

Good Governance practices desk research at national level

– a project for EPAS

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Contents

1) Context	3
2) Logical framework.....	4
2.1) Introduction.....	4
2.2) Logical framework.....	4
2.3) Key to national governance initiatives listed above	6
2.4) Stages of development in national sports governance initiatives.....	7
2.5) Some emerging trends (and possible areas for future research).....	7
3) Methodology for the desk research	8
3.1) Acknowledgements.....	8
4) Catalogue of national initiatives.....	9
4.1) The Netherlands	9
4.2) Interview - Huibert Brands – The Netherlands.....	11
4.3) Germany.....	15
4.4) UK / England.....	18
4.5) UK / Wales.....	20
4.6) UK / England.....	22
4.7) Italy.....	23
4.8) Poland	24
4.9) Interview - Bartosz Baran - Poland.....	26
4.10) Switzerland.....	28
4.11) Australia	29
5) Additional interviews	31
5.1) Interview - João Paulo de Almeida - Portugal.....	31
5.2) Interview – ministry representative from small country in Eastern Europe.....	34
6) Some other governance initiatives worthy of note	37
6.1) ASOIF Principles and Indicators	37
6.2) EU Principles of Good Governance in Sport	37
6.3) Sports Governance Observer	38
6.4) Basic Indicators for Better Governance in International Sport	38
6.5) IOC Basic Universal Principles of the Olympic and Sports Movement.....	39
6.6) International Sports Integrity Partnership	40
6.7) Support the Implementation of Good Governance in Sport (SIGGS).....	40
6.8) Interview - Matthias van Baelen - SIGGS.....	41
7) Appendices.....	43

1) Context

The Enlarged Partial Agreement on Sport (EPAS), which provides a platform for intergovernmental sports co-operation between the public authorities of its member states, commissioned this piece of desk research on good governance practices at national level.

The project is intended to contribute towards planning for the 14th Conference of Ministers responsible for sport (Budapest, November 2016), which will discuss the issue of governance in sport as its main theme.

Objectives for the desk research are as follows (quoted from the Terms of Reference):

- Identify and research good governance practices/ initiatives in European countries, including the results of the EPAS good governance survey;
- Catalogue good practices on good governance initiatives. The catalogue shall provide guidance to interested parties to implement and adopt similar approaches/ initiatives;
- A logical framework and recommendations shall enable public authorities responsible for sport and sport organisations at national level to adapt and implement good practices in the field of good governance.

2) Logical framework

2.1) Introduction

- The content below is an outline framework for good governance initiatives at national level based on analysis of existing activity (see 4) below) and interviews with selected project leaders
- It is in the form of a “strategic table of contents”
- While there is not one single reference framework on good governance in sport and some of the implementation measures are controversial, there is a general consensus about the themes or components of good governance
- It is intended that the logical framework may be of use to public authorities which are designing or revising governance requirements for sports in their countries

2.2) Logical framework

Theme/aspect of governance initiative	Example policy	Example activity	Desired outcome / rationale	National example (see key below)
Vision, mission and purpose	- Require regular review and publication	- Strategic planning is driven by vision, mission and purpose	Organisation has unity of purpose	NED, GER, GBR1
Transparency	- Require publication of accounts and other governance information	- Publication of annual report with a set format for certain information	Organisation open to scrutiny from members, media, public etc.	GBR2, POL, AUS
Democracy and accountability to stakeholders	- Appropriate representation of stakeholders in organisation’s structure	- Annual General Meeting for members enables them to oversee management of organisation - Terms of reference for the board and committees - Elections for board members - Involvement of athletes and other individuals in decision-making - Formalised engagement and strategic relationships with important national and international stakeholders	Members and stakeholders can bring about change in leadership, if needed	NED, ITA, AUS
Board effectiveness	- Board should be balanced with appropriate skills among its members	- Job and role descriptions plus competencies for board members - Term limits - Maximum board size - Nominations committee - External board evaluation	Board of sports body is fit for purpose, effective and self-sustaining	GBR1, NED, AUS

Integrity (ethical behaviour)	<ul style="list-style-type: none"> - Conflict of interest policy - Separation of commercial and sporting activities - Code of Ethics 	<ul style="list-style-type: none"> - Restrictions on multiple roles which one individual can occupy - Rules about offering and receiving gifts - Independent ethics officer/commission to examine possible breaches of the Code of Ethics 	Leaders behave with integrity, running the organisation in the best interests of the sport	GER, SUI, POL
Anti-discrimination	<ul style="list-style-type: none"> - Requirement to seek “diversity of thought” on the board - Targets for participation and involvement by different groups 	<ul style="list-style-type: none"> - Gender target for board membership - Open recruitment - Programmes to reach under-represented groups 	Involvement in the sport is representative of society	GBR2, AUS, NED
Risk management	<ul style="list-style-type: none"> - Require organisation to follow a recognised process 	<ul style="list-style-type: none"> - Mitigation plans in place for important risks 	Sports body is sustainable - major risks are identified and tackled	GER, NED, AUS
Legal / statutory requirements	<ul style="list-style-type: none"> - Requirements depending on legal status of sports body (e.g. company, NGO, charity etc.) 	Require: <ul style="list-style-type: none"> - Audited accounts - Audit committee - Policies on discrimination, discipline, equality, handling complaints (with independent appeals), health and safety, data protection etc. - Anti-doping rules - Match manipulation policy 	Appropriate limits set to autonomy of sport, allowing external scrutiny	POL, ITA, GER
Support	<ul style="list-style-type: none"> - Funding / umbrella bodies provide support to the sports organisation to help with governance requirements 	Provision of: <ul style="list-style-type: none"> - Template policies - Written guidance - Good practice case studies - Workshops on specific topics - Opportunities for sports to learn from each other - Consultancy support in specialist areas 	Sports body enabled and encouraged to improve its governance	NED, GBR1, POL
Measurement and evaluation	<ul style="list-style-type: none"> - Assessment against set governance principles taking into account the scale and stage of development of the organisation - Governance assessment combined with holistic measures of success 	<ul style="list-style-type: none"> - External assessment against set principles with a scoring system - Self-assessment with evidence provided - Audits commissioned by funding bodies - Thematic research - Stakeholder opinion research - Participation survey - Analysis of results in high performance sport - Assessment of financial management 	Objective benchmarking of standard of governance with recommendations for improvement and recognition of good performance Role of governance considered in achievement of overall objectives	AUS, NED, POL

Enforcement	- Main public funder for the sports body uses funding as leverage to drive better governance	- Level of funding increased or decreased depending on measurement and evaluation	Sports bodies incentivised to improve governance	NED, AUS, GBR2
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Note on “solidarity”: International sports governance frameworks often incorporate a principle of solidarity, which refers to re-distributing a portion of the organisation’s resources to disadvantaged regions or sporting disciplines. There is little evidence of a similar policy among publically funded national sports federations in Europe as funding is generally allocated to the national sports federations by a branch of government and/or the National Olympic Committee. There are examples of re-distribution of a proportion of commercial revenue by larger, professional sports.

2.3) Key to national governance initiatives listed above

Ref in table above	Country	Initiative	Section
NED	Netherlands	Good governance in the Netherlands	4.1)
GER	Germany	Good governance in German sports	4.3)
GBR1	UK / England / Wales	Voluntary Code of Good Governance / Governance and Leadership Framework for Wales	4.4) 4.5)
GBR2	UK / England	Governance Code for Sport in the UK	4.6)
ITA	Italy	Fundamental principles of the statutes of national sports federations and of associated sports disciplines	4.7)
POL	Poland	Co-funding programme for the preparation of the national team for the Olympic Games and major championships	4.8)
SUI	Switzerland	Swiss Olympic Code of Conduct	4.10)
AUS	Australia	Australian Institute of Sport Mandatory Sports Governance Principles	4.11)

2.4) Stages of development in national sports governance initiatives

From the desk research it is possible to discern three phases which European countries often pass through in the development of national sports governance initiatives:

1) Initial implementation

- Adaptation of corporate governance and/or legal requirements for sports federations
- Self-assessment questionnaire for publically funded national sports federations put in place by government ministry, national sports agency or National Olympic Committee

2) Formalisation and support

- Formal code/framework in place with an external assessment process
- Support service provided for sports federations to help improve governance
- Funding linked to governance assessment

3) Refinement by iteration

- Regular review process leads to governance requirements being updated in line with best practice

Countries which have none or very limited sports governance requirements in place could consider following these stages. The evidence suggests that it takes at least one Olympic cycle to move from stage 1 to stage 2, and then probably another four year cycle to reach stage 3. It would theoretically be possible to progress more quickly. However, in practical terms it takes time for sports federations to accept and understand the governance requirements. Changes to constitutions and board membership can also necessarily only happen over a period of years.

2.5) Some emerging trends (and possible areas for future research)

- Rapid evolution - governance requirements for publically funded sports in Europe are changing fast, or being introduced where they did not exist before
- Culture/behaviour - more focus on influencing culture/behaviour than on adding new rules – “soft” rather than “hard” governance
- Role of leadership – the quality of leadership is recognised as one of the most important factors determining the success of sports federations; many of the issues in sport are symptoms of poor governance, which starts with leadership
- Volunteer / professional division – the specific challenges of managing a combined professional and volunteer workforce are not well understood
- Independence – inclusion of independent members on national federation boards
- Independent appeals processes – dedicated organisation / ombudsman / designated law firm to conduct appeals independently
- Succession planning – if there are term limits preparations need to be made for the next generation of leaders
- Modernisation - national federations need to be:
 - More professionally-run
 - More market-oriented, diversifying revenue streams
 - More efficient
 - More flexible
 - More collaborative
- Whistleblower policies and procedures

3) Methodology for the desk research

Governance codes, frameworks and similar guidance documents were downloaded from national sports authorities known to be managing national initiatives, including from countries which responded to the Good Governance Survey among EPAS Member States in 2015. Additional documents were identified via the ongoing [Support the Implementation of Good Governance in Sport](#) project (see 6.8) below) and the [Sport for Good Governance](#) initiative which concluded in 2012.

Each of the documents was analysed and summarised using a similar template (see 4.1) to 4.11) below). The full documents are included as appendices.

In order to provide extra insight, and to ensure a more representative mix of nations across Europe, specific individuals were approached and asked if they would be willing to give an interview. The individuals were:

- Huibert Brands, Project Manager, Organisation Development, NOC*NSF, the Netherlands
- Bartosz Baran, Head Expert, Department of Auditing and Control, Ministry of Sport and Tourism, Poland
- João Paulo de Almeida, Director General, Olympic Committee of Portugal
- Matthias van Baelen, Deputy Director, European Olympic Committees EU Office, SIGGS project manager
- An official from a small country in Eastern Europe (speaking on condition of anonymity)
- Britta Spahn, Chief Financial Officer and Good Governance, DOSB, Germany (it did not prove possible to secure an interview in the time available)

Similar questions were asked in each of the five interviews, except for the interview with Matthias van Baelen which mainly served the purpose of finding out about other national initiatives involved in the SIGGS project. Summaries of the interviews are included below.

The logical framework (see 2) above) is the main output of the desk research, drawing together many of the common features of the national governance initiatives in the form of a “strategic table of contents”.

A Powerpoint presentation has also been produced to summarise the findings of the project.

Declaration of interest: The author of this study has been working for UK Sport since October 2015 and has been personally involved in the project to develop a Governance Code for Sport in the UK described in 4.6) below.

3.1) Acknowledgements

The author is grateful to Michael Trinker and Stanislas Frossard at EPAS for their help and support during the project. Each of the interviewees was generous with their time and provided valuable insight. Any errors in the research are the responsibility of the author alone.

4) Catalogue of national initiatives

4.1) The Netherlands

Initiative	Good Governance in the Netherlands
Lead organisation	<u>NOC*NSF</u>
Year of publication	Evolving since 2005
Connection to other initiatives	Starting point was a code for commercial organisations developed in 2004 (Tabaksblatt)

Summary of approach

- Code of Good Governance for over 70 member federations consisting of 17 Minimum Requirements
- Minimum Requirements in place since 2011 which are compulsory for federations which want to receive Lottery and other funding

Key features

- “Comply or explain” principle
- Online self-assessment tool which federations have to complete annually
- External evaluation every 2 years

The Minimum Requirements:

- 1) Evaluate Good Governance initiatives in Annual Report
- 2) Benchmark Good Governance every 2 years (Self-Evaluation)
- 3) Have a clear description of Governance model
- 4) Use profiles for board and administrators
- 5) Have rules to avoid conflict of interest
- 6) Limit terms for administrators to a maximum of 12 years
- 7) Organize an Annual Meeting at least once a year
- 8) Have a Management Statute
- 9) Centralize governance, preventing autonomous internal entities
- 10) Have a Long Term Strategic Plan
- 11) Have a clear description of Planning & Control cycle
- 12) Install Risk Management and proper Procurement
- 13) Meet financial stability ratios
- 14) Have their Annual Report audited by accountant
- 15) Install specific regulations concerning
 - a. Sexual Intimidation
 - b. Disciplinary code
 - c. Doping
 - d. Equality and Discrimination
 - e. Complaints
- 16) Ensure that all individual members are aware of and comply to Federation membership and rules
- 17) Provide all individual membership registrations once a year

Innovative or noteworthy aspects

- NOC*NSF provides a range of support tools, including communications, a knowledge database and workshops for federations

- Regular reviews
- Failure to meet Minimum Requirements may result in loss or reduction of funding
- Recognition of a distinction between rules and behaviour – need to “live the code”
- Recognition of the vital role of leadership
- New Sport and Business foundation helps recruit new sports managers and board members
- Induction course for new administrators
- Development of standard profiles and competence library

Evidence/information about implementation

- Detailed evaluation of one of the themes every year
- Star rating for federations - 1, 2 or 3 stars (no longer used)
- None of the federations meets all 17 minimum requirements completely

4.2) Interview - Huibert Brands – The Netherlands

Date: 27 June 2016

Organisation:	NOC*NSF
Role:	Project Manager, Organisation Development
Related initiative:	Good Governance in the Netherlands

Note: some of the information below also comes from a presentation which Huibert Brands made to the SIGGS project.

1	<p>Please can you explain the thinking behind the NOC*NSF governance initiative?</p> <ul style="list-style-type: none"> • A Code of Good Governance in Sport in the Netherlands was implemented in 2008, which built on work in corporate governance in previous years • This developed into a set of 17 Minimum Requirements in 2011 • Support tools were developed from 2012 • Now we are entering a new phase called Transitions in Sport - need to re-invent governance structures for future sports federations, which should be: <ul style="list-style-type: none"> ○ More market-oriented ○ More efficient with their resources ○ More flexible and collaborative ○ More modern in terms of member participation. • Big question for the future: how to bring about good leadership and integrity in sport? • Rules are important but behaviour matters more • Federation structures have sometimes helped bad leadership to prevail • There is a similar debate taking place throughout civil society
2	<p>What informed the choice of categories in the self-assessment tool?</p> <ul style="list-style-type: none"> • The starting point was corporate governance. The Minimum Requirements continue to evolve <p>These are the Minimum Requirements:</p> <ol style="list-style-type: none"> 1) Evaluate Good Governance initiatives in Annual Report 2) Benchmark GG every 2 year (Self-Evaluation) 3) Have a clear description of Governance model 4) Use profiles for board and administrators 5) Have rules to avoid conflict of interest 6) Limit terms for administrators to a maximum of 12 years 7) Organize an Annual Meeting at least once a year 8) Have a Management Statute 9) Centralize governance, preventing autonomous internal entities 10) Have a Long Term Strategic Plan 11) Have a clear description of Planning & Control cycle 12) Install Risk Management and proper Procurement 13) Meet financial stability ratio's

	<p>14) Have their Annual Report audited by accountant</p> <p>15) Install specific regulations concerning</p> <ol style="list-style-type: none"> a. Sexual Intimidation b. Disciplinary code c. Doping d. Equality and Discrimination e. Complaints <p>16) Ensure that all individual members are aware of and comply to Federation membership and rules</p> <p>17) Provide all individual membership registrations once a year</p> <p>About independent board members:</p> <ul style="list-style-type: none"> • There are some independent board members (who are not elected by clubs) but federations do not have a specific target in this area • Either board members come through the club system or they may be invited from outside • They must have relevant skills and experience • The diversity of the total board is important – a mix of younger and older, female and male, internal and external • Board should act with common passion and common responsibility • Individuals board members should not be representing just a specific interest when they act <p>About board size:</p> <ul style="list-style-type: none"> • No specific rule – based on common sense • More than 7 is often complicated • But a sport like swimming has lots of disciplines which may need to be represented individually • If a sport is highly professionalised then it can manage with a board of 5 or 7
3	<p>Do you believe that any of the specific elements or aspects of the initiative represent good practice which other countries could learn from?</p> <p>Every regulation that impacts on behaviour is a good one:</p> <ul style="list-style-type: none"> • Requiring federations to describe their governance activity in relation to the Code in the annual report is helpful. It enables members to ask questions and scrutinise in a way that they might not if the information was not published • Term limits – there’s an argument that very good people should be allowed to stay but 12 years is a long time and change is needed after that • Having a long-term strategic plan and a planning and control cycle <ul style="list-style-type: none"> ○ These may be described as “paper tigers” – it’s not always how helpful to be forced to spend time on paperwork but they do provide structure • Having profiles of administrators – job descriptions, competencies, the function and role of board – it’s important that board members understand their role so that this can guide the way they act on their passion and vision for the sport <p>On the use of funding controls to drive change:</p> <ul style="list-style-type: none"> • We can enforce regulations like anti-discrimination • But when federations are forced to do something, they may not think about it • We believe that people want to do the right thing and to think about it

	<ul style="list-style-type: none"> • Ideally, we want to decrease the number of rules and increase the amount of thinking • The aim is to help administrators to do their job well, which is what they all want to do <p>Support tools for federations:</p> <ul style="list-style-type: none"> • Standard models for policies are provided, e.g. a conflicts of interests grid showing which functions can't overlap • Helpful articles listing good examples • Guidance to support federations moving from one level of governance to the next • Several NOC*NSF account managers support federations with their governance work
4	<p>What is the current status of compliance and evaluation?</p> <ul style="list-style-type: none"> • In relation to the Minimum Requirements federations comply or they don't – yes or no • Boards fill in the self-assessment on Minimum Requirements every year (when checked 'No' once, no access to funding) • Federations evaluate on Good Governance initiatives in the Annual Report every year • Federations do an assessment on the Good Governance code every 2 years • NOC*NSF 'audits' the implementation of the Minimum Requirements thematically • NOC*NSF previously used a star system for different sizes of federation, assessing the organisation in a holistic way. However this system is no longer in place
5	<p>What would be your recommendations for next steps in promoting good governance in sport at national level?</p> <p>Work on culture/behaviour:</p> <ul style="list-style-type: none"> • Leaders/administrators should be able to interact with each other across sports, which we do via an academy that brings them all together • Mandatory self-evaluation tool, with some external support every 2 years to understand how you are operating and how you can improve <p>Tackling governance at club level is one of the next challenges.</p>

Selected insights from the interview:

- Modern sports federations should be more:
 - Market-oriented
 - Efficient
 - Flexible
 - Collaborative
 - Up-to-date in their membership participation
- Rules are important but behaviour matters more – influencing leadership and behaviour is the big challenge – this issue is not unique to sport
- Regulations which impact on behaviour are helpful, such as:
 - Requiring federations to describe their governance activity in the annual report
 - Term limits (12 years in the Netherlands)
 - Describing both the function and role of board members
 - Enabling interaction between sports so that they can learn from each other
 - Requiring evaluation, including with external support
- Federation administrators want to do their job well and our role is to help them – ideally they should be able to think, not just to follow rules
- Federation boards should be diverse in the broadest sense but should act with common passion and common responsibility

4.3) Germany

Initiative	Good Governance in German Sports
Lead organisation	<u>DOSB – German Olympic Sports Confederation</u>
Year of publication	2015
Connection to other initiatives	None known

Summary of approach

- 4 governance principles
- Description of a comprehensive compliance function
- Example Code of Conduct

Key features

Principles:

- 1) Transparency
- 2) Accountability
- 3) Integrity
- 4) Participation and involvement

Examples of factors that promote transparency:

- Publication of the federation's key policy, in particular its mission and strategy
- Establishing open and clear decision-making processes

Examples of factors that promote accountability:

- Clear and transparent assignment of competences and tasks
- Effective controls

Examples of factors that promote integrity:

- Decision-making independent of personal interests and benefits
- Establishment of a culture that promotes and encourages ethical conduct and fairness (fair play)

Examples of factors that promote participation and involvement:

- Democratic structures and opinion-forming processes
- Clarification of the federation's internal and external stakeholder groups

Example of a Code of Ethics, including these headings:

- 1) Tolerance, respect and dignity
- 2) Sustainability and responsibility for the future
- 3) Attitude of zero tolerance
- 4) Transparency
- 5) Integrity
- 6) Participation
- 7) Focus on athletes

Implementation of good governance – a compliance system

- Starting point – a detailed explanation of risk analysis with this overview of typical risks in relation to ethical standards:
- Integrity of individuals in decision-making processes
- Health and well-being / risk to active participants
- Manipulation and offences in conjunction with competitions / contests

Update or develop internal guidelines and regulations - relevant examples may include:

- Nomination regulations
- Anti-doping declarations or internal regulations
- Works agreements
- Codes of Conduct for the federation

- Detailed case studies covering specific issues, such as how to handle a potential conflict of interest in awarding a contract

Structural / organisational measures:

- Determine who has responsibility for each area and reporting lines
- For example, it may be helpful to establish an ethics/governance officer
- One option would be to establish an independent ombudsman's office

- Communication, training and support are needed to help sports federations to comply

Monitoring and sanctions

- Auditing
- Spot-checks when there are concerns
- Acting on whistleblower information
- Proportionate sanctions

Reporting violations

- Employees and volunteers have a duty to report where they have concerns about breaches of regulations
- Set out the procedure to be followed when a report is received
- Stages include conducting an investigation, if appropriate, and sanctioning

Example Code of Conduct (separate document)

The Code of Conduct includes these headings:

A. How we interact with each other

1. Culture of appreciation and respect
2. Foundation of our actions

B. Conduct in business dealings

1. Conflicts of interests
2. Gifts and other benefits
3. Invitations
4. Representation of interests
5. Donations
6. Sponsoring

7. Policy towards public funding
8. Stakeholder involvement
9. Fees
10. Dealing with resources
 - a) Dealing with federation property and materials
 - b) Origin and use of financial resources
 - c) Intellectual property / expertise / confidentially

C. Framework

1. Procedure
2. Special officer (Ethics Officer, Good Governance Officer)
3. Ombudsperson's Office
4. Data protection

Innovative or noteworthy aspects

- The entire process for establishing a compliance function is explained
- Example version of a Code of Conduct provided

Evidence/information about implementation

- New in 2015 but builds on previous activity

4.4) UK / England

Initiative	<u>Voluntary Code of Good Governance</u>
Lead organisation	<u>Sport and Recreation Alliance</u> - the umbrella body for sport and recreation in the UK representing 320 national governing bodies
Year of publication	2011, updated in 2014
Connection to other initiatives	Builds on research and publications in the UK since 2000

Summary of approach

- The Code is voluntary and aimed principally at members of the Sport and Recreation Alliance
- The Code includes 7 “principles”, each of which has about 10-20 “practical considerations”, a “thinking point” and a case study
- It is developed as a self-regulatory tool rather than as a checklist and therefore it is not practical to use the Code to audit performance

Key features

The 7 principles are:

- 1) Integrity: Acting as guardians of the sport, recreation, activity or area
- 2) Defining and evaluating the role of your board
- 3) Setting vision, mission and purpose
- 4) Objectivity: Balanced, inclusive and skilled board
- 5) Standards, systems and controls
- 6) Accountability and transparency
- 7) Understanding and engaging with the sporting landscape

Each principle has about 10-20 “practical considerations”, e.g. for principle 1:

- Maintaining high sporting ethical standards
- Actively promoting and monitoring equality and diversity
- Supporting education and training on anti-doping and other integrity issues if appropriate

Each principle has a “thinking point”, e.g. for principle 1:

- Board members who sit on other organisation boards may have valuable experience but it’s important that they have enough time to devote to the sports body

Each principle also has an accompanying case study, e.g. for principle 2:

- A board evaluation by the Amateur Swimming Association which led to a restructure of the organisation

Innovative or noteworthy aspects

- The Voluntary Code was created by the sport and recreation sector in England for the sector with input from 81 organisations
- It takes into account the needs of sports organisations of different sizes from very small to very large
- The original version produced in 2011 was updated in 2014 to take account of the latest trends and insights
- It explains why sports governance is different from corporate governance:
 - Specific issues such as anti-doping, gambling and betting, safeguarding children etc.
 - Sports sector cuts across many boundaries
 - Ethics are at the core of sport
 - As athletes are in some cases “the product” they need to be part of decision-making
 - The promotion and protection of participants’ rights and their development pathway is at the heart of sports governance
- Organisations seeking to sign up are asked to:
 - Discuss the Code at a board or executive meeting and seek approval
 - Include the Code as an objective in their Strategic Plan
 - Select an individual to take responsibility for leading or co-ordinating governance improvements
- The Sport and Recreation Alliance offers training and consultancy support
- A list of useful contacts is provided

Evidence/information about implementation

- About 100 organisations have signed up to the Code
- In 2014 the SRA commissioned Birkbeck College, part of London University, to carry out an independent impact assessment of the Voluntary Code since its launch in 2011. 95% of respondents stating the Code had been effective or very effective in assisting good governance. 3 out of 4 respondents said implementing the Code had had a positive effect on their whole organisation

4.5) UK / Wales

Initiative	Governance and Leadership Framework for Wales
Lead organisation	Sport Wales
Year of publication	2015
Connection to other initiatives	Developed in partnership with the Sport and Recreation Alliance and using the Voluntary Code as a template (see 4.4) above)

Summary of approach

- The framework is aimed at the sport sector in Wales
- It is designed to be flexible to cover organisations of different sizes but particularly applies to governing bodies which receive Lottery funding
- It includes 7 principles, each of which has Minimum Expectations, Other Considerations, Success Indicators, Effective Behaviours, Ineffective Behaviours and a Talking Point

Key features

The 7 principles are:

- 1) Integrity: Acting as guardians of the sport, recreation, activity or area
- 2) Defining and evaluating the role of your board
- 3) Setting vision, mission and purpose
- 4) Objectivity: Balanced, inclusive and skilled board
- 5) Standards, systems and controls
- 6) Accountability and transparency
- 7) Understanding and engaging with the sporting landscape

Each of the 7 principles has:

- 3-7 Minimum Expectations, e.g. for Principle 1:
 - Taking athletes', members' and participants views into consideration
 - Ensuring the organisation is equipped to manage the safeguarding of children and vulnerable adults
- At least 5 Other Considerations, e.g. for Principle 1
 - Actively promoting and monitoring equality and diversity
 - Promoting and communicating the interest
 - of the sport, recreation, activity or area to
 - a wider audience to raise its profile
- 3-10 Success indicators, e.g. for Principle 1
 - Values are defined and reviewed in line with the vision & strategy
 - Practices and standards are in place to meet legal obligations
- At least 6 examples of Effective Behaviours, e.g. for Principle 1
 - I declare any conflicts of interest – and behave in a visibly impartial manner on issues relating to my own personal/professional matters
 - I publically support group decisions by the board, even if my personal opinion is different
- 2-7 examples of Ineffective Behaviours, e.g. for Principle 1
 - I do not use offensive or discriminatory language or behaviour
 - I do not keep quiet if I have concerns about the organisation

- A Thinking Point, e.g. for Principle 1
 - Board members who sit on other organisation boards may have valuable experience but it's important that they have enough time to devote to the sports body

Innovative or noteworthy aspects

- The Minimum Expectations provide clear guidance to sports bodies
- The Success Indicators provide a realistic way for compliance to be measured
- The examples of Effective and Ineffective Behaviours are a step forward in tackling the issue of organisational culture

Evidence/information about implementation

- The Framework is used by Sport Wales as the basis for assessment of the governance of funded governing bodies

4.6) UK / England

Initiative	Governance Code for Sport in the UK (due for completion in September 2016) Charter for Sports Governance in the UK (short, preliminary version published in May 2016)
Lead organisation	UK Sport and Sport England
Year of publication	2016
Connection to other initiatives	Builds on existing governance requirements for bodies receiving Lottery funding from UK Sport and Sport England

Declaration of interest: The author of this study has been working for UK Sport since October 2015 and has been personally involved in this project.

Summary of approach

- The Charter previews some of the main themes to be covered in the forthcoming Governance Code
- The Governance Code will be mandatory for sports bodies beyond a certain threshold (to be defined) which receive funding from Sport England or UK Sport
- The Code will be ambitious in setting high expectations in order to protect public investment but also with the aim of helping good organisations become exceptional
- The standards will be applied on a proportionate basis

Key features

These are the themes identified:

- Transparency
- Integrity
- Financial probity
- Leadership and decision-making
- Membership
- Independence of thought
- Diversity
- Culture
- Sport England and UK Sport commitments to funded bodies

Innovative or noteworthy aspects

- Funded bodies will be required to publish an annual governance statement
- Those holding senior positions will have to sign a declaration of integrity
- All organisations must demonstrate that their decision-making includes 'critical friends', with a possible increased target for independent members on boards
- Organisations will be required to publish a detailed annual explanation of what steps they have taken to increase diversity
- There may be tougher targets for equality and diversity on boards
- There will be recognition and reward for good governance, not just sanctions in the event of issues arising

Evidence/information about implementation

- Implementation is planned from 2017

4.7) Italy

Initiative	<u>Fundamental principles of the statutes of national sports federations and of associated sports disciplines</u>
Lead organisation	Comitato Olimpico Nazionale Italiano - <u>Italian Olympic Committee</u>
Year of publication	2012
Connection to other initiatives	None known

Summary of approach

- There are 15 principles, each with up to about 20 requirements

Key features

The principles are as follows:

1. Community principle
2. Legality
3. Separation of powers
4. Internal democracy on a collective basis
5. Internal democracy on a personal basis
6. Shareholders
7. Eligibility to federal charges
8. Decline of federal bodies
9. Territoriality
10. Protection of the collective interests of companies and sports associations
11. Transparency
12. Free provision of sport
13. Distinction between professional activities and non-professional activities
14. Protection of sports athletes in maternity
15. Sports justice

Examples of the requirements for principle 11, transparency:

- The statutes must provide that the estimated budget and the final budget, to be approved by CONI, are drawn up in compliance with accounting principles
- The annual balance sheet and the reports, after approval by CONI, must be communicated to the entities entitled to vote, or advertised through the federation website

Innovative or noteworthy aspects

- Some specific requirements for each federation's audit committee
- Athletes and coaches should comprise not less than 30% of national federation boards

Evidence/information about implementation

- Not known

4.8) Poland

Initiative	Co-funding programme for the preparation of the national team for the Olympic Games and major championships
Lead organisation	<u>Ministry of Sport and Tourism</u>
Year of publication	2016
Connection to other initiatives	-

Summary of approach

- Obligatory, self-assessment compliance test for about 70 national sports federations which seek public funding
- Required responses to questions are “yes / no / comments”
- Additional funding available for sports federations which perform well across a range of criteria (not just governance)

Key features

There are 19 questions in the compliance test which cover the following topics:

- Annual General Meetings
- Annual reports prepared by the board and presented to members
- Audited financial accounts and selection of auditor
- Disciplinary regulations
- Commercial conflicts of interest
- Separation of commercial and regulatory activity in sports with professional leagues
- Development strategy
- Open publication of statutes and other key documents
- Conflicts of interest between board and other parts of the organisation
- Disciplinary proceedings
- Appeals process for disciplinary decisions via the Polish Olympic Committee
- Licensing/registration system for participants
- Appropriately qualified director of training
- Appropriately qualified secretary general
- Use of public funds
- A profit and loss account should be provided with recovery plans in the event of a loss

Examples of full questions:

- Does the Board of the Association have any members who conduct economic activity that is related to the performance of the statutory tasks of the Association?
- Does the Association have a document which sets out its development strategy and has been adopted by a general meeting of the Association members/delegates?
- Has the Association adopted provisions which make it possible to challenge its final disciplinary decisions to the Court of Arbitration affiliated to the Polish Olympic Committee?

Innovative or noteworthy aspects

- Incentive scheme to reward good performance

- As the test is done by self-assessment it shows how the sports federations perceive themselves
- Conference and workshops to raise awareness and understanding of governance issues among the national sports federations

Evidence/information about implementation

- Completing the compliance test is obligatory for sports federations seeking public funding, although it is not currently a legal requirement
- The Ministry will be ordering a survey among sports federations with a report to follow at the end of 2016

4.9) Interview - Bartosz Baran - Poland

7 July 2016

Organisation:	Ministry of Sport and Tourism
Role:	Head Expert, Department of Auditing and Control
Related initiative:	Sports governance in Poland

1	<p>Please can you tell me about existing sports governance regulations in Poland for funded sports?</p> <ul style="list-style-type: none"> • Until recently, Poland has been lacking in sports governance regulations but there have been some measures to share good practices • This year the Ministry of Sport has introduced a new compliance test for about 70 Polish sports federations which seek public funding • There is also a law governing associations, which is the legal status of sports federations – private bodies similar in requirements to non-profit associations – so they need to comply with this
2	<p>What have been the changes in recent years?</p> <ul style="list-style-type: none"> • There is now an obligation to complete the compliance test in the form of a self-assessment questionnaire (which has been provided in an English translation) • It's the programme of co-funding for the preparation of the national team in the Olympic and Paralympic Games and for various championships • The compliance test is based on governance guidelines • It is one of various obligations for the sports bodies and is obligatory
3	<p>Do you believe that any of the specific elements of sports governance work in Poland represent good practice which other countries could learn from?</p> <ul style="list-style-type: none"> • The Ministry can grant additional funding if there is a positive assessment – rewarding good performance, not just punishing under-performance • As the test is done by self-assessment it shows how the sports federations perceive themselves
4	<p>What do you hope the situation will be for the governance of sports organisations in Poland in 2020 or beyond?</p> <ul style="list-style-type: none"> • In 2015 the Ministry developed good practice case studies based on the EU principles • We held a conference on governance attended by representatives from the Polish sports federations • The recommendations from the conference are now being discussed with the Minister – sports governance is therefore a live subject of debate • The Ministry will be ordering a survey among sports federations with a report to follow at the end of this year
5	<p>Based on your experience, what would be your recommendations to other comparable</p>

countries for promoting good governance in sport at national level?

- Inform sports federations about governance issues to improve their understanding
- Adopt some of the steps we have taken with a compliance test and conferences/workshops for the sports federations
- Consider implementing governance requirements in law – it is only used as an incentive in Poland so poor governance is not always penalised, although this may change in future as there is a new government

Selected insights from the interview:

- New, obligatory self-assessment compliance test established by Ministry of Sport and Tourism in Poland in 2016 for 70 national sports federations which receive public funding (English translation of document provided)
- Possibility of additional funding as an incentive if a sports federations rates highly across various criteria (not just governance)
- But poor governance is not always penalised as the compliance test is not a legal requirement
- Conference on sports governance took place in 2015 with sports federation representatives. Recommendations are being considered by the government
- The Ministry will be ordering a survey among sports federations with a report to follow at the end of this year

4.10) Switzerland

Initiative	Swiss Olympic Code of Conduct
Lead organisation	Swiss Olympic
Year of publication	2012
Connection to other initiatives	Related to IOC Code of Ethics

Summary of approach

- It's a Code of Ethics rather than a Governance Code

Key features

1) Behaviour guidelines, e.g.

- In our professional activities, professionalism, honesty and integrity characterise our actions

2) Our relationships with colleagues and peers

- We do not tolerate discrimination or harassment of any kind

3) Gifts and fees

4) Invitations

5) Corruption, commissions and bribes

6) Lobbying

7) Conflicts of interest

8) Granting and accepting an advantage

9) Sporting bets

10) Fair competition

11) Relations with partners

12) The awarding of contracts

13) Fraud and embezzlement

Financial questions

14) Origin and allocation of financial resources

15) Financial contributions and sponsorship

Acts and Documents

16) Intellectual property

17) Confidentiality

Concerns about potential breaches of the Code of Ethics can be reported to an independent law firm.

Innovative or noteworthy aspects

- Independent law firm in place to receive and handle concerns

Evidence/information about implementation

- Not known

4.11) Australia

Note: Australia is clearly not a member of EPAS. However, the sports governance activity in Australia is openly published and is probably among the leading examples in the world. It therefore seems worth including the details here.

Initiative	Australian Institute of Sport Mandatory Sports Governance Principles
Lead organisation	Australian Institute of Sport
Country	Australia
Year of publication	2015
Connection to other initiatives	The Australian Sports Commission published the first Sport Governance Principles in 2002, which have been updated several times since then

Summary of approach

- There are 21 principles divided into three sections
- Since 2013 the 7 sports receiving the most funding were required to meet the Mandatory Sports Governance Principles
- From 2015 the number of sports expected to comply has increased

Key features

The sections and principles are as follows:

Structure for sport

- Single entity for all forms of the sport
- In a federated structure, all parts work cohesively
- Federation should be a company limited by guarantee

Board composition and operation

- Staggered rotation system for board members with a term limit
- Nominations committee
- Audit and risk committee, including a qualified independent individual
- Chair elected by the board
- Annual board evaluation with external input
- Target of at least 40% gender representation on the board
- All directors to be independent, regardless of whether elected or appointed
- Appropriate skills mix on the board, with potential to appoint individuals to fill gaps
- CEO should not join the board for 3 years after departure as CEO
- Enforced conflict of interest register
- Minimum of 5 board meetings per year

Sport transparency, reporting and integrity

- Publication of legally compliant annual reports
- Consolidated annual accounts to be reported to the Australian Sports Commission
- Rolling three year strategic plans with targets and an operating budget for the next year

- Disclosure of administration expenses, including remuneration
- All information to be provided on a timely basis
- Commitment to integrity measures on anti-doping, protocols for sports science, and match fixing
- Financial and high performance reporting

Innovative or noteworthy aspects

- Annual publication of the [Sports Tally](#) since 2014, an annual health check which provides a rating and commentary for each sport which receives funding on a scale from “underperforming” to “excelling”

Evidence/information about implementation

- There’s an evidence-based annual review process in which each principle is assessed on a scale ranging from ‘not in place’ through to ‘optimised’.

5) Additional interviews

5.1) Interview - João Paulo de Almeida - Portugal

11 July 2016

Organisation:	Olympic Committee of Portugal
Country:	Portugal
Role:	Director General
Related initiative:	Sports governance in Portugal

1	<p>Please can you tell me about existing sports governance regulations in Portugal for funded sports?</p> <ul style="list-style-type: none"> • Sport is not valued so highly as a political and social priority in Portugal – we have one of the lowest rates of participation in the EU, which leads to shortcomings in sporting culture • Heavily reliant on public funding for sport – companies and families don't spend so much money on sport whether as sponsors or participants • So governance requirements are dependent on law and quite burdensome • There are also relevant IF regulations which apply • Sometimes the administrative system in national federations needed to comply with regulations can take resources away from the main aim of developing sport at all levels
2	<p>What have been the changes in recent years?</p> <ul style="list-style-type: none"> • There was a reform in national legislation in 2014 with a revised sports federation regulatory framework for federations which seek public funds • Now elected officials are limited to 3 terms of 4 years, resulting in the introduction of new leaders with a more academic background and a wider perspective – it has been a significant improvement • There is also pressure from IFs to improve governance in areas such as anti-doping, match manipulation and ethical issues. This has raised awareness among sports leaders in Portugal • Reforms provide an opportunity to reduce the administrative burden, allowing federations to reallocate resources to their main task • Growing feeling in Portugal that we need to implement reforms to be competitive internationally • We are reacting, not being proactive – need to change the mindset – think 2 or 3 Olympic cycles ahead
3	<p>Do you believe that any of the specific elements of sports governance work in Portugal represent good practice which other countries could learn from?</p> <ul style="list-style-type: none"> • The NOC has now developed a 12 year strategy to encourage long-term thinking – a big change from 4 year cycles – incentivises federations to plan governance

	<p>for longer-term</p> <ul style="list-style-type: none"> Funding is now managed by the NOC, which negotiates criteria with the sports federations <p>Match-fixing issue</p> <ul style="list-style-type: none"> There's a serious issue with match-fixing. Portugal was the second country to ratify the Council of Europe Convention but the necessary national platform has not yet been set up. Illegal betting and approaches to athletes and officials have been seen both in elite sport and even in youth competitions The NOC has started a programme to raise awareness of the issue and to build capacity within sport to resist, report and recognise problems. A comprehensive approach is needed involving all stakeholders but it is not yet in place We have translated the IOC Code of Conduct on Betting Integrity into Portuguese and are assisting federations which are ready to adopt the Code There are also workshops and training for athletes and coaches Federations will need to have a designated integrity officer
5	<p>What do you hope the situation will be for the governance of sports organisations in Portugal in 2020 or beyond?</p> <ul style="list-style-type: none"> Portugal is making modest steps to improve sports governance now There is now strong pressure from media and international organisations Sports federations know that they need to change and to be ready to tackle corruption, lack of accountability etc. When federations lack resources and face serious debts it's difficult to make governance seem a high priority We need sustainability in the funding model, moving away from over-reliance on public funding Sports betting sector needs to play a more prominent role in funding
6	<p>Based on your experience, what would be your recommendations to other comparable countries for promoting good governance in sport at national level?</p> <ul style="list-style-type: none"> In Spain sport is a higher political priority, which has facilitated active efforts to tackle governance issues such as match-fixing Role of sport in education is vital – if business, political and other leaders have had a positive experience of sport in their youth it will impact their views later on. In Portugal sport doesn't count in school grades which is one reason why it's under-valued

Selected insights from the interview:

- Sport is not a political or social priority in Portugal, which leads to a heavy reliance on public funding and burdensome legal requirements
- If sport was valued more highly at school and pupils had a positive experience early on it would impact on decisions made by leaders in business, government and other sectors later in their lives
- A reform in national legislation in 2014 brought about welcome improvements, such as term limits of 3 x 4 years for officials and a reduced administrative load
- International pressure is leading to efforts to improve governance in areas such as anti-doping, match manipulation and ethical issues
- Recognition in Portugal of the need to reform to be competitive internationally
- The NOC now has a 12 year strategy to encourage longer-term thinking
- Funding decisions are now managed by the NOC, which negotiates criteria with the sports federations
- Match-fixing is a major concern in Portugal. The NOC has taken some steps to try to tackle the issue but a comprehensive approach is needed involving the government, gambling sector and law enforcement
- It's difficult to make governance seem a high priority but progress is being made
- The funding model needs to change, becoming less reliant on public sources and with a bigger contribution from the sports betting sector

5.2) Interview – ministry representative from small country in Eastern Europe

1 July 2016

Organisation:	Government ministry
Country:	A small country in Eastern Europe (The individual spoke on condition of anonymity)
Role:	Government official
Related initiative:	Sports governance in a small country in Eastern Europe

1	<p>Please can you tell me about existing sports governance regulations in your country?</p> <p>There are some legal provisions for legal entities such as clubs and federations:</p> <ul style="list-style-type: none"> • Sporting rules which should be adopted • Bye-laws and commissions which should be in place to provide a governing model • Some requirements for co-financing. Funding available from membership fees, from different levels of government and via gambling authorities • Complex funding arrangements: federations and athletes can apply for funding from: <ul style="list-style-type: none"> ○ National government ○ Municipal government ○ NOC • No clear line between amateur and professional clubs – some amateur clubs have contracts and pay salaries – lack of scrutiny regarding financial accountability and transparency • No special regulations for good governance in sport – only legal requirements and some areas where the sports movement has jurisdiction, such as coaching
2	<p>Are there plans for reform?</p> <ul style="list-style-type: none"> • The sports system is led by the rich and powerful. It's highly political with deep, historical roots so it's unlikely to change: <ul style="list-style-type: none"> ○ Government ministers have senior roles in several sports federations ○ Several of the NOC board members are active politicians • There is no indication that the IOC has intervened regarding the political involvement in sport in this country • It's clearly a conflict of interests to have the same person heading an NGO, in government and president of federation
3	<p>What are the priorities for change?</p> <ul style="list-style-type: none"> • Priority is reduce political involvement in sport • Another issue is lack of representation of athletes and other individuals as opposed to organisations • There are few chances to vote or to be represented at local and national level

4	<p>What do you hope the situation will be for the governance of sports organisations in this country in the future?</p> <p>I'm not very positive – difficult issues to address:</p> <ul style="list-style-type: none"> • Role of rich and powerful has deep roots and spreads from the top to the bottom • There are obstacles to implementation of good governance principles • IOC and IFs act in the same manner as sport in this country but on a different scale • Sports bodies want to operate autonomously in an environment which can't be controlled externally • Commercial activity needs to be kept separate from sports activity to avoid conflicts of interest • Commercial activity should be overseen by relevant national and international legislation <ul style="list-style-type: none"> ○ Laws in Switzerland recognise active but not passive corruption ○ Rules on Politically Exposed Persons need to move from theory to implementation • Match-fixing, doping, human rights violations and other scandals are the consequence of poor governance – the priority is to improve the governance
5	<p>Based on your experience, what would be your recommendations to other comparable countries for promoting good governance in sport at national level?</p> <ul style="list-style-type: none"> • All European countries have a market economy • Need a clear line between profit and non-profit / amateur and high performance sport • Democratic governance has to involve all stakeholders – both organisations and individuals • Sports bodies should have autonomy over sporting rules (length of match, number of players etc.) • Other aspects of the sports body which could impact on human rights or result in the misuse of funds, should be subject to intervention at national or international level, as for other types of organisation • Umbrella bodies in sport such as the IOC should impose regulations
6	<p>Final thoughts</p> <ul style="list-style-type: none"> • Council of Europe can play a useful role even if a convention it establishes is not binding • Convention could recommend a monitoring process for sports governance

Selected insights from the interview:

- It would be helpful if multiple sources of funding could be streamlined: national government, municipal government, NOC
- Politicisation of sport inevitably results in conflicts of interest but it's difficult to see how this can be changed
- Individuals such as athletes and sports officials should be involved in decision-making, not just legal entities
- Autonomy of sport should be restricted to sporting regulations
- Commercial activity in sport should be subject to the usual laws and regulations with appropriate scrutiny
- Issues in sport such as match-fixing, doping and human rights violations are the consequence of poor governance – the priority should be to improve the governance; tackling the symptom will not resolve the underlying issue
- Council of Europe action on sports governance should include a monitoring process for member countries

6) Some other governance initiatives worthy of note

These initiatives have an international focus rather than being driven by EPAS member countries but are relevant as they help set the context for activity at national level.

6.1) ASOIF Principles and Indicators

Formal name and hyperlink	ASOIF Principles and Indicators
Lead organisation	ASOIF
Country	International, based in Switzerland
Year of publication	2016
Connection to other initiatives	Developed from BIBGIS, which used the IOC's Basic Universal Principles of Good Governance as its starting point
Key features	<p>Five principles:</p> <ol style="list-style-type: none"> 1) Transparency 2) Integrity 3) Democracy 4) Sport Development and Solidarity 5) Control mechanisms <p>Each principle is accompanied by ten measurable indicators, e.g. for principle 1:</p> <ul style="list-style-type: none"> • Make public vision, mission, values and strategic objectives • Make public a list of all member federations providing basic information for each • Make public all elected officials with biographical info <p>Note: At the time of conducting research, the proposed scoring system has not yet been published</p>

6.2) EU Principles of Good Governance in Sport

Formal name and hyperlink	EU Principles of Good Governance in Sport
Lead organisation	EU Expert Group
Country	EU
Year of publication	2013
Connection to other initiatives	
Type of organisation targeted	These principles seek to provide an outline for the whole sports movement, not just governing bodies or event owners
Key features	<p>Principles are listed under these groupings:</p> <ol style="list-style-type: none"> 1) Clarity of purpose, objectives 2) Code of ethics 3) Stakeholder identification and roles

	<ul style="list-style-type: none"> 4) Democracy and minimum standards 5) Delegation and committees 6) Management 7) Judicial / disciplinary procedures 8) Inclusivity and youth engagement 9) Statutes, rules and regulations 10) Accountability and transparency
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6.3) Sports Governance Observer

Formal name and hyperlink	Sports Governance Observer
Lead organisation	Play the Game
Country	Denmark / International
Year of publication	2015
Connection to other initiatives	Similar approach and methodology to BIBGIS
Type of organisation targeted	International federations
Key features	<p>36 indicators are divided among 4 dimensions:</p> <ul style="list-style-type: none"> 1) Transparency and public communications 2) Democratic process 3) Checks and balances 4) Solidarity <p>Each indicator is scored on a scale from 1 (not fulfilled) to 5 (state of the art)</p> <p>The Sports Governance Observer team produced and published an analysis of all 35 Olympic international federations.</p>

6.4) Basic Indicators for Better Governance in International Sport

Formal name and hyperlink	Basic Indicators for Better Governance in International Sport
Lead organisation	IDHEAP, University of Lausanne
Country	Switzerland / International
Year of publication	2013
Connection to other initiatives	Based on IOC Basic Universal Principles of the Olympic and Sports Movement
Type of organisation targeted	International federations
Key features	<p>There are 7 dimensions:</p> <ul style="list-style-type: none"> 1) Organisational transparency 2) Reporting transparency 3) Stakeholders' representation 4) Democratic process 5) Control mechanisms 6) Sport integrity 7) Solidarity

	<ul style="list-style-type: none"> - There are 9 indicators for each of the dimensions - Each indicator is scored from 0 (indicator not fulfilled) to 4 (totally fulfilled in a state of the art way)
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6.5) IOC Basic Universal Principles of the Olympic and Sports Movement

Formal name and hyperlink	<u>IOC Basic Universal Principles of the Olympic and Sports Movement</u>
Lead organisation	IOC
Country	Switzerland / international
Year of publication	2008
Connection to other initiatives	-
Type of organisation targeted	All organisations in the Olympic Movement
Key features	<p>Over 100 principles are grouped into these categories:</p> <ol style="list-style-type: none"> 1) Vision, mission and strategy 2) Structures, regulations and democratic process 3) Highest level of competence, integrity and ethical standards 4) Accountability, transparency and control 5) Solidarity and development 6) Athletes' involvement, participation and care 7) Harmonious relations with governments while preserving autonomy <p>There is no reference to a measurement or monitoring system.</p>

6.6) International Sports Integrity Partnership

Formal name and hyperlink	International Sports Integrity Partnership (press release)
Lead organisation	Led by IOC
Country	Switzerland / international
Year of publication	Planned for 2017
Connection to other initiatives	Anti-Corruption Summit on 12 May 2016
Type of organisation targeted	Not yet defined
Key features	<ul style="list-style-type: none"> - A planned partnership of international sports organisations, governments and relevant international bodies - Governments will support and strengthen efforts to implement high standards of transparency and good governance, and to help eliminate corruption from sport - Good governance within national sports organisations is to be encouraged (including through educational and capacity building initiatives) - Information sharing should be improved between international sports organisations and law enforcement agencies - Legislative or other measures will combat match-fixing, illegal betting and doping - Whistleblowers will be protected - The definition of Politically Exposed Persons may be extended to include senior members of international sports federations - International organisations will help by developing codes of best practice and international legal frameworks

6.7) Support the Implementation of Good Governance in Sport (SIGGS)

Formal name and hyperlink	Support the Implementation of Good Governance in Sport
Lead organisation	European Olympic Committee
Country	EU
Year of publication	Planned for 2017
Connection to other initiatives	EU-funded study building on the Sport for Good Governance project in 2011-12
Type of organisation targeted	National Olympic Committees and national sports federations
Key features	Governance self-assessment tool being developed for National Olympic Committees and national sports federations

6.8) Interview - Matthias van Baelen - SIGGS

1 July 2016

Organisation:	European Olympic Committees EU Office
Country:	Belgium / EU
Role:	Deputy Director, European Olympic Committees EU Office
Related initiative:	SIGGS

1	<p>Please could you give me a brief overview of the SIGGS project?</p> <ul style="list-style-type: none"> • This is the second EU-funded project after “Sport 4 Good Governance” in 2011-12, which was before the EU principles of good governance had been produced • The aim was to raise awareness of the IOC basic universal principles of good governance • The output contributed to the creation of the EU principles • There was a self-assessment tool but it was limited to 14 questions • This provided the motivation for the SIGGS project • Aim is to develop a tool tailor-made for NOCs and national federations • Tool is due in November and is based on self-assessment • 4 principles: <ul style="list-style-type: none"> ○ Integrity ○ Autonomy and Accountability ○ Transparency ○ Democracy, inclusivity and participation • Specific action plans are created taking into account the level of development of the organisation • Strategic workshops are taking place in each different country • Strategy and good practice examples are discussed
2	<p>What are the ambitions for SIGGS?</p> <ul style="list-style-type: none"> • Direct support should be provided to a good number of federations in each country, who may then encourage others to work on their governance • Ambition is for this methodology to be spread to other countries • EOC intends to promote the project to the NOCs, who can share with their members
3	<p>In your research so far, what have you found to be the biggest areas of concern among participant countries in relation to sports governance?</p> <ul style="list-style-type: none"> • It's a diverse group of countries but similar issues appear, even if the overall level varies • Integrity – usually the biggest challenge – match-fixing prevention is not well developed, also risk management • Transparency – not so bad, some legal requirements exist in participant

	<p>countries for publishing certain information</p> <ul style="list-style-type: none"> • Democracy / inclusivity – good scores in 3 out of 5 criteria, 2 poor scores – gender equality and liaison with athletes (services and involvement) • HR/volunteer management is recognised as an issue in some countries
4	<p>Are there big differences in the areas of concern between participant countries?</p> <ul style="list-style-type: none"> • It depends on the NOC • The mix of responsibilities among the NOC, sports confederation and government is informative in each country – leverage and power are linked to funding • To implement a governance initiative without a funding lever is very difficult
5	<p>Any other comments?</p> <ul style="list-style-type: none"> • Important question is to monitor using self-evaluation or external audit • SIGGS methodology is tailored to a specific level of development, which encourages honesty – we are seeing that self-evaluation can work • We need to be careful about confidentiality – if results from analysis in a particular country are shared with the NOC it's on a cumulative basis so that they can't be identified • Audits don't take account of culture • The principle of transparency is more than being willing to publish documents

Selected insights from the interview:

- EOC is expected to promote the SIGGS tool among the European NOCs from November
- There are often similar weaknesses in governance, even among countries with different levels of development
- Among the four principles:
 - Integrity is usually the biggest issue – match-fixing prevention is a significant issue
 - Transparency scores fairly well due to legal requirements to publish information
 - Democracy, inclusivity and participation – good scores in 3 areas, poor for gender equality and liaison with athletes
- The mix of responsibilities among the NOC, sports confederation and government is informative in each country – leverage and power are linked to funding
- To implement a governance initiative without a funding lever is very difficult
- A self-evaluation process can work if it is set up the right way
- External audits inevitably don't take account of everything, such as internal culture
- The principle of transparency is more than being willing to publish documents



7) Appendices