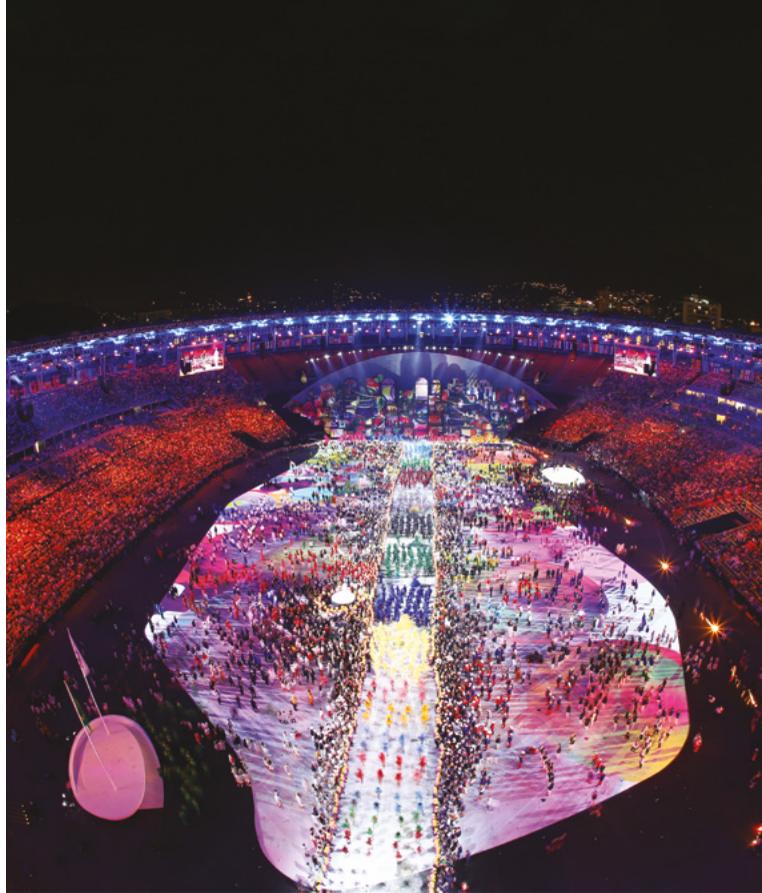




THIRD REVIEW OF INTERNATIONAL FEDERATION GOVERNANCE

ASOIF GOVERNANCE TASKFORCE | JUNE 2020







Foreword



The publication of this review of International Federation (IF) governance marks the third and final study of our Olympic cycle. Originally due for publication at the ASOIF General Assembly in spring 2020, our Governance Taskforce (GTF) and the ASOIF Council thought it essential to publish the results while they remain relatively up-to-date and to share the substantial progress that has been made.

The IFs, once again, took the 2019-20 study very seriously and provided full responses. Many IFs have made use of the services of ASOIF's Governance Support and Monitoring Unit (GSMU) and benefitted from tailored workshops, best practice examples and guidelines. The interval since the previous study has allowed the ASOIF members time to move from the adoption of principles and transparency measures towards the implementation of more complex policy and constitutional changes.

The ambitious targets which we set ourselves back in 2018 have broadly been met and the top performing IFs score extremely well on the questionnaire. Indeed, almost all of the IFs have made substantial progress since the first review in 2016-17. We are highly encouraged by the concerted efforts of many IFs to improve their governance.

Governance is a continually evolving concept and public scrutiny of sport organisations rightly remains high. In acknowledgement of this, we have, as agreed at the 2019 ASOIF General Assembly, been more transparent around the results and IFs are identifiable in the report for the first time.

First established in November 2015, the GTF's work has been widely recognised by the public authorities, the Council of Europe, expert commentators and the media but we must continue to advance. The environment in which IFs operate is today even more complex, particularly as we adapt to the challenging and far-reaching implications of COVID-19. Sport has to be well governed in order to thrive and be credible.

We know well that when one sport is involved in controversy, it affects us all. We must therefore strengthen the integrity and credibility of our organisations and push ourselves to address both existing challenges and emerging topics. We need to maintain our collective focus and ASOIF is ready to play its part. Our mission is to protect and defend the common interests of ASOIF's members and to provide added value to the wider Sport and Olympic Movement.

ASOIF's third governance report closes this phase of our governance project but we will, once again, follow up individually with each member federation on their scores and ensure that IFs with ambitions to further improve are fully supported by the GSMU.

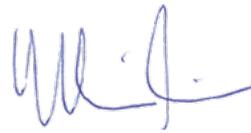
We all recognise that the actions and behaviour of people within an organisation play a large role in determining how it operates in practice, not just on paper. It is for this reason ASOIF has plans to conduct an organisational culture pilot project to provide IFs with a tailor-made and state-of-the-art process to better understand and optimise their culture.

In addition, ASOIF will continue to participate with a wide range of stakeholders in the International Partnership Against Corruption in Sport (IPACS).

IPACS has agreed that the ASOIF model, which has now been used by more than 100 sporting federations, will be the basis for an internationally recognised benchmark for sports governance, which is now under development.

On behalf of ASOIF, we would like to thank the political leadership and professional staff of the IFs for their continued commitment and co-operation in this vital area.

Special thanks also to the experts in the GTF, the International Olympic Committee, I Trust Sport and ASOIF staff members for their hard work and diligence in preparing this report.



Francesco Ricci Bitti
ASOIF President



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1. Executive summary

1.1 Background

This document is a report on the third review of International Federation (IF) governance led by the Governance Taskforce (GTF), established by the Association of Summer Olympic International Federations (ASOIF).

In the context of evidence of cases of mismanagement of major sporting bodies, the ASOIF General Assembly in 2016 mandated the GTF to assist the 28 summer IFs to promote a better culture of governance to help ensure that IFs are fit for purpose, or rapidly achieve that status.

Building on the previous reviews published in 2017 and 2018, the evaluation for 2019-20 took the form of a self-assessment questionnaire with independent moderation of the responses. The questionnaire consisted of 50 measurable indicators covering five principles or sections: Transparency, Integrity, Democracy, Development and Control Mechanisms.

The questionnaire was slightly revised for 2019-20 with the aim of ensuring it was up to date but also remained comparable to the earlier editions. It incorporated two new indicators on safeguarding and data protection/IT security with some amendments elsewhere, which were mostly minor.

Thirty-two questionnaires were distributed on 6 November 2019 with a submission deadline of 15 January 2020. In the end, 31 responses were received

and one IF declined to participate. The moderation process ran from early January to 19 February, resulting in mark-downs for the majority of IFs. However, the moderated scores of eight IFs varied by no more than a fraction from their self-assessed totals. All of the information therefore relates to the period before the COVID-19 crisis.

1.2 Targets set 2019-20

Ahead of the third assessment, the GTF established a target score of 120 (out of a theoretical maximum of 200 – 50 indicators each scored out of 4) to be achieved by at least 26 of the 28 Full Members of ASOIF and a target score of 100 for the five Associate Members.

As baseline measures, 19 out of 33 IFs were below the 120-point threshold in 2018, including all five Associate Members. In fact, nine of the IFs achieved a total score of less than 90.

1.3 Headline findings 2019-20

Total moderated scores among the IFs varied from 84 to 187. IFs were divided into groups based on their total score as follows:

The top group, A1, comprises six IFs which stood out from the rest, scoring 170 or more. Eight IFs make up A2 with scores between 140 and 158. Group B contains 11 IFs closely packed between 123 and 137 (the lower boundary was set at 120 but the lowest-scoring IF in the group was on 123). Finally, there were six IFs below that level, in group C. It is acknowledged that the scoring has a margin of error. Two of the IFs in group C finished with moderated scores of 119 and must therefore be regarded as borderline. However, as the target was set at 120, they have been allocated to group C.

Among the four Associate Members involved in the study, one was in group B, one was above 100 but in group C, a third was just below the target score of 100 and one IF did not achieve that score.



Total scores in groups (out of theoretical maximum of 200)



* Associate Members

Note that IFs are listed in alphabetical order within groups, not in score order.

1.4 Changes since previous studies

There have been some large improvements since the first study in 2016-17. Seven out of the 27 IFs that were involved in both reviews have increased their score by more than 50, which implies an average change of more than 1 point for each of the 50 indicators. The median change is 42 and almost all IFs have seen significant increases. It is probably more difficult for those IFs close to the top of the rankings to make significant advances in their scores.

Since the most recent assessment in 2017-18, 18 of the 31 IFs have improved by 20 points or more and a further nine have gained more than 10 points. Middle- and lower-ranking IFs tended to see the largest gains, although there were exceptions. Scores in the Transparency section improved more than the others.

1.5 Impact of the IF size on scores

Two multiple choice indicators were included to help categorise IFs by number of staff and annual revenue. Eleven IFs had fewer than 20 staff and, at the other end of the scale, five had over 120. Grouping by revenue,

there were six IFs with less than 4m CHF annual income from 2016-20. In the top category, five IFs earned over 50m CHF per year.

An analysis of average scores by revenue group shows apparent correlation between IFs with more revenue and a higher overall moderated score. For example, the mean score for IFs with under 8m CHF in annual revenue was about 123, compared to 144 for the next grouping, covering 8m to 20m CHF. Meanwhile, the five IFs with over 50m CHF in revenue averaged a score of 160.

A similar pattern is evident when comparing IFs by staff numbers. There is a marked difference between the average score of about 131 among IFs with fewer than 50 staff and the mean score of 162 for those with more than 50.

Some caution is needed in these comparisons, however, as sample sizes are fairly small.

Despite the clear correlation, there were exceptions as some IFs with more limited resources ‘over-performed’ and a handful of larger IFs ranked closer to the lower end of the scale.

1.6 Key findings on specific governance issues

- ▼ Most IFs published strategies of some description with 12 demonstrating that they are tracking progress towards measurable targets, up from six in the last assessment.
- ▼ 25 out of 31 IFs published at least one set of annual, externally audited accounts, an increase from two years ago. However, the level of detail in published accounts varies from very extensive to very brief. Six IFs published either partial financial information or none.
- ▼ 16 IFs published some type of policy regarding allowances and expenses for officials and senior staff, a significant advance on the nine IFs providing a similar level of detail in 2018.
- ▼ As in 2017-18, only one IF had a board that was over 40% comprised by women; 12 IFs had boards between 25% and 40% female in composition, plus rules or a policy to encourage better gender balance – an increase on nine IFs at this level in 2018; for 10 IFs the proportion was between 15% and 25%; eight IFs had fewer than 15% of their board composed by women.
- ▼ Quite a few IFs have been implementing confidential reporting mechanisms for whistleblowers in recent times. Fifteen IFs provided at least an email address or online reporting form with an option to remain anonymous (although some without an adequate level of encryption/protection). A further 11 could demonstrate that a system was in place and that action had been taken in response to reports. These are significant increases on the previous assessments.
- ▼ 15 out of 31 IFs were able to show that they had a safeguarding policy consistent with IOC guidelines that was being implemented. In most cases, the main IF activity has started within the last two years. Five IFs had not yet adopted a policy although all were working on one.
- ▼ 22 out of 31 IFs have some type of term limit in place for elected officials. Usually, this is a limit of three terms of four years for the president and sometimes for other officials. Some IFs have exemption clauses or permit individuals to serve for a much longer period if they move from one role to another. Several IFs have introduced term limits since the 2017-18 assessment.
- ▼ Campaigning rules are gradually being developed by more and more IFs. Twenty IFs had reasonably detailed regulations for candidates but only three included any reference to campaign financing.
- ▼ Nine IFs demonstrated that they have formal legacy programmes and resources available for communities in which events are hosted. Eleven IFs do very little in this area, perhaps beyond a reference to legacy or community engagement in event bidding documentation.
- ▼ IFs are paying growing attention to sustainability issues. Sixteen IFs implemented specific measures, up from nine in the 2017-18 review. These included detailed instructions for event hosts and dedicated sustainability strategies. Six IFs demonstrated little relevant activity, perhaps beyond a brief reference in the Constitution.
- ▼ A number of IFs have been revising the composition and procedures for their ethics committees in recent times. Nine IFs demonstrated that they have a state-of-the-art ethics committee with a majority of independent members, appropriate rules of procedure and the power to propose sanctions.
- ▼ Five, mostly larger, IFs had accounts audited using IFRS standards and four used GAAP for the country in which they are based. The majority of IFs that take the form of voluntary associations based in Switzerland used one of several other standards.
- ▼ Scores were variable on several indicators covering the general area of financial management and controls, both relating to the IFs themselves and to development activity.

1.7 Impact of term limits

On average, an IF with some type of term limit in place achieved a total score of about 146. By contrast, the average score for IFs without term limits was 123. Across the 13 IFs in groups A1 and A2 (each with an overall score over 140), only two did not have term limits of any description. These findings are consistent with the two previous studies.

In recent years, term limits have been introduced by several IFs as one component of a package of governance reforms, which may partly explain the notable difference in scores between those with and without term limits.

1.8 Conclusion

The ASOIF GTF is highly encouraged but not fully satisfied by the concerted efforts by many IFs to improve their governance. Almost all of the IFs studied have done significant work in the two years since the previous assessment and there is considerable progress since the first study in 2016-17.

The target of 26 out of 28 Full Members reaching an overall score of 120 has virtually been met with 24 out of 27 that took part above the threshold, two very close to that level and one below it. Meanwhile, the four Associate Members that participated in the study have also advanced, albeit at uneven rates, with two now scoring well above 100, one close to that level and one below it.

The study has shown that there is a correlation between higher scores in the assessment and IFs



with greater resources in terms of staff and financial revenue, but several IFs employing fewer than 20 staff proved that it is possible to reach high standards with more limited resources and there were also examples of larger IFs that did not perform so well.

At the time of writing sport faces unprecedented challenges, along with the rest of society. Even during the period of the assessment, before the current crisis, it was clear that the environment in which IFs operate was going to become more complex and subject to more scrutiny as time goes on. Sports need to be well-governed to give themselves a better chance of thriving.

Now that a culture of working on governance seems well-established among IFs, it is to be hoped that the momentum will be maintained to tackle a number of areas where there is still significant room for improvement.

1.9 Next steps

The ASOIF GTF will continue with the governance assessment project, distributing good practice examples drawn from the study and offering meetings with individual IFs to review specific findings. A pilot study on organisational culture in IFs is planned and a new assessment exercise will be scheduled.



2. Background and objectives

This document is a report on the third review of International Federation (IF) governance led by the Governance Taskforce (GTF), which was established by the Association of Summer Olympic International Federations (ASOIF) in November 2015.

In the context of evidence of cases of mismanagement of major sporting bodies, the ASOIF General Assembly in 2016 mandated the GTF to assist the 28 summer IFs to promote a better culture of governance to help ensure that IFs are fit for purpose, or rapidly achieve that status.

The GTF conducted the first evaluation of the governance of the 28 IFs between November 2016 and March 2017 using a self-assessment questionnaire¹ with independent moderation of the responses. The questionnaire consisted of 50 measurable indicators covering five principles or sections: Transparency, Integrity, Democracy, Development and Control Mechanisms. There was also an accompanying background section, which is not scored.

A report on the results² was presented and published at the ASOIF General Assembly. The exercise was repeated in 2017-18 with an updated questionnaire, culminating in a second report³ at the 2018 General Assembly.

It was clear from the second review that many IFs had made worthwhile advances, but the progress was uneven and significant gaps remained. In October 2018, the GTF decided to establish the Governance Support and Monitoring Unit (GSMU), administered by ASOIF, to help IFs move from the adoption of principles and rules to tangible improvements in governance.

Over the course of a year or so, more than 20 IFs were provided with support in different forms. A set of guidance on governance 'quick wins' was produced and made available⁴, providing practical examples of good practice drawn from among the IFs. In some cases, there were specific questions from IFs on topics such as planned constitutional changes. A small number of IFs took the opportunity to undergo a full, interim review in 2019 to gauge progress and help identify priority areas for development.

With the aim of maintaining impetus, before launching a third assessment exercise, the GSMU established a target score of 120 (out of a theoretical maximum of 200) to be achieved by at least 26 of the 28 Full Members of ASOIF⁵ and a target score of 100 for the five Associate Members.

As baseline measures, 14 out of 33 IFs were at or above the 120-point threshold in 2018 and 19 were below it, including all five Associate Members⁶. In fact, nine of the IFs in total achieved a total score of less than 90.

After a one-year break to allow IFs time to implement governance changes, the GTF launched the third assessment process in November 2019.





¹ ASOIF Governance Taskforce - International Federation Self-Assessment Questionnaire (2016):

http://www.asoif.com/sites/default/files/download/if_governance_questionnaire.pdf

² ASOIF Governance Taskforce – First Review of International Federation Governance (2017):

http://www.asoif.com/sites/default/files/download/first_review_of_if_governance_2017.pdf

³ ASOIF Governance Taskforce – Second Review of International Federation Governance (2018):

http://www.asoif.com/sites/default/files/download/asoif_2018_second_review_v4_interactive.pdf

⁴ ASOIF Governance Support and Monitoring Unit Guidance Document on Governance “Quick Wins”:

http://www.asoif.com/sites/default/files/download/gsmu_-_governance_quick_wins_guidance_document_-_5_apr.pdf

⁵ At the time of the assessment, the International Boxing Association (AIBA) was in the process of major organisational changes and therefore did not take part in the exercise, reducing the number of Full Members involved to 27

⁶ See Second Review of IF Governance, page 12

3. Methodology

As for the previous reviews, the governance assessment took the form of a self-assessment questionnaire to be completed by each IF. The questionnaires were distributed by ASOIF by email on 6 November 2019 with a deadline for response of 15 January 2020. IFs were asked to determine a score for each question and to provide explanatory evidence, such as a hyperlink to a relevant page or document on the website. In some cases, supplementary documents were provided to ASOIF on a confidential basis (far more documents were supplied than for the previous editions). To aid IFs and to avoid unnecessary duplication of work, the questionnaires that were distributed incorporated both the responses of the IF to the indicators in 2017-18 and the moderated scores and comments.

Thirty-one IFs submitted completed questionnaires. The World Karate Federation declined to take part. As noted above, the International Boxing Association (AIBA) did not participate due to major organisational changes in process during the period of the assessment. Of the 31 responses, 18 were received by the deadline on 15 January with the remainder arriving in the following days (see section 19 below for the full list).

Fourteen of the 31 IFs identified their most senior staff member as the lead respondent (CEO, Director General, Secretary General or equivalent title). Fifteen IFs named a senior manager or director with responsibility for legal affairs or governance (Director of Governance/Legal or equivalent title). Two IFs left the respondent field blank.

It is presumed that other staff members contributed material in their areas of responsibility, but the senior level of respondents suggests a continued recognition of the importance of governance within IFs.

Once received, the questionnaire responses submitted by all of the IFs were independently moderated.

One of the GTF's priorities for the project was to be fair and consistent in assessing all IFs. Given the tight timetable, which allowed for about one working day to review each questionnaire, it was intended that the questionnaire response should be self-contained, without the need for a meeting or call to provide extra information. All of the information therefore relates to the period before the COVID-19 crisis.

3.1 Scoring system

The scoring system implemented was the same as for the previous projects. Each of the 50 indicators in the questionnaire incorporated a separate definition for scores on a scale of 0 to 4. The scores in each case were designed to assess the level of fulfilment of the indicator by the IF, as follows:

0 – Not fulfilled at all

1 – Partially fulfilled

2 – Fulfilled

3 – Well-fulfilled according to published rules/procedures

4 – Totally fulfilled in a state-of-the-art way

IFs were asked to provide evidence to justify their scores.

The intention of the scoring is that 3 or 4 on any indicator equates to a 'good' performance. A score of 2 signifies that the IF reaches an adequate level. The implication of a score of 0 or 1 is that there is more work to be done, although decisions on which areas of governance to prioritise will vary from one IF to another.

3.2 Changes to questionnaire since 2017-18

The first edition of the questionnaire in 2016-17 served its purpose in differentiating between standards of governance among IFs and in highlighting both good and poor practices. However, it was essentially a pilot study. The questionnaire lacked clarity in places and there were differences in the interpretations of a few indicators by the respondents. Inconsistencies were dealt with as far as possible in the moderation process.

For 2017-18, the GTF took the opportunity to amend the questionnaire based on the experience of the first assessment and on feedback received.

Ahead of the 2019-20 assessment, the questionnaire⁷ was again updated to take account of priority governance topics and improve clarity. An important objective was to limit the number of substantive changes to ensure that a degree of comparison would be possible between years, and to reduce the need for IFs to repeat work.

Two of the 50 questions were replaced and one was substantially amended. There was slight re-numbering as a consequence. Elsewhere, the wording of some indicators and of scoring definitions was edited in response to feedback. Notably, several indicators regarding compliance with the Olympic Movement Code on the Prevention of the Manipulation of Competitions and other aspects of integrity were amended following input from the IOC. It is believed that the net outcome of the amendments to the questionnaire was neutral – neither more stringent nor more lenient overall.

Adjustments were also made to multiple-choice questions in the background section about the number of staff and size of revenue of IFs to assist with grouping IFs in order to enable fairer comparison.

Details of the changes to the questionnaire are explained in section 21.

3.3 Independent moderation

As for the previous editions, ASOIF appointed sports governance consultancy I Trust Sport to support the project. I Trust Sport's task was to review the questionnaire responses; to moderate the scores to ensure as much consistency as possible; and to produce analysis for this report.

Scores were checked against the defined criteria in the questionnaire for each indicator for all 31 responses between 6 January and 19 February 2020. Evidence provided by IFs was also checked (such as references to clauses in the Constitution or specific web pages) and, where evidence was absent or incomplete, additional information was researched from IF websites. Supplementary documents provided on a confidential basis were taken into account as appropriate.

When necessary, scores were adjusted up or down to reflect the independent assessment of the moderator, based on the evidence available. The aim was to be consistent and fair.

For this third edition of the questionnaire the quality of the responses received was noticeably improved on 2018, which was in turn better than the first iteration in 2016-17. As one example of the efforts put into responding, the volume of supplementary documents provided by IFs with the questionnaires grew significantly and there was also a sizeable increase in the number of governance documents available to download from IF websites, such as policies in specific areas and General Assembly documents.

Further details of the moderation process are explained in section 22.

⁷ ASOIF Governance Taskforce – International Federation Self-Assessment Questionnaire (2019):

http://www.asoif.com/sites/default/files/download/third_if_governance_self-assessment_questionnaire_2019-2020.pdf

3.4 Outcomes of moderation

Table 1: Change in scores after moderation

All 31 IFs	Self-assessed	Moderated
Mean total	152.1	139.6
Median total	151	134
Mean for indicator (out of 4)	3.04	2.79

	2019-20 (31 IFs)	2017-18 (33 IFs)	2016-17 (28 IFs)
Maximum increase	2	3	23
Maximum decrease	-46	-44	-81
Mean change	-13	-15	-18
Median change	-9	-13	-12.5

(*) Note on mean and median: The mean is the sum of the figures divided by the number of figures (so divided by 31 to calculate a mean score for each IF). The median is the mid-point when a set of numbers are listed from smallest to largest (so the 16th if 31 IF scores are being considered). The median is less impacted than the mean by an unusually high or low number in the series. Both mean and median are used in this report.

The total moderated scores of all but three of the IFs were lower than the self-assessed scores. With 31 IFs responding, and multiple staff probably completing different sections of the questionnaire, it is understandable that there was variation in the approach to writing answers, which the moderation process attempted to address. The fact that quite a number of scores were moderated down should not be interpreted as a criticism of the work of the

IFs in completing the questionnaire. As ASOIF acknowledges, the scoring is not a scientific process. Nevertheless, the amendments made to the questionnaire seemed to result in a higher quality of response. The fact that IF answers and moderation comments from the previous edition were also provided probably contributed to this improvement.

The mean and median changes to scores in the moderation process of -13 and -9 respectively were fractionally smaller than in 2017-18 (-15 and -13) and the mean score reduction is down from -18 in the 2016-17 study. In quite a few cases in the latest assessment the self-assessed and moderated scores were very similar – for eight IFs the overall difference was no more than 5 points. At the other extreme, two IFs were marked down by more than 30 points and a further four had a reduction in the moderated score of between 20 and 30.

On average, the highest-scoring IFs tended to have smaller mark-downs.

Considering the IFs collectively, it looks as if the responses to the assessment questionnaire have become more thorough and more accurate from 2017 to 2020, perhaps indicating increased attention to governance.

Due to the scoring method adopted for the questionnaire, percentage calculations are potentially misleading and should not be used.

Note that all of the analysis that follows from section 4 onwards is based on moderated scores, not self-assessed scores.

3.5 Allowing a margin of error

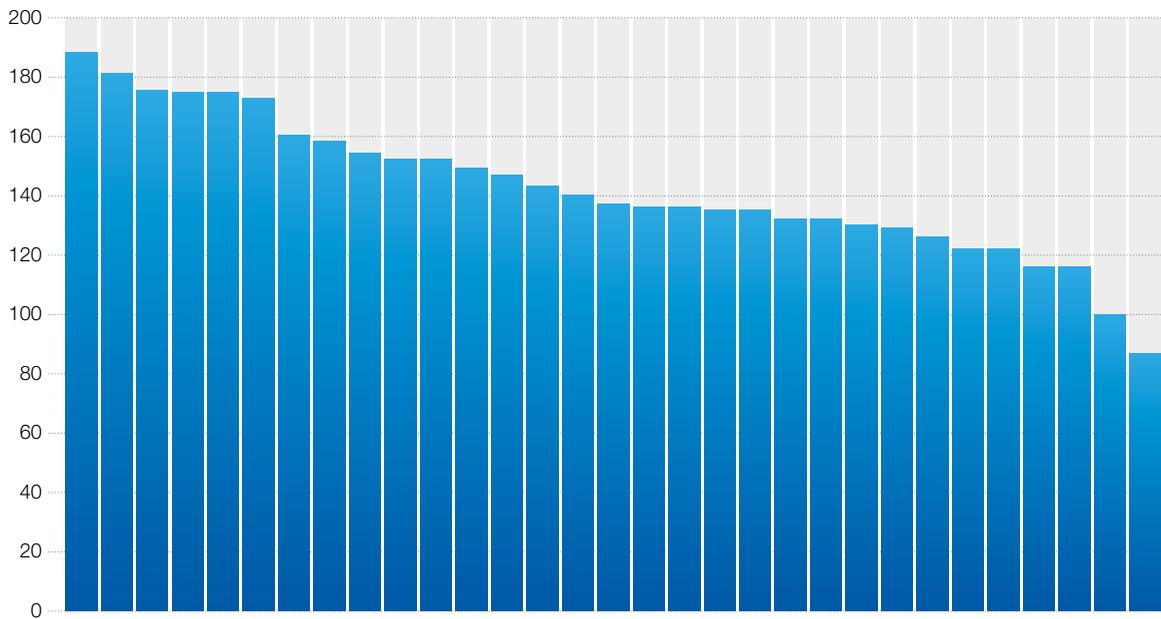
The scoring system gave the analysis a degree of objectivity. However, in many cases there was room for debate.

On the basis that some judgements could be debatable, each IF total score should be understood to have a margin of error of -5 to +5. A margin of error of -7 to +7 was adopted for the previous editions. The choice of a narrower band this time reflects the improved understanding of the process by IFs and the full responses that most provided.

4. Headline findings

Figure 1: Overall moderated scores

Total score (out of theoretical maximum of 200) for all 31 IFs



Each bar in the chart represents the total score of one IF. The scores for individual IFs varied considerably, from 84 to 187.



4.1 Overall moderated scores and allocation of IFs into groups

The moderated scores of the IFs are identified within groups as depicted above.

The threshold for the top group, A1, has been set at 170; this is because there was a significant gap in the spread of scores, with no IFs within a few marks below that score. With only six IFs reaching this level, it is an exclusive group. A score of 175 represents an average of 3.5 out of 4 for all 50 indicators.

The A2 band starts at 140 and ranges up to 158, with several IFs hovering around a score of 150, an average of 3 out of 4 for each indicator.

Group B covers scores from 120, the target threshold set by the GTF for Full Members, to 137. Eleven IFs are in this group, fairly tightly packed. The lowest-ranking IF in the group achieved a score of 123.

Finally, group C comprises six IFs that scored between 84 and 119. It is acknowledged that the scoring has a margin of error. Two of the IFs in group C finished with moderated scores of 119 and must therefore be regarded as borderline.

Table 2: IF scores and allocation into groups A1, A2, B and C

Group	Score range	IFs
A1	170 to 187	BWF FEI FIFA ITF UCI World Rugby
A2	140 to 158	FIBA FIE ITTF ITU UWW World Athletics World Sailing WT
B	120 to 137	FIG FIH FISA FIVB ICF IFSC* IGF IHF ISSF UIPM World Archery
C	84 to 119	FINA IJF ISA* IWF WBSC* World Skate*

Figure 2: IF scores and allocation into groups A1, A2, B and C

Total scores in groups (out of theoretical maximum of 200)



*Associate Member

Note that IFs are listed in alphabetical order within each group, not in score order.



*Associate Member

Table 3: Allocation of Associate Members into groups

Group	Score range	Above or below 100?	IFs
B	120 to 137	Above	IFSC
C	84 to 119	Above	WBSC
C	84 to 119	Below	ISA World Skate

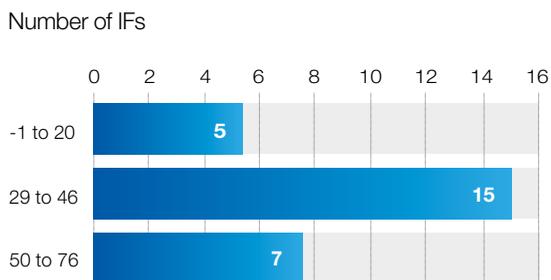
4.2 Rationale for method of publishing scores

The GTF made the decision to publish IF scores in groups for the 2019-20 assessment in order to provide more information about the performance of IFs publicly. IFs were given advance notice that there would be greater visibility of scores for this third review. As the exercise is not fully objective and comparisons between one IF and another may not always be fair (see more in section 17), it was not believed appropriate to publish full details. In the previous assessments IF scores were not identified.

For the Associate Members, the target set was 100. Two of the four IFs studied scored comfortably above this level, with one reaching group B. A third IF was just below the line and one was lower.

5. Summary comparison with previous studies

Figure 3: Increase in moderated score from 2016-17 to 2019-20 (27 IFs)



Increase in score from 2016-17 to 2019-20

There have been some large improvements since the first study in 2016-17. Seven out of the 27 IFs that were involved in both reviews have increased their score by more than 50, which implies an average

Table 4: Increase in moderated score from 2016-17 to 2019-20 (27 IFs)

Increase in score from 2016-17 to 2019-20	IFs
-1 to 20	5
29 to 46	15
50 to 76	7

change of more than 1 point for each of the 50 indicators. The median change is 42 (mean 39) and almost all IFs have seen significant increases. The evidence suggests that it is probably more difficult for those IFs close to the top of the rankings to make significant advances in their scores.



Figure 4: Scale of improvement in moderated scores 2016-17 to 2019-20 (27 IFs)

IF score out of 200 in each study

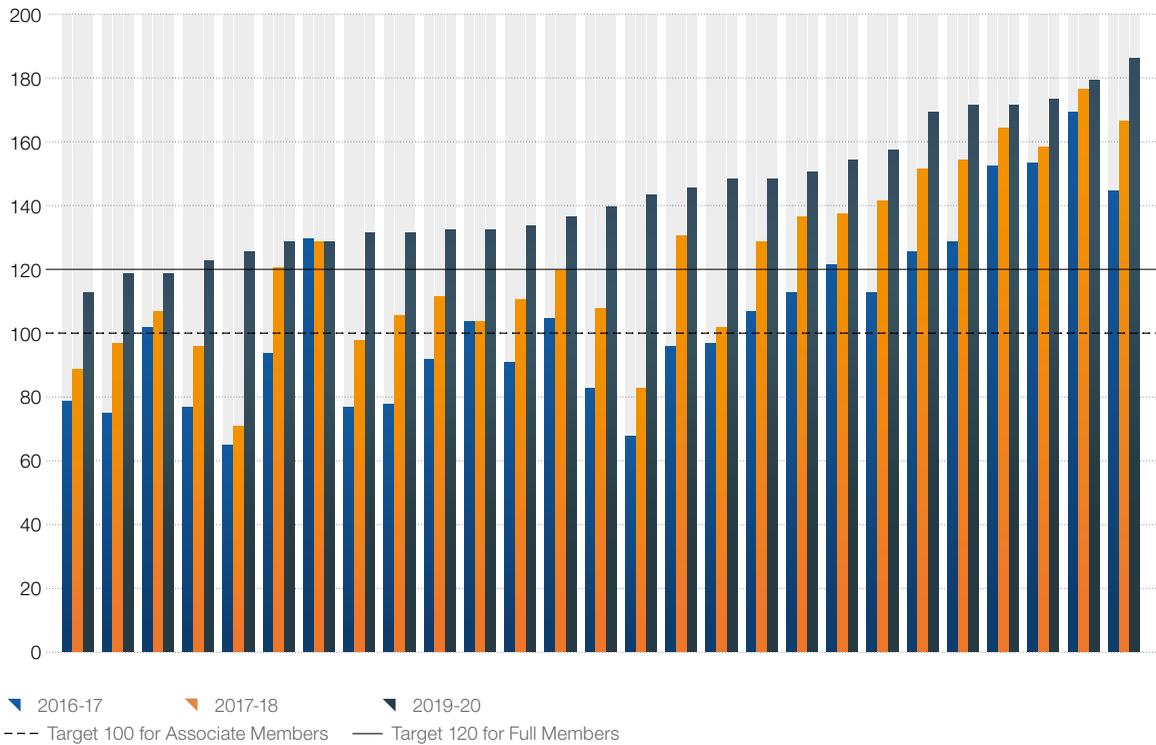


Figure 4 shows the scale of improvement in the moderated scores of each of the 27 IFs that have been in the three editions of the study from 2016-17 to 2019-20. The chart is ordered by the 2019-20 moderated score, with the lowest to the left. The general pattern is that the highest-scoring IFs have increased their scores relatively less over the three-year period, but there are exceptions. Many but not all of the lower-scoring IFs have managed to produce significant increases above the median across all 27 IFs, 42 points.

Eighteen of the 31 IFs that were assessed in 2017-18 have improved by 20 points or more in 2019-20 and a further nine have improved by 10 points or more. Middle- and lower-ranking IFs tended to see the largest gains, although there were exceptions. Just two IFs had no significant change in score from 2018 to 2020, one of which was among the top performers – a factor which perhaps allows reduced scope for improvement.



6. Section by section findings

As the numbers show, there was considerable variation among the IFs. There were several section scores as high as 38 or 39 out of 40, while other IFs had individual section scores of under 15, which equates to an average of well under 2 per indicator. Consistent with the findings in 2017-18, the Transparency section was the highest-scoring overall for most IFs. Several of the best-performing IFs were close to the maximum score in this part of the assessment. It is encouraging to see high average scores across the full set of IFs in the Transparency section, which recognises the extensive work that many have done in this area in recent years. There was little difference in the average scores among the other four sections. In each case, at least one or two IFs scored close to the maximum.

Some caution is needed when comparing specific sections. There were several amendments to the questionnaire (see section 3.2). With 50 questions in total, adjustments to a single indicator have a limited impact on the overall score, but that impact is obviously magnified in a section of 10 questions. The division into sections is broadly thematic and pragmatic rather than in any way scientific.

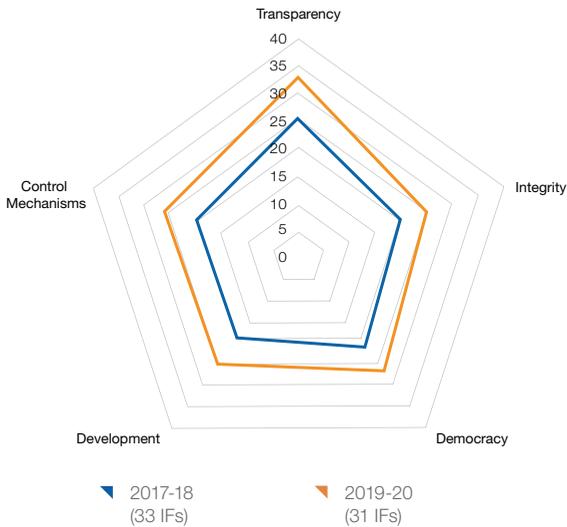


Table 5: Summary of scores by section (31 IFs)

Section	Min	Max	Mean	Median
Transparency	18	39	32.6	33
Integrity	14	36	26.7	25
Democracy	16	38	27.2	27
Development	14	39	26.3	25
Control Mechanisms	15	39	26.8	26



Figure 5: Median scores by section 2017-18 and 2019-20 (31 IFs)



The median scores in all sections show clear increases among the IFs studied from 2017-18 to 2019-20. Transparency leads the way with an increase from 25 to 33 out of the maximum of 40, while the other sections have improved by 5 or 6 points to scores between 25 and 27.

It is recognised that improvements in Transparency may be implemented by IF staff while more fundamental changes, for example to election rules (covered in the Democracy section) or the Code of Ethics (relevant to Integrity and Control Mechanisms), may require General Assembly approval, which makes the process more difficult to achieve.

Overall, there is evidence of improvements across all of the aspects of governance studied in the questionnaire.

Table 6: Median scores by section in 2017-18 and 2019-20

Section	2017-18 (33 IFs)	2019-20 (31 IFs)
Transparency	25	33
Integrity	20	25
Democracy	22	27
Development	20	25
Control Mechanisms	20	26



Figure 6: Median scores by section for each edition (28 and 27 IFs)

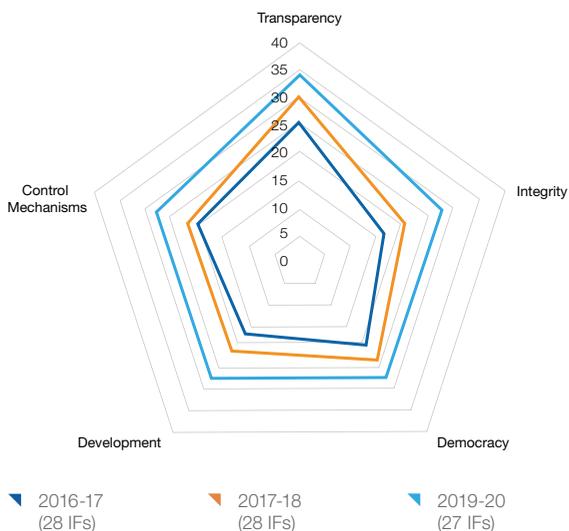


Table 7: Median scores by section for each edition

Section	2016-17 (28 IFs)	2017-18 (28 IFs)	2019-20 (27 IFs)
Transparency	25	29.5	34
Integrity	16	21	27
Democracy	21	23.5	28
Development	17.5	21.5	27
Control Mechanisms	20.5	22	28

Going one step further, it is possible to compare median scores by section for each of the three editions of the study for the 28 IFs in the first two reviews and the 27 Full Members in 2019-20. Considerable caution is needed in interpreting these numbers, however, as the changes to individual indicators from 2016-17 to 2019-20 limit the value of direct comparisons between sections given that there are only 10 indicators in each.

The comparison of the Integrity score is the least valid to analyse as it is the section that has had the most changes. The increase in the Transparency median score is 9 over the three-year period with a similar increase for Development. The Democracy and Control Mechanisms scores have gone up slightly less, in the region of 7 or 8.

As noted above, there is evidence of improvement across all aspects of governance studied.



7. Categorising IFs by resources

The 2017-18 edition of the questionnaire incorporated two multiple-choice indicators intended to help categorise IFs by numbers of staff (under 20, 20-49, 50-119 or over 119) and by revenue (average of less than 8m CHF per year from 2012-2015, 8m-20m, 20m-50m or over 50m).

Similar multiple-choice questions were included for 2019-20. The smallest categories were further sub-divided in recognition that there are some IFs with fewer than 10 staff and significantly less than 8m CHF in annual revenue.



Table 8: Numbers of paid staff

Full-time equivalent staff	2017-18		Full-time equivalent staff	2019-20	
	(28 IFs)	(33 IFs)		(27 IFs)	(31 IFs)
<20	8	12	0-9	2	3
			10-19	7	8
20-49	12	13	20-49	9	11
50-119	4	4	50-119	4	4
>120	4	4	>120	5	5

Based on the self-assessed responses, nine out of 31 IFs had at least 50 full-time equivalent staff and contractors, 11 had between 20 and 49 while the remaining 11 employed fewer than 20 staff. As table 8 shows, three IFs had no more than nine members of staff – with one of those IFs being an Associate Member.

There is no sign of dramatic changes in the numbers of staff since 2017-18, although modest changes may be masked by the relatively broad groupings used.

Table 9: IF revenue

Average annual revenue 2012-15	2017-18		Average annual revenue 2016-20	2019-20	
	(28 IFs)	(33 IFs)		(27 IFs)	(31 IFs)
<8m CHF	13	18	<2m CHF	0	2
			2m - 4m CHF	3	4
			4m - 8m CHF	5	6
8m - 20m CHF	4	4	8m - 20m CHF	7	7
20m - 50m CHF	5	5	20m - 50m CHF	7	7
>50m CHF	6	6	>50m CHF	5	5

Two Associate Members had average annual revenue below 2m CHF from 2016-20, one had between 2m and 4m, and the other had revenue in the range 4m to 8m. Meanwhile, eight of the 27 Full Members declared average revenue below 8m CHF. There were seven IFs each in the two categories 8m to 20m CHF and 20m to 50m CHF, with the wealthiest five each recording over 50m CHF annually.

There is evidence of growth between the 2012-15 and 2016-20 cycles: it looks as if several IFs have moved up a category beyond 8m CHF and one above 20m CHF.

Table 10: Mean moderated score by revenue group

Average annual revenue 2016-20	(31 IFs)	Mean score
<4m CHF	6	116
4m - 8m CHF	6	130
8m - 20m CHF	7	144
20m - 50m CHF	7	149
>50m CHF	5	160

7.1 Impact of resources on scores

Figure 7: Mean moderated score by revenue group

Moderated score

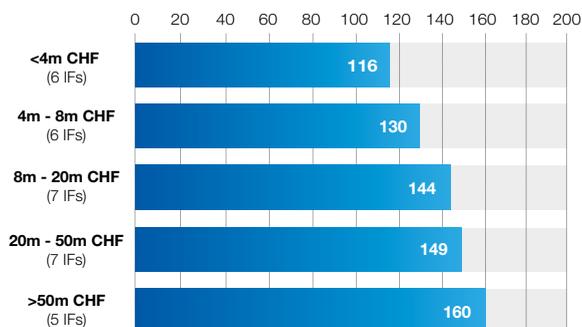


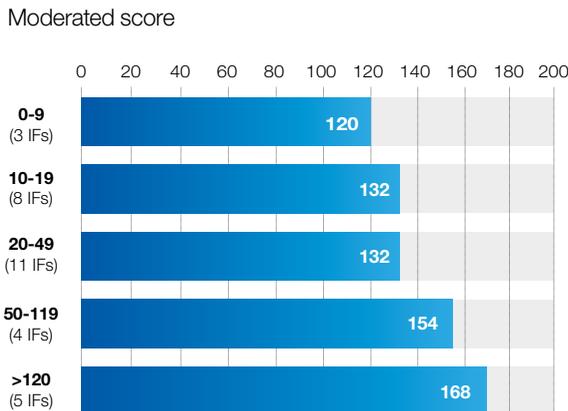


Table 11: Mean moderated score by number of staff

Full-time equivalent staff	(31 IFs)	Mean score
0-9	3	120
10-19	8	132
20-49	11	132
50-119	4	154
>120	5	168

An analysis of average scores by revenue group does appear to show evidence of a correlation between higher revenue and a higher overall moderated score. Average scores rise steadily in step with increases in revenue. However, some caution is needed in drawing conclusions as the sample sizes are fairly small.

Figure 8: Mean moderated score by number of staff



As was the case for revenue, there are signs of correlation between more staff resources and a higher overall moderated score. There is a marked difference in the average moderated score between IFs with fewer than 50 staff – around 131 – compared to an average of about 162 for IFs that have 50 or more staff. Some of the sample sizes are again small.

7.2 Difficult to combine revenue and staff numbers categories in a meaningful way

Since there is also evidence of correlation between revenue and staff numbers, as might be expected, it would seem logical to try to identify ‘small’, ‘medium’ and ‘large’ IFs by combining these groupings. An attempt to do so was included in the 2017-18 study⁸. However, the categories based on annual revenue and staff numbers do not easily align for the IFs in 2019-20 (and they were not designed with this intention). It therefore proved challenging to combine the categories in a useful way. Instead, it is suggested that the best approach for comparing like with like is to consider IFs grouped either by staff numbers or by revenue.

⁸Second Review of IF Governance (2018), page 25:
http://www.asoif.com/sites/default/files/download/asoif_2018_second_review_v4_interactive.pdf

8. Transparency

Table 12: Mean Transparency scores by indicator

Indicator	Topic	Mean (31 IFs)
2.1	Statutes, rules and regulations	3.77
2.2	Explanation of organisational structure including staff, elected officials, committee structures and other relevant decision making groups	3.84
2.3	Vision, mission, values and strategic objectives	3.19
2.4	A list of all national member federations with basic information for each	3.42
2.5	Details of elected officials with biographical info	3.68
2.6	Annual activity report, including institutional information, and main events reports	2.71
2.7	Annual financial reports following external audit	2.97
2.8	Allowances and financial benefits of elected officials and senior executives	2.61
2.9	General Assembly agenda with relevant documents (before) and minutes (after) with procedure for members to add items to agenda	3.16
2.10	A summary of reports/decisions taken during Executive Board and Commission meetings and all other important decisions of IF	3.23

As for the two previous editions, Transparency was the highest-scoring of the five sections in the questionnaire.

Several of the top-scoring IFs are now close to the maximum score on this section, recording 38 or 39 out of 40. In addition, three of the four indicators across the whole questionnaire with an average score over 3.5 out of 4 came from the Transparency section.

The highest average score was for indicator 2.2, about the IFs' organisational structures. There is now far more information available in this area than in previous years, including an organisational chart in most cases.

Most IFs published strategies of some description with 12 demonstrating that they are tracking progress

towards measurable targets, up from six in the last assessment (indicator 2.3).

Twenty-five out of 31 IFs published at least one set of annual, externally audited accounts (scoring 2 or more for indicator 2.7), an increase from two years ago. Six IFs published either partial financial information or none. It should be noted that the level of detail in published accounts varies from very extensive to very brief.

Regarding allowances and expenses for officials and senior staff, 16 IFs published some type of policy (such as for per diems and/or travel expenses), plus financial information, scoring 3 or 4 for indicator 2.8. This is a significant advance on the nine IFs that provided a similar level of detail in 2018. Nevertheless, 2.8 was again the lowest-scoring indicator in the Transparency section.

9. Integrity

Table 13: Mean Integrity scores by indicator

Indicator	Topic	Mean (31 IFs)
3.1	Has a unit or officer in charge of ensuring that the IF abides by the IOC Code of Ethics and/or the IF's own Code of Ethics	2.77
3.2	Has a unit or officer in charge of ensuring that the IF abides by the WADA World Anti-Doping Code	3.35
3.3	Complies with the Olympic Movement Code on the Prevention of the Manipulation of Competitions	2.65
3.4	Has a programme or policies designed at ensuring that the IF member associations function in accordance with all recognised ethical codes and principles	2.58
3.5	Establish confidential reporting mechanisms for "whistle blowers" with protection scheme for individuals coming forward	2.29
3.6	Provide for appropriate investigation of threats to sport integrity (competition manipulation, gambling-related or other)	2.77
3.7	Make public all decisions of disciplinary bodies and related sanctions, as well as pending cases where applicable	3.06
3.8	Appropriate gender balance in Executive Board or equivalent	2.16
3.9	Programmes or policies in place regarding safeguarding from harassment and abuse	2.39
3.10	Compliant with applicable laws regarding data protection (such as GDPR) and takes measures to ensure IT security	2.65

In the Integrity section the indicator on anti-doping activity (3.2) produced the highest average score, as was the case in 2017-18. Twelve IFs scored a maximum of 4, for which the criteria required a state-of-the-art independent anti-doping programme, generally either provided through the International Testing Agency or an independent integrity unit/foundation.

Indicator 3.8 assessed gender balance in the executive board or equivalent. As in 2017-18, only one IF had a board that was over 40% comprised by women (equating to a maximum score of 4). A further 12 IFs had boards that were at least 25% female but less than 40%, plus rules or a policy to encourage

better gender balance. This was an increase on the nine IFs with a similar balance in the previous assessment. There were eight IFs with fewer than 15% of their board composed of women. The percentages of female representation on the boards of the remaining 10 IFs were between 15% and 25%.

Quite a few IFs have been implementing confidential reporting mechanisms for whistleblowers in recent times (indicator 3.5). Fifteen IFs provided at least an email address or online reporting form with an option to remain anonymous (although some without an adequate level of encryption/protection). A further 11 could demonstrate that a system was in place and that action had been taken in response to reports.



These are significant increases on the scale of activity evident in the previous assessments.

The Integrity section had more changes since 2017-18 than the other parts of the questionnaire. Two new indicators were added (3.9 and 3.10), one regarding policies and programmes to safeguard people in the sport from harassment and abuse, and another on compliance with applicable laws on data protection plus measures to ensure IT security. One of the previous indicators from the Integrity section was cut from the questionnaire and another was moved to the Development section (see section 11).

On the subject of safeguarding, 15 out of 31 IFs were able to show that they had a policy consistent with IOC guidelines and that it was being implemented, scoring 3 or 4 for indicator 3.9. In most cases, the main activity at IF level had started within the last two years. Five IFs had not yet adopted a policy although all were working on one.

Regarding data protection and IT security, there were 14 IFs that scored 3 or more by showing that they were moving beyond basic compliance with data protection laws, for example providing training for staff and conducting risk assessments. Five other IFs showed only limited signs of activity in this area.

Indicator 3.3 covers compliance with the Olympic Movement Code on the Prevention of the Manipulation of Competitions. Almost all IFs participate in the IOC's IBIS programme. Seven IFs achieved the top score of 4, awarded for what was regarded as state-of-the-art compliance – which usually includes publication of case outcomes. A further seven demonstrated that appropriate expertise and resources were being dedicated to the issue, such as education activity and investigative capacity. The topic of match manipulation is one where the nature of the response varies considerably from one IF to another. Sports that have a sizeable gambling market tend to have developed elaborate systems and processes, while some other sports limit their action mainly to the IBIS programme.

10. Democracy

Table 14: Mean Democracy scores by indicator

Indicator	Topic	Mean (31 IFs)
4.1	Election of the President and a majority of members of all executive bodies	3.42
4.2	Clear policies to ensure election candidates can campaign on balanced footing including opportunity for candidates to present their vision/programmes	2.55
4.3	Election process with secret ballot under a clear procedure/regulation	3.23
4.4	Make public all open positions for elections and non-staff appointments including the process for candidates and full details of the roles, job descriptions, application deadlines and assessment	2.35
4.5	Establishment and publication of eligibility rules for candidates for election together with due diligence assessment	2.29
4.6	Term limits for elected officials	1.48
4.7	Provide for the representation of key stakeholders (e.g. "active" athletes as defined in the Olympic Charter) in governing bodies	3.23
4.8	Conflict of interest policy identifying actual, potential and perceived conflicts with exclusion of members with an actual conflict from decision-making	2.87
4.9	Governing bodies meet regularly	3.42
4.10	Ensuring equal opportunities for members to participate in the General Assembly	2.58

Twenty-two out of 31 IFs scored at least 1 for indicator 4.6, signifying that they have some type of term limit in place for elected officials. Usually, this is a limit of three terms of four years for the president and sometimes for other officials. Some IFs have exemption clauses or permit individuals to serve for a much longer period if they move from one role to another. Several IFs have introduced term limits since the 2017-18 assessment. For more on this topic see section 14.

As in 2017-18, the highest-scoring indicator in the section was 4.1 – regarding the democratic election process for the president and some members of the executive board or equivalent (although this year indicator 4.9 on the frequency of governing body meetings had the same mean score). Twenty-six out of 31 IFs had published voting numbers for a recent election. There is considerable variety in the size and source of membership of executive boards, with

several sports having unusual structures linked to the history of the IF in the governance of the sport.

Only three IFs did not have an athlete representative in a voting capacity on the executive board (scoring less than 3 for indicator 4.7). In a number of cases, there are two athletes on the board, either one male and one female, or from different disciplines in the sport. There is some variation in the method of selection of the athletes' committee, but in most cases they are elected by other athletes.

Campaigning rules are gradually being developed by more and more IFs (indicator 4.2). Twenty IFs had reasonably detailed regulations for candidates but only three included any reference to campaign financing.

11. Development

Table 15: Mean Development scores by indicator

Indicator	Topic	Mean (31 IFs)
5.1	Clear policy in place to determine transparent allocation of resources in declared development objectives	3.00
5.2	Information published on redistribution activity for main stakeholders, including financial figures	2.65
5.3	Monitoring/audit process of the use of distributed funds	2.10
5.4	Respect principles of sustainable development and regard for the environment	2.58
5.5	Existence of social responsibility policy and participation programmes targeting hard to reach areas	2.84
5.6	Education programmes (topics other than integrity) and assistance to coaches, judges, referees and athletes	3.42
5.7	Put in place integrity awareness/education programmes	2.52
5.8	Legacy programmes to assist communities in which events are hosted	1.94
5.9	Anti-discrimination policies on racial, religious or sexual orientation	2.58
5.10	IF dedicates appropriate resources to the Paralympic/disability discipline(s) in the sport	2.71

Almost all of the IFs were able to demonstrate that they provide education programmes and assistance to coaches, judges, referees and athletes (5.6). In many cases, information such as numbers of participants is published, and a specific budget is identified. As for the previous editions, this was the highest-scoring indicator in the section.

There have been increases in the number of IFs with a defined policy to determine investment in development (indicator 5.1) and in the level of financial information published (5.2). Twenty-four out of 31 IFs provide details of their development policy/strategy and 16 have a breakdown of their development investment, at least amounting to several line items in accounts or an annual report. This is encouraging given the important role that IFs need to play in the development of their sports.

In contrast, the scores for indicator 5.3 about monitoring of development expenditure remain lower, averaging just over 2 out of 4. Only eight IFs have a level of independence in their monitoring activity. Most others have an internal reporting and monitoring process. However, it should be acknowledged that for many IFs the level of investment they are able to make in development work is fairly limited. In addition, much development work is paid for directly by IFs rather than being distributed to member organisations.

The lowest-scoring indicator in the section was 5.8, regarding support for legacy programmes in communities in which events are hosted. Nine IFs scored 3 or 4, demonstrating that there are formal legacy programmes and resources available. Eleven IFs do very little in this area, perhaps beyond a

reference to legacy or community engagement in event bidding documentation.

There is evidence that IFs are paying growing attention to sustainability issues. Regarding indicator 5.4, 16 IFs implemented specific measures, up from nine in the 2017-18 review. These included detailed instructions for event hosts and dedicated sustainability strategies. Six IFs demonstrated little relevant activity, perhaps beyond a brief reference in the constitution.

Indicator 5.7 on the existence of integrity education programmes was included in the Integrity section for 2017-18 but was moved to the Development section for 2019-20, due to two new indicators being added

to the Integrity section. Anti-doping education activity was fairly prevalent. Sixteen IFs scored at least 3 here, showing that they provided diversified integrity education, most often on the risks of match manipulation and/or safeguarding, as well as on anti-doping.

In reviewing indicator 5.9 about rules to protect against the threat of discrimination, it became apparent that there are sometimes inconsistencies in the range of protected characteristics referred to in IF constitutions and codes of ethics. It is obviously important that documents use consistent terminology so that disciplinary cases can proceed, in the event of an allegation. Guidance on anti-discrimination rules has been published⁹.



⁹ASOIF GSMU – Notes on anti-discrimination regulations for International Federations (2019):

http://www.asoif.com/sites/default/files/download/gsmu_-_guidance_on_if_anti-discrimination_rules_-_2_october.pdf



12. Control Mechanisms

Table 16: Mean Control Mechanisms scores by indicator

Indicator	Topic	Mean (31 IFs)
6.1	Establish an internal ethics committee with independent representation	2.94
6.2	Establish an audit committee that is independent from the decision-making body	1.68
6.3	Adopt accounting control mechanisms and external financial audit	3.03
6.4	Adopt policies and processes for internal control	2.55
6.5	Adopt policies and procedures which comply with competition law/anti-trust legislation in eligibility of athletes and sanctioning of events	2.81
6.6	Observe open tenders for major commercial and procurement contracts (other than events)	2.03
6.7	Decisions can be challenged through internal appeal mechanisms on the basis of clear rules	2.65
6.8	Due diligence and effective risk management in bidding requirements, presentation, assessment and allocation of main events	2.58
6.9	Awarding of main events follows an open and transparent process	2.58
6.10	Internal decisions can be appealed with final recourse to the Court of Arbitration for Sport	3.94

Open tendering for major contracts is becoming more common among IFs but is not yet fully established. There were 20 IFs that held regular open tenders for major commercial and procurement contracts (scoring at least 2 for indicator 6.6), an increase from 13 in 2017-18. The examples were generally for marketing or broadcast rights.

The lowest-scoring indicator in the section was 6.2. Fifteen of the IFs had an internal audit committee or equivalent in place with some independent representation (not staff or members of the executive board), scoring 2 or more. This was little changed from 2017-18.

The scoring definitions for indicator 6.3 on the requirement for an external audit and internal financial controls were amended for 2019-20 to consider adoption of IFRS/GAAP or equivalent standards for auditing. Five IFs had accounts audited using IFRS standards (mostly IFs with higher levels of revenue)

and four used GAAP for the country in which they are based. The majority of IFs which take the form of voluntary associations based in Switzerland used one of several other standards.

A number of IFs have been revising the composition and procedures for their ethics committees (or equivalent) in recent times. Nine IFs achieved a maximum score of 4 for indicator 6.1, demonstrating that they have a state-of-the-art ethics committee that has a majority of independent members, appropriate rules of procedure and the power to propose sanctions.

There was no change to the highest-scoring indicator in the section, which was again 6.10 regarding the right of appeal to the Court of Arbitration for Sport (CAS). All IFs have relevant rules and most have had experience of cases. One IF has an alternative system in place, which is judged to be appropriate to the needs of the sport. It was the only indicator outside the Transparency section with an average score higher than 3.5 out of 4.

13. Highest- and lowest-scoring indicators

Table 17: Five highest-scoring indicators in rank order

Rank	Indicator	Section	Topic	Average score out of 4
1	6.10	Control Mechanisms	Internal decisions can be appealed with final recourse to the Court of Arbitration for Sport	3.94
2	2.2	Transparency	Explanation of organisational structure including staff, elected officials, committee structures and other relevant decision making groups	3.84
3	2.1	Transparency	Publication of statutes, rules and regulations	3.77
4	2.5	Transparency	Publication of details of elected officials with biographical info	3.68
5=	2.4	Transparency	A list of all national member federations with basic information for each	3.42
5=	4.1	Democracy	Election of the President and a majority of members of all executive bodies	3.42
5=	4.9	Democracy	Governing bodies meet regularly	3.42
5=	5.6	Development	Education programmes (topics other than integrity) and assistance to coaches, judges, referees and athletes	3.42

As the Transparency section was the highest-scoring overall, it is no surprise to see that three of the four indicators with an average score higher than 3.5 come from this part of the questionnaire. However, indicator 6.10 ranks ahead of the other 49, as noted previously. Four indicators were tied in fifth place. Across the

group of high-scoring indicators it can be argued that these relate to relatively basic topics that IFs are expected to have in place, ranging from rules covering the election of members of governing bodies to publication of fundamental information about the organisation.

Table 18: Five lowest-scoring indicators in rank order

Rank	Indicator	Section	Topic	Average score out of 4
1	4.6	Democracy	Term limits for elected officials	1.48
2	6.2	Control Mechanisms	Establish an audit committee that is independent from the decision-making body	1.68
3	5.8	Development	Legacy programmes to assist communities in which events are hosted	1.94
4	6.6	Control Mechanisms	Observe open tenders for major commercial and procurement contracts (other than events)	2.03
5	5.3	Development	Monitoring/audit process of the use of distributed funds	2.10



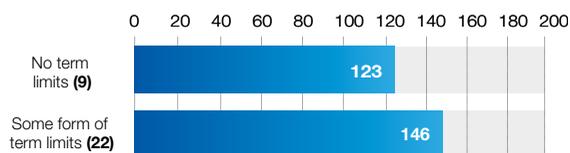
The lowest-scoring indicators are drawn from across the different sections of the questionnaire, except for Transparency. Indicator 4.6 on term limits ranks last (see more in section 14), partly because as many as nine IFs have no term limits for elected officials and therefore scored 0. Similarly, a number of IFs do not have an audit committee of any description and some of those that are in place lack independent members, which limits the score.

The other indicators on the list might be said to be among the 'harder' topics for smaller IFs to implement, requiring more work: provision of legacy programmes, tendering exercises and monitoring the use of distributed funds.

14. Impact of term limits

Twenty-two out of 31 IFs (21 out of 27 Full Members) had at least some kind of term limit in place for the president, although precise rules vary considerably (see also section 10). This is a substantial increase from 16 out of 28 IFs with term limits in 2018.

Figure 9: Mean score for IFs with and without term limits



On average, an IF with some type of term limit in place reaches the A2 group with a mean score of about 146. By contrast, the average score for IFs without term limits fits in group B (around 123 points, or 136 excluding the Associate Members). Most of the mean scores for each separate section are also higher among the IFs that have some type of term limit in place. Across the 13 IFs in groups A1 and A2, each with an overall score over 140, only two did not have term limits of any description.

In recent years, term limits have been introduced by several IFs as one component of a set of governance reforms, which may partly explain the large difference in scores between those with and without term limits.

Table 19: Mean score by section with and without term limits (31 IFs)

31 IFs	Mean score	Transparency	Integrity	Democracy*	Development	Control Mechanisms
No term limits (9)	123	31.0	24.0	23.2	23.3	21.8
Some form of term limits (22)	146	33.2	27.8	28.9	27.5	28.8
27 IFs						
No term limits (6)	136	34.5	26.5	25.5	26.3	23.2
Some form of term limits (21)	147	33.1	28.0	29.1	27.8	29.1

* The Democracy score obviously includes 0 for indicator 4.6 in the case of IFs with no term limits and more than 0 for IFs that do have term limits, which explains part of the difference.



15. Background section

15.1 Governance priorities and resources dedicated

Table 20: Summary of governance priorities and resources dedicated

Topic	IFs
Reviewing constitution/statutes/rules or regulations	18
Supporting continental/national members with governance-related work	6
Improving gender balance	4
Improving athlete welfare systems/policies	4
Reviewing governance structure/role of bodies	2

The Background section of the questionnaire included an open-ended question about governance priorities and dedicated resources. It is important to note that this was not a scored indicator and therefore there are varying levels of detail provided in IF responses. The summary information provided does not reflect fully the governance-related work that IFs have been undertaking.

However, all 31 IFs did provide some input and several themes emerge.

Eighteen IFs indicated that they have recently looked at or are currently reviewing their constitution, statutes or rules and regulations (a similar number to 2017-18). There were six IFs that referenced supporting their continental or national member bodies with governance-related work. Meanwhile, four IFs highlighted activity to improve gender balance (covered specifically in indicator 3.8 – see section 9). Various other points were mentioned by individual IFs.

Regarding resources dedicated to governance, quite a few IFs have a dedicated member of staff while a small number have a specific department. There are several related working groups and commissions. External advisers and ethics/integrity units were also cited. Specific numbers are not quoted as not all IFs provided this information in the same way and the question was open-ended.





Table 22: Separate legal entities associated with IFs dedicated

Separate legal entities associated with the IF	IFs
Development/charity/foundation	9
Separate commercial body	7
Entity to run events	3
Continental bodies	2
Investment organisation	1
None declared	15

As for the 2017-18 edition, the questionnaire included an open question in the Background section on legal entities associated with the IF. Fifteen out of the 31 IFs have no related organisation (or failed to declare it). This was a decrease on 19 (out of 33 IFs) that did not declare any related bodies in 2017-18.

The number of IFs that have a linked development body such as a charity or foundation appears to be growing with nine IFs mentioning such an organisation, up from six last time. Several IFs have a separate commercial entity, and/or a company to operate events. There have been some changes in this area, but no clear trend is apparent towards either creating or closing associated commercial entities.

While most IFs adopt the form of a voluntary association, there is an increasingly complicated network of related organisations, which reflects the wide range of IF responsibilities.

15.2 Type of legal entity

Table 21: Type of legal entity

Type of legal entity	IFs
Swiss voluntary association	22
Other voluntary association	5
Company limited by shares	2
Company limited by guarantee	1
Charity	1

As is widely known, the majority of IFs take the form of voluntary associations under the Swiss Civil Code. Several IFs have a comparable structure but are based in other countries. Three have a company structure and one is a registered charity.

16. Conclusion

The ASOIF GTF is highly encouraged but not fully satisfied by the concerted efforts among many IFs to improve their governance. Almost all of the IFs studied have done significant work in the two years since the previous assessment and there is considerable progress since the first study in 2016-17.

The target set of 26 out of 28 Full Members to reach an overall score of 120 has virtually been met, with 24 out of 27 that took part above the threshold, two very close to that level and one below it. Meanwhile, the four Associate Members that participated in the study have also advanced, albeit at uneven rates, with two now scoring well above 100, one close to that level and one below it.

When a target is set, it is to be expected that the organisations to be assessed will focus on achieving it. There was evidence of IFs focussing efforts to increase scores on particular indicators and also of a race against time, with IFs uploading documents and getting policies approved during the moderation process.

Nevertheless, the IFs are to be commended for the work they put into the assessment exercise, with the large number of supplementary documents submitted alongside the questionnaires being just one measure of the attention to detail.

Among the findings there are welcome trends, such as increasing financial transparency in the publication of audited accounts and expenses for officials, which enables a higher level of scrutiny by stakeholders. Those IFs that do not publish financial accounts are now very much the exception. More work remains to be done, however, in the general area of financial controls and management, both within IFs and in relation to development activity.

A gradual increase in the number of IFs with term limits for their executive board members is also important, providing for increased turnover of officials. However, there are a few IFs with exemption clauses that could

still allow officials to serve for very long periods, particularly if they transition from one role to another on the executive board.

Several IFs have taken steps to overhaul their ethics and integrity programmes, developing whistleblowing procedures and safeguarding activities, for example. Much remains to be done but important work is underway. Similarly, IFs are considering their responsibilities in terms of sustainability, although not all are acting with the urgency that society is likely to demand.

In most cases, IF executive boards lack gender balance. While several IFs have introduced rules and policies to increase female representation, the rate of progress remains slow.

The study has shown that there is a correlation between higher scores in the assessment and IFs with greater resources in terms of staff and financial revenue, but several IFs with fewer than 20 staff proved that it is possible to reach high standards with more limited resources, and there were also examples of larger IFs that did not perform so well.

At the time of writing sport faces unprecedented challenges, along with the rest of society. Even during the period of the assessment, before the current crisis, it was clear that the environment in which IFs operate was going to become more complex and subject to more scrutiny as time goes on. Sports need to be well-governed to give themselves a better chance of thriving.

Now that a culture of working on governance seems to be well-established – 18 IFs reported that they are or have recently been reviewing their constitution – it is to be hoped that the momentum will be maintained to tackle a number of areas where there is still significant room for improvement.



17. Evolution of the study



This third review of IF governance has benefitted considerably from the incremental changes made based on experience and the lessons learned from the first and second editions. The range of indicators has been carefully adjusted and wording has been amended to increase clarity. In addition, IFs have dedicated more resources to responding with each iteration and the understanding of the process has improved.

Nonetheless, the study has limitations, which should be acknowledged. As for the previous editions, the questionnaire was limited to 50 scoring questions to make the task of completion manageable.

Consequently, some important topics are not covered, such as the composition of the executive board and the balance of powers between different governing bodies. This is one of the inevitable trade-offs in most audit or assessment exercises.

In a study that is designed as 'one size fits all', there are inevitably also a few indicators which are more relevant to some IFs than others.

The scoring system for the questionnaire is partly subjective, which explains the need to accept a margin of error despite the fact that the responses were more detailed than for the previous editions and showed a greater understanding of the information being sought.

Across the IFs, the results suggest a high level of correlation between the size of the IF, as measured by staff numbers and revenue, and the overall assessment score. While there are exceptions, both towards the higher and the lower end of the results, it seems that organisational capacity is a key determinant of the governance score.

Due to the timetable, with an original plan for publication in April 2020, there was limited opportunity for dialogue with IFs. The results represent a snapshot in time, although governance is inherently an ongoing process.

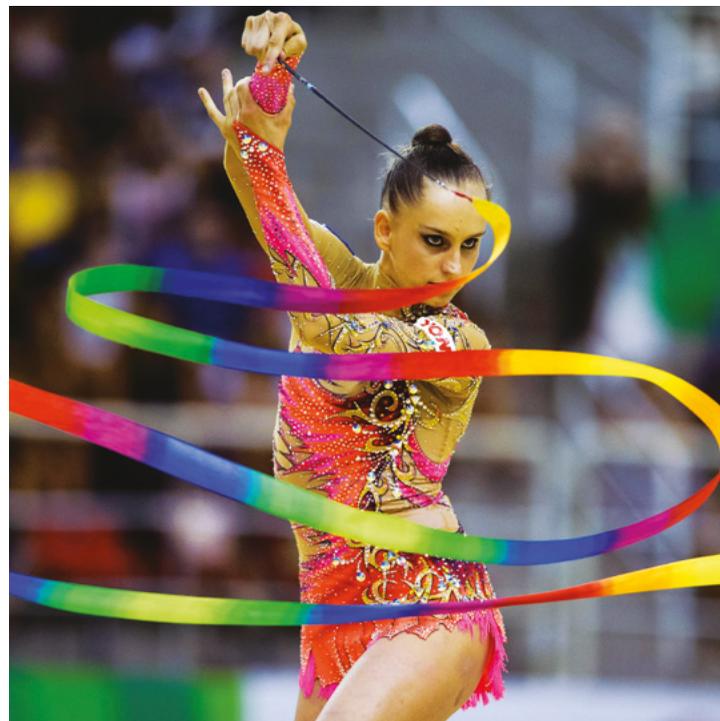
In addition, an analysis of documents, procedures and structures does not take account of behaviour and organisational culture.

18. Suggested next steps

The ASOIF GTF plans to continue with the governance assessment project.

Table 23: Next steps

Timing	Activity
June	Distribute good practice examples across a range of aspects of governance, drawn from the findings of the study
Q3 2020	Meet individual IFs to review their governance assessments
Date TBC	Pilot study on organisational culture in IFs
Date TBC	New assessment exercise



19. International Federations

ASOIF Full Members that participated in the study

- ▼ Badminton World Federation (BWF)
- ▼ Fédération Equestre Internationale (FEI)
- ▼ Fédération Internationale d'Escrime (FIE)
- ▼ Fédération Internationale de Basketball (FIBA)
- ▼ Fédération Internationale de Football Association (FIFA)
- ▼ Fédération Internationale de Gymnastique (FIG)
- ▼ Fédération Internationale de Hockey (FIH)
- ▼ Fédération Internationale de Natation (FINA)
- ▼ Fédération Internationale des Sociétés d'Aviron (FISA)
- ▼ Fédération Internationale de Volleyball (FIVB)
- ▼ International Canoe Federation (ICF)
- ▼ International Golf Federation (IGF)
- ▼ International Handball Federation (IHF)
- ▼ International Judo Federation (IJF)
- ▼ International Shooting Sport Federation (ISSF)
- ▼ International Table Tennis Federation (ITTF)
- ▼ International Tennis Federation (ITF)
- ▼ International Triathlon Union (ITU)
- ▼ International Weightlifting Federation (IWF)

- ▼ Union Cycliste Internationale (UCI)
- ▼ Union Internationale de Pentathlon Moderne (UIPM)
- ▼ United World Wrestling (UWW)
- ▼ World Archery (WA)
- ▼ World Athletics
- ▼ World Rugby (WR)
- ▼ World Sailing
- ▼ World Taekwondo (WT)

ASOIF Associate Members that participated in the study

- ▼ International Federation of Sports Climbing (IFSC)
- ▼ International Surfing Association (ISA)
- ▼ World Baseball Softball Confederation (WBSC)
- ▼ World Skate

IFs in the 2017-18 study that were not involved in 2019-20

- ▼ International Boxing Association (AIBA): not included due to major organisational changes in process during the period of the assessment
- ▼ World Karate Federation (WKF): declined to participate

20. Credits and acknowledgements

We are most grateful to the 31 International Federations that completed the governance questionnaire thoroughly and promptly between November 2019 and early February 2020. Without their support, this report and indeed the whole project would not have been possible.

This report was written in cooperation with the ASOIF Governance Taskforce:

Chair:

- ▼ Francesco Ricci Bitti (Chair, ASOIF President)

Members:

- ▼ Jean-Loup Chappelet (Professor at IDHEAP Swiss Graduate School of Public Administration at the University of Lausanne)
- ▼ Benjamin Cohen (Director General, International Testing Agency)
- ▼ Ingmar De Vos (FEI President and IOC Member)
- ▼ Pâquerette Girard Zappelli, (IOC Chief Ethics and Compliance Officer)
- ▼ Luiz Fernando Lima (FIVB Secretary General)
- ▼ Alexander McLin (Executive Director, Swiss Arbitration Association)
- ▼ Denis Oswald (CIES Director and IOC Executive Board Member)
- ▼ Andrew Ryan (ASOIF Executive Director)

The Governance Support and Monitoring Unit (GSMU), established in October 2018 under the mandate of the Governance Taskforce, has been composed by Francesco Ricci Bitti (Chair), Pâquerette Girard Zappelli, Jean-Loup Chappelet and Alex McLin, with administrative support from ASOIF staff and Rowland Jack. The GSMU provided important assistance to IFs throughout 2019, producing guidance materials and responding to queries (see also section 2).

Thanks are due to the ASOIF staff, particularly James Carr, Sergey Lyzhin and Junjie Li for their work throughout the course of this project.

Appointed consultants Rowland Jack and Guntur Dwiarmein from I Trust Sport reviewed the questionnaire responses, moderated the scores and produced analysis for this report.

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21. Changes to the questionnaire from 2017-18

21.1 Two questions replaced and one substantially revised

Table 24: Indicators cut/substantially revised for 2019-20

Indicators cut	Topic	Rationale for cutting
3.10	IF takes account of interests of wider stakeholders through appropriate cooperation with non-governmental organisations/civil society	While the indicator did provide some useful information, the responses overlapped heavily with separate questions on sustainability (5.4) and social responsibility (5.5)
5.7	Solidarity programmes pay due regard to gender and geographical representation through internal guidelines	Development strategy is covered in 5.1, which tends to incorporate similar themes. The existence of policies to encourage gender balance in general is included in 3.8. In addition, trying to assess both gender balance in development and geographic representation in the same indicator proved challenging
Substantially revised		Rationale for changing
6.5	Adopt policies and mechanisms to prevent commercial interests from overriding sporting regulations e.g. in selection of event hosts, conduct of draws, complying with 'public order' including anti-trust legislation	The indicator caused confusion at times. The public order/anti-trust element seemed particularly pertinent in the current context

Table 25: New indicators for 2019-20

New indicator	Topic	Rationale
3.9	Programmes or policies in place regarding safeguarding from harassment and abuse	Important and topical issue of relevance to IFs
3.10	Compliant with applicable laws regarding data protection (such as GDPR) and takes measures to ensure IT security	Important and topical issue of relevance to IFs
Substantially revised		
6.5	Adopt policies and procedures which comply with competition law/anti-trust legislation in eligibility of athletes and sanctioning of events	Important and topical issue of relevance to IFs

Note that there was also some re-numbering as a consequence of the introduction of the new questions.

21.2 Clarification of wording

In a number of places, the wording was adjusted based on the experience of the previous edition of the study and on feedback received.

Table 26: Illustrative examples of changes in wording for 2019-20

Indicator	Topic	Change and rationale
2.6	Publication of an annual activity report	Clarification in the scoring definitions that the report should include governance-related information, not just event results. For a maximum score of 4, reports for at least the three most recent years should be published
3.3	Compliance with Olympic Movement Code on the Prevention of the Manipulation of Competitions	Clarification in the scoring definitions that, for a higher score, resources should be dedicated to compliance, including education work and investigative capacity
3.9	Appropriate gender balance in governing bodies	Wording changed to 'Appropriate gender balance in Executive Board or equivalent'. This was to clarify that the assessment of gender balance is specifically based on the Executive Board or equivalent as experience in 2017-18 suggested this is the fairest way to compare one IF with another, given the considerable variation in organisational structures



21.3 Background section

Multiple-choice categories had been included in the previous edition to help group IFs by the number of full-time staff and financial revenue in the belief that these measures of scale are helpful for making like-for-like comparisons. For 2019-20 the smallest categories were further sub-divided in recognition of the fact that several of the IFs in the study were significantly smaller than the upper thresholds of 20 full-time staff and annual revenue of 8m CHF. In the revised version, the smallest categories are set at 0 to 9 staff and under 2m CHF in annual revenue.

The 2017-18 edition of the questionnaire had also included several yes/no indicators asking about official IF recognition of guiding codes, such as the Olympic Charter and the existence of a code of ethics. This was mostly left unchanged.

22. Further explanation of the moderation process

As for the previous editions, ASOIF appointed sports governance consultancy I Trust Sport to support the project. I Trust Sport's task was to review the questionnaire responses; to moderate the scores to ensure as much consistency as possible; and to produce analysis for this report.

It is important to note that the assessment represents a snapshot in time. Questionnaires were returned to ASOIF by IFs in January and February 2020 (the deadline for IFs to respond was 15 January 2020 – 18 out of 31 were received by the deadline and the last received on 3 February). The moderation process ran from 6 January to 19 February, allowing for about one working day to review each questionnaire, during which time documents were downloaded and pages of IF websites reviewed.

Scores were checked against the defined criteria in the questionnaire for each indicator for all 31 responses. Evidence provided by IFs was also checked (such as references to clauses in the constitution or specific web pages) and, where evidence was absent or incomplete, additional information was researched from IF websites. Supplementary documents provided on a confidential basis were taken into account as appropriate.

In contrast to previous years, the moderation team submitted clarification queries to more than 20 IFs via ASOIF. In many cases the request was to supply a document that had been referenced but not provided. In all but one case the IF responded, and the additional information provided was taken into account.

Where necessary, scores were adjusted up or down to reflect the independent assessment of the moderator, based on the evidence available. The aim was to be consistent and fair.

In regard to quite a number of IFs there was evidence of a race against time, with documents regularly being

uploaded during the assessment period. The analysis is based on what was in place on the day of moderation, not taking account of future changes – even where these were imminent and/or certain to be implemented. This seemed to be the fairest approach and is consistent with the previous assessments. Some flexibility was allowed for revisiting assessments in early to mid-February when IFs specifically drew attention to imminent changes.

During the course of the moderation process, a handful of policy decisions were applied regarding the scoring of specific indicators (with the approval of the GTF) to provide added consistency (see section 22.3).

In a number of cases there were large differences between the moderated and self-assessed scores (six IFs were marked down by 22 or more points). The average mark-down (both mean and median) was slightly lower than for the previous assessment, demonstrating increased understanding of the exercise and close attention to responding. However, in some instances there were still misunderstandings about the information that was being requested. It may be the case that the added incentive of a target score led to some slightly inflated self-assessments.

In general, the quality of the responses received was high and there was less variation in the interpretation of indicators than in the previous editions.

The decision to base assessment on regulations that were in place on the day of the review resulted in a number of scores being moderated down because several IFs understandably wanted to take into account governance reforms that were due to be implemented in the coming weeks or months. There was evidence to justify this method of scoring, however, as one or two planned reforms by IFs that were believed to be imminent at the



time of the 2017-18 assessment were not yet in place by February 2020.

On a positive note, the fact that a fair number of reforms are due for implementation in the coming weeks and months suggests that there is momentum for further change.

Rowland Jack and Guntur Dwiarmein conducted the moderation exercise. A substantial amount of time was spent cross-checking to ensure consistency between the two reviewers and in the scoring between IFs.

22.1 Assumptions made in conducting moderation and calculating scores

- ▼ The reviews were based only on responses provided in the questionnaire, material on the relevant IF website and on supplementary documents submitted by IFs along with the questionnaire (where these were provided); due to the tight timetable, no meetings were held with IF staff.
- ▼ Scores were based on sections 2-6 of the questionnaire, excluding section 1 (Background).
- ▼ Moderated scores were based on regulations that were in place on the day on which the questionnaire was reviewed – credit was not given for planned future reforms. This had a negative impact on some scores but seemed the fairest approach and is consistent with the previous reviews.
- ▼ The assessment took some account of what seemed proportionate to the resources of the IF (e.g., in terms of the approach to development programmes) but a modest size/budget should not excuse poor practice; inclusion of questions on staff numbers and IF revenue in the revised edition of the questionnaire has enabled some additional analysis of IFs by size and scale.

22.2 Indicative example of moderating scores

Below there is an anonymised example of the moderation process for a specific indicator using the self-assessed and moderated scores for three separate IFs.



Table 27: Indicator 4.8 – Conflict of interest policy identifying actual, potential and perceived conflicts with exclusion of members with an actual conflict from decision-making

Score	Score definition
0	No
1	Some conflict of interest rules
2	Defined conflict of interest policy
3	Defined conflict of interest policy, evidence of implementation
4	State-of-the-art conflict of interest policy, checked against register and evidence of implementation

Example IF A

Self-assessed score	Evidence in questionnaire response
3	Candidates for the most recent elections had to declare potential conflicts of interest.
Moderated score	Rationale for moderated score
2	There is a short conflicts of interest policy in the Code of Ethics but there is limited evidence of implementation. Appropriate evidence might take the form of a reference in meeting minutes to an individual not taking part in discussion on a particular topic due to their interest (e.g., decision on hosting a major event in their country).

Example IF B

Self-assessed score	Evidence in questionnaire response
4	There is a conflict of interest rule. The board signs a code of conduct, which is published.
Moderated score	Rationale for moderated score
3	The conflict of interest rule is rather brief. Minutes from a board meeting show evidence that the rule is implemented.

Example IF C

Self-assessed score	Evidence in questionnaire response
4	Conflict of interest policy included in Code of Ethics. Each board member completes a register of interests, which is published (link provided by IF).
Moderated score	Rationale for moderated score
4	Policy is appropriate and sufficiently detailed. Clear evidence that the policy is implemented.

22.3 Scoring policies adopted for specific indicators

Table 28: Scoring policies adopted for the moderation process

Indicator	Topic	Note
2.7	Annual financial reports following external audit	The scoring criteria for a score of 4 was amended for 2019-20 to require IFs to have published audited accounts for 'the last three years'. Some interpretation was needed.
	Policy	For a score of 4: IFs had to publish at least three years' worth of audited reports (including 2018) and provide some level of extra detail, such as narrative in the annual report or a report from an audit committee. For a score of 3: the IF's most recent published accounts covered 2016 or 2017. If a 2018 report was published, it lacked what might be regarded as a reasonable level of detail.
6.3	Adopt accounting control mechanisms and external financial audit	The criteria for a score of 4 was amended for 2019-20, now requiring IFs to have accounts audited to IFRS/GAAP or equivalent standards. For 2017-18, no standard was specified. In practice, the majority of IF audits did not use these standards and it may be disproportionately costly to expect smaller organisations to do so.
	Policy	For a score of 3: accounts are externally audited but not following IFRS/GAAP or equivalent standard and the information provided on internal controls is limited. For a score of 4: accounts are either audited following IFRS/GAAP standards, or using a different standard, which appears proportionate considering the size of the organisation. There is a reasonable level of information on internal controls (such as signatory authorities for payments at different levels).
6.10	Internal decisions can be appealed with final recourse to the Court of Arbitration for Sport (CAS)	In the 2017-18 assessment the moderated score was limited to a maximum of 3 (rather than 4) for those IFs that had not been involved in a case at CAS because it had not been proven that the rules allowing for an appeal to CAS (which all IFs have to differing extents) would work. In the 2019-20 assessment more IFs were able to demonstrate involvement in an ongoing or concluded case in recent years, some of which are not listed on the public database. In practical terms, it seemed unreasonable to penalise the small number of IFs that have not been involved in a case. Virtually all IFs therefore scored 4 for this indicator.
	Policy	For a score of 4: right of appeal in statutes for all relevant decisions to CAS, evidence of implementation of the rule, outcomes published (if there have been any cases).



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