most notably, FINA establishes term limits for elected board members (i.e. three four-year terms). Candidates standing for election must also announce their candidacy at least three months before the election takes place. Finally, athletes and coaches are formally represented within the organisation.

Nonetheless, FINA achieves very weak scores on the majority of the principles in the democratic processes dimension. The organisation does not implement clear election rules for board members and it does not ensure that these elections are competitive. FINA also does not establish a committee to oversee the elections. FINA's board does not meet regularly in accordance with established procedures and a meeting schedule and the organisation does not undertake any significant actions encouraging gender equality. Finally, FINA does not have formal strategies or policies for including athletes, referees, coaches, volunteers, and employees in its policy processes.

### Dimension 3: Internal accountability and control

With regard to internal accountability and control, FINA achieves good scores on a limited number of principles. Most notably, an independent audit committee has been established to oversee the internal control system, the internal audit, and the risk management processes. The organisation also adopts a code of conduct that applies to board members, management, and staff. The code does not establish rules on expenses. It does include rules on accepting gifts and conflicts of interests and it establishes the obligation to notify breaches of the applicable rules. In addition, FINA establishes procedures for dealing with conflicts of interest, albeit sub-optimal procedures. An independent ethics panel investigates possible breaches of the rules of conduct but the panel is not formally authorised to investigate breaches on its own initiative. Furthermore, FINA implements a separation of powers between the board and management but it fails to formally define the tasks and working of each of the standing committees.

FINA's scores also reveal a significant number of deficits regarding internal accountability and control. For instance, the general assembly does not supervise the board appropriately. There was no evidence indicating that the general assembly approves or is formally required to approve (multi-)annual policy plans, the annual budget, or financial statements. FINA also does not implement rules concerning the premature resignation of board members and it does not organise annual board self-evaluations. Furthermore, there was no evidence indicating that the organisation carries out regular corruption risk assessments or that it implements an adequate financial control system. FINA was also not found to have an objective and transparent allocation procedure for major events or to implement an adequate procedure for processing complaints of applicable rules of conduct. Related, the organisation does not ensure whistleblower protection since individuals who submit complaints in good faith are not formally protected from retaliation or negative consequences. Finally, FINA does not ensure that a proportion of the board members are independent.

### Dimension 4: Societal responsibility

FINA achieves very weak scores in the societal responsibility dimension. We found evidence indicating that the organisation undertakes some form of action with regard to promoting sport for all and that it provides (limited) support to its member federations in the areas of management and governance. FINA also undertakes action to mitigate athletes' health risks and it implements rules combating sexual harassment, discrimination, doping abuse, and match-fixing. We did not, however, find any evidence indicating that the organisation addresses these issues in a formal strategic manner.

We also did not find any traces of significant actions or policies aimed at promoting social inclusion, gender equality, environmental sustainability, the dual careers of athletes, or human rights. Finally, FINA does not require entities that receive funding to implement anti-corruption controls.

**FEDERATION REPORT:**

**IAAF**

# Key results: IAAF

Figure 10: The IAAF's SGO 2018 index score

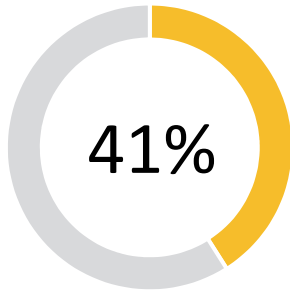


Figure 11: The IAAF's scores on the four SGO dimensions

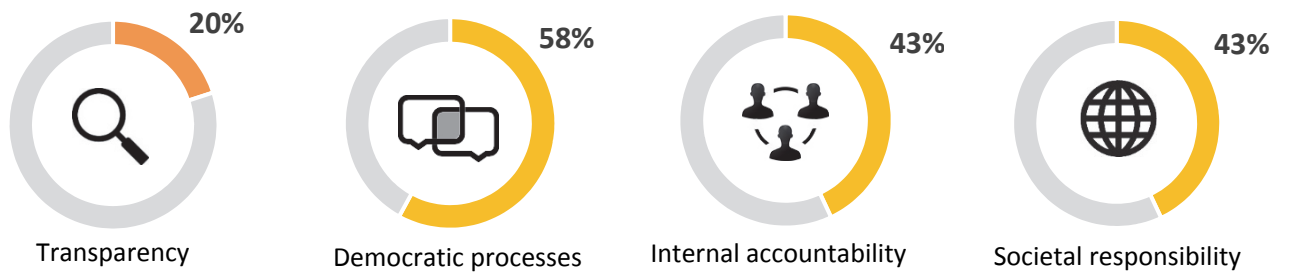
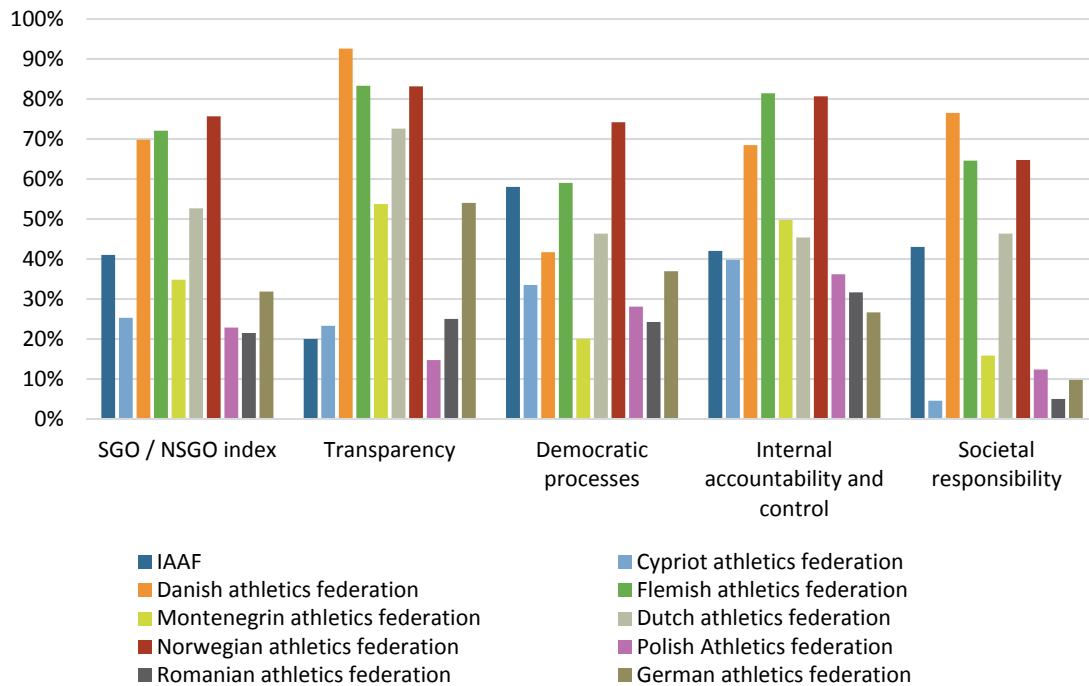


Figure 12: Comparison of the IAAF's SGO 2018 scores and nine European athletic federations' NSGO scores





## **Background: SGO 2015 scores and governance reforms**

In the SGO 2015 report, the IAAF achieved an SGO index score of 53%. The organisation scored relatively high on the internal accountability and control dimension (65%). It achieved lower scores on the transparency (50%) and, particularly, democratic processes (43%) dimensions. There was no reliable data available for benchmarking the IAAF on the societal responsibility dimension.

The IAAF's most notable governance strengths included the publication of statutes and biographical details of board members, the formal representation of athletes in the organisation, and elections of senior officials. In addition, the IAAF adopted a code of ethics, implemented conflict of interest rules, and established an ethics commission.

The analysis also revealed a significant number of governance deficits. Most notably, the IAAF did not report on the activities of its standing committees or its major events, its general assembly did not meet annually, its board did not meet regularly, and it did not have an audit committee with clearly defined tasks.

In a response to pressure following the corruption scandal enveloping its former president Lamine Diack, the IAAF implemented a new series of governance reforms in 2016 (IAAF, 2016). Most notably, these reforms introduced new conflict of interest procedures that included recording and reporting requirements, a gender equality policy for the board, improved financial reporting including on the remuneration of officials, an improved code of ethics, and regular board meetings.

It must be stressed that the IAAF has formal plans to implement further reforms in the next few years. The planned reforms devote specific attention to a number of SGO 2018 principles, particularly those in the transparency and internal accountability and control dimensions, where the organisation is currently lagging behind. It is therefore to be expected that the IAAF's SGO scores will improve significantly in the coming years.

## Main findings: SGO 2018

The dashboard graphically summarises the results of the SGO 2018 benchmarking. It demonstrates that the IAAF's SGO 2018 index is 41%, which corresponds with a 'moderate' label. The IAAF's score on the democratic processes dimension is the highest of the four, namely 58% (moderate). Its scores on the internal accountability and control and societal responsibility dimensions both stand at 43% (moderate). The IAAF's score on the transparency dimension is 20% (weak), the lowest of the four dimensions.

Figure 12 shows how the IAAF's SGO 2018 scores compare with the NSGO scores of the nine athletics federations that were surveyed within the framework of the NSGO project (see Geeraert, 2018b). The figure shows that the IAAF's SGO 2018 index is comparable with the Montenegrin athletics federation's NSGO index (35%). It is noteworthy that only the Polish athletics federation achieves a lower transparency dimension score (15%). In addition, only the Flemish (59%) and Norwegian (74%) athletics federations achieve higher democratic processes dimension scores.

### Dimension 1: Transparency

With regard to the transparency dimension, the IAAF achieves very weak scores. The IAAF does publish its statutes, internal regulations, and sports rules on its website. It also publishes detailed information about its member federations and limited information on decisions taken by the board.

However, the IAAF does not publicly report on a large number of issues. It does not publish the agenda and minutes of its general assembly meetings, background information about board members, annual general activity reports, strategic plans, and audited financial statements. The IAAF also does not report on remuneration, corruption risks including conflicts of interest, and allocated funds.

### Dimension 2: Democratic processes

Regarding democratic processes, the IAAF achieves a number of good scores. The organisation has solid election rules and procedures in place that establish, among others, voting via secret ballots, open recruitment, and a nomination committee that oversees the elections. The rules also require candidates standing for election to announce their candidacy at least three months before the election takes place and allow them to present their programme to the member federations. Furthermore, the IAAF establishes term limits for board members and the board meets regularly in accordance with an annual meeting schedule. There are also clear rules establishing board meeting proceedings and quorums are in place both for general assembly and board meetings.

With regard to other areas in the democratic processes dimension, the IAAF could further improve its existing policies and rules. Regarding gender equality, for instance, the IAAF does not adopt a formal strategy but it does implement gender sensitive procedures as part of its electoral procedures and human resources policies. Furthermore, the IAAF (formally) involves athletes, coaches, referees, volunteers, and employees in its policy processes. The organisation does not, however, adopt a formal strategy for involving these stakeholder groups and it does not consult them within the framework of a multi-annual policy plan.

### **Dimension 3: Internal accountability and control**

On average, the IAAF's internal accountability and control procedures are at a medium level. However, the indicator and principle score reveal a mixed picture. Internal control procedures and practices are strong in certain areas. For instance, the IAAF has solid rules regarding the premature resignation of board members. It also has a code of ethics that applies to board members, management, and staff and that covers key areas such as conflicts of interest and accepting gifts. Relevant actors, including the general assembly, have been informed about the content of the code and the board members have signed it. The code does not, however, include rules on expenses. The IAAF's conflict of interest rules ensure that conflicts of interests are adequately reported and recorded and that board members must abstain from voting in particular circumstances. The IAAF also has suitable procedures for processing complaints about violations of applicable rules of conduct. Finally, the IAAF has established a bidding process for the IAAF World Championships in which bids are reviewed on the basis of pre-established criteria.

On a number of aspects, however, the IAAF's internal control procedures and practices are inadequate. For example, the IAAF does not ensure adequate whistleblower protection because individuals who submit complaints in good faith are not formally protected from retaliation or negative consequences. Though the IAAF has a Disciplinary Tribunal responsible for investigating breaches of applicable rules of conduct, its members are not appointed by the general assembly and there are no rules ensuring that his body can act on its own initiative. The IAAF also does not engage in a regular corruption risk assessment, does not implement a sufficiently adequate financial control system, and does not organise open tenders for major procurement contracts. In addition, the board does not engage in an annual self-evaluation and there are no procedures ensuring that a proportion of the board members are independent. Finally, the general assembly does not award the hosting rights of the IAAF World Championships.

## Dimension 4: Societal responsibility

The IAAF's scores in the societal responsibility dimension are mixed. The organisation achieves its strongest scores in relation to the implementation of anti-doping and anti-match-fixing rules and actions. Furthermore, the IAAF undertakes specific actions aimed at advising its member federations on governance and management issues. It also undertakes specific actions to mitigate athletes' health risks, combat sexual harassment, and promote gender equality, sport for all, and environmental sustainability. The IAAF also takes human rights into account when evaluating bids for the World Championship and requires hosts to respect human rights.

In most of these areas, however, there is significant room for improvement. Most notably, the IAAF generally fails to implement clear strategies regarding these issues and it does not evaluate the impact of its actions. The organisation furthermore does not take any significant action aimed at promoting the dual career of athletes. Finally, the IAAF does not require entities that receive funding to implement anti-corruption controls.

# FEDERATION REPORT:

## IHF

# Key results: IHF

Figure 13: The IHF's SGO 2018 index score

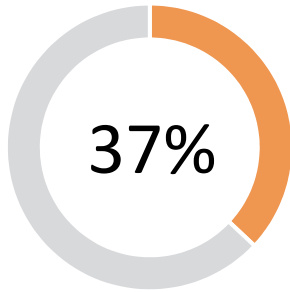


Figure 14: The IHF's scores on the four SGO dimensions

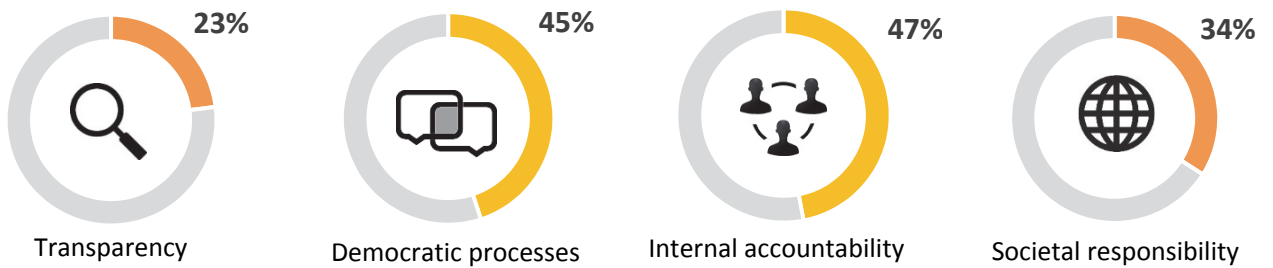
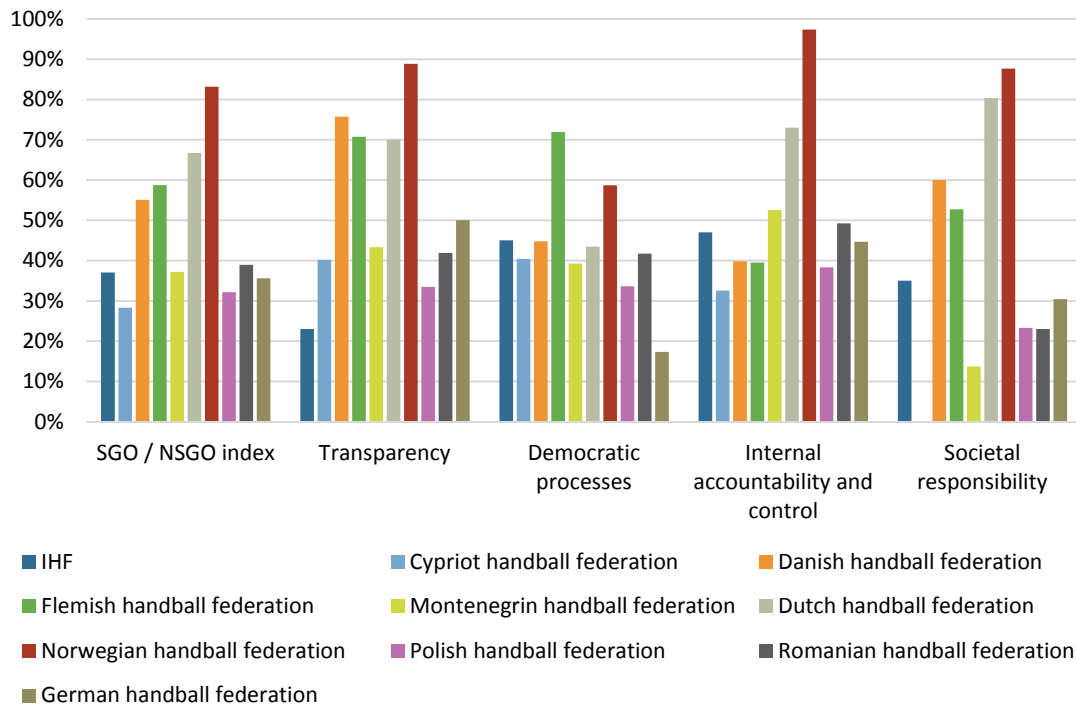


Figure 15: Comparison of the IHF's SGO 2018 scores and nine European handball federations' NSGO scores



## **Background: SGO 2015 scores**

In the SGO 2015 report, the IHF achieved a 48% SGO index score. The organisation scored relatively high on the internal accountability and control dimension (65%). It achieved lower scores on the democratic processes (43%) and, particularly, transparency (38%) dimensions. Reliable data for benchmarking the IHF on the societal responsibility dimension was unavailable.

The report showed that the IHF's most notable governance strengths included the organisation of elections of senior officials, the formal representation of athletes in the organisation, the establishment of a code of ethics and ethics committee, and the implementation of conflict of interest rules.

The analysis also revealed a number of governance deficits. Most notably, the IHF did not implement term limits and it did not publish annual general activity reports. The organisation also did not have an objective and transparent bidding procedure for the allocation of major events and its general assembly did not meet annually.

## Main findings: SGO 2018

The dashboard graphically summarises the results of the SGO 2018 benchmarking. It demonstrates that the IHF's SGO 2018 index is 37%, which corresponds with a 'weak' label. The IHF's score on the internal accountability and control dimension is the highest of the four, namely 47% (moderate). Its scores on the democratic processes and societal responsibility dimensions stand at 45% (moderate) and 34% (weak), respectively. The IHF's transparency dimension score is 23% (weak), the lowest of the four dimensions.

Figure 15 shows how the IHF's SGO 2018 scores compare with the NSGO scores of the nine handball federations that were surveyed within the framework of the NSGO project (see Geeraert, 2018b). The figure shows that the IHF's SGO 2018 index score is comparable with the NSGO index scores achieved by the handball federations in Montenegro (37%), Poland (32%), Romania (39%), and Germany (36%). However, the IHF achieves the lowest transparency score of the surveyed federations.

### Dimension 1: Transparency

Of the four SGO dimensions, the transparency dimension is the most problematic for the IHF. On the positive side, the IHF publishes its statutes, internal regulations and sport rules, and the minutes of its general assembly meetings. The organisation also publishes detailed information about its member federations.

However, most of the other indicators and principles in the transparency dimension are not fulfilled. The IHF does not publish board decisions, general activity reports, audited financial statements, remuneration reports, reports on corruption risks and conflicts of interest, and (multi-annual) policy plans. In addition, the IHF does not publish details on allocated funds.

### Dimension 2: Democratic processes

On average, the IHF's democratic processes are at a moderate level. A closer look at the principle scores reveals a mixed picture. On certain aspects, democratic processes can be further enhanced but are generally adequate. For instance, the general assembly meets annually and elects senior officials in accordance with clear rules, though not on the basis of secret ballots. Candidates standing for election must announce their candidacy at least three months in advance and are required to present their election programme. An election committee oversees the election process. Furthermore, though the board is not required to meet regularly, it adopts an annual meeting schedule and there are clear rules establishing meeting proceedings. Quorums are also in place for general assembly and board meetings. Finally, athletes are not consulted when multi-annual policy plans are devised but they are formally represented within the organisation's structures and there is an effort to actively involve them in the policy process.



In other areas, however, there is significant room for improvement. The IHF does not establish term limits for elected officials and it does not adopt policies for involving referees, coaches, volunteers, and employees in the policy process. Finally, the organisation also undertakes only modest action aimed at promoting gender equality.

### **Dimension 3: Internal accountability and control**

As regards the democratic processes dimension, the IHF scores well on about half of the principles. The organisation achieves weak to bad scores on the other half of the principles. Though the IHF does not establish a clear separation between the tasks of the board and management, key positions on the board as well as the composition, tasks, and purposes of the standing committees are clearly defined. The IHF has established a financial control system and adopted a code of conduct applicable to the board, management and staff. An independent ethics committee is tasked with investigating breaches of the code. Relevant actors have been informed about the code, which includes important rules regarding accepting gifts, conflicts of interest, and the duty to notify breaches. However, it does not contain rules on expenses. Furthermore, the IHF adopts board eligibility requirements and decent conflict of interest procedures and its finances, risks, and governance have been subject to external audit.

In other areas, however, the IHF achieves very weak scores. Though the IHF establishes a bidding procedure for the World Championships in which bids are reviewed and shortlisted on the basis of pre-established criteria, external experts are not involved in the evaluation and the general assembly does not award the hosting privileges. Another salient issue pertains to the general assembly's limited opportunity to hold the board to account. Though the general assembly approves the annual budget and financial statements, it does not approve (multi-)annual policy plans or long-term financial planning. Furthermore, the tasks of the audit committee are both limited in scope and not clearly defined. The ethics committee, though independent, does not have the explicit formal authority to investigate suspected breaches on its own initiative or to impose pre-set sanctions and it is also not appointed by the general assembly. The IHF also does not carry out regular corruption risk assessments and it does not ensure that a proportion of the board members are independent. Finally, the IHF's whistleblower protection is inadequate because individuals who submit complaints in good faith are not formally protected from retaliation or negative consequences.

### **Dimension 4: Societal responsibility**

The IHF generally achieves weak scores on the societal responsibility dimension. On the positive side, the organisation offers consulting to its member federations in the areas of management and governance. The IHF has also established good anti-doping and anti-match-fixing regulations and it raises awareness on the issues through a number of specific actions. Furthermore, though the IHF does not implement relevant formal strategies, it undertakes specific actions aimed at mitigating health risks and promoting sport for all and gender equality. Finally, the organisation also implements rules that forbid sexual harassment and discrimination in sport.

On the negative side, the IHF currently does not undertake any significant action aimed at promoting social inclusion through sport, environmental sustainability, the dual career of athletes, and human rights. The organisation also does not require entities that receive funding to implement anti-corruption controls.

# FEDERATION REPORT:

## ITF

# Key results: ITF

Figure 16: The ITF's SGO 2018 index score

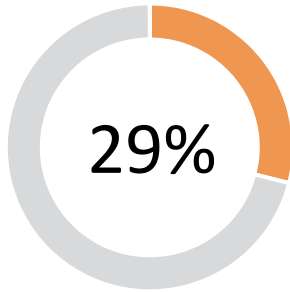


Figure 17: The ITF's scores on the four SGO dimensions

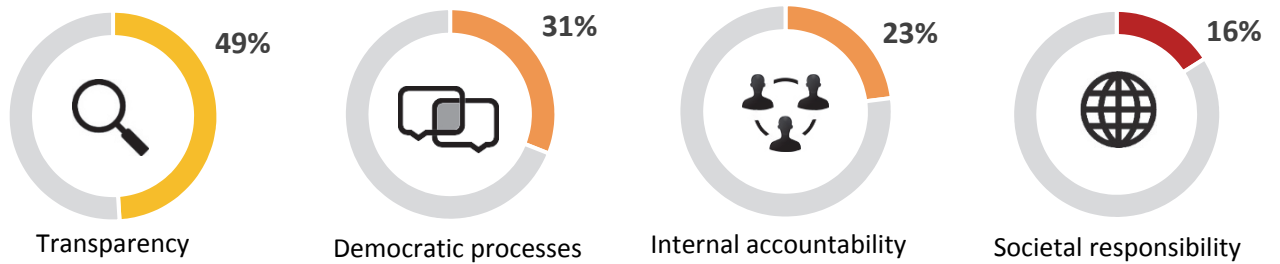
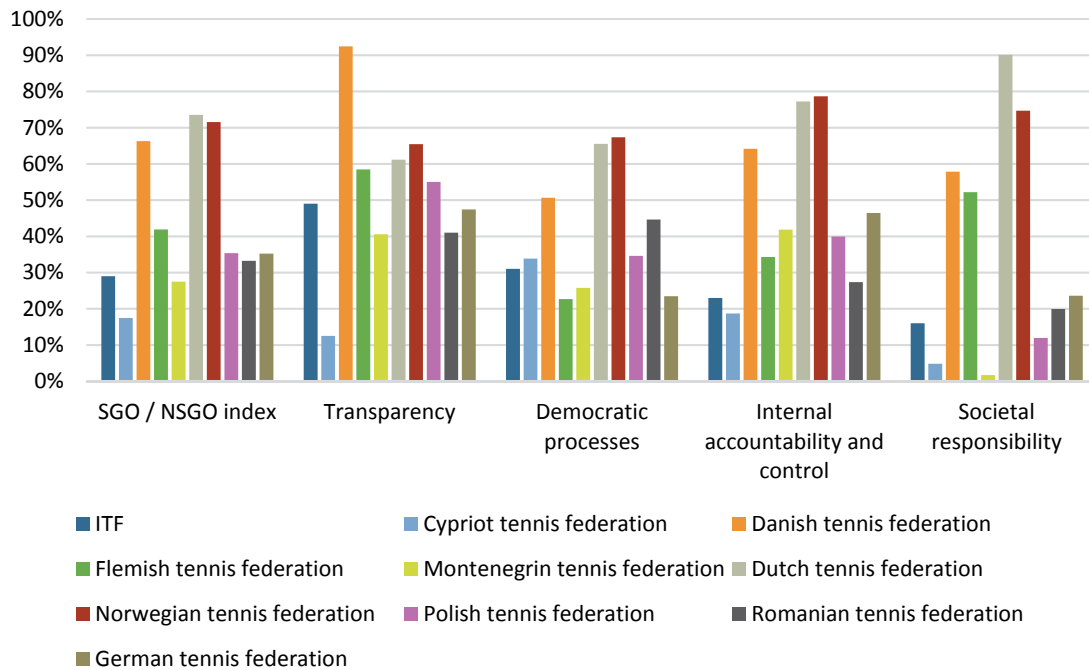


Figure 18: Comparison of the ITF's SGO 2018 scores and nine European tennis federations' NSGO scores



## **Background: SGO 2015 scores**

In the SGO 2015 report, the ITF achieved a 37% SGO index score, the lowest score of the five federations included in this report. The organisation scored low on the internal accountability and control (41%) and democratic processes (47%) dimensions. However, it achieved particularly low scores on transparency (30%) and societal responsibility (29%).

The SGO 2015 report showed that the ITF's most notable governance strengths pertained to the organisation of elections of senior officials according to clear procedures and the allocation of specific resources for the development of grass roots activities and societal responsibility programmes.

The report also listed a significant number of governance deficits. Particularly, the ITF did not implement term limits for elected officials nor did it adopt environmental or social sustainability requirement for major events. The ITF also did not publish board decisions or basic information about senior officials. There was no opportunity for athletes to be formally represented within the organisation and there were no internal audit or ethics committees with clearly defined tasks. The organisation also did not adopt clear conflict of interest rules or implement an anti-discrimination policy.

## Main findings: SGO 2018

The dashboard graphically summarises the results of the SGO 2018 benchmarking. It demonstrates that the ITF's SGO index is 29%, which corresponds with a 'weak' label. The ITF's score on the transparency dimension is the highest of the four, namely 49% (moderate). The ITF's scores on the democratic processes and internal accountability and control dimensions stand at 31% (weak) and 23% (weak), respectively. The ITF's societal responsibility score is 16% (not fulfilled), the lowest of the four dimensions.

Figure 18 shows how the ITF's SGO 2018 scores compare with the NSGO scores of the nine tennis federations that were surveyed within the framework of the NSGO project (see Geeraert, 2018b). The figure shows that the ITF's SGO 2018 index score is comparable with the NSGO index scores achieved by the tennis federations in Montenegro (27%), Poland (35%), Romania (33%), and Germany (35%).

### Dimension 1: Transparency

With regard to the transparency dimension, the ITF publishes its statutes, sports rules, and organisation chart. In addition, the organisation publishes the agenda and minutes of the general assembly meeting, as well as externally audited financial statements. The ITF also publishes annual general activity reports that outline if and how objectives have been accomplished.

The ITF does not report on corruption risks and it does not publish its internal regulations, multi-annual and annual policy plans. It also does not publish details on allocated funds. When the ITF publishes information on other governance-related issues, reporting is incomplete. For instance, the ITF reports on board decisions, but it does not provide explanations about the rationale behind any decisions. It also does not provide relevant background information of board members. Finally, while the ITF reports on the remuneration of management, it does not publish information on the remuneration of board members and applicable remuneration policies.

### Dimension 2: Democratic processes

As regards the democratic processes dimension, the ITF has clear rules establishing that the (large) majority of the board is elected by the general assembly. The organisation also establishes quorums for board and general assembly meetings and term limits for board members (though there is uncertainty with regard to the consecutive nature of the terms).

In other areas in this dimension, however, the ITF achieves rather weak scores. Most significantly, we could not find any evidence indicating that athletes, referees, coaches, volunteers, and staff members are (adequately) represented in the policy process. It must be noted that the organisation does establish the formal representation of athletes and coaches within the organisation. However, there do not appear to be any formal policies for involving stakeholder groups and there is no evidence indicating that they are consulted within the framework of a multi-annual policy plan. Regarding the election of board members, the ITF does not establish a committee overseeing the election process and it does not take specific actions ensuring that elections are competitive. Finally, the ITF takes gender equality into account with regard to the appointment of athlete representatives on the board. Apart from that, however, there are no specific gender equality policies.

### Dimension 3: Internal accountability and control

Though the ITF scores low in the internal accountability and control dimension, it achieves good scores in certain areas of this dimension. For instance, the ITF implements a code of conduct that applies to board members, management, and staff. The code applicable to board members includes an obligation to notify breaches of the code as well as rules on conflicts of interest and accepting gifts (though not on expenses). The ITF also has complaints procedures that ensure whistleblower protection. Furthermore, the ITF has adopted a policy for procurement, which establishes a competitive tender process for major contracts. The policy, however, does not include appropriate rules on the evaluation of tenders. Overall, these recent (2017) rules constitute important steps towards mitigating corruption risks.

The analysis reveals a significant number of deficits. For instance, there was no evidence indicating that the ITF general assembly approves annual and multi-annual policy plans. The ITF also does not establish board eligibility requirements. Furthermore, there is no clear governance structure according to the principle of separation of powers. More specifically, the board does not supervise management as the board appears responsible both for devising and executing policy. The ITF also does not have an internal committee or individuals responsible for checking the organisation's finances and it does not carry out regular corruption risk assessments. Related, there was no evidence found indicating that the organisation is externally audited. There also is no independent entity that has the authority to investigate breaches of rules of conduct on its own initiative. Finally, the ITF does not take steps to ensure that a proportion of the board members are independent.

### Dimension 4: Societal responsibility

Of the four SGO dimensions, the societal responsibility dimension is the most problematic as the ITF does not appear to implement significant societal responsibility policies or actions. It should be noted, however, that the ITF implements anti-doping and anti-match-fixing regulations (though no formal strategies). It also implements rules combating sexual harassment and discrimination and it recently launched a programme for empowering female leaders.

Nonetheless, we could not find any evidence of significant policies or actions in the areas of management consulting for member federations and mitigating health risks. There was also no evidence indicating that the ITF implements policies or actions promoting social inclusion, environmental sustainability, dual careers of athletes, sport for all, and human rights. Finally, the ITF does not require entities that receive funding to implement anti-corruption controls.



## Acknowledgements

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# Annex: Indicators and meta-data sheets

## Dimension 1: Transparency

### [Principle 1]

The organisation publishes its statutes/ constitution, internal regulations, sports rules and organisation chart on its website.

### Relevance

The publication of these key items allows stakeholders to monitor core aspects of the organisation's governance.

Indicator		Category	Detailed evaluation criteria	Data source	Score
1.1	Does the organisation publish its statutes /constitution on its website and are they retrievable through the home page (or sub-levels of the home page accessible through the home page) of its website?	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Organisation's website	
1.2	Does the organisation publish its internal regulations on its website and are they retrievable through the home page (or sub-levels of the home page accessible through the home page) of its website?	Basic	Does the organisation publish a comprehensive set of principles that establish the internal workings of the organisation in more detail than the statutes do? Do these principles detail the workings of at least the board, the general assembly, management and all of its standing committees? Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Organisation's website	
1.3	Does the organisation publish its sports rules on its website and are they retrievable through the home page (or sub-levels of the home page accessible through the home page) of its website?	Basic	Does the organisation publish a comprehensive set of principles that establish the rules governing competition? Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Organisation's website	
1.4	Does the organisation publish its organisational chart on its website and is it retrievable through the home page (or sub-levels of the home page accessible	Basic	Does the organisation publish an organisational chart with multiple hierarchical levels? Is the webpage where the chart can be downloaded linked (either directly or via a chain of	Organisation's website	

	through the home page) of its website?		links) to the homepage of the website?		
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### [Principle 2]

The organisation publishes the agenda and minutes of its general assembly meeting on its website.

## Relevance

The publication of the agenda and minutes of the general assembly opens up for scrutiny the (key) relationship between the decision-making and the legislating bodies of the organisation.

Indicator		Category	Detailed evaluation criteria	Data source	Score
2.1	Did the organisation publish the agenda of its latest general assembly meeting on its website before the meeting took place and is it retrievable through the home page (or sub-levels of the home page accessible through the home page) of the website?	Basic	Is the webpage where the document can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Organisation's website	
2.2	Does the published agenda contain the various agenda items with a word of explanation, the list of topics to be discussed and does it specify which items shall be put to the vote?	Basic	Does the document list agenda items? Does the document provide explanatory remarks with a number of agenda items? Does the document specify the items that shall be put to the vote?	Published agenda of the general assembly	
2.3	Does the organisation publish the minutes of its latest general assembly meeting on its website and are they retrievable through the home page (or sub-levels of the home page accessible through the home page) of the website?	Basic	Is the webpage where the document can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Organisation's website	
2.4	Do the minutes of its general assembly meeting give a summary of the deliberations and ballots?	Basic	Does the document give a summary of deliberations? Does the document give a summary of ballots cast (exact voting results in numbers or percentages)?	Published general assembly minutes	

**[Principle 3]**

The organisation publishes board and standing committee decisions on its website.

**Relevance**

By regularly justifying decisions, boards can prevent becoming closed and secret clubs and are motivated to make decisions in the general interest of their organisation/ sport.

Indicator		Category	Detailed evaluation criteria	Data source	Score
3.1	Does the organisation publish public versions of the minutes of all the board meetings that took place during the preceding 12 months on its website (retrievable through the home page or sub-levels of the home page)?	Basic	Does the organisation report on decisions taken in all its board meetings that took place during the preceding 12 months via its website? Is the webpage or document where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website? <i>Note that, for reasons of privacy, the organisation does not need to publish the official minutes. The organisation may produce a public version of the minutes, but it may also publish newsletters on its website that contain reporting on decisions.</i>	Organisation's website	
3.2	Does this version contain an explanation behind the rationale of certain (key) decisions?	Basic	Do reports on decisions provide information on the rationale behind some decisions? Is this the case for at least half of the board meetings?	Reports available on website	
3.3	Does the organisation publish public versions of the minutes of standing committee meetings that took place during the preceding 12 months on its website (retrievable through the home page or sub-levels of the home page)?	Basic	Does the organisation report via its website on decisions taken in standing committee meetings that took place during the preceding 12 months? Does the organisation report on decisions taken in all of its standing committees? Is the webpage or document where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website? <i>Note that, for reasons of privacy, the organisation does not need to publish the official minutes. The organisation may produce a public version of the minutes, but it may also publish newsletters on its website that contain reporting on decisions.</i>	Organisation's website	

**[Principle 4]**

The organisation publishes information about its board members on its website.

**Relevance**

Basic biographical information facilitates external scrutiny of the quality and performance of senior officials. Disclosing information on current activities in other sports organisations, official functions, and political posts may signal potential conflicts of interest.

Indicator		Category	Detailed evaluation criteria	Data source	Score
4.1	Does the organisation's website list the names of all the current members of the board?	Basic	Can the information be retrieved either from a webpage or from the minutes of the general assembly or from the annual report?  Is the webpage where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website?	Organisation's website; minutes of the general assembly; annual report	
4.2	Does the organisation's website list the start and end date of the mandate of each individual member of the board?	Basic	Does the information include the start and end dates of the mandates of all its <i>elected</i> officials?  Can the information be retrieved either from a webpage or from the minutes of the general assembly or from the annual report?  Is the webpage where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website?	Organisation's website; minutes of the general assembly; annual report	
4.3	Where applicable, does the website also state the duration and the number of previous mandates?	Basic	Can the information be retrieved either from a webpage or from the minutes of the general assembly or from the annual report?  Is the webpage where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website?	Organisation's website; minutes of the general assembly; annual report	
4.4	Does the organisation's website provide biographical information about each individual board member, including at least their professional background?	Basic	Can the information be retrieved either from a webpage or from the minutes of the general assembly or from the annual report?  Is the webpage where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website?	Organisation's website; minutes of the general assembly; annual report	

4.5	Does the organisation's website provide information on other positions in sports organisations held by each individual board member?	Basic	Can the information be retrieved either from a webpage or from the minutes of the general assembly or from the annual report? Is the webpage where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website? <i>Note: the organisation only fulfills the criteria if it publishes information on other positions in all other sports organisations.</i>	Organisation's website; minutes of the general assembly; annual report; interview with organisation representative; web search	
4.6	Does the organisation's website list at least one (general) e-mail address, which may be used to contact the board?	Basic	Does the organisation publish either the contact details for one or more board members or does it provide a general address and is explicit reference made to the address being a contact for the board? Is the webpage where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website?	Organisation's website; minutes of the general assembly; annual report	

#### [Principle 5]

The organisation publishes information about its members (national federations) on its website.

### Relevance

Information about members gives an indication of the relevance and impact of the organisation.

Indicator	Category	Detailed evaluation criteria	Data source	Score
5.1	Does the organisation's website list basic information for each member federation?	Basic Can the information be retrieved either from a webpage or from the minutes of the general assembly or from the annual report? Is the webpage where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website?	Organisation's website; minutes of the general assembly; annual report	
5.2	Does the organisation's website list contact details for each member federation?	Basic Can the information be retrieved either from a webpage or from the minutes of the general assembly or from the annual report? Is the webpage where the information can be retrieved from	Organisation's website; minutes of the general assembly;	



			linked (either directly or via a chain of links) to the homepage of the website?	annual report	
<b>5.3</b>	Does the organisation's website list information about the number of member federations?	Basic	Can the information be retrieved either from a webpage or from the minutes of the general assembly or from the annual report?  Is the webpage where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website?	Organisation's website; minutes of the general assembly; annual report	

### [Principle 6]

The organisation publishes an annual general activity reports on its website.

### Relevance

The annual general activity report provides stakeholders with an overview of the organisation's general performance, demonstrating if and how objectives have been accomplished.

Indicator	Category	Detailed evaluation criteria	Data source	Score
<b>6.1</b>	Basic	Did the organisation publish a report in the preceding 12 months that reports on its activities?  Is the webpage where the report can be retrieved from linked (either directly or via a chain of links) to the homepage of the website?  <i>Note: the report can be published either separately or as an integral part of the annual policy plan.</i>	Organisation's website	
<b>6.2</b>	Basic	Does the organisation publish on its website the last 3 general activity reports (that are or should have been produced) and are they retrievable through the home page (or sub-levels of the home page accessible through the home page) of the website?  <i>Note: this indicator is not applicable if the organisation has been established less than 3 years ago.</i>	Organisation's website	

6.3	Does the most recent general activity report set out the organisation's objectives and how they have been accomplished over the preceding year through concrete actions?	Basic	Did the organisation produce a general activity report in the past 12 months? Does the most recent general activity report provide a summary of concrete actions undertaken? Does the latest general activity report establish an explicit link between the actions undertaken and concrete objectives?	Most recent annual report	
6.4	Does the most recent general activity report contain a report on the activities of all the standing committees?	Basic	Did the organisation produce a general activity report in the preceding 12 months? Does the most recent general activity report provide information on the activities of all standing committees (beyond the meeting dates and the number of meetings held)?	Most recent annual report	
6.5	Does the most recent general activity report include information on the championships and events (co-)organised by the organisation?	Basic	Did the organisation produce a general activity report in the preceding 12 months? Does the most recent general activity report include information on the championships and events (co-)organised by the organisation? Does the information include at least four of the following elements: governance, revenue, sponsors, media coverage, infrastructure, attendance, athlete participation, results?	Most recent annual report	

#### [Principle 7]

The organisation publishes on its website financial statements that are externally audited according to recognised international standards.

#### Relevance

Disclosing accurate and complete information on finances is of particular relevance to deterring corruption: financial reports provide information that can (circumstantially) corruption.

Indicator	Category	Detailed evaluation criteria	Data source	Score
7.1	Basic	<i>Note: the statements can be included in the annual report or in a separate document, published on its website in accordance with indicator 1.1.</i>	Organisation's website	

	through the home page (or sub-levels of the home page accessible through the home page) of the website?				
<b>7.2</b>	Does the organisation publish its 3 most recent financial statements (externally audited according to recognised international standards) on its website and are they retrievable through the home page (or sub-levels of the home page accessible through the home page) of the website?	Basic	Does the organisation publish on its website the last 3 annual financial statements (that are or should have been produced) and are they retrievable through the home page (or sub-levels of the home page accessible through the home page) of the website?  <i>Note: this indicator is not applicable if the organisation has been established less than 3 years ago.</i>	Organisation's website	

**[Principle 8]**

The organisation publishes regulations and reports on the remuneration, including compensation and bonuses, of its board members and of management on its website.

**Relevance**

Reporting on both the remuneration of senior officials and management, and on the pay-setting process generates trust and generates a powerful deterrence effect for self-dealing.

Indicator	Category	Detailed evaluation criteria	Data source	Score
<b>8.1</b>	Basic	Does the organisation report on remuneration by providing at least general figures?  Is the information included in either the financial report or in the annual report?	Financial report; annual report	
<b>8.2</b>	Basic	<i>Note: the remuneration policy can be included in the annual report or in a separate document, published on its website in accordance with indicator 1.1.</i>	Financial report; annual report; organisation's website	
<b>8.3</b>	Basic	Does the remuneration report include a separate statement on the remuneration of the board members, including any fringe benefits, in an anonymous or aggregated manner?	Financial report; annual report	

<b>8.4</b>	Does the remuneration report include a separate statement on the remuneration of senior management, including any fringe benefits, in an anonymous or aggregated manner?	Basic		Financial report; annual report	
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**[Principle 9]**

The organisation reports on corruption risks, including conflicts of interest.

**Relevance**

Reporting on corruption risks generates trust and increases external scrutiny.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>9.1</b>	Does the most recent annual report provide an (anonymised) overview of the declarations of conflicts of interest and the decisions in which conflicts of interest were involved?	Basic	Did the organisation produce an annual report in the preceding 12 months? Does the most recent annual report include an (anonymised) overview of the declarations of conflicts of interest made by board members and of the board decisions in which conflicts of interest were involved?	Most recent annual report	
<b>9.2</b>	Does the latest annual report explore the corruption risks faced by the organisation and how it aims to control these risks?	Basic	Did the organisation produce an annual report in the preceding 12 months? Does the most recent annual report include an explicit section covering risks? Does the section address corruption risks faced by the organisation and how it aims to control these?	Most recent annual report	

**[Principle 10]**

The organisation publishes its strategic plan on its website.

**Relevance**

Publishing a strategic plan makes an organisation more accountable and increases the likelihood that it will reach its goals.

Indicator		Category	Detailed evaluation criteria	Data source	Score
10.1	Does the organisation publish a multi-annual policy plan?	Basic	Did the organisation publish a plan that lays out the policies to be implemented in the following two years or more?	Document outlining multi-annual policy plan; minutes of the general assembly	
10.2	Does this plan include any long-term financial planning?	Basic	Did the organisation publish a plan that lays out the policies to be implemented in the following two years or more?  Does this plan include any financial planning for the next two years or more?	Document outlining multi-annual policy plan; minutes of the general assembly	
10.3	Does this plan outline specific objectives and envisioned actions?	Basic	Did the organisation publish a plan that lays out the policies to be implemented in the following two years or more?  Does the document formulate specific objectives (what does the organisation want to achieve?) and actions (how does the organisation want to achieve this?)?	Document outlining multi-annual policy plan; minutes of the general assembly	
10.4	Does this plan outline key performance indicators that establish concrete operational goals?	Basic	Did the organisation publish a plan that lays out the policies to be implemented in the following two years or more?  Does the document formulate specific objectives (what does the organisation want to achieve?) and actions (how does the organisation want to achieve this?)?  Does the document outline key performance indicators that establish concrete operational goals?	Document outlining multi-annual policy plan; minutes of the general assembly	

<b>10.5</b>	Has the organization published an annual policy plan which is based on the multi-annual policy plan in the preceding twelve months?	Basic	Did the organisation publish a (separate) document outlining an annual plan which is based on the multi-annual policy plan in the preceding twelve months?	Document outlining multi-annual policy plan; minutes of the general assembly	
<b>10.6</b>	Has the organization published an annual budget in the preceding twelve months which is based on long-term financial planning?	Basic	Did the organisation publish a (separate) document outlining an annual budget in the preceding twelve months which is based on long-term financial planning?	Document outlining multi-annual policy plan; minutes of the general assembly	

#### [Principle 11]

The organisation publishes details on allocated funds on its website.

#### Relevance

Publishing details on allocated funds increases external scrutiny and decreases the opportunity for senior officials to engage in patronage systems.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>11.1</b>	Does the organisation publish the amount of allocated funding per member federation and per funded development project?	Basic	Is the webpage where the related documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Organisation's website; activity report; financial report	
<b>11.2</b>	Does the organisation publish the criteria that determine the amount of funding allotted to member federations and to development projects?	Basic	Is the webpage where the related documents can be downloaded linked (either directly or via a chain of links) to the homepage of the organisation's website?	Organisation's website; activity report; financial report	
<b>11.3</b>	Does the federation publish the deliverables of funded development projects?	Basic	Is the webpage where the related documents can be downloaded linked (either directly or via a chain of links) to the homepage of the organisation's website?	Organisation's website; activity report; financial report	

## Dimension 2: Democratic processes

### [Principle 12]

Board members are (re-)appointed according to clear and democratic procedures.

### Relevance

The threat of being replaced by a challenger in case of underachieving or inappropriate behaviour incentivises officials to conform to their constituents' wishes, perform better, and refrain from opportunistic behaviour.

Indicator		Category	Detailed evaluation criteria	Data source	Score
12.1	Do the organisation's statutes and, where applicable, internal regulations contain procedures for the appointment and reappointment of all the members of the board?	Basic	Do the organisation's statutes or internal regulations contain procedures that determine the appointment and reappointment of all the members of the board? <i>Note: under these criteria, board members may be co-opted or ex officio members.</i>	Organisation's statutes and internal regulations	
12.2	Do the rules governing elections cover information on people qualified to vote; majority or percentage needed to win the election and, where applicable, weighting of votes; quorum; and election rounds?	Basic	Do the rules governing the election of board members include at least information on people qualified to vote and majority or percentage needed to win the election?	Organisation's statutes and internal regulations	
12.3	Do the rules governing elections ensure that the member federations directly elect at least 75% of the members of the board?	Basic	Do the rules governing elections ensure that the member federations directly elect at least 75% of the members of the board? <i>Note: federations may co-opt members of the board (in order to help fill gaps in terms of skill and expertise in the short term). They should form a minority of the board and may only be appointed for a limited period of time. If the latter is not the case, the organisation does not meet the criterion.</i>  <i>If board members are appointed by regional federations, these members should be elected by the member federations at the regional level.</i>	Organisation's statutes and internal regulations	

<b>12.4</b>	Do the rules governing elections ensure that elections take place on the basis of secret ballots?	Basic	Do the rules governing elections establish that elections always take place on the basis of secret ballots? <i>Note: if the rules merely establish that secret ballots can be requested for elections, the organisation does not meet the criterion.</i>	Organisation's statutes and internal regulations	
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**[Principle 13]**

The organisation undertakes steps to ensure that elections of senior officials are open and competitive.

**Relevance**

Open and competitive elections increase the likelihood that underperforming officials are voted out and replaced by high quality officials and that fresh ideas for problem solving may emerge.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>13.1</b>	Does the organisation establish rules that ensure that all candidates standing for election announce their candidacy at least three months before the election takes place?	Basic	<i>The indicator applies to candidates for all positions appointed by the general assembly.</i>	Statutes; internal regulations	
<b>13.2</b>	Does the organisation establish rules that ensure that all candidates standing for election must present their programme to the member federations (e.g. at the General Assembly)?	Basic		Statutes; internal regulations	
<b>13.3</b>	Does the organisation establish rules that require an open recruitment process in which any board vacancies are published online, candidates that meet eligibility requirements can apply, and clear deadlines are set?	Basic		Statutes; internal regulations	
<b>13.4</b>	Does the organisation establish campaign funding rules that restrict contributions from private actors to the campaign of a presidential candidate and establish a system in which officially announced candidates that meet a number of specific criteria (e.g. backing by a specific number of member federations) receive funding?	Basic		Statutes; internal regulations	



**[Principle 14]**

The organisation has a nomination committee that oversees the appointment of senior officials.

**Relevance**

A nomination committee helps ensure that elections take place according to established procedures and assists with finding suitable candidates for vacancies.

Indicator		Category	Detailed evaluation criteria	Data source	Score
14.1	Do the organisation's statutes and/or internal regulations establish a nomination committee that oversees the (re-)election process of the members of the board?	Basic	Do the organisation's statutes and/or internal regulations establish that at least two individuals are appointed to oversee the election process of board positions appointed by the general assembly?	Organisation's statutes and internal regulations	
14.2	Do the organisation's statutes and/or internal regulations establish that the president of the board cannot act as the president of the nomination committee?	Basic	Do the organisation's statutes and/or internal regulations establish that at least two individuals are appointed to oversee the election process of board positions appointed by the general assembly? Do the organisation's statutes and/or internal regulations establish that the president of the board does not (or cannot) act as the president of the nomination committee or oversee the election process by him/herself?	Organisation's statutes and internal regulations	
14.3	Do the organisation's statutes and/or internal regulations establish that at least one member of the nomination committee should not be a member of the board or an employee of the organisation?	Intermediate	Do the organisation's statutes and/or internal regulations establish a (permanent or ad hoc) committee tasked with at least overseeing the (re-)election process of the members of the board? Do the organisation's statutes and/or internal regulations establish that at least one member of the committee is independent, meaning that he/she may not be a member of the board or an employee of the organisation?	Organisation's statutes and internal regulations	
14.4	Do the organisation's statutes and/or internal regulations establish that the tasks of the	Intermediate	Do the organisation's statutes and/or internal regulations establish a permanent committee tasked	Organisation's statutes and internal regulations	

	nomination committee include identifying gaps relating to the skill, expertise and differentiated composition of the board?		with identifying gaps relating to the skill, expertise and differentiated composition of the board?		
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**[Principle 15]**

The organisation establishes a quorum (a minimum number of attendees required to conduct business and to cast votes) in its statutes or internal regulations for the board and the general assembly.

**Relevance**

A quorum ensures that decision-making is not monopolised by a small group.

Indicator		Category	Detailed evaluation criteria	Data source	Score
15.1	Does the organisation establish a quorum for the board in its statutes or internal regulations?	Basic		Organisation's statutes and internal regulations	
15.2	Does the organisation establish a quorum for the general assembly in its statutes or internal regulations?	Basic		Organisation's statutes and internal regulations	
15.3	Does the organisation establish a quorum of at least 75% for the board in its statutes or internal regulations?	Basic	Does the organisation establish a quorum of at least 75% for the board in its statutes or internal regulations? Is the quorum applicable for all items put to the vote in all board meetings?	Organisation's statutes and internal regulations	
15.4	Does the organisation establish a quorum of at least 50% for the general assembly in its statutes or internal regulations?	Basic	Does the organisation establish a quorum of at least 50% for the general assembly in its statutes or internal regulations? Is the quorum applicable for all items put to the vote in all general assembly meetings?	Organisation's statutes and internal regulations	

**[Principle 16]**

The organisation has established term limits.

**Relevance**

Term limits remedy high rates of re-election stemming from incumbent advantages. They prevent the monopolisation of power, ensure that office holders do not lose touch with their constituents, and that elections encourage the emergence of new ideas for solving problems.

Indicator		Category	Detailed evaluation criteria	Data source	Score
16.1	Do the organisation's statutes establish term limits for board members?	Basic	Do the organisation's statutes establish a maximum number of defined terms for all board members?	Organisation's statutes	
16.2	Do the organisation's statutes establish term limits for board members that do not allow board members to stay in office for longer than 12 consecutive or non-consecutive years?	Basic	<i>Note: the criterion applies to all board functions.</i>	Organisation's statutes	
16.3	Do the organisation's statutes establish term limits that do not allow the president to stay in office for longer than 8 consecutive or non-consecutive years?	Basic		Organisation's statutes	

**[Principle 17]**

The general assembly represents all affiliated members and meets at least once a year.

**Relevance**

Annual general assembly meetings give constituents the opportunity to annually scrutinise financial accounts and past and future policies and to give input to decision-makers.

Indicator		Category	Detailed evaluation criteria	Data source	Score
17.1	Does the general assembly represent all the organisation's member federations through direct representation?	Basic		Organisation's statutes and internal regulations	
17.2	Do the organisation's statutes establish that the general assembly meets at least once a year?	Basic		Organisation's statutes	
17.3	Do the organisation's statutes and/ or internal regulations establish procedures that make it possible to convene emergency and extraordinary meetings?	Basic		Organisation's statutes and internal regulations	

<b>17.4</b>	Do the organisation's statutes and/ or internal regulations establish that the members of the general assembly have the opportunity to vote in absentia (e.g. by proxy via communication technology or via a mandate)?	Basic		Organisa- tion's stat- utes and internal regulations	
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**[Principle 18]**

The board meets regularly to discuss relevant issues according to established procedures.

## Relevance

Regular board meetings enhance an organisation's deliberative processes. Regular open debates lead to more effective policy solutions.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>18.1</b>	Did the board meet at least five times during the preceding twelve months?	Basic		Evidence provided by organisation representative (agenda, meeting schedule)	
<b>18.2</b>	Do the organisation's statutes or internal regulations establish that the board must meet at least five times a year?	Basic	Do the organisation's statutes or internal regulations establish a minimum number of board meetings to be held each year that is equal to or higher than five?	Organisa- tion's stat- utes and in- ternal regu- lations	
<b>18.3</b>	Do the organisation's internal regulations establish the procedures for drawing up the agenda for board meetings?	Basic	Do the organisation's internal regulations establish how the agenda of board meetings is established?	Organisa- tion's inter- nal regula- tions	
<b>18.4</b>	Do the organisation's internal regulations establish the board meeting proceedings?	Basic	Do the organisation's internal regulations establish how board meetings proceed (e.g. voting, taking notes during the meeting, presiding over the meeting)?	Organisa- tion's inter- nal regula- tions	
<b>18.5</b>	Do the organisation's internal regulations establish the procedures for the adoption of decisions?	Basic	Do the organisation's internal regulations establish rules and/or a procedure regarding the adoption of decisions by the board (e.g. unanimity, consensus or majority voting)?	Organisa- tion's inter- nal regula- tions	
<b>18.6</b>	Does the board have a document outlining an annual meeting schedule that arranges for a meeting on	Basic	Does the board have an applicable (valid) meeting schedule, in which it schedules meetings and establishes topics to be discussed?	Organisa- tion's web- site; meet- ing schedule document	

	the budget, policy plan, annual report, self-assessment, appraisal of management, and preparation of the general assembly?		Has the document been established at one point during the preceding 12 months?		
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**[Principle 19]**

The organisation ensures the participation of athletes in its policy processes.

**Relevance**

Participatory processes enhance the effectiveness and the legitimacy of policies. Through their inclusion in the policy process, athletes provide specialised knowledge and they come to see policies as their own, so that they are more likely to comply.

Indicator		Category	Detailed evaluation criteria	Data source	Score
19.1	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at involving athletes in its policy processes?	Basic	Does the organisation have a document that outlines both objectives and specific actions aimed at involving athletes in its policy processes?	Document outlining the policy	
19.2	Are athletes formally represented within the organisation (e.g. via a consultative body)?	Basic	Does the organisation have a representative body for athletes?	Organisation's website; statutes and internal regulations	
19.3	Is the multi-annual policy plan adopted in consultation with athletes?	Basic	Did the organisation adopt a plan that lays out the policies to be implemented in the following two years or more?  Were athletes (formally or informally) able to provide input into the most recent multi-annual policy plan?	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by organisation representative	
19.4	Does the organisation undertake other actions aimed at involving athletes in its decision-making procedures?	Basic	Does the organisation undertake (ad hoc) actions (e.g. sending questionnaires, organising focus groups,...) aimed at involving athletes in its decision-making procedures?	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by organisation representative	

**[Principle 20]**

The organisation ensures the participation of referees in its policy processes.

**Relevance**

Participatory processes enhance the effectiveness and legitimacy of policies. Through their inclusion in the policy process, referees provide specialised knowledge and they come to see policies as their own, so that they are more likely to comply.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>20.1</b>	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at involving referees in its policy processes?	Intermediate	Does the organisation have a document that outlines both objectives and specific actions aimed at involving referees in its policy processes?	Document outlining the policy	
<b>20.2</b>	Are referees formally represented within the organisation (e.g. via a consultative body)?	Basic	Does the organisation have a representative body for referees?	Organisation's website; statutes and internal regulations	
<b>20.3</b>	Is the multi-annual policy plan adopted in consultation with referees?	Basic	Did the organisation adopt a plan that lays out the policies to be implemented in the following two years or more?  Were referees (formally or informally) able to provide input into the most recent multi-annual policy plan?	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by the organisation	
<b>20.4</b>	Does the organisation undertake other actions aimed at involving referees in its decision-making procedures?	Intermediate	Does the organisation undertake (ad hoc) actions (e.g. sending questionnaires, organising focus groups, etc.) aimed at involving referees in its decision-making procedures?	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by the organisation	

**[Principle 21]**

The organisation ensures the participation of coaches in its policy processes.

## Relevance

Participatory processes enhance the effectiveness and legitimacy of policies. Through their inclusion in the policy process, coaches provide specialised knowledge and they come to see policies as their own, so that they are more likely to comply.

Indicator		Category	Detailed evaluation criteria	Data source	Score
21.1	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at involving coaches in its policy processes?	Intermediate	Does the organisation have a document that outlines both objectives and specific actions aimed at involving coaches in its policy processes?	Document outlining the policy	
21.2	Are coaches formally represented within the organisation (e.g. via a consultative body)?	Basic	Does the organisation have a representative body for coaches?	Organisation's website; statutes and internal regulations	
21.3	Is the multi-annual policy plan adopted in consultation with coaches?	Basic	Did the organisation adopt a plan that lays out the policies to be implemented in the following two years or more?  Were coaches (formally or informally) able to provide input into the most recent multi-annual policy plan?	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by the organisation	
21.4	Does the organisation undertake other actions aimed at involving coaches in its decision-making procedures?	Intermediate	Does the organisation undertake (ad hoc) actions (e.g. sending questionnaires, organising focus groups, etc.) aimed at involving coaches in its decision-making procedures?	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by the organisation	

**[Principle 22]**

The organisation ensures the participation of volunteers in its policy processes.

**Relevance**

Participatory processes enhance the effectiveness and legitimacy of policies. Through their inclusion in the policy process, volunteers provide specialised knowledge and they come to see policies as their own, so that they are more likely to comply.

Indicator		Category	Detailed evaluation criteria	Data source	Score
22.1	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at involving volunteers in its policy processes?	Intermediate	Does the organisation have a document that outlines both objectives and specific actions aimed at involving volunteers in its policy processes?	Document outlining the policy	
22.2	Are volunteers formally represented within the organisation (e.g. via a consultative body)?	Intermediate	Does the organisation have a representative body for volunteers?	Organisation's website; statutes and internal regulations	
22.3	Is the multi-annual policy plan adopted in consultation with volunteers?	Basic	Did the organisation adopt a plan that lays out the policies to be implemented in the following two years or more?  Were volunteers (formally or informally) able to provide input into the most recent multi-annual policy plan?	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by the organisation	
22.4	Does the organisation undertake other actions aimed at involving volunteers in its decision-making procedures?	Intermediate	Does the organisation undertake (ad hoc) actions (e.g. sending questionnaires, organising focus groups, etc.) aimed at involving volunteers in its decision-making procedures?	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by the organisation	



**[Principle 23]**

The organisation ensures the participation of employees in its policy processes.

**Relevance**

Participatory processes enhance the effectiveness and legitimacy of policies. Through their inclusion in the policy process, employees provide specialised knowledge and they come to see policies as their own, so that they are more likely to comply.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>23.1</b>	Does the organisation have a document that outlines both objectives and specific actions aimed at involving employees in its policy processes?	Advanced	Does the organisation have a document that outlines both objectives and specific actions aimed at involving its employees in its policy processes?	Document outlining the policy	
<b>23.2</b>	Does the organisation have a representative body for employees?	Advanced	Does the organisation have a representative body for its employees?	Organisation's website; statutes and internal regulations	
<b>23.3</b>	Were employees (formally or informally) able to provide input to the most recent multi-annual policy plan?	Basic	Did the organisation adopt a plan that lays out the policies to be implemented in the following two years or more?  Were the organisation's employees (formally or informally) able to provide input into the most recent multi-annual policy plan?	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by the organisation	
<b>23.4</b>	Does the organisation undertake other actions aimed at involving employees in its decision-making procedures?	Advanced	Does the organisation undertake (ad hoc) actions (e.g. sending questionnaires, organising focus groups, etc.) aimed at involving its employees in its decision-making procedures?	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by the organisation	

**[Principle 24]**

The organisation implements a gender equality policy.

**Relevance**

Gender equality contributes to fairness and, thus, legitimacy. It also contributes to diversity, which has a positive impact on performance.

Indicator		Category	Detailed evaluation criteria	Data source	Score
24.1	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at encouraging the equal access to representation for women and men in all stages of the decision-making process?	Intermediate	Does the organisation have a document that outlines both objectives and specific actions aimed at encouraging the equal access to representation for women and men in all stages of the decision-making process?	Document outlining the policy	
24.2	Does the organisation implement gender sensitive procedures for identifying candidates for positions awarded as part of electoral procedures?	Basic	Does the organisation implement procedures that encourage (but not necessarily establish) a more equal representation of males and females (e.g. taking gender into consideration in board member profiles or establishing quota)?	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by the organisation	
24.3	Does the organisation implement gender sensitive procedures for identifying candidates for positions awarded as part of human resources policies?	Intermediate	Does the organisation implement procedures that encourage equal access to representation for women and men in all stages of the decision-making process?	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by the organisation	
24.4	Does the organisation have a gender balanced representation of women and men on the nomination committee seeking candidates for decision-making positions?	Intermediate	Do the organisation's statutes and/or internal regulations establish a (permanent or ad hoc) committee tasked with searching for candidates for vacant board mandates?  Is there a gender balanced representation of women and men on the committee (at least 1/3 of the least represented sex)?	Organisation's statutes and internal regulations	

<b>24.5</b>	Does the organisation undertake actions aimed at the reconciliation of family responsibilities and professional or elective obligations for board members and staff?	Intermediate		Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by the organisation	
<b>24.6</b>	Does the organisation undertake other actions aimed at promoting gender equality internally?	Intermediate		Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by the organisation	

### Dimension 3: Internal accountability and control

#### [Principle 25]

The general assembly supervises the board appropriately.

#### Relevance

A clear separation of powers and checks and balances ensures that an organisation's internal bodies stimulate, control, and inspire each other.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>25.1</b>	Has the general assembly approved a multi-annual policy plan?	Basic	Has the general assembly approved a plan that lays out the policies to be implemented in the following two years or more?	Document outlining multi-annual policy plan; minutes of the general assembly	
<b>25.2</b>	Do the statutes or internal regulations establish that the general assembly must approve the multi-annual policy plan proposed by the board?	Basic	Do the statutes or internal regulations establish that the general assembly must approve a document that lays out the policies to be implemented in the following two years or more?	Organisation's statutes and internal regulations	

<b>25.3</b>	Does the approved multi-annual policy plan include a long-term financial planning?	Basic	Has the general assembly approved a plan that lays out the policies to be implemented in the following two years or more? Does this plan include the financial planning for the next two years or more?	Document outlining multi-annual policy plan; minutes of the general assembly	
<b>25.4</b>	Does the approved multi-annual policy plan outline specific objectives and envisioned actions?	Basic	Has the general assembly approved a plan that lays out the policies to be implemented in the following two years or more? Does the document formulate specific objectives (what does the organisation want to achieve?) and actions (how does the organisation want to achieve this?)?	Document outlining multi-annual policy plan; minutes of the general assembly	
<b>25.5</b>	Has the general assembly approved an annual policy plan based on the multi-annual policy plan in the preceding twelve months?	Basic	Does the organisation have a separate document outlining an annual plan? Has this document has been approved by the general assembly?	Document outlining annual policy plan; minutes of the general assembly; interview with organisation representative	
<b>25.6</b>	Do the statutes and/or internal regulations establish that the general assembly approves the annual policy plan?	Basic		Organisation's statutes and internal regulations	
<b>25.7</b>	Has the general assembly approved an annual budget based on the long-term financial planning in the preceding twelve months?	Basic	Does the organisation have a document outlining a financial planning for the following two years or more? Does the organisation have a document outlining an annual budget based on the multi-annual financial planning? Has this document has been approved by the general assembly?	Minutes of the general assembly; interview with organisation representative	
<b>25.8</b>	Do the statutes and/or internal regulations establish that the general assembly approves the annual budget?	Basic		Organisation's statutes and internal regulations	
<b>25.9</b>	Has the general assembly approved financial statements in the preceding twelve months?	Basic	Does the organisation have a document outlining financial statements?	Minutes of the general assembly; interview	

			Has this document has been approved by the general assembly?	with organisation representative	
<b>25.10</b>	Do the statutes and/or internal regulations establish that the general assembly approves the annual financial statements?	Basic		Organisation's statutes and internal regulations	
<b>25.11</b>	Do the statutes and/ or internal regulations deny the members of the board voting rights in the general assembly (even in another representative capacity)?	Basic	<i>Note: Check if the statutes are drafted in such a way that no board members are granted voting rights in the general assembly. There should not (necessarily) be a specific provision that forbids voting by board members at the general assembly. However, sometimes, statutes can be drafted in such a way that board members have the opportunity to vote, e.g. if they are formally part of the General Assembly. This undermines the supervising/controlling/monitoring capacity of the general assembly vis-a-vis the board. Ask your contact person whether board members (can) vote at the general assembly.</i>	Organisation's statutes and internal regulations; interview with organisation representative	

**[Principle 26]**

The board establishes procedures regarding the premature resignation of board members.

**Relevance**

Procedures that settle the premature resignation of board members ensure that underachieving or unethical board members can be forced to step down between elections.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>26.1</b>	Do the organisation's statutes and/or internal regulations establish general procedures regarding the premature resignation of board members?	Basic	Do the organisation's statutes and/or internal regulations establish procedures regarding the premature resignation of board members without specifying circumstances? <i>Note: these criteria are automatically fulfilled if the (stricter) criteria in 26.3, 26.4, or 26.5 are fulfilled.</i>	Organisation's statutes; internal regulations	

26.2	Do these procedures clearly establish those situations in which the general assembly has to vote on the issue?	Basic		Organisation's statutes; internal regulations	
26.3	Do the organisation's statutes and/or internal regulations establish procedures regarding the premature resignation of board members in case of repeated absenteeism?	Basic		Organisation's statutes; internal regulations	
26.4	Do the organisation's statutes and/or internal regulations establish procedures regarding the premature resignation of board members in case of conflict (such as incompatible views)?	Basic		Organisation's statutes; internal regulations	
26.5	Do the organisation's statutes and/or internal regulations establish procedures regarding the premature resignation of board members in case of unethical conduct (as established by the code of ethics)?	Basic	Does the organisation have a code of ethics applicable to board members? Does the organisation establish procedures regarding the premature resignation of board members for breaches of the code of ethics?	Organisation's statutes; internal regulations	

#### [Principle 27]

The organisation defines in its statutes those circumstances in which, due to a serious conflict of interest or integrity issue, a person is ineligible to serve as a member of the board.

### Relevance

Conflicts of interest arise when board members decide on certain actions or transactions which might directly or indirectly benefit them. Conflicts of interest are often unavoidable, yet people with particular backgrounds, such as sponsors or judicial body members, are subject to particularly high risks for conflicts of interest.

Indicator	Category	Detailed evaluation criteria	Data source	Score
27.1	Basic	Do the statutes and/or internal regulations establish which individuals, given their professional, personal or sporting background cannot be a member of the board? <i>Note: these criteria are automatically fulfilled if the (stricter) criteria in 27.2 or 27.4 are fulfilled?</i>	Organisation's statutes; internal regulations	

27.2	Do the organisation's statutes and/or internal regulations establish that a person who is employed by a company that has a commercial relationship with the organisation (e.g. sponsors) cannot serve as a board member?	Basic	Do the organisation's statutes and/or internal regulations clearly and unambiguously establish that a person who is employed by a company that has a commercial relationship with the organisation (e.g. sponsors) cannot serve as a board member?	Organisation's statutes; internal regulations	
27.3	Do individuals employed by a company that has a commercial relationship with the organisation (e.g. sponsors) not serve as members of the board in practice?	Basic	Are there <i>de facto</i> no individuals on the board that are employed by a company that has a commercial relationship with the organisation (e.g. sponsors)? <i>Note: a 1 score indicates that no such employee serves as member of the board.</i>	Organisation's website; web search; interview with organisation representative	
27.4	Do the organisation's statutes and/or internal regulations establish that a person who is a member of any judicial body within the organisation cannot serve as a board member?	Basic	Do the organisation's statutes clearly and unambiguously establish that members of any judicial body within the organisation cannot serve as board members?	Organisation's statutes; internal regulations	
27.5	Do members of a judicial body within the organisation not serve as a board member in practice?	Basic	Are there no judicial body members who serve as members of the board? <i>Note: a 1 score indicates that judicial body members do not serve as members of the board.</i>	Organisation's website; web search; interview with organisation representative	
27.6	Does the board exclude acting national politicians?	Basic	Are there no acting national politicians who serve as members of the board? <i>Note: a 1 score indicates that acting national politicians do not serve as members of the board.</i>	Organisation's website; web search; interview with organisation representative	
27.7	Do the organisation's statutes and/or internal regulations establish that integrity checks are implemented for all candidates standing for election?	Basic	Do the organisation's statutes and/or internal regulations establish procedures that ensure that all candidates standing for election by the general assembly are subject to a check of their personal integrity?	Organisation's statutes; internal regulations	

**[Principle 28]**

The organisation applies a clear governance structure according to the principle of separation of powers.

**Relevance**

A clear separation of powers prevents a single person or entity from monopolising power.

Indicator		Category	Detailed evaluation criteria	Data source	Score
28.1	Do the organisation's statutes and/ or internal regulations define key positions on the board, including those of president and at least one other position (e.g. secretary or treasurer)?	Basic	Do the organisation's statutes and/ or internal regulations define specific board member functions and related tasks, including those of president and at least one other position (e.g. secretary or treasurer)?	Organisation's statutes and internal regulations	
28.2	Do the organisation's statutes and/ or internal regulations establish that the board determines the organisation's general policy (e.g. mission, vision, and strategy)?	Basic	Do the statutes and/or internal regulations establish the board's exclusive responsibilities? Do these responsibilities include carrying out the organisation's general policy (they do not have to mention vision, mission and strategy explicitly)?	Organisation's statutes and internal regulations	
28.3	Do the organisation's statutes and/ or internal regulations establish that the board has final authority over the organisation's budget and finances?	Basic	Do the statutes and/or internal regulations establish the board's exclusive tasks/ responsibilities? Do these tasks include having final authority over the organisation's budget and finances? <i>Note: it is for the board, and not for management or staff, to determine the organisation's budget and finances. However, the adopted budget may be subject to the general assembly's approval.</i>	Organisation's statutes and internal regulations	
28.4	Do the organisation's statutes and/ or internal regulations establish that management is tasked with defining the organisation's operational policy?	Basic	Do the organisation's statutes and/or internal regulations establish management's exclusive tasks? Do these tasks refer to issues of operational policy? <i>Note: management's functions must not include establishing the organisation's general policy or having authority over the organisation's budget and finances. Management cannot have voting rights on the board.</i>	Organisation's statutes and internal regulations	



<b>28.5</b>	Do the organisation's statutes and/ or internal regulations define the purpose of each of the standing committees?	Basic	Do the organisation's statutes and/ or internal regulations explicitly and unambiguously define a purpose/ function for each of the standing committees?	Organisation's statutes and internal regulations; organisation's website (to check the number of standing committees)	
<b>28.6</b>	Do the organisation's statutes and/ or internal regulations define the delegated tasks of each of the standing committees?	Basic	Do the organisation's statutes and/ or internal regulations explicitly and unambiguously define the tasks delegated to each of the standing committees?	Organisation's statutes and internal regulations; organisation's website (to check the number of standing committees)	
<b>28.7</b>	Do the organisation's statutes and/ or internal regulations define the composition of each of the standing committees?	Basic	Do the organisation's statutes and/ or internal regulations explicitly and unambiguously define the composition (number of members and the procedures for appointing the members) of each of the standing committees?	Organisation's statutes and internal regulations; organisation's website (to check the number of standing committees)	
<b>28.8</b>	Do the organisation's statutes and/ or internal regulations define the reporting requirements for each of the standing committees?	Basic	Do the organisation's statutes and/ or internal regulations explicitly and unambiguously define the reporting requirements for each of the standing committees?	Organisation's statutes and internal regulations; organisation's website (to check the number of standing committees)	

**[Principle 29]**

The board supervises management appropriately.

**Relevance**

A clear separation of powers and checks and balances ensures that an organisation’s internal bodies stimulate, control, and inspire each other.

Indicator		Category	Detailed evaluation criteria	Data source	Score
29.1	Do the statutes and/or internal regulations outline the responsibilities and competences delegated to management?	Basic	Do the organisation’s statutes and/or internal regulations outline the responsibilities or delimit the competences of management? <i>Note: the internal regulations do not need to list all responsibilities.</i>	Organisation’s statutes and internal regulations	
29.2	Do the statutes and/or internal regulations establish that the board determines the remuneration of management?	Basic	<i>Note: If (a) member(s) of management act(s) as (a) board member(s), the statutes and/or internal regulations must determine that management cannot be a part of the discussion and voting on remuneration.</i>	Organisation’s statutes and internal regulations	
29.3	Do the statutes and/or internal regulations establish that management regularly and periodically reports (at least four times a year) to the board about the organisation’s operational management and financial situation?	Basic	Do the statutes and/or internal regulations clearly and unambiguously establish that management regularly and periodically reports (at least four times a year) to the board about the organisation’s operational management and financial situation?	Organisation’s statutes and internal regulations	
29.4	Do the statutes and/or internal regulations establish that the board organises an annual appraisal with management to discuss individual performance?	Basic	<i>Note: the annual appraisal may be conducted by a member of the board (and not the entire board).</i>	Organisation’s statutes and internal regulations	
29.5	Do the statutes and/or internal regulations establish that a report is drawn up of this meeting which is approved by the board?	Basic	Do the statutes and/or internal regulations establish that the board organises an annual appraisal with management to discuss individual performance? Do the statutes and/or internal regulations establish that a report is drawn up of this meeting? Do the statutes and/or internal regulations establish that this report is approved by the board?	Organisation’s statutes and internal regulations	

29.6	Did the board conduct an appraisal with management during the preceding 12 months?	Basic	Did the board conduct an appraisal with management during the preceding 12 months and is there a report of this appraisal?	Interview with management and board member (reviewing report may not be possible as it may contain personal/ sensitive information)	
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**[Principle 30]**

The organisation has an internal financial or audit committee.

### Relevance

The financial or audit committee constitutes a crucial component of internal accountability. The committee monitors whether funds have been allocated efficiently and as budgeted and whether financial control and accountability procedures have been complied with. It also checks whether the organisation's (long-term) financial stability is guaranteed.

Indicator	Category	Detailed evaluation criteria	Data source	Score
30.1	Intermediate	<p>Do the organisation's statutes and/or internal regulations establish unambiguously that the tasks of one of the standing committees relate to overseeing the organisation's finances and/or internal audit?</p> <p>Do the organisation's statutes establish that the majority of the members of the financial or audit committee do not serve as board members?</p> <p>Do the organisation's statutes and/or internal regulations establish unambiguously that the members of the financial or audit committee are appointed by the general assembly?</p> <p><i>Note: the members may be nominated (but not appointed) by another body. If one independent person (i.e. not a board member) with a financial background is appointed by the general assembly to super-</i></p>	Organisation's statutes	

			<i>vises the organisation's financial policy and information, s/he only qualifies as 'audit committee' within the meaning of the indicator when this person does not fulfil the role of treasurer and the organisation has also appointed an external auditor (see Principle 36).</i>		
<b>30.2</b>	Do the organisation's statutes and/or internal regulations determine the tasks, operation and composition of the financial or audit committee?	Intermediate	Do the organisation's statutes and/or internal regulations establish unambiguously that the tasks of one of the standing committees relate to overseeing the organisation's finances and/or internal audit?  Do the organisation's statutes and/or internal regulations unambiguously determine the tasks, operation and composition of that committee?	Organisation's statutes and internal regulations	
<b>30.3</b>	Do the organisation's statutes and/or internal regulations establish that the financial or audit committee's tasks include the assessment of systems of internal control as well as recommendations regarding the same?	Intermediate	Do the organisation's statutes and/or internal regulations establish unambiguously that the tasks of one of the standing committees include the assessment of the systems of internal control and recommendations /review regarding the same?	Organisation's statutes and internal regulations	
<b>30.4</b>	Do the organisation's statutes and/or internal regulations establish that the financial or audit committee's tasks include the assessment of risk management and recommendations regarding the same?	Advanced	Do the organisation's statutes and/or internal regulations establish unambiguously that the tasks of one of the standing committees include reviewing or assessing the organisation's management of operational and/or financial risks (excluding corruption) and that they include making recommendations based on that assessment?	Organisation's statutes and internal regulations	
<b>30.5</b>	Do the organisation's statutes and/or internal regulations establish that the financial or audit committee's tasks include the assessment of governance and recommendations regarding the same?	Advanced	Do the organisation's statutes and/or internal regulations establish unambiguously that the tasks of one of the standing committees include the assessment of governance ele-	Organisation's statutes and internal regulations	

			ments and recommendations/review regarding the same?		
<b>30.6</b>	Do the organisation's statutes and/or internal regulations establish that the financial or audit committee's tasks include overseeing the internal audit process?	Advanced	Check if the organisation's statutes and/or internal regulations establish unambiguously that one of the standing committees has the task of overseeing/supervising the organisation's internal audit process.	Organisation's statutes and internal regulations	

**[Principle 31]**

The organisation regularly conducts a corruption risks assessment.

**Relevance**

A corruption risks assessment constitutes the basis for implementing effective anti-corruption controls.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>31.1</b>	Did the organisation conduct a corruption risk assessment in the previous 48 months that identified and assessed risks?	Basic	Does the organisation have a report on the corruption risk assessment that was conducted in the previous 48 months?  Does this report identify and assess risks?	Corruption risk assessment	
<b>31.2</b>	Did the organisation conduct a corruption risk assessment in the previous 48 months that evaluated the suitability and effectiveness of the existing controls to mitigate these risks?	Basic	Does the organisation have a report on the corruption risk assessment that was conducted in the previous 48 months?  Does this report evaluate the suitability and effectiveness of the existing controls to mitigate these risks?		
<b>31.3</b>	Do the organisation's statutes and/or internal regulations establish that a corruption risk assessment must be carried out periodically and every time a significant change or event occurs (e.g. changes to the structure or activities of the organisation or revelation of corruption)?	Basic		Organisation's statutes and internal regulations	

**[Principle 32]**

The organisation implements a financial control system.

**Relevance**

A financial control system prevents fraud, embezzlement and the misallocation of funds.

Indicator		Category	Detailed evaluation criteria	Data source	Score
32.1	Do the organisation's statutes and/or internal regulations establish a system in which agreements or payments on behalf of the organisation must be signed by at least two individuals?	Basic		Organisation's statutes and internal regulations	
32.2	Do the organisation's statutes and/or internal regulations establish a financial threshold for contracts with external parties which determines whether management or the board must take the decision?	Basic		Organisation's statutes and internal regulations	
32.3	Do the organisation's statutes and/or internal regulations establish a separation of duties, so that the same person cannot both initiate and approve payments?	Intermediate		Organisation's statutes and internal regulations	
32.4	Do the organisation's statutes and/or internal regulations establish that the same person cannot receive, record and deposit funds?	Intermediate		Organisation's statutes and internal regulations	
32.5	Do the organisation's statutes and/or internal regulations restrict the use of cash?	Basic		Organisation's statutes and internal regulations	
32.6	Do the organisation's statutes and/or internal regulations establish a requirement for accurate and clear payment categorizations and descriptions in the financial accounts?	Basic		Organisation's statutes and internal regulations	
32.7	Do the organisation's statutes and/or internal regulations establish a system in which (significant) financial transactions are periodically reviewed?	Intermediate		Organisation's statutes and internal regulations	

**[Principle 33]**

The organisation employs open tenders for major commercial and procurement contracts.

**Relevance**

Open tenders decrease bribery risks.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>33.1</b>	Do the organisation's statutes and/or internal regulations establish that a competitive tender process between at least three competitors must take place for major commercial and procurement contracts?	Basic		Statutes; internal regulations	
<b>33.2</b>	Do the organisation's statutes and/or internal regulations establish that at least two individuals evaluate tenders and formally approve the award of the contract?	Basic	<p>Do the organisation's statutes and/or internal regulations establish that a competitive tender process between at least three competitors must take place for major commercial and procurement contracts?</p> <p>Do the organisation's statutes and/or internal regulations establish that at least two individuals evaluate tenders and formally approve the award of the contract?</p>	Statutes; internal regulations	
<b>33.3</b>	Do the organisation's statutes and/or internal regulations establish that those who approve the placement of a contract are different from those who request the placement of the contract?	Intermediate	<p>Do the organisation's statutes and/or internal regulations establish that a competitive tender process between at least three competitors must take place for major commercial and procurement contracts?</p> <p>Do the organisation's statutes and/or internal regulations establish that approving the placement of a contract and requesting it are done by distinct individuals?</p>	Statutes; internal regulations	

**[Principle 34]**

Decisions on the allocation of major events are made through a democratic, open, transparent and objectively reproducible process.

**Relevance**

The high risks associated with the allocation of hosting privileges for major events can be decreased by making the bidding process democratic, objective, open, and transparent.

Indicator	Category	Detailed evaluation criteria	Data source	Score
<b>34.1</b> Do the organisation's statutes and/or internal regulations establish that the criteria for bids for major events are communicated to its members in good time (min. 1 year before the event is awarded)?	Basic		Organisation's statutes and/or internal regulations	
<b>34.2</b> Do the organisation's statutes and/or internal regulations establish that bidding dossiers are reviewed, evaluated and scores are assigned on the basis of pre-established and objective criteria?	Basic		Organisation's statutes and/or internal regulations; bidding process document	
<b>34.3</b> Do the organisation's statutes and/or internal regulations establish that external procurement experts assist with the evaluation specified in 34.2?	Advanced	Do the organisation's statutes and/or internal regulations establish that bidding dossiers are reviewed, evaluated and scores are assigned on the basis of pre-established and objective criteria?  Do the organisation's statutes and/or internal regulations establish that external procurement experts assist with this evaluation?	Organisation's statutes and/or internal regulations; bidding process document	
<b>34.4</b> Do the organisation's statutes and/or internal regulations establish that only bids achieving a minimum score are shortlisted?	Basic	Do the organisation's statutes and/or internal regulations establish that bidding dossiers are reviewed, evaluated and scores are assigned on the basis of pre-established and objective criteria?  Do the organisation's statutes and/or internal	Organisation's statutes and/or internal regulations; bidding process document	



			regulations establish that only bids achieving a minimum score are shortlisted?		
<b>34.5</b>	Do the organisation's statutes and/or internal regulations establish that the general assembly awards the hosting privileges of major events?	Basic		Organisation's statutes and/or internal regulations; bidding process document	

**[Principle 35]**

The board annually evaluates its own composition and performance.

## Relevance

A self-assessment allows the board to gain insight into its own functioning by openly discussing areas for improvement.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>35.1</b>	Does the organisation have a document reporting on the evaluation of its own composition and performance? This evaluation is to have taken place in the preceding twelve months.	Basic	Does the organisation have a document reporting on the evaluation of its own composition and performance? This evaluation is to have taken place in the preceding twelve months.  <i>Note: there are no formal requirements for the evaluation. It can be conducted either by the board or by an external consultant. The subject of the evaluation can either be the board's composition (e.g. expertise gaps) or performance (e.g. board in its entirety or its individual members).</i>	Performance evaluation document; (anonymous) board minutes.	
<b>35.2</b>	Did external experts assist the board with conducting this evaluation?	Advanced	Does the organisation have a report on the evaluation of its own composition or performance which has taken place in the preceding twelve months?  Did individuals not directly affiliated to the organisation and with relevant expertise assist with the evaluation?	Performance evaluation document; (anonymous) board minutes; interview with organisation representative	
<b>35.3</b>	Do the organisation's internal regulations (or statutes) establish that the board has to conduct an annual self-evaluation?	Basic	Do the organisation's internal regulations (or statutes) establish unambiguously	Organisation's statutes and internal regulations	

			that the board has to conduct an annual self-evaluation?		
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**[Principle 36]**

The organisation is externally audited by an independent auditor.

**Relevance**

The appointment of an external auditor allows independent verification of the accuracy and completeness of financial statements. Modern auditing procedures often extend well beyond financial statement audit and evaluate internal controls, risks, governance, and/or performance.

Indicator		Category	Detailed evaluation criteria	Data source	Score
36.1	Have the organisation's financial statements and accounting records been reviewed by an independent and officially approved auditor?	Basic	Have the organisation's financial statements and accounting records been reviewed by a person or organisation that has no formal affiliation with the organisation and that is approved by an official party (i.e. the government)?	Organisation's statutes; financial statements and accounting records, interview with organisation representative	
36.2	Have the organisation's risk management procedures and risk assessment methodologies (application and effectiveness) been reviewed at least once by an independent and an officially approved auditor in the preceding five years?	Intermediate		Organisation's statutes; interview with organisation representative	
36.3	Has the organisation's governance (compliance programme, governance structure, internal processes, etc.) been reviewed by an independent and officially approved auditor in the preceding five years?	Intermediate		Organisation's statutes; interview with organisation representative	

**[Principle 37]**

The organisation has or recognises a code of conduct applicable to the members of the board, management and personnel.

**Relevance**

Codes of conduct are self-imposed, internal norms that define and thus highlight unacceptable behaviour.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>37.1</b>	Does the organisation have a code of conduct that applies to its board members?	Basic	Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles? Do these principles apply to its board members?	Organisation's statutes and internal regulations; website; code of conduct	
<b>37.2</b>	Does the organisation have a code of conduct that applies to its management?	Basic	Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles? Do these principles apply to its management?	Organisation's statutes and internal regulations; website; code of conduct	
<b>37.3</b>	Does the organisation have a code of conduct that applies to its staff?	Basic	Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles? Do these principles apply to its staff?	Organisation's statutes and internal regulations; website; code of conduct	
<b>37.4</b>	Does the code of conduct that applies to the organisation's board members contain a general obligation to act with integrity?	Basic	Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles? Do these principles apply to its board members?  Do these principles contain a general requirement that obliges board members to refrain from unethical behaviour (e.g. "shall act with integrity"; "shall not engage in corrupt practices"; "shall	Organisation's statutes and internal regulations; website; code of conduct	

			adhere to principles of ethical conduct”, etc.)?		
<b>37.5</b>	Does the code of conduct that applies to board members contain rules on expenses?	Basic	Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles? Do these principles apply to its board members? Do these principles contain specific rules on expenses?	Organisation’s statutes and internal regulations; website; code of conduct	
<b>37.6</b>	Does the code of conduct that applies to board members contain rules on accepting gifts?	Basic	Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles? Do these principles apply to its board members? Do these principles contain specific rules on accepting gifts?	Organisation’s statutes and internal regulations; website; code of conduct	
<b>37.7</b>	Does the code of conduct that applies to board members contain rules on conflicts of interest?	Basic	Does the code of conduct that applies to board members contain provisions on conflicts of interest?	Organisation’s statutes and internal regulations; website; code of conduct	
<b>37.8</b>	Does the code of conduct that applies to board members contain an obligation to notify breaches of the code of ethics to appropriate internal individuals or entities?	Basic	Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles? Do these principles apply to its board members? Does the code of conduct that applies to board members contain an obligation to notify breaches of the code of ethics to appropriate internal individuals or entities?		

37.9	Has the code of conduct been signed by all the members of the board?	Basic	<p>Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles?</p> <p>Do these principles apply to its board members?</p> <p>Has the code of conduct been signed by all the members of the board?</p>	<p>Organisation's statutes and internal regulations; website; code of conduct; interview with organisation representative; additional evidence provided by organisation representative</p>	
37.10	Did the organisation take steps during the previous twelve months to ensure that all the relevant stakeholders are notified of the contents of the code and that they understand it?	Basic	<p>Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles?</p> <p>Do these principles apply to its board members?</p> <p>Did the organisation take steps during the previous twelve months to ensure that all the relevant stakeholders are notified of the contents of the code and that they understand it?</p> <p><i>Note: steps may include distributing the code via website announcements, newsletters, publication in a general activity report, or specific actions aimed at education / training (seminars, electronic resources etc.).</i></p>	<p>Organisation's statutes and internal regulations; website; code of conduct; interview with organisation representative; additional evidence provided by organisation representative</p>	
37.11	Has the general assembly been informed about the code of conduct?	Basic	<p>Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles?</p> <p>Do these principles apply to its board members?</p> <p>Has the general assembly been informed about the code of conduct?</p>	<p>Organisation's statutes and internal regulations; website; code of conduct; general assembly minutes; interview with organisation representative; additional evidence provided by organisation representative</p>	

**[Principle 38]**

The organisation establishes clear conflict of interest procedures that apply to the members of the board.

**Relevance**

Clear conflict of interest procedures enhance trust in decisions by making sure that they are free from improper influence.

Indicator		Category	Detailed evaluation criteria	Data source	Score
38.1	Do the organisation's statutes and/or internal regulations establish procedures regarding conflicts of interest?	Basic	Do the organisation's statutes and/or internal regulations establish procedures that handle board members' conflicts of interest?	Organisation's statutes and internal regulations; code of conduct	
38.2	Do these procedures ensure that (perceived) conflicts of interest are reported before or at the start of every board meeting, listed in the minutes, and recorded in a registry?	Basic	Do the organisation's statutes and/or internal regulations establish procedures that handle board members' conflicts of interest? Do these procedures ensure that (perceived) conflicts of interest are notified before or at the start of every board meeting, listed in the minutes of the board meetings, and recorded in a registry?	Organisation's statutes and internal regulations; code of conduct	
38.3	Do these procedures ensure that every commercial transaction with a third party, with which a board member has an (in)direct familial or commercial relationship, must be submitted to the general assembly or to a body mandated by the general assembly?	Basic	Do the organisation's statutes and/or internal regulations establish procedures that handle board members' conflicts of interest? Do these procedures ensure that every commercial transaction with a third party, with which a board member has an (in)direct familial or commercial relationship, must be submitted for approval to the general assembly or to a body mandated by the general assembly?	Organisation's statutes and internal regulations; code of conduct	
38.4	Do these procedures guarantee that the members of the board may not participate in the vote about certain decisions for which a conflict of interest exists?	Basic	Do the organisation's statutes and/or internal regulations establish procedures that handle board members' conflicts of interest? Do these procedures ensure that (perceived) conflicts of interest are notified before or at the start of every board meeting, listed in the minutes of the board meetings, and recorded in a registry?	Organisation's statutes and internal regulations; code of conduct	

			Do these procedures forbid board members to vote and/or to participate in discussions in clearly defined situations in which a conflict of interest exists? <i>Note: it is not necessary that the procedures forbid a board member to vote and/or participate in discussions every time a conflict of interest exists.</i>		
38.5	Do these procedures include specific conflict of interest rules for funding decisions?	Basic	Do the organisation's statutes and/or internal regulations establish procedures that handle board members' conflicts of interest?  Do these procedures include specific conflict of interest rules for funding decisions?		

**[Principle 39]**

The organisation takes steps to ensure that applicable rules of conduct are adequately checked and that transgressors face consequences.

**Relevance**

Ensuring that rules of conduct are checked and transgressors face consequences decreases the likelihood of inappropriate behaviour.

Indicator	Category	Detailed evaluation criteria	Data source	Score
39.1	Basic	Does the organisation have a code of conduct or does it recognise/ adopt an existing set of principles? Do these principles apply to its board members, management and staff? Do the organisation's statutes and/or internal regulations establish that a person and/ or entity is tasked with investigating breaches of applicable rules of conduct? <i>Note: the organisation is not obliged to have its own separate ethics commission. For instance, a third party can be engaged, a person can be employed for the specific</i>	Organisation's statutes; internal regulations	

			<i>function, or another committee (e.g. audit committee) can exercise the function.</i>		
<b>39.2</b>	Do the organisation's statutes and/or internal regulations establish that the person or entity tasked with investigating breaches of applicable rules of conduct is independent?	Basic	Does the organisation have a code of conduct or does it recognise/ adopt an existing set of principles? Do these principles apply to its board members, management and staff? Do the organisation's statutes and/or internal regulations establish that a person and/ or entity is tasked with investigating breaches of applicable rules of conduct? Is the person/ entity tasked with investigating breaches of applicable rules of conduct specifically appointed for this process or are they an external entity (i.e. not part of the organisation) that has been delegated investigatory power?	Organisation's statutes; internal regulations	
<b>39.3</b>	Do the organisation's statutes and/or internal regulations establish that the person or entity tasked with investigating breaches of applicable rules of conduct has the authority to investigate suspected breaches either on their own initiative or following a complaint?	Basic	Does the organisation have a code of conduct or does it recognise/ adopt an existing set of principles? Do these principles apply to its board members, management and staff? Do the organisation's statutes and/or internal regulations establish that a person and/ or entity is tasked with investigating breaches of applicable rules of conduct? Does this person/entity have the authority to investigate suspected breaches either on their own initiative or following a complaint?	Organisation's statutes; internal regulations	
<b>39.4</b>	Do the organisation's statutes and/or internal regulations establish that the person or entity tasked with investigating breaches of applicable rules of conduct has the authority to impose pre-set sanctions (e.g. disciplinary reprimands) to address minor breaches?	Basic	Does the organisation have a code of conduct or does it recognise/ adopt an existing set of principles? Do these principles apply to its board members, management and staff? Do the organisation's statutes and/or internal regulations establish that a person and/ or entity is tasked with investigating breaches of applicable rules of conduct?	Organisation's statutes; internal regulations	



			<p>Does this person/entity have the authority to investigate suspected breaches either on their own initiative or following a complaint?</p> <p>Do the organisation's statutes and/or internal regulations establish that the person or entity tasked with investigating breaches of applicable rules of conduct has the authority to impose pre-set sanctions (e.g. disciplinary reprimands) to address minor breaches?</p>		
<b>39.5</b>	<p>Do the organisation's statutes and/or internal regulations establish that the person or entity tasked with investigating breaches of applicable rules of conduct reports the outcome of the investigation internally to a person or entity with the authority to impose sanctions unless the same person is the person under investigation?</p>	Basic	<p>Does the organisation have a code of conduct or does it recognise/ adopt an existing set of principles?</p> <p>Do these principles apply to its board members, management and staff?</p> <p>Do the organisation's statutes and/or internal regulations establish that a person and/ or entity is tasked with investigating breaches of applicable rules of conduct?</p> <p>Does this person/entity have the authority to investigate suspected breaches either on their own initiative or following a complaint?</p> <p>Do the organisation's statutes and/or internal regulations establish that the person or entity tasked with investigating breaches of applicable rules of conduct reports the outcome of the investigation internally to a person or entity with the authority to impose sanctions unless the same person is the person under investigation?</p>	Organisation's statutes; internal regulations	
<b>39.6</b>	<p>Do the organisation's statutes and/or internal regulations establish that the person or entity tasked with investigating breaches of applicable rules of conduct is appointed by the general assembly?</p>	Basic	<p>Does the organisation have a code of conduct or does it recognise/ adopt an existing set of principles?</p> <p>Do these principles apply to its board members, management and staff?</p> <p>Do the organisation's statutes and/or internal regulations establish that a person and/ or entity is tasked with</p>	Organisation's statutes; internal regulations	

			<p>investigating breaches of applicable rules of conduct?</p> <p>Do the organisation's statutes and/or internal regulations establish that the person or entity tasked with investigating breaches of applicable rules of conduct is appointed for a specific term by the general assembly and can only be dismissed by the general assembly during this term?</p>		
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**[Principle 40]**

The organisation establishes procedures for the processing of complaints about violations of applicable rules of conduct.

**Relevance**

Complaint procedures allow stakeholders to express their grievances and to call to account those that violate applicable rules.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>40.1</b>	Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of applicable rules of conduct?	Basic	<p>Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of the rules of conduct that have been established/ adopted by the organisation?</p> <p><i>Note: this principle concerns (and therefore requires the adoption/ establishment of) rules of conduct applicable to staff, management and board members. These criteria are automatically fulfilled when the criteria in 40.2 or 40.3 are fulfilled.</i></p>	Organisation's statutes and internal regulations; code of conduct	
<b>40.2</b>	Do these procedures contain clearly defined rules for submitting complaints relating to violations of applicable rules of conduct?	Basic	Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of the rules of conduct that have been established/ adopted by the organisation?	Organisation's statutes and internal regulations; code of conduct	

			Do the procedures contain clearly defined rules establishing how and where complaints must be submitted?		
<b>40.3</b>	Do the procedures contain clearly defined rules for investigating complaints relating to violations of applicable rules of conduct?	Basic	Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of the rules of conduct that have been established/ adopted by the organisation?  Do the procedures contain clearly defined rules establishing how and by whom complaints must be investigated?	Organisation's statutes and internal regulations; code of conduct	
<b>40.4</b>	Do the procedures contain clearly defined rules for notifying the person who submitted the complaint about the outcome of the investigation?	Basic	Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of the rules of conduct that have been established/ adopted by the organisation?  Do the procedures contain clearly defined rules establishing how and when the person who submitted the complaint must be notified of the outcome of the investigation?	Organisation's statutes and internal regulations; code of conduct	

**[Principle 41]**

The organisation establishes procedures that ensure whistleblower protection.

**Relevance**

Whistleblower protection allows employees and stakeholders to report wrongdoing without fearing reprisal.

Indicator	Category	Detailed evaluation criteria	Data source	Score
<b>41.1</b>	Basic	Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of the rules of conduct that have been	Organisation's statutes and internal regulations	

			established/ adopted by the organisation? Do the procedures establish that no person who, in good faith, reports a concern shall be subject to retaliation or negative consequences?		
<b>41.2</b>	Do the procedures establish that reports and related investigations must be kept confidential to the extent possible?	Basic	Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of the rules of conduct that have been established/ adopted by the organisation? Do the procedures establish that reports and related investigations must be kept confidential to the extent possible?	Organisation's statutes and internal regulations	
<b>41.3</b>	Do the procedures enable individuals to file an anonymous complaint?	Basic	Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of the rules of conduct that have been established/ adopted by the organisation? Do the procedures enable individuals to file an anonymous complaint?	Organisation's statutes and internal regulations	

#### [Principle 42]

The organisation's decisions can be contested through internal or external mechanisms.

#### Relevance

Procedures for contesting the organisation's decisions allow stakeholders to call decision-makers to account.

Indicator	Category	Detailed evaluation criteria	Data source	Score
<b>42.1</b>	Basic	Do the organisation's statutes and/ or internal regulations establish a formal procedure for appealing against a sporting sanction? Do the organisation's statutes and/ or internal regulations ensure that none of the listed parties are excluded from appealing against a sporting decision?	Organisation's statutes and internal regulations	

			<i>Note: the dispute resolution body where the decision is appealed may be either internal or external.</i>		
<b>42.2</b>	Do the relevant procedures establish that the parties concerned are entitled to a hearing if they so desire?	Basic	Do the organisation's statutes and/ or internal regulations establish a formal procedure for appealing against a sporting sanction? Do the relevant procedures establish that the parties concerned are entitled to a hearing if they so desire? <i>Note: these criteria also apply to external dispute resolution bodies.</i>	Organisation's statutes and internal regulations	
<b>42.3</b>	Do the applicable procedures establish that the members of the relevant dispute resolution body may not belong to the board or to any of the standing committees of the organisation?	Advanced	Do the organisation's statutes and/ or internal regulations establish a formal procedure for appealing against a sporting sanction? Do the applicable procedures establish that the members of the relevant dispute resolution body may not belong to the board or to any of the standing committees of the organisation? <i>Note: these criteria also apply to external dispute resolution bodies.</i>	Organisation's statutes and internal regulations; rules applicable to the external dispute resolution body	
<b>42.4</b>	Do the relevant procedures establish clearly defined rules for appealing the decision of the dispute resolution body?	Basic	Do the organisation's statutes and/ or internal regulations establish a formal procedure for appealing against a sporting sanction? Do the relevant procedures establish clearly defined rules for appealing the decision of the dispute resolution body? <i>Note: these criteria also apply to external dispute resolution bodies.</i>	Organisation's statutes and internal regulations; rules applicable to the external dispute resolution body	
<b>42.5</b>	Does the organisation provide means for legal aid or pro bono counsel?	Intermediate	Do the organisation's statutes and/ or internal regulations establish a formal procedure for appealing against a sporting sanction? Does the organisation provide means for legal aid or pro bono counsel?	Organisation's statutes and internal regulations; interview with organisation representative	
<b>42.6</b>	Do the organisation's statutes and/ or internal regulations establish procedures that allow staff or board members	Basic	Do the organisation's statutes and/ or internal regulations establish a formal procedure for appealing against a disciplinary sanction?	Organisation's statutes and internal regulations	

	to appeal against a disciplinary sanction?		Do the organisation's statutes and/ or internal regulations ensure that none of the listed parties are excluded from appealing against a sporting decision?  <i>Note: the dispute resolution body where the decision is appealed may be either internal or external. If the organisation recognizes an external dispute resolution body, the regulations must acknowledge the individual's right to appeal to this body or guarantee that the individual is informed about his/her right to appeal to this body.</i>		
42.7	Do the relevant procedures establish that the parties concerned are entitled to a hearing if they so desire?	Basic	Do the organisation's statutes and/ or internal regulations establish a formal procedure for appealing against a disciplinary sanction?  Do the relevant procedures establish that the parties concerned are entitled to a hearing if they so desire?	Organisation's statutes and internal regulations	
42.8	Do the applicable procedures establish that the members of the relevant dispute resolution body may not belong to the board or to any of the standing committees of the organisation?	Basic	Do the organisation's statutes and/ or internal regulations establish a formal procedure for appealing against a disciplinary sanction?  Do the applicable procedures establish that the members of the relevant dispute resolution body may not belong to the board or to any of the standing committees of the organisation?  <i>Note: these criteria also apply to external dispute resolution bodies.</i>	Organisation's statutes and internal regulations; rules applicable to the external dispute resolution body	
42.9	Do the relevant procedures establish clearly defined rules for appealing the decision of the dispute resolution body?	Basic	Do the organisation's statutes and/ or internal regulations establish a formal procedure for appealing against a disciplinary sanction?  Do the relevant procedures establish clearly defined rules for appealing the decision of the dispute resolution body?	Organisation's statutes and internal regulations; rules applicable to the external dispute resolution body	

**[Principle 43]**

The organisation implements procedures that ensure that a proportion of the board members are independent.

**Relevance**

Independent board members increase objective scrutiny and provide an independent perspective, which decreases the likelihood of improper influence and increases external legitimacy and trust.

Indicator		Category	Detailed evaluation criteria	Data source	Score
43.1	The organisation's statutes and/ or internal regulations ensure that at least 25% of the board members are independent.	Basic	Do the organisation's statutes and/ or internal regulations ensure that at least 25% of the board members do not have or have not had a formal connection with a governing body within the sport?	Organisation's statutes and internal regulations	
43.2	Do the organisation's statutes and/or internal regulations establish that the tasks of the nomination committee include searching for suitable independent board members?	Intermediate	Do the organisation's statutes and/ or internal regulations ensure that at least 25% of the board members do not have or have not had a formal connection with a governing body within the sport?  Do the organisation's statutes and/or internal regulations establish a (permanent or ad hoc) committee tasked with searching for candidates for vacant board member mandates that are independent?  <i>Note: the general assembly should always retain the right to elect the proposed candidates or not, or to elect a person who has not been nominated by the committee unless the person is coopted.</i>	Organisation's statutes and internal regulations	

## Dimension 4: Societal responsibility

### [Principle 44]

The organisation offers consulting to its member federations in the areas of management or governance.

### Relevance

Sports federations are in a good position to enhance the capacity and expertise of their member federations in the areas of management or governance through their capacity to engage in cooperative processes with their members and other relevant organisations.

Indicator	Category	Detailed evaluation criteria	Data source	Score
<p><b>44.1</b> Does the organisation have a formal (written) policy that outlines objectives and specific actions to be taken regarding the consulting of its member federations in the areas of management or governance?</p>	Basic	<p>Does the organisation have a written policy that defines specific objectives and actions, specifically aimed at providing consulting to member federations in the areas of management or governance?</p> <p><i>Note: the specific objectives and actions may be part of a wider policy. Management or governance includes anything that has to do with the operational management of the organisation and the internal structure, procedures and bureaucratic practices of the organisation</i></p>	<p>Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative</p>	
<p><b>44.2</b> Does the organisation have a staff member who formally acts as a single point of contact and is responsible for all matters related to management and/ or governance consulting?</p>	Intermediate	<p>Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or latest (multi-annual) policy plan a single person who is responsible for all matters related to management and/ or governance consulting?</p> <p>Does the organisation provide the contact details of this person on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan?</p>	<p>Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative</p>	



<b>44.3</b>	Does the organisation provide some form of consulting to member federations in the areas of management or governance through knowledge transfer?	Basic	<i>Note: this criterion is automatically fulfilled when the criteria in 44.4, 44.5 or 44.6 are fulfilled.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>44.4</b>	Does the consulting include the organisation of workshops or training sessions?	Intermediate		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>44.5</b>	Does the consulting include tailored (one-on-one) advice?	Intermediate		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>44.6</b>	Does the consulting include the distribution of templates or good practices?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>44.7</b>	Did the organisation carry out an evaluation of the impact of its relevant actions?	Basic	Does the organisation have a written report that analyses the impact of the relevant actions? <i>Note: impact evaluations can either be published as part of the annual report or as a separate document.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

**[Principle 45]**

The organisation implements a policy aimed at mitigating the health risks of sporting activities.

**Relevance**

Sports federations are in a good position to stimulate the mitigation of the health risks of sporting activities through their capacity to raise awareness, organise events and campaigns, and to engage in cooperative actions with their members and other relevant organisations.

Indicator		Category	Detailed evaluation criteria	Data source	Score
45.1	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at mitigating the health risks of sporting activities?	Basic	Does the organisation have a written policy that defines specific objectives and actions specifically aimed at mitigating the health risks one faces when exercising the relevant sport? <i>Note: the specific objectives and actions may be part of a wider policy.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
45.2	Does the organisation have a staff member who formally acts as a single point of contact and is responsible for all matters regarding the health risks of sporting activities?	Intermediate	Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan a single person who is responsible for all matters regarding the health risks of sporting activities?  Does the organisation provide the contact details of this person on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report, or in its latest (multi-annual) policy plan? <i>Note: a medical commission does not (necessarily) qualify as a "staff member" within the meaning of this indicator.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

<b>45.3</b>	Does the organisation undertake actions aimed at informing athletes of the specific risks associated with the sport in question?	Basic	<i>Note: this criterion is automatically fulfilled when the criterion in 45.4 is fulfilled.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>45.4</b>	Does the organisation undertake actions aimed at preventing or mitigating the specific risks associated with the sport in question?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>45.5</b>	Did the organisation conduct an analysis of the specific risks associated with the sport in question?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>45.6</b>	Did the organisation carry out an evaluation of the impact of its relevant actions?	Basic	Does the organisation have a written report that analyses the impact of the relevant actions? <i>Note: impact evaluations can either be published as part of the annual report or as a separate document.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

**[Principle 46]**

The organisation implements a policy on combating sexual harassment in sport.

**Relevance**

Young athletes are often in a vulnerable position regarding sexual harassment. Sports federations are in a good position to combat sexual harassment in sport through their capacity to issue disciplinary rules, raise awareness, organise events and campaigns, and to engage in cooperative actions with their members and other relevant organisations.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>46.1</b>	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at combating sexual harassment in sport?	Basic	Does the organisation have a written policy that defines specific objectives and actions, specifically aimed at combating sexual harassment in sport? <i>Note: the specific objectives and actions may be part of a wider policy.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>46.2</b>	Does the organisation have a code of conduct which outlines rules aimed at promoting the physical integrity of athletes?	Basic	Does the organisation have or did it adopt a code of conduct which outlines rules aimed at promoting the physical integrity of athletes or do the organisation's statutes explicitly forbid sexual harassment in sport?	Organisation's statutes and internal regulations; code of conduct	
<b>46.3</b>	Does the organisation have a staff member who formally acts as a single point of contact and is responsible for all matters regarding combating sexual harassment in sport?	Basic	Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan a single person who is responsible for all matters regarding combating sexual harassment in sport?  Does the organisation provide the contact details of this person on a webpage (easily retrievable in accordance with	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

			indicator 1.1), in its latest annual report, or in its latest (multi-annual) policy plan?		
<b>46.4</b>	Does the organisation cooperate with other organisations (other than its member organisations or regional federations) with a view to combating sexual harassment in sport?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>46.5</b>	Does the organisation promote the exchange of best practices on combating sexual harassment among its member federations?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>46.6</b>	Does the organisation undertake other actions (not related to the exchange of best practices or cooperation with other organisations) aimed at raising awareness for sexual harassment issues?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>46.7</b>	Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about unwanted sexual behaviour?	Basic	Does the organisation have or did it adopt a code of conduct which outlines rules aimed at promoting the physical integrity of athletes or do the organisation's	Organisation's statutes and internal regulations	

			<p>statutes explicitly forbid sexual harassment in sport?</p> <p>Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of these rules?</p> <p><i>Note: if the organisation has a general complaints procedure which does not exclude these specific complaints (i.e. when complaints about unwanted sexual behaviour can indeed be filed under this procedure), this general procedure qualifies as a procedure within the meaning of this indicator.</i></p>		
<b>46.8</b>	Does the procedure contain rules for submitting complaints?	Basic	<p>Does the organisation have or did it adopt a code of conduct which outlines rules aimed at promoting the physical integrity of athletes or do the organisation's statutes explicitly forbid sexual harassment in sport?</p> <p>Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of these rules?</p> <p>Do the procedures contain clearly defined rules establishing how and where complaints must be submitted about violations of these rules?</p>	Organisation's statutes and internal regulations	

<b>46.9</b>	Does the procedure contain rules for investigating complaints?	Basic	<p>Does the organisation have or did it adopt a code of conduct which outlines rules aimed at promoting the physical integrity of athletes or do the organisation's statutes explicitly forbid sexual harassment in sport?</p> <p>Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of these rules?</p> <p>Do the procedures contain clearly defined rules establishing how and by whom complaints about violations of these rules must be investigated?</p>	Organisa- tion's statutes and internal regulations	
<b>46.10</b>	Does the procedure contain rules for notifying the person who submitted the complaint about the outcome of the investigation?	Basic	<p>Does the organisation have or did it adopt a code of conduct which outlines rules aimed at promoting the physical integrity of athletes or do the organisation's statutes explicitly forbid sexual harassment in sport?</p> <p>Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of these rules?</p> <p>Do the procedures contain clearly defined rules establishing how and when the person who submitted a complaint about violations of these rules must be notified of the outcome of the investigation?</p>	Organisa- tion's statutes and internal regulations	
<b>46.11</b>	Does the procedure contain rules for the establishment of an independent tribunal?	Basic	Does the organisation have or did it adopt a code of conduct which outlines rules aimed at promoting the physical integrity of athletes or do the organisation's	Organisa- tion's statutes and internal regulations	

			<p>statutes explicitly forbid sexual harassment in sport?</p> <p>Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of these rules?</p> <p>Do the procedures contain clearly defined rules establishing how and when a case about violations of these rules must be submitted to an independent or external tribunal?</p>		
<b>46.12</b>	Did the organisation carry out an evaluation of the impact of its relevant actions?	Basic	<p>Does the organisation have a written report that analyses the impact of the relevant actions?</p> <p><i>Note: impact evaluations can either be published as part of the annual report or as a separate document.</i></p>	<p>Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative</p>	



**[Principle 47]**

The organisation implements an anti-doping policy.

## Relevance

Sports federations constitute a crucial chain in the international anti-doping regime due to their capacity to issue disciplinary rules, raise awareness, and engage in cooperative actions with their members, anti-doping authorities, and other relevant organisations.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>47.1</b>	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at preventing, detecting and combating doping practices?	Basic	Does the organisation have a written policy that defines specific objectives and actions, specifically aimed at preventing, detecting and combating doping practices? <i>Note: the specific objectives and actions may be part of a wider policy.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>47.2</b>	Does the organisation implement disciplinary rules to combat doping in conformity with the World Anti-Doping Code?	Basic	Does the organisation implement the WADA Code Anti-Doping Rules either directly or by reference to its rules?	Organisation's statutes and internal regulations; disciplinary rules; additional evidence provided by organisation's representative	
<b>47.3</b>	Does the organisation have a staff member who formally acts as a single point of contact and is responsible for all matters regarding combating doping in sport?	Basic	Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan a single person who is responsible for all matters regarding combating doping in sport?  Does the organisation provide the contact details of this person on a webpage (easily retrievable in accordance	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

			with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan?		
<b>47.4</b>	Does the organisation undertake actions aimed at raising awareness for anti-doping rules?	Basic	<i>Note: this criterion is automatically fulfilled if the (stricter) criterion of indicator 47.5 is fulfilled.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>47.5</b>	Does the organisation undertake actions aimed at educating athletes on the dangers of doping?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>47.6</b>	Does the organisation implement formal procedures establishing its cooperation with the World Anti-Doping Agency?	Basic	Does the organisation have a written procedure establishing cooperation (i.e. exchange of information) with the World Anti-Doping Agency?	Organisation's statutes and internal regulations; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>47.7</b>	Did the organisation carry out an evaluation of the impact of its relevant actions?	Basic	Does the organisation have a written report that analyses the impact of the relevant actions? <i>Note: impact evaluations can either be published as part of</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual	

			<i>the annual report or as a separate document.</i>	report; additional evidence provided by organisation's representative	
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**[Principle 48]**

The organisation implements a policy on social inclusion through sport.

**Relevance**

Sports federations are in a good position to stimulate social inclusion through sport via their capacity to raise awareness, organise events and campaigns, and to engage in cooperative actions with their members and other relevant organisations.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>48.1</b>	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at improving the social, cultural, educational or psychological circumstances of marginalised and/or fractured communities through sports?	Basic	Does the organisation have a written policy that defines specific objectives and actions, specifically aimed at improving the social, cultural, educational or psychological circumstances of marginalised and/or fractured communities (e.g. economically disadvantaged groups, refugees, individuals with disabilities, elderly, etc.) through sport?	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>48.2</b>	Does the organisation have a staff member who formally acts as a single point of contact and is responsible for all matters regarding social inclusion through sports?	Intermediate	Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan a single person who is responsible for all matters regarding social inclusion through sport?  Does the organisation provide the contact details of this person on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report, or in its latest (multi-annual) policy plan?	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>48.3</b>	Does the organisation promote the exchange of best	Basic		Organisation's website;	

	practices on social inclusion among its member federations?			multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
48.4	Does the organisation cooperate with other organisations (other than its member organisations or regional federations) with a view to improving the social, cultural, educational or psychological circumstances of marginalised and/or fractured communities through sport?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
48.5	Does the organisation provide resources for disability disciplines?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
48.6	Does the organisation undertake other actions aimed at improving the social, cultural, educational or psychological circumstances of marginalised and/or fractured communities through sport?	Advanced		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
48.7	Did the organisation carry out an evaluation of the impact of its relevant actions?	Basic	Does the organisation have a written report that analyses the impact of the relevant actions? <i>Note: impact evaluations can either be published as part of the annual report or as a separate document.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report;	

				additional evidence provided by organisation's representative	
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**[Principle 49]**

The organisation implements a policy combating discrimination in sport.

**Relevance**

Sports federations are in a good position to combat discrimination in sport through their capacity to issue disciplinary rules, raise awareness, organise events and campaigns, and to engage in co-operative actions with their members and other relevant organisations.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>49.1</b>	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at combating discrimination in sport?	Basic	Does the organisation have a written policy that defines specific objectives and actions, specifically aimed at combating discrimination in sport? <i>Note: the specific objectives and actions may be part of a wider policy.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>49.2</b>	Does the organisation have a code of conduct which outlines rules aimed at combating discrimination in sport?	Basic	Does the organisation have or did it adopt a code of conduct which outlines rules aimed at combating discrimination in sport or do the organisation's statutes explicitly forbid discrimination in sport?	Organisation's statutes, internal regulations, code of conduct	
<b>49.3</b>	Does the organisation have a staff member who formally acts as a single point of contact and is responsible for all matters regarding discrimination in sport?	Basic	Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan a single person who is responsible for all matters regarding discrimination in sport?  Does the organisation provide the contact details of this person on a webpage (easily retrievable in accordance with indicator	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

			1.1), in its latest annual report, or in its latest (multi-annual) policy plan?		
49.4	Does the organisation cooperate with other organisations (other than its member organisations or regional federations) with a view to combating discrimination in sport?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
49.5	Does the organisation undertake actions aimed at raising awareness for discrimination issues?	Basic	Note that the aims pursued by the actions must be raising awareness for discrimination issues. Actions with another explicit aim that may have an indirect effect on raising awareness for discrimination issues do not qualify as actions within the meaning of the indicator.	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
49.6	Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about discrimination?	Basic	Does the organisation have or did it adopt a code of conduct which outlines rules aimed at combating discrimination in sport or do the organisation's statutes explicitly forbid discrimination in sport?  Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of these rules?  <i>Note: if the organisation has a general complaints procedure which does not exclude these specific complaints (i.e. when complaints about discrimination can indeed be filed under this procedure), this general procedure qualifies as a procedure within the meaning of this indicator.</i>	Organisation's statutes and internal regulations	
49.7	Does the procedure contain rules for submitting complaints?	Basic	Does the organisation have or did it adopt a code of conduct which outlines rules aimed at combating discrimination in sport?	Organisation's statutes and internal regulations	

			<p>Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of these rules?</p> <p>Do the procedures contain clearly defined rules establishing how and where complaints must be submitted about violations of these rules?</p>		
<b>49.8</b>	Does the procedure contain rules for investigating complaints?	Basic	<p>Does the organisation have or did it adopt a code of conduct which outlines rules aimed at combating discrimination in sports?</p> <p>Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of these rules?</p> <p>Do the procedures contain clearly defined rules establishing how and by whom complaints about violations of these rules must be investigated?</p>	Organisation's statutes and internal regulations	
<b>49.9</b>	Does the procedure contain clearly defined rules for notifying the person who submitted the complaint about the outcome of the investigation?	Basic	<p>Does the organisation have or did it adopt a code of conduct which outlines rules aimed at combating discrimination in sports?</p> <p>Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of these rules?</p> <p>Do the procedures contain clearly defined rules establishing how and when the person who submitted a complaint about violations of these rules must be notified of the outcome of the investigation?</p>	Organisation's statutes and internal regulations	
<b>49.10</b>	Does the procedure contain rules for the establishment of an independent tribunal?	Basic	<p>Does the organisation have or did it adopt a code of conduct which outlines rules aimed at combating discrimination in sports?</p> <p>Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints</p>	Organisation's statutes and internal regulations	

			about violations of these rules? Do the procedures contain clearly defined rules establishing how and when a case about violations of these rules must be submitted to an independent or external tribunal?		
<b>49.11</b>	Did the organisation carry out an evaluation of the impact of its relevant actions?	Basic	Does the organisation have a written report that analyses the impact of the relevant actions? <i>Note: impact evaluations can either be published as part of the annual report or as a separate document.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

#### [Principle 50]

The organisation implements a policy to promote gender equality in sport.

#### Relevance

Sports federations are in a good position to promote gender equality in sport through their capacity to raise awareness, organise events and campaigns, and to engage in cooperative actions with their members and other relevant organisations.

Indicator		Category	Detailed evaluation criteria	Data source	Score
<b>50.1</b>	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at promoting gender equality in sport?	Basic	Does the organisation have a written policy that defines specific objectives and actions, specifically aimed at promoting gender equality in sport? <i>Note: the specific objectives and actions may be part of a wider policy.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>50.2</b>	Does the organisation raise awareness via educational materials for all decision makers on the importance of having diverse representation on decision-making organs throughout the sport?	Intermediate		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence	



				provided by organisation's representative	
<b>50.3</b>	Does the organisation undertake actions aimed at supporting (future) leaders of both sexes through either formal training or informal arrangements (e.g. mentoring system)?	Intermediate		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>50.4</b>	Does the organisation have a staff member who formally acts as a single point of contact and is responsible for all matters regarding gender equality issues?	Intermediate	Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan a single person who is responsible for all matters regarding gender equality issues?  Does the organisation provide the contact details of this person on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report, or in its latest (multi-annual) policy plan?	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>50.5</b>	Does the organisation cooperate with other organisations (other than its member organisations or regional federations) with a view to promoting gender equality in sport?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>50.6</b>	Did the organisation carry out an evaluation of the impact of its relevant actions?	Basic	Does the organisation have a written report that analyses the impact of the relevant actions?  <i>Note: impact evaluations can either be published as part of the annual report or as a separate document.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence	

				provided by organisation's representative	
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**[Principle 51]**

The organisation implements a policy to combat match-fixing.

**Relevance**

Sports federations constitute a crucial chain in the international anti-match-fixing regime through their capacity to issue disciplinary rules, raise awareness, and to engage in cooperative actions with their members, gambling authorities, and other relevant organisations.

Indicator		Category	Detailed evaluation criteria	Data source	Score
51.1	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at combating match-fixing?	Basic	Does the organisation have a written policy that defines specific objectives and actions, specifically aimed at combating match-fixing? <i>Note: the specific objectives and actions may be part of a wider policy.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
51.2	Does the organisation have a staff member who formally acts as a single point of contact and is responsible for all matters regarding match-fixing issues?	Basic	Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or latest (multi-annual) policy plan a single person who is responsible for all matters regarding match-fixing issues?  Does the organisation provide the contact details of this person on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report, or in its latest (multi-annual) policy plan?	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
51.3	Does the organisation implement disciplinary rules to combat match-fixing?	Basic	<i>Note: this criterion is automatically fulfilled if the (stricter) criteria in 51.4, 51.5, 51.6, or 51.7 are fulfilled.</i>	Organisation's statutes and internal regulations; disciplinary rules	

51.4	Do these rules include provisions banning any member of the federation from placing a bet related to youth leagues and a competition or match that he/she may (in)directly influence?	Basic	<i>Note: 'members of the federation' include, amongst others, trainers, coaches, athletes and referees. They do not include staff members of the organisation unless they have (in)direct influence on competitions or matches.</i>	Organisation's statutes and internal regulations; disciplinary rules	
51.5	Do these rules include provisions banning any member of the federation from spreading confidential information which may reasonably be expected to be used in the framework of a bet?	Basic		Organisation's statutes and internal regulations; disciplinary rules	
51.6	Do these rules include provisions establishing the obligation for every member of the federation to report any requests to unduly influence competitions or matches organized by the federation?	Basic		Organisation's statutes and internal regulations; disciplinary rules	
51.7	Do these rules include provisions establishing the procedure for punishing any violations of the above rules?	Basic		Organisation's statutes and internal regulations; disciplinary rules	
51.8	Does the organisation undertake actions aimed at promoting the exchange of best practices on combating match-fixing?	Basic			
51.9	Does the organisation undertake actions to educate elite athletes, promising young athletes, coaches, referees, trainers and clubs about risks relating to match-fixing?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
51.10	Did the organisation carry out an evaluation of the impact of its relevant actions?	Basic	Does the organisation have a written report that analyses the impact of the relevant actions? <i>Note: impact evaluations can either be published as part of the annual report or as a separate document.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence	

				provided by organisation's representative	
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**[Principle 52]**

The organisation implements a policy for the promotion of environmental sustainability.

**Relevance**

The practice of sport and the organisation of sports events often leads to environmental degradation. Sports federations are in a good position to promote environmental sustainability in sport through their capacity to implement sustainability rules, raise awareness, organise sustainable events, and to engage in cooperative actions with their members and other relevant organisations.

Indicator		Category	Detailed evaluation criteria	Data source	Score
52.1	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at promoting environmental sustainability?	Basic	Does the organisation have a written policy that defines specific objectives and actions, specifically aimed at mitigating environmental degradation / harm through the practice of sport? <i>Note: the specific objectives and actions may be part of a wider policy.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
52.2	Does the organisation have a staff member who formally acts as a single point of contact and is responsible for all matters regarding promoting environmental sustainability?	Basic	Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan a single person who is responsible for all matters regarding promoting environmental sustainability?  Does the organisation provide the contact details of this person on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report, or in its latest (multi-annual) policy plan?	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

52.3	Does the organisation incorporate the use of an environmental management system (ISO 20121 or similar) in its hosting agreement for its major events?	Intermediate		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; host contract; additional evidence provided by organisation's representative	
52.4	Does the organisation formally take environmental criteria into account when evaluating bids to host its major events?	Basic	<p>Do the organisation's statutes and/or internal regulations establish that bidding dossiers are reviewed, evaluated and scores are assigned on the basis of pre-established and objective criteria?</p> <p>Do the organisation's statutes and/or internal regulations establish that only bids achieving a minimum score are shortlisted?</p> <p>Are environmental criteria among the criteria used for evaluation?</p>	Bidding rules; additional evidence provided by organisation's representative	
52.5	Does the organisation incorporate specific environmental sustainability objectives in the host agreement of its major events?	Basic	<i>Note: 'specific' implies that objectives go beyond a general requirement to take into account environmental sustainability. The host agreement should define clear objectives.</i>	Host agreement; bidding rules; additional evidence provided by organisation's representative	
52.6	Does the organisation provide guidance for (potential) hosts on environmental sustainability?	Basic	Does the organisation publish a document in which it explains how event hosts can promote environmental sustainability?	Bidding rules; organisation's website; additional evidence provided by organisation's representative	
52.7	Does the organisation undertake actions aimed at promoting the exchange of best practices on environmental sustainability among its member federations?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided	

				by organisation's representative	
<b>52.8</b>	Does the organisation undertake other actions aimed at promoting the environmental sustainability of sporting activities?	Intermediate	Does the organisation undertake other actions (not related to the exchange of best practices or cooperation with other organisations) aimed at promoting the environmental sustainability of sporting activities?	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>52.9</b>	Does the organisation cooperate with other organisations (other than its member organisations or regional federations) with a view to promoting the environmental sustainability of sporting activities?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>52.10</b>	Did the organisation carry out an evaluation of the impact of its relevant actions?	Basic	Does the organisation have a written report that analyses the impact of the relevant actions? <i>Note: impact evaluations can either be published as part of the annual report or as a separate document.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

**[Principle 53]**

The organisation implements a policy on promoting the dual career of athletes.

## Relevance

Elite athletes face serious difficulties in combining their sporting career with education or work. Sports federations are in a good position to promote the dual career of athletes through their capacity to raise awareness, organise events, and to engage in cooperative actions with its members and other relevant organisations.

Indicator		Category	Detailed evaluation criteria	Data source	Score
53.1	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at helping athletes combine their sporting career with education or work?	Basic	<p>Does the organisation have a written policy that defines specific objectives and actions, specifically aimed at helping athletes combine their sporting career with education or work?</p> <p><i>Note: the specific objectives and actions may be part of a wider policy. Relevant activities could pertain to educating senior athletes or promoting a balance between the sporting education and formal education of young people.</i></p>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
53.2	Does the organisation have a staff member who formally acts as a single point of contact and is responsible for all matters regarding dual careers?	Intermediate	<p>Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan a single person who is responsible for all matters regarding dual careers?</p> <p>Does the organisation provide the contact details of this person on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report, or in its latest (multi-annual) policy plan?</p>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

53.3	Does the organisation undertake actions aimed at promoting the exchange of best practices on dual careers with its member federations?	Intermediate		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
53.4	Does the organisation undertake other actions (not related to the exchange of best practices or cooperation with other organisations) aimed at promoting and supporting the inclusion of the concept of dual careers in the activities of its member federations?	Intermediate		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
53.5	Does the organisation cooperate with other organisations (other than its member organisations or regional federations) with a view to helping athletes combine their sporting career with education or work?	Intermediate		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
53.6	Did the organisation carry out an evaluation of the impact of its relevant actions?	Basic	Does the organisation have a written report that analyses the impact of the relevant actions? <i>Note: impact evaluations can either be published as part of the annual report or as a separate document.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	



**[Principle 54]**

The organisation implements a policy on promoting sport for all.

**Relevance**

Sports federations are in a good position to promote recreational sport through their capacity to raise awareness, organise events, and to engage in cooperative actions with their members and other relevant organisations.

Indicator		Category	Detailed evaluation criteria	Data source	Score
54.1	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at promoting sport for all?	Basic	Does the organisation have a written policy that defines specific objectives and actions, specifically aimed at promoting sport for all? <i>Note: there may be overlap with the other indicators. Consider as sport for all any form of recreational sport that does not fall under one of the previous indicators (e.g. the organisation of mass sports events, etc.).</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
54.2	Does the organisation have a staff member who formally acts as a single point of contact and is responsible for sport for all?	Basic	Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan a single person who is responsible for sport for all?  Does the organisation provide the contact details of this person on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report, or in its latest (multi-annual) policy plan?	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
54.3	Does the organisation undertake actions aimed at promoting sport for all?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

54.4	Does the organisation undertake other actions (not related to the exchange of best practices or cooperation with other organisations) aimed at promoting and supporting sport for all in the activities of its member federations?	Intermediate		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
54.5	Does the organisation cooperate with other organisations (other than its member organisations or regional federations) with a view to promoting sport for all?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
54.6	Did the organisation carry out an evaluation of the impact of its relevant actions?	Basic	Does the organisation have a written report that analyses the impact of the relevant actions? <i>Note: impact evaluations can either be published as part of the annual report or as a separate document.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

#### [Principle 55]

The organisation ensures the fair treatment of professional athletes.

### Relevance

Sports federations are in a good position to promote the fair treatment of professional athletes through their capacity, where relevant, to establish minimum requirements for standard athlete contracts.

Indicator	Category	Detailed evaluation criteria	Data source	Score
55.1	Basic	Does the organisation have a document establishing minimum requirements for standard athlete contracts?	Organisation's website; additional evidence provided by organisation's representative	
55.2	Basic	Do these minimum requirements include a standard on minimum wages?	Standard athlete contract; collective bargaining agreement	
55.3	Basic	Do these minimum requirements include a standard on	Standard athlete contract;	

	internal disciplinary rules with sanctions/penalties (fines) and the necessary procedures?			collective bargaining agreement	
55.4	Do these minimum requirements include a standard on the process for the resolution of disputes not covered by the contract?	Basic		Standard athlete contract; collective bargaining agreement	
55.5	Does the organisation undertake actions aimed at promoting social dialogue (between athletes and clubs)?	Basic		Standard athlete contract; collective bargaining agreement	

**[Principle 56]**

The organisation implements a policy for the promotion and safeguarding of human rights.

**Relevance**

The organisation of sports events, manufacturing of sports equipment, transfer of athletes, and employment relations between athletes and clubs hold significant risks relating to human rights issues. Sports federations are in a good position to decrease these risks through their capacity to implement requirements, raise awareness, and to engage in cooperative actions with their members and other relevant organisations.

Indicator		Category	Detailed evaluation criteria	Data source	Score
56.1	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at promoting and safeguarding human rights?	Basic	Does the organisation have a written policy that defines specific objectives and actions, specifically aimed at promoting and safeguarding human rights?	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
56.2	Does the organisation have a staff member who formally acts as a single point of contact and is responsible for human rights issues?	Basic	Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan a single person who is responsible for human rights issues?  Does the organisation provide the contact details of this person on a webpage	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

			(easily retrievable in accordance with indicator 1.1), in its latest annual report, or in its latest (multi-annual) policy plan?		
<b>56.3</b>	Does the organisation undertake actions aimed at promoting and safeguarding human rights?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>56.4</b>	Does the organisation undertake other actions (not related to the exchange of best practices or cooperation with other organisations) aimed at promoting and safeguarding human rights in the activities of its member federations?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>56.5</b>	Does the organisation cooperate with other organisations (other than its member organisations or regional federations) with a view to promoting and safeguarding human rights?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
<b>56.6</b>	Does the organisation formally take human rights criteria into account when evaluating bids to host its major events?	Basic	<p>Does the organisation's bidding procedure establish that bidding dossiers are reviewed, evaluated and scores are assigned on the basis of pre-established and objective criteria?</p> <p>Do the organisation's statutes and/or internal regulations establish that only bids achieving a minimum score are shortlisted?</p> <p>Are human rights criteria among the criteria used for evaluation?</p>	Bidding rules; additional evidence provided by organisation's representative	

56.7	Does the organisation incorporate specific human rights requirements in the host agreement of its major events?	Basic	<i>Note: 'specific' implies that requirements go beyond a general requirement to take into account human rights.</i>	Host agreement; bidding rules; additional evidence provided by organisation's representative	
56.8	Does the organisation provide guidance for (potential) hosts on human rights issues?	Basic	Does the organisation publish a document in which it explains how event hosts can mitigate human rights risks?	Organisation's website; additional evidence provided by organisation's representative	
56.9	Did the organisation carry out an evaluation of the impact of its relevant actions?	Basic	Does the organisation have a written report that analyses the impact of the relevant actions? <i>Note: impact evaluations can either be published as part of the annual report or as a separate document.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

#### [Principle 57]

The organisation requires entities that receive funding to implement anti-corruption controls.

#### Relevance

Sports federations can minimise corruption risks by requiring funded entities to implement anti-corruption controls.

Indicator	Category	Detailed evaluation criteria	Data source	Score
57.1	Basic	Do the organisation's statutes and/or internal regulations and/or formal policies require the organisation to determine whether any entity receiving funding has put in place anti-corruption controls which manage corruption risks?	Statutes; internal regulations	
57.2	Basic	Do the organisation's statutes and/or internal regulations and/or formal policies establish that the organisation requires any entity receiving funding to implement anti-corruption controls related to the relevant transaction or project?	Statutes; internal regulations	

			Do the organisation's statutes and/or internal regulations and/or formal policies establish that the organisation requires any entity receiving funding to implement anti-corruption controls related to the relevant transaction or project?		
<b>57.3</b>	Do the organisation's statutes and/or internal regulations and/or formal policies establish that the transaction cannot go ahead in case adequate anti-corruption controls are not in place and the receiving entity refuses to implement them?	Basic	<p>Do the organisation's statutes and/or internal regulations and/or formal policies require the organisation to determine whether an entity receiving funding has put in place anti-corruption controls which manage corruption risks?</p> <p>Does the organisation's statutes and/or internal regulations and/or formal policies establish that the organisation requires said entity to implement anti-corruption controls related to the relevant transaction or project?</p> <p>Does the organisation's statutes and/or internal regulations and/or formal policies establish that the transaction cannot go ahead in case adequate anti-corruption controls are not in place and the receiving entity refuses to implement these?</p>	Statutes; internal regulations	



Play the Game