

# AIOWF



Association of International Olympic Winter Sports Federations

## Review of Governance of AIOWF IF Members

July 2017



A study by I Trust Sport commissioned by AIOWF

## Review of Governance of AIOWF IF Members

Updated 6 July 2017

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## **1 Executive summary**

### **1.1 Background**

The findings of a governance assessment of the 28 members of the Association of Summer Olympic International Federations (ASOIF), led by the ASOIF Governance Taskforce, were [presented](#) at the General Assembly on 4 April 2017. Sports governance consultancy [I Trust Sport](#) provided support, reviewing the responses to self-assessment questionnaires, moderating scores where needed, and producing analysis for the written report. The Association of International Olympic Winter Sports Federations ([AIOWF](#)) subsequently commissioned a similar exercise with its members.

The current state of governance of the seven IF members was evaluated using a self-assessment questionnaire (see separate appendix) with independent moderation of the responses. The questionnaire was identical to the one developed for the ASOIF project and was re-used with the full approval of ASOIF.

The co-operation of the IFs is much appreciated, particularly considering that Congresses and other important events took place during the assessment period.

### **1.2 Methodology**

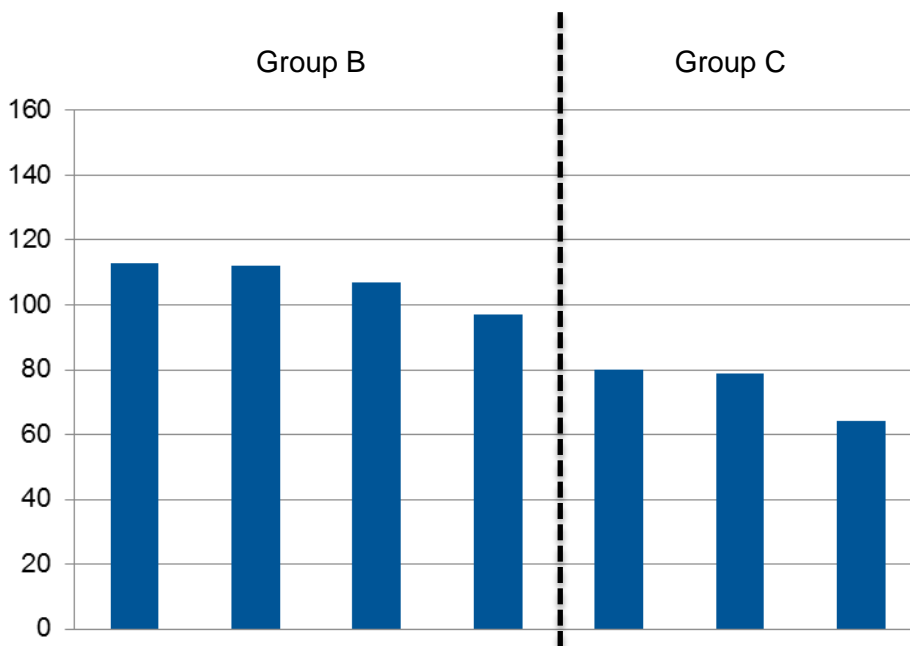
The questionnaire comprised 50 indicators (questions) divided equally among five principles or sections: Transparency, Integrity, Democracy, Development / Solidarity and Control Mechanisms. Each indicator was scored on a scale from 0 (“not fulfilled”) to 4 (“totally fulfilled”). IFs were asked to provide evidence to justify their scores, such as a link to the relevant page/document on their website or a brief explanation.

I Trust Sport reviewed the questionnaire responses and moderate scores for consistency. When necessary, scores were adjusted up or down and additional evidence was sought from IF websites.

### 1.3 Headline findings

There was considerable variation among the seven IFs with total moderated scores ranging from 64 to 113 out of a theoretical maximum of 200. It should be noted that there are significant differences between IFs in size and scale, which make direct comparisons difficult and to some extent unfair. For example, staff numbers range from fewer than 10 full-time personnel to 70 or more.

Total moderated scores for IFs in rank order



In the ASOIF assessment, the IFs were divided into three groups:

- Group A – 8 IFs scoring 122 to 170
- Group B – 11 IFs scoring 91 to 113
- Group C – 9 IFs scoring 65 to 83

Based on these numbers, the AIOWF members fit into Groups B and C but the lower limit for C is adjusted to 64.

#### 1.3.1 Transparency

All of the AIOWF members published their full Constitution or Statutes and competition rules effectively, plus information about their members. By contrast, none of the IFs provided more than summary information about allowances and financial benefits for elected officials and senior executives.

Two winter sport IFs published full, audited accounts, two others published some financial information, and the remaining three provided virtually no financial details. In the case of the ASOIF members, 18 out of 28 published audited accounts.

## 1.3.2 Integrity

Average scores for the Integrity section were lower than for Transparency, perhaps because it covered several topics which have only recently started to be addressed by IFs, such as whistleblower mechanisms, and policies to counter the threat of match manipulation. An indicator on anti-doping activity produced the highest average score in the section.

## 1.3.3 Democracy

All seven IFs had rules regarding the election process. In most cases, the President is elected by all of the members of the IF, as are the majority of the Executive Board or equivalent. Two IFs had some type of term limit in place, compared to 15 out of 28 ASOIF members with similar rules. Four of the winter sports have an annual Congress or General Assembly and three hold a biennial event. As in the assessment of ASOIF members, it proved difficult to take full account of the complexity of election regulations in a handful of questions.

## 1.3.4 Development and Solidarity

On average, Development and Solidarity was the lowest scoring section across the seven IFs, which may be explained by the fact that activity is limited in some cases due to availability and allocation of resources. The highest scoring indicator in the section related to the provision of education programmes for coaches, judges, referees and athletes, which seem to be well-established in most cases. Development programmes were generally in place but frequently there was limited information published about targeting strategy and the extent of any monitoring.

## 1.3.5 Control Mechanisms

This was the highest scoring of the five sections. The right of appeal to the Court of Arbitration for Sport was incorporated in the rules of all IFs which were reviewed. Most but not all of the sports have had experience of at least one case. There was relatively little evidence of open tendering for contracts offered by IFs. Two of the seven IFs could demonstrate having specific policies and mechanisms in place to prevent undue commercial influence on sporting regulations, although in some other cases there was an indirect reference in the Code of Ethics.

## 1.4 Limitations of the study

It is believed that the main findings of the study are valid and robust but it is important to acknowledge that the governance assessment has limitations. The questionnaire is just an initial step. Governance is an evolving process, as is governance assessment.

Due to the timetable, there has been little opportunity for dialogue with individual IFs. The questionnaire was standardised and focused on documents and procedures rather than actual behaviour. As such, the study can only provide a partial view – the existence of adequate procedures is an important component of organisational governance but written rules are insufficient on their own.

Many of the limitations could be addressed to some degree in a follow-up study. Tackling other points would require a complementary approach.

### 1.5 Additional comments

The study revealed considerable differences between IFs in their governance practices. There were some good examples of high standards but there were also some noticeable gaps which give cause for concern and need to be addressed.

It will take leadership, commitment and ongoing vigilance for IFs to reach and maintain the high standards of governance which sport deserves.

It is worth emphasising that governance issues are now attracting close attention with important proposed reforms to be voted on at Congresses taking place during the summer of 2017.

### 1.6 Next steps

Timing	Activity
July - Sept	Meet individual IFs to review their governance assessments (on request)
Sept / Oct 2017	Workshop for designated IF "governance contacts"
By Q4 2017	Revise the questionnaire and assessment process, taking account of feedback
ASOIF / AIOWF General Assembly 2018	Second iteration of assessment process complete
2018	Explore the creation of a compliance certification system

## **2 Background and objectives**

The findings of a governance assessment of the 28 members of the Association of Summer Olympic International Federations (ASOIF), led by the ASOIF Governance Taskforce, were [presented](#) at the organisation's General Assembly on 4 April 2017. Sports governance consultancy [Trust Sport](#) provided support, reviewing the responses to self-assessment questionnaires, moderating scores where needed, and producing analysis for the written report. The Association of International Olympic Winter Sports Federations ([AIOWF](#)) subsequently commissioned a similar exercise with its members.

The current state of governance of the seven IF members was evaluated using a self-assessment questionnaire (see appendix) with independent moderation of the responses. The questionnaire was identical to the one developed for the ASOIF project and was re-used with the full approval of ASOIF.

The questionnaire consisted of 50 fairly simple and measurable indicators covering five principles or sections: Transparency, Integrity, Democracy, Development/Solidarity and Control Mechanisms. There was also an initial section on Guiding Codes, referencing the foundation documents of the Olympic Movement, such as the Olympic Charter and the World Anti-Doping Code.

The co-operation of the IFs is much appreciated, particularly considering that Congresses and other important events have been taking place during the assessment period.

## **3 Methodology**

### **3.1 Scoring**

Each of the 50 indicators in the questionnaire incorporated a separate definition for scores on a scale from 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, such as a link to the relevant page/document on their website or a brief explanation.

The initial Guiding Codes section was slightly different in format but a similar process applied.

### 3.2 Independent moderation

I Trust Sport reviewed the questionnaire responses and moderated the scores to ensure as much consistency as possible.

Scores were checked against the defined criteria in the questionnaire for each indicator for all seven 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. Five of the seven IFs provided detailed evidence in their questionnaire responses.

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.

The questionnaire is new and so it is not surprising that there was variation in the interpretation of some of the indicators by different IFs, resulting in a need to adjust scores.

During the course of the ASOIF project, a number of policy guidelines were applied regarding the scoring of specific indicators to make the scoring as fair as possible. The same guidelines were applied to the AIOWF member questionnaires to ensure consistency. For convenience, an explanation of the guidelines is reproduced in 10.2 below.

It is important to note that the assessment represents a snapshot in time. Questionnaires were returned by IFs in May and June 2017. The moderation process ran from 24 May to 23 June, during which time documents were downloaded and pages of IF websites reviewed. As is to be expected in a rolling four year cycle, several IFs were in the process of implementing governance reforms or preparing for Congresses. The analysis is based on regulations that were 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.

The findings in paragraphs 4 to 6 below relate to the five sections Transparency, Integrity, Democracy, Development / Solidarity and Control Mechanisms. The initial section on Guiding Codes is effectively covered elsewhere in the questionnaire and so it has not been analysed separately.

### 3.3 Outcomes of moderation

Change in scores after moderation:

	Self-assessed score	Moderated score
Mean for total*	117	93
Median for total*	127	97
Mean per indicator	2.33	1.86
Median per indicator	2.54	1.94

Maximum increase	+4 (moderated score is above self-assessed score)
Maximum decrease	-48 (moderated score is 48 below self-assessed score)
Mean change	-23
Median change	-20
Median change %	-24%



(\*) Note on mean and median:

The mean is the sum of the figures divided by the number of figures (so divided by seven 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 4<sup>th</sup> largest if seven IF scores are being considered). The median is less impacted by an unusually high or low number in the series. Both mean and median are used in this report.

The moderated scores of six of the seven IFs were lower than the self-assessed scores (consistent with the ASOIF project where 25 out of 28 were marked down). As the questionnaire is new and some of the indicators could be interpreted in different ways, it is understandable that there were inconsistencies in the responses, 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 was acknowledged in the ASOIF project, the questionnaire lacked clarity in places and can be improved significantly, building on the experience gained and feedback received (see paragraph 9 below on next steps).

In the cases where there were very large differences between the moderated and self-assessed scores (two IFs were marked down by over 30 points), the discrepancy tended to relate to the interpretation of “publishing”: IFs sometimes allocated scores of 4 for indicators relating to the publication of information such as Congress minutes when details were distributed to members only and/or in password-protected sections of websites. In the moderation process high scores were awarded for these indicators only when information was published openly on the IF website.

The decision to base assessment on regulations that were in place on the day of the review (see 3.2 above) resulted in a number of scores being moderated down. If another assessment exercise takes place in future, improved governance will naturally be acknowledged.

### **3.4 Allowing a margin of error**

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

In recognition that some of these judgements could be debatable, each IF total score should be understood to have a margin of error from -7 to +7. This was also the policy adopted for the ASOIF project.

For more details of the moderation process and the policies applied, see 10.2 below.

### **3.5 Note on varying size and scale of IFs**

The seven IFs which are members of AIOWF are diverse in their size and the scale of their operations. For example, staff numbers vary from under 10 to 70 or more.

The scale of activity also covers quite a range. While some IFs manage and run global competition series with substantial prize money in multiple disciplines, others are responsible for a more limited competition schedule.

Due to this variation, caution is needed when attempting to make direct comparisons between IFs.

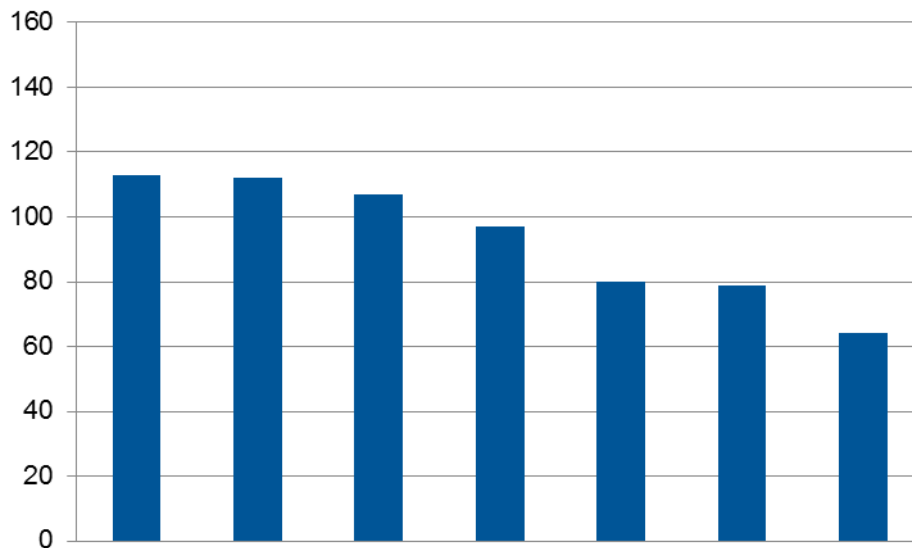
## 4 Headline findings

The analysis of the questionnaire data has been anonymised so that scores from individual IFs are not readily identifiable. While the chosen approach does limit the potential for external scrutiny, it is believed to be fair considering the limitations of the project (paragraph 7 below) and this study is intended only as the first step in a committed attempt to improve the governance of IFs.

Please note that all of the analysis is based on moderated scores, not self-assessed scores.

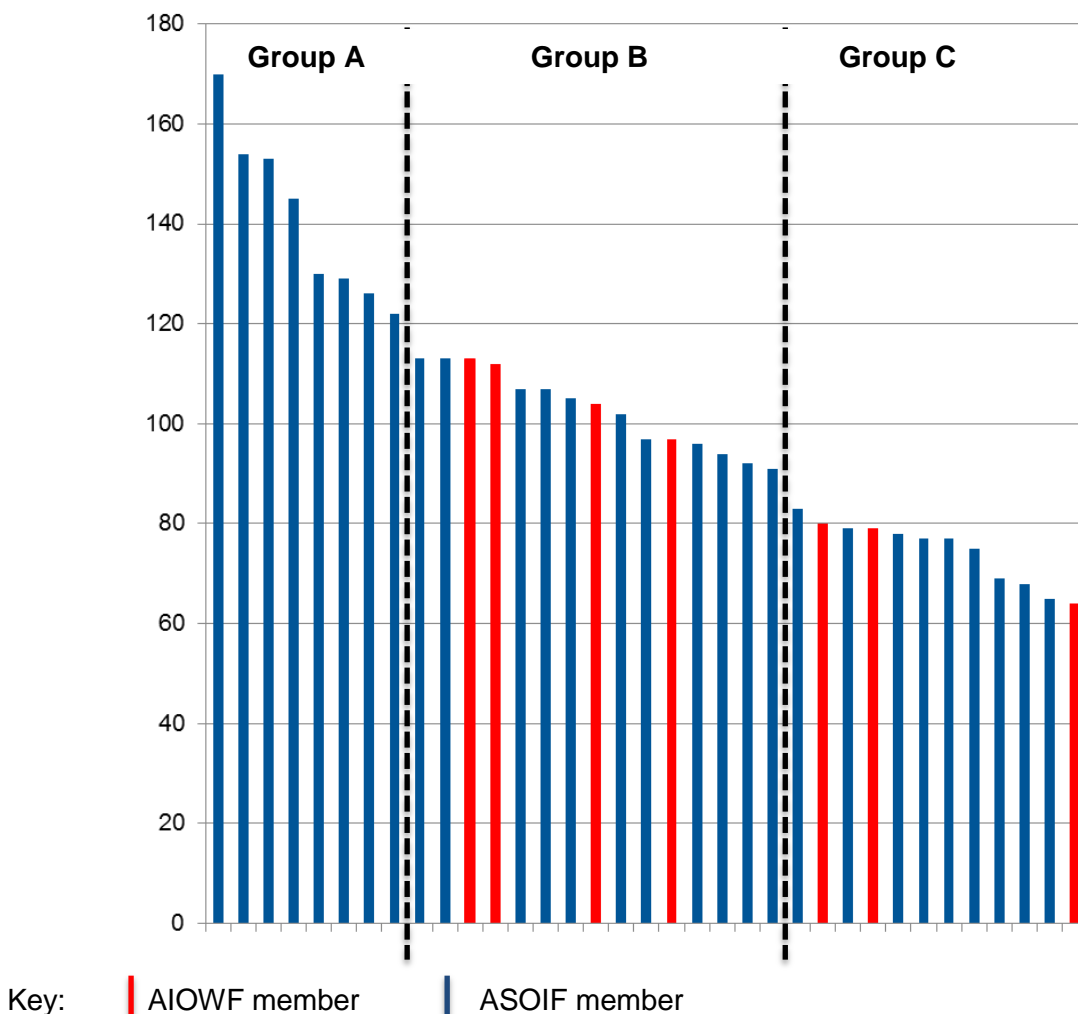
### 4.1 Overall moderated scores

Moderated total scores for each AIOWF IF in rank order



There was considerable variation among the 7 IFs with total moderated scores ranging from 64 to 113 out of a theoretical maximum of 200.

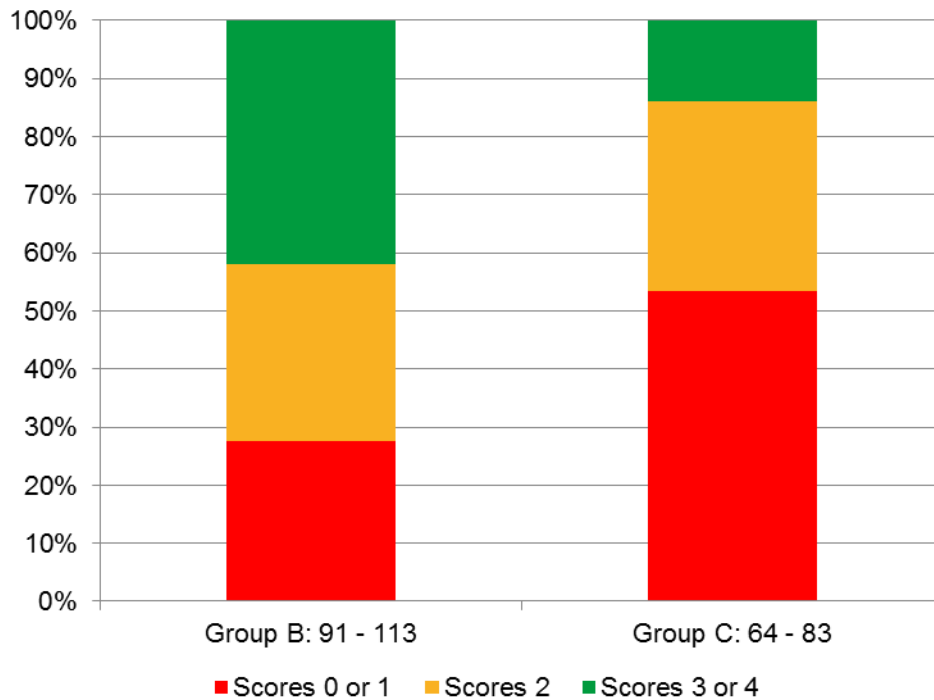
## 4.2 Comparison of ASOIF and AIOWF members



The chart shows the total scores of each of the 35 Olympic IFs with the AIOWF members marked in red. None quite meets the criteria for Group A among the ASOIF members, scoring 122 to 170. Four are in Group B, between 91 and 113, and three are in Group C, ranging from 64 to 83. The lowest ranking AIOWF member was 1 point below the lowest ASOIF member. However, considering the margin of error from -7 to +7, there could be some shuffling of positions.

It is clear that overall the average scores of the AIOWF members are lower than for the ASOIF members.

### 4.3 Percentage distribution of scores for AIOWF members in Groups B and C



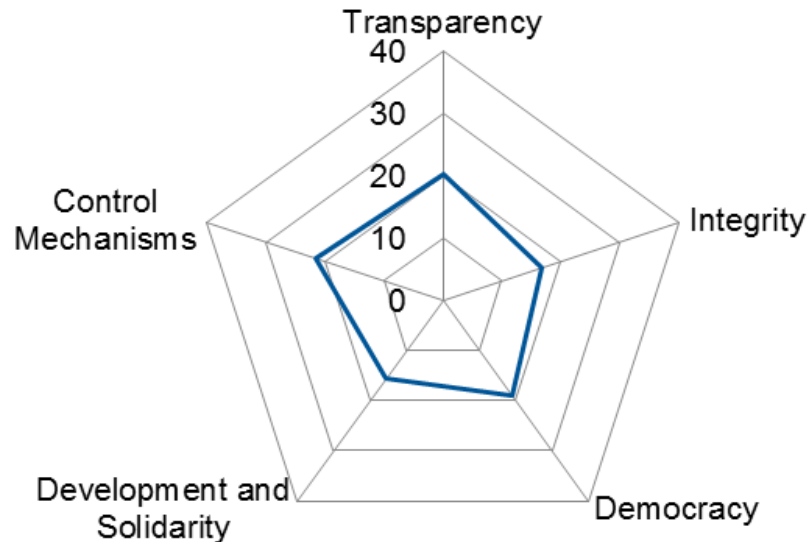
Considering the four winter sport IFs in Group B together (with total scores between 97 and 113), fewer than 30% of the 200 indicators were scored at 0 or 1, whereas over 40% were scored at 3 or 4. As a reminder, a score of 0 signifies the indicator is “not fulfilled at all” and 1 means “partially fulfilled”. 2 signifies “fulfilled”, 3 is for cases where the indicator is “well-fulfilled” and 4 refers to “totally fulfilled in a state of the art way”.

Among the three IFs with a total between 64 and 80 (Group C), scores for over 50% of the 150 indicators were 0 or 1 and only 14% received a mark of 3 or 4.

The eight summer IFs which comprised Group A collectively had over 60% of the indicators scoring 3 or 4.

## 5 Section by section findings

Mean scores by section (theoretical maximum of 40)



Section	Minimum	Maximum	Mean	Median
Transparency	12	28	20	21
Integrity	9	23	17	16
Democracy	13	24	19	18
Development and Solidarity	9	22	16	17
Control Mechanisms	17	29	21	21

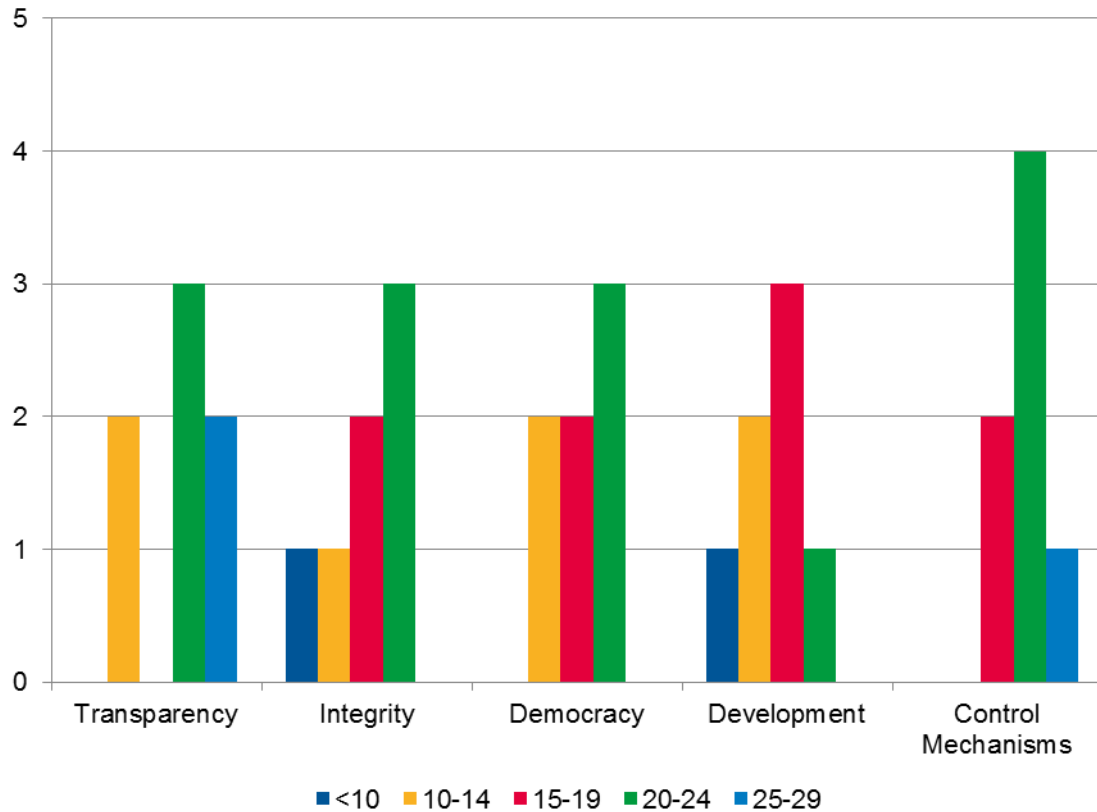
Among the seven IFs, the mean scores for the Control Mechanisms section were fractionally higher than the next best, Transparency, both averaging just over 2 out of 4 per indicator ( “fulfilled”). The Integrity and the Development / Solidarity sections had the lowest average scores. However, the mean and median scores mask a considerable range among the IFs, which is evident from the minimum and maximum figures.

Aside from the lower average scores for the winter sports overall, the main noticeable difference was that Transparency did not stand out as the highest scoring section as was the case for the ASOIF members.

There were no section scores over 30 (which would represent an average score of 3 out of 4 or “well-fulfilled” for each of 10 indicators).

## Distribution of scores by section

Count of IFs

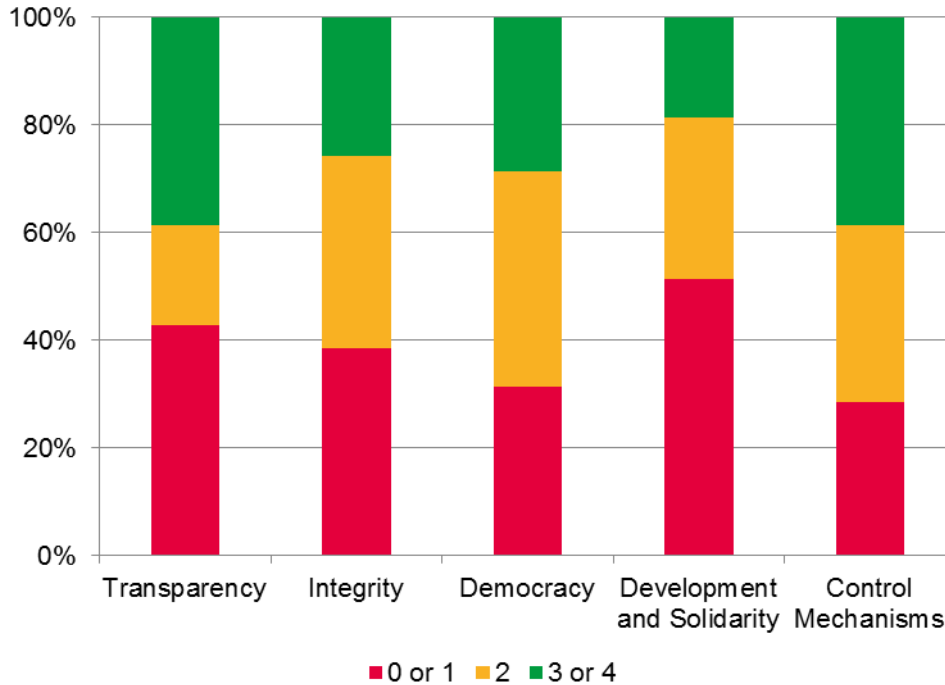


There were two section scores under 10 (the theoretical maximum score is 40), one for Integrity and one for Development and Solidarity. For each of the sections except Control Mechanisms there were at least two IFs which scored less than 15.

The most common section score was 20-24, which was the result in 14 out of 35 cases (five sections for each of seven IFs). This represents an average score of just over 2 out of 4 for each of the 10 indicators.

Development and Solidarity proved the most difficult section in which to achieve a high score with only one IF recording over 20 points.

Distribution of scores for individual indicators by section (%)



Section	0 or 1	2	3 or 4
Transparency	43%	19%	39%
Integrity	39%	36%	26%
Democracy	31%	40%	29%
Development and Solidarity	51%	30%	19%
Control Mechanisms	29%	33%	39%

In the case of the Transparency and Control Mechanisms sections, almost 40% of the 140 indicators (20 indicators for each of seven IFs) were scored at 3 or 4. By contrast, only 19% of the indicators in the Development and Solidarity section reached the same level. Development and Solidarity was the only section with over half of the questions receiving a score of 0 or 1.

Across the whole study, 30% of indicators were scored at 3 or 4, compared to just under 40% scoring less than 2. This signifies that there were more instances of governance requirements being fulfilled partially or not at all than being well or totally fulfilled.

## 5.1 Transparency section

Mean scores by indicator

Indicator	Topic	Mean
2.1	Statutes, rules and regulations	3.43 (highest)
2.2	Organisational charts for staff, elected officials and committee structures, and other relevant decision-making groups including Remuneration Committee	2.43
2.3	Vision, mission, values and strategic objectives	1.71
2.4	A list of all national member federations with basic information for each	3.00
2.5	Details of elected officials with biographical info	2.14
2.6	Annual activity report and main events reports	2.43
2.7	Annual financial reports following external audit	1.14
2.8	Allowances and financial benefits of elected officials and senior executives	0.43 (lowest)
2.9	General Assembly agenda with relevant documents (before) and minutes (after) with procedure for members to add items to agenda	1.57
2.10	A summary of reports/decisions taken during Executive Board and Commission meetings and all other important decisions of IF	2.00

Transparency was just behind the top-ranked Control Mechanisms in mean scores among the five sections of the questionnaire.

All of the IFs reviewed published their full Constitution or Statutes and competition rules effectively, plus information about their members. 2.1 was the highest scoring of the 50 indicators in the study.

By contrast, none of the IFs scored higher than 1 on indicator 2.8 about the publication of allowances and financial benefits for elected officials and senior executives, meaning that they provided no more than summary information. This was also a low-scoring indicator among the ASOIF members with only seven out of 28 being assessed at a score of 2 or more.

Two winter sport IFs published full, audited accounts. Two others published some financial information, falling short of full accounts. The remaining three IFs provided virtually no financial details. In the case of the ASOIF members, 18 out of 28 published audited accounts.



## 5.2 Integrity section

### Mean scores by indicator

Indicator	Topic	Mean
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	2.29
3.2	Has a unit or officer in charge of ensuring that the IF abides by the WADA World Anti-Doping Code	2.57 (highest)
3.3	Complies with the Olympic Movement Code on the Prevention of the Manipulation of Competitions	2.43
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	2.14
3.5	Establish confidential reporting mechanisms for "whistle blowers" with protection scheme for individuals coming forward	0.43 (lowest)
3.6	Respect principles of sustainable development and regard for the environment	1.57
3.7	Put in place integrity awareness/education programmes	1.00
3.8	Provide for appropriate investigation of threats to sport integrity	2.00
3.9	Cooperate with relevant public authorities (such as Interpol, Council of Europe, UN Office on Drugs and Crime) on integrity matters	0.57
3.10	Make public all decisions of disciplinary bodies and related sanctions, as well as pending cases where applicable	1.86

The indicator on anti-doping activity (3.2) produced the highest mean score in the Integrity section.

The section included several indicators on topics which have only recently started to be addressed by IFs, such as whistleblower mechanisms (indicator 3.5) and policies to counter the threat of match manipulation (3.3, 3.7, 3.8 and 3.9). It is therefore perhaps not surprising that this section produced the second lowest mean score, fractionally ahead of Development and Solidarity.

Four IFs scored 0 for indicator 3.5, implying that there was no evidence of a confidential reporting mechanism for whistleblowers. The other three scored 1.

In their response to indicator 3.3, most IFs referenced their co-operation with the International Olympic Committee's Integrity Betting Intelligence System (IBIS).

Indicator 3.9 on co-operation with public authorities on integrity matters was also low-scoring. Instances of co-operation were restricted to IFs which had been involved in specific types of legal cases.

## 5.3 Democracy section

### Mean scores by indicator

Indicator	Topic	Mean
4.1	Election of the President and a majority of members of all executive bodies	2.43
4.2	Clear policies to ensure election candidates can campaign on balanced footing including opportunity for candidates to present their vision/programmes	1.14
4.3	Election process with secret ballot under a clear procedure/regulation	2.71 (highest)
4.4	Make public all open positions for elections and appointments including the process for candidates and full details of the roles, job descriptions, application deadlines and assessment	1.57
4.5	Establishment and publication of eligibility rules for candidates for election together with due diligence assessment	2.00
4.6	Term limits for elected officials	0.57 (lowest)
4.7	Provide for the representation of key stakeholders (e.g. active athletes) in governing bodies. Due regard shall be paid to gender representation and the enactment of policies encouraging gender equality	2.29
4.8	Main decisions are taken on basis of written reports supported by criteria with opportunity for secret ballot at request of voting constituents	2.00
4.9	Defined conflict of interest policy with exclusion of members with a manifest, declared or perceived conflict	2.29
4.10	Governing bodies meet regularly	2.00

All seven IFs had rules in their Constitution or Statutes regarding the election process. In most cases, the President is elected by all of the members of the IF, as are the majority of the Executive Board or equivalent.

Two out of seven had some type of term limit in place, scoring 2 or more for indicator 4.6. This compares to 15 out of 28 ASOIF members that had a term limit.

Four have an annual Congress or General Assembly and three hold a biennial event (indicator 4.10). This is similar to the pattern among ASOIF members (13 annual, 13 biennial, 2 have a Congress every 4 years).

The indicators on Democracy proved the most challenging part of the questionnaire to moderate. It is difficult to do justice to the level of complexity and variation in election regulations among IFs in only a handful of indicators (4.1, 4.2, 4.3, 4.5, 4.6 and 4.7).

The general subject of democratic processes in IFs might merit a dedicated piece of research.

(\*) Note on “term limits”: Term limits refer to a restriction on the length of time an official such as a President or Executive Board member can serve in an organisation. Term limits may specify a period of years or the number of times an individual can be eligible for re-election. In order for indicator 4.6 to be fulfilled (scoring 2 or above), there had to be a limit at least as strict as permitting a maximum of three terms of four years for an individual in one role.

## 5.4 Development and Solidarity

Mean scores by indicator

Indicator	Topic	Mean
5.1	Transparent process to determine allocation of resources in declared non-profit objectives	2.14
5.2	Redistribution policy and programmes for main stakeholders	2.14
5.3	Monitoring / audit process of the use of distributed funds	1.57
5.4	Existence of environmental responsibility policy and measures	1.57
5.5	Existence of social responsibility policy and programmes	1.00
5.6	Education programmes and assistance to coaches, judges, referees and athletes	2.57 (highest)
5.7	Solidarity programmes pay due regard to gender and geographical representation through internal guidelines	1.29
5.8	Legacy programmes to assist communities in which events are hosted	1.14
5.9	Anti-discrimination policies on racial, religious or sexual orientation	1.57
5.10	Cooperation with relevant public authorities (such as UN Environment Programme, ICRC, World Health Organisation, UN High Commissioner for Refugees) on social responsibility issues	0.57 (lowest)

In this section, IFs scored highest for their provision of education programmes for coaches, judges, referees and athletes, which seemed to be well-established in most cases.

Development programmes were generally in place but frequently there was limited information published about the targeting strategy and the extent of any monitoring.

Indicator 5.10 had the lowest mean score in this section. Relatively few IFs demonstrated co-operation with public authorities. However, the indicator did not reference other bodies with which IFs may co-operate in complementary development activity such as National Olympic Committees through the network of the member National Federations.

On average, Development and Solidarity was the lowest scoring section across the seven winter IFs, which may be explained by the fact that activity is limited in some cases due to availability and allocation of resources.

In some of the instances where there were low scores it could be argued that development work is proportionate to the sport. For example, the average score was 1 for indicator 5.5 on the provision of social responsibility programmes. In the context of the constraints of geography and requirements for equipment, winter sport IFs may choose to target talented athletes for development work rather than aiming for a broad reach.

## 5.5 Control Mechanisms section

Mean scores by indicator

Indicator	Topic	Mean
6.1	Establish an internal ethics committee with independent representation	2.14
6.2	Establish an audit committee that is independent from the decision-making body and reports to members directly	2.29
6.3	Adopt accounting control mechanisms and external financial audit	2.43
6.4	Adopt policies and processes for internal control and risk management	2.57
6.5	Adopt policies and mechanisms to prevent commercial interests from overriding sporting regulations e.g. conduct of draws	1.43
6.6	Observe open tenders for major commercial and procurement contracts	1.14
6.7	Decisions can be challenged through internal appeal mechanisms on the basis of clear rules	2.29
6.8	Due diligence and effective risk management in bidding requirements, presentation, assessment and allocation of main events	2.00
6.9	Awarding of main events follows an open and transparent process	1.86
6.10	Internal decisions can be appealed with final recourse to the Court of Arbitration for Sport	3.29

The right of appeal to the Court of Arbitration for Sport (6.10) was included in the rules of all IFs which were reviewed. Most but not all sports have had experience of at least one case.

There was relatively little evidence of open tendering for contracts offered by IFs. Two scores of 2 for indicator 6.6 were the best among the seven IFs, meaning that most did not meet the criteria of holding “regular open tenders for major commercial and procurement contracts”.

Only two of the IFs could demonstrate having specific policies and mechanisms in place to prevent undue commercial influence on sporting regulations (scoring 2 or more on indicator 6.5), although in some other cases there was an indirect reference in the Code of Ethics.

## **5.6 Wider impact of Transparency**

While only one of the five sections in the questionnaire was specifically dedicated to Transparency, the extent to which an IF published information had a wider impact on scores. For example, when an annual report was published, it generally included details of development activity (relevant to the Development / Solidarity section). Similarly, audited accounts often provided an outline of internal controls and risk management (covered in the Control Mechanisms section). For IFs with scores at the lower end of the scale, a shift to publishing more information could provide a substantial boost without the need for constitutional amendments.

## **6 Categorising IFs**

### **6.1 Categorising IFs by resources – limited evidence of correlation with scores**

As referenced in 3.5 above, there is considerable diversity among IFs in their budgets, the number of professional staff employed and in the scope of their operations. It is plausible that these differences could have an impact on governance structures and procedures. It might also be reasonable to have different expectations which are proportionate to the resources available and the scope of activity.

During the ASOIF study, analysis was attempted to look for correlations or patterns in scores among groups of IFs with larger or smaller salary budgets using information from audited accounts. Based on the information available, no very strong trends could be identified. There were examples of IFs operating with a small number of staff which scored very well and other cases of IFs with access to considerable resources which were at the lower end of the scale.

Using the data collected, it is not clear that there was a straightforward or fair method to divide IFs into categories based on their resources which would allow an additional level of analysis. However, a future study might consider methods of doing so.

### **6.2 Existence of term limits – evidence of correlation with scores**

Analysis of the ASOIF members suggested that IFs with some type of term limit in place for the President had a higher average score (15 IFs averaging around 115 points) compared to 92 points for the 13 IFs without term limits.

The sample size of seven for the AIOWF study, out of which two IFs had term limits, is too small to draw reliable conclusions on its own. When the data from the ASOIF and AIOWF studies are combined, the 17 IFs with term limits average about 113 points whereas the 18 without average 91.

## 7 Limitations of the study

It is believed that the main findings of the study are valid and robust but it is important to acknowledge that this is the first governance assessment project undertaken for AIOWF members and there are limitations.

The self-assessment questionnaire should be regarded as an initial step and a snapshot in time. Governance is an evolving process, as is governance assessment. Concepts of best practice and public expectations of governance change over time. As was evident in the study, several IFs are currently in the process of making significant changes.

Due to the timetable, there has been little opportunity for dialogue with individual IFs about the questionnaires before the compilation of this report. Consequently, there may be errors in the assessment due to information that has not been provided or has been misinterpreted.

Desk analysis of documents, procedures and structures does not take account of actual behaviour and organisational culture. For example, a process may be documented but not implemented in practice, or written materials which are updated infrequently may not yet reflect an important change that has been agreed.

The questionnaire was deliberately limited to 50 indicators to make the task of completion manageable. Inevitably, it did not address every relevant issue. Some important and high profile topics which were not covered in detail include gender equity, evidence of criminal activity, and welfare issues including safeguarding children and vulnerable adults.

Most of the scoring definitions described a predominantly “quantitative” rather than “qualitative” view – for example the existence of rules for an internal appeals process rather than how effectively the rules work (6.7).

Scores were not weighted. It is possible for good scores achieved across various topics by an IF to mask a serious failure in one specific area, or for gaps in non-core areas to bring down an overall score although the basics were covered well.

The thematic division between sections in the questionnaire was pragmatic but is not claimed to be scientific.

In places, the questionnaire lacked clarity and there were differences in the interpretations of a few indicators by the respondents. This was dealt with as far as possible in the moderation process.

As explained elsewhere, direct comparisons between IFs could be unfair in some cases. While every effort was made to be consistent, it is unrealistic to claim that a score of 3 for a particular IF on one indicator is exactly the same as a 3 for another. There is a degree of subjectivity in the scoring, which explains the need to accept a margin of error.

Many of these limitations could be addressed to some degree in a follow-up study. Tackling others would require a complementary approach.

## 8 Conclusion

The study revealed significant diversity in governance practices among the AIOWF members. There were some good examples of high standards but there were also some noticeable gaps which give cause for concern and need to be addressed.

With a small sample size of seven, averages should be treated with caution. However, it is clear that winter IFs fell short of the scores of the best of the summer sports. There was no obvious difference in the scoring pattern or evidence of a specific “winter sport template” - in most cases it was the same indicators which resulted in the best scores for both winter and summer IFs.

On a positive note, it is worth emphasising that important proposed reforms are being voted on at Congresses during the summer of 2017.

AIOWF believes that the governance assessment project has been a very worthwhile exercise so far and looks forward to continuing the work together with ASOIF. The questionnaire was positively received by the IFs, who responded for the most part on time and in sufficient detail to enable the moderating process and analysis to progress smoothly. Improvements can be made to the questionnaire but the current version provided a considerable quantity of useful data to work with.

It will take leadership, commitment and ongoing vigilance for IFs to reach and maintain the high standards of governance which sport deserves. Policies and processes are important but they are not enough in themselves – culture and behaviour at all levels in an organisation play a huge role.

## 9 Suggested next steps

The ASOIF Governance Taskforce and AIOWF plan to continue with the governance assessment project. The intended next steps are as follows:

Timing	Activity
July - Sept	Meet individual IFs to review their governance assessments (on request)
Sept / Oct 2017	Workshop for designated IF “governance contacts”
By Q4 2017	Revise the questionnaire and assessment process, taking account of feedback
ASOIF / AIOWF General Assembly 2018	Second iteration of assessment process complete
2018	Explore the creation of a compliance certification system

## 10 Appendices

### 10.1 International Federations

International Biathlon Union (IBU)  
 International Bobsleigh and Skeleton Federation (IBSF)  
 World Curling  
 International Ice Hockey Federation (IIHF)  
 Fédération Internationale de Luge de Course (FIL)  
 International Skating Union (ISU)  
 Fédération Internationale de Ski (FIS)

### 10.2 Further explanation of moderation process (copied from the ASOIF report)

#### 10.2.1 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 (in a small number of cases) on supplementary documents submitted by IFs along with the questionnaire
- Scores were based on sections 2-6 of the questionnaire, excluding section 1 (Guiding Codes). Indicators 3.1, 3.2 and 3.3 effectively served as a proxy for 1.2, 1.4, 1.5, 1.7 and 1.8
- Moderated scores were based on regulations which 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
- 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

#### 10.2.2 Indicative example of moderating scores

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

Indicator 2.7 - Annual financial reports following external audit

Mean score: 2.07

Scores	Definition in questionnaire distributed
0	No
1	Some financial information published on IF website
2	Publication of externally audited financial reports on IF website
3	Publication of audited financial reports, easy to find on IF website
4	Publication of state of art audited financial reports, easy to find on IF website, extra data, management letter



### Example IF A

Self-assessed score	Evidence in questionnaire response
4	IF states that annual accounts are provided to members in Congress papers
Moderated score	Rationale for moderated score
0	No financial information published on website

### Example IF B

Self-assessed score	Evidence in questionnaire
3	Hyperlink provided to annual accounts which are among Congress papers in the dedicated section on the website
Moderated score	Rationale
2	Files are difficult to find as it is necessary to navigate through several pages. There is very little explanatory information beyond the accounts themselves

### Example IF C

Self-assessed score	Evidence in questionnaire
4	Hyperlink provided to download a detailed financial report and audited accounts; there are documents for several previous years
Moderated score	Rationale
4	Meets criteria; accounts are relatively easy to find in a logical process from the home page

### 10.2.3 Overlapping indicators

There were three pairs of indicators which overlapped fairly closely in subject matter. While it was possible to differentiate between them, the distinctions were subtle and there was some inconsistency in the way they were answered. A significant number of IFs provided the same answer to both questions.

For each of the pairs of indicators below, in the case of doubt, IFs were awarded the same score for both indicators.

Pairs of overlapping indicators	Subject matter
3.6	Respect principles of sustainable development and regard for the environment
5.4	Existence of environmental responsibility policy and measures
5.1	Transparent process for allocating resources in declared non-profit objectives
5.2	Redistribution policy and programmes for main stakeholders
6.3	Adopt accounting control mechanisms and external financial audit (The definitions for the scores of 6.3 and 6.4 were mistakenly transposed in the questionnaire)
6.4	Adopt policies and processes for internal control

## 10.2.4 Clarification for specific indicators

Indicator	Topic	Note
2.2	Organisational structure and chart	The existence of an organisational chart is a technicality and quite a few IFs do not publish one. It seemed disproportionate for this single factor to make the difference between a score of 1 and 3.
	<i>Policy</i>	IFs were not automatically marked down for not having an organisational chart; rather the score awarded was a qualitative assessment of the information published.
4.4	Make public positions for election and appointment	It was hard to differentiate between scores 2 and 3.
	<i>Policy</i>	3 was awarded where there was a specific announcement about positions, not just an indirect reference in a Congress agenda etc.; 3 was also awarded when there was evidence that the IF advertised staff vacancies
4.5	Eligibility rules and due diligence	This is a complex area and it proved difficult to give an adequate assessment in a single score.
	<i>Policy</i>	The score awarded represented a qualitative assessment of the relevant rules.
4.7	Representation of stakeholders and gender equality	The question covered two distinct factors.
	<i>Policy</i>	Scores awarded gave credit as long as at least one of the two factors was covered.
5.6	Education programmes	External provision did not necessarily seem to be an advantage.
	<i>Policy</i>	Score was not automatically limited to 2 if there was no evidence of external provision; rather the score awarded was a qualitative assessment of the evidence of provision.
5.7	Gender and geographical representation for solidarity programmes	The question covered two distinct factors.
	<i>Recommendation</i>	Scores awarded gave credit as long as at least one of the two factors was covered.

### 10.3 Credits and acknowledgements

Rowland Jack and Slobodan Tomic from I Trust Sport reviewed the questionnaire responses, moderated the scores and produced analysis for this report.

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