

Governance Assessment Questionnaire for Applicants to become World Anti-Doping Code Signatories

This questionnaire is one component of the application process for organizations that seek to become a World Anti-Doping Code Signatory in accordance with the procedure in Article 23.1.3 of the [2021 World Anti-Doping Code](#).

The questionnaire is used to assess whether or not the Applicant meets the “minimum standards in terms of governance” specified in paragraph 3.c.1 of the [Policy for Acceptance of new World Anti-Doping Code Signatories](#).

The questionnaire comprises a background section followed by 20 indicators (questions) which are each scored from 0 to 4.

Additional supporting documents can be submitted along with the responses to the scored indicators.

Responses will be reviewed and assessed by a third party experienced in sports governance and designated by World Anti-Doping Agency (WADA).

SECTION A: Background

Please respond to the following background indicators. These indicators are not scored.

Ref.	Indicator	Response
A	Name of organization	
B	Name of individual(s)	
C	Please indicate what type of legal entity the organization is (choose one)	Swiss-based Voluntary Association
		Other Voluntary Association
		Company limited by shares
		Company limited by guarantee
		Charity
		Other (please specify)
D	Please indicate what separate entities are associated with the organization and the legal association to the organization (e.g. a wholly-owned subsidiary limited company that owns marketing rights)	
E	In which country does the organization have its legal base?	
F	How many full-time equivalent paid staff does the organization have, including contractors (choose one)	0 or less than 1
		1-4
		5-9
		10-19
		20-49
		50-119
		120+

G	What is the approximate annual revenue of the organization and its subsidiaries averaged over the 2016-2019 period (choose one)	<2m USD
		2m-4m USD
		4m-8m USD
		8m-20m USD
		20m-50m USD
		>50m USD

SECTION B: Core organizational information

Please indicate the extent to which your organization has or publishes the following information. Additional documents can be submitted as part of your response, if needed.

W1	
Statutes, rules and regulations	
	0 - Not available
	1 - Some statutes, rules and regulations available
	2 - Latest version of statutes, rules and regulations provided but not published
	3 - Full publication, easy to find on website (e.g. designated section)
	4 - Full publication, easy to find on website and latest version with mark-ups identifying differences between previous versions (or summary document published outlining changes)
Evidence (hyperlink, reference, comment, etc.):	

W2	
Vision, mission, values and strategic objectives	
	0 - Not available
	1 - Some information available
	2 - Vision, mission and values provided but not published
	3 - Full publication of vision, mission and values
	4 - Full publication including strategic plan, easy to find on organization website
Evidence (hyperlink, reference, comment, etc.):	

W3

A list of all member organizations with basic information for each

	0 - No information provided (or not applicable to organization)
	1 - Some member information available
	2 - Latest member information provided but not published
	3 - Full publication of member information, easy to find on website
	4 - Full publication, easy to find on website, extra data or explanation about members

Evidence (hyperlink, reference, comment, etc.):

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W4

Details of senior officials with biographical information

0 - No information provided

1 - Basic information about senior officials available

2 - Biographical information about senior officials provided, but not published

3 - Full publication, easy to find on website, with photos

4 - Full publication, easy to find, on organization website with extra data or explanation

Evidence (hyperlink, reference, comment, etc.):

W5	
Annual activity report, including institutional information, and main events reports	
	0 - No information provided
	1 - Some news available
	2 - News published regularly, and an annual report (or equivalent) provided but not published
	3 - News published regularly and an annual report published, easy to find on website
	4 - Full publication, at least the three most recent years, easy to find on website, with extra data or explanation
Evidence (hyperlink, reference, comment, etc.):	

W6

Annual financial reports following external audit

0 - No information provided

1 - Some financial information available

2 - Audited financial report provided, but not published

3 - Publication of audited financial reports

4 - Publication of audited financial reports for at least the last three years, easy to find on organization website, extra data, management letter

Evidence (hyperlink, reference, comment, etc.):

SECTION C: Integrity

Please indicate the extent to which you consider that your organization fulfils the following. Additional documents can be submitted as part of your response, if needed.

W7	
Organization implements a Code of Ethics / Conduct or equivalent	
	0 - No
	1 - A designated staff member/unit has responsibility for keeping the Code of Ethics / Conduct or equivalent updated
	2 - Designated responsibility and a defined process for dealing with breaches of the Code of Ethics / Conduct or equivalent
	3 - Designated responsibility and a defined process and resources for investigating breaches, evidence of implementation provided
	4 - State of the art process, with dedicated resources, education and outcomes published
Evidence (hyperlink, reference, comment, etc.):	

W8	
Rules and processes for appropriate investigation of threats to sport integrity	
	0 - No
	1 - Some reference to rules and process for the investigation of threats to sports integrity (e.g. anti-doping rule violations) in official documents
	2 - Defined investigation rules and process for threats to sports integrity
	3 - Dedicated resources and process for threats to sports integrity, evidence of implementation
	4 - State of the art intelligence gathering and investigation process for threats to sports integrity, evidence of implementation (e.g. case management system, cases investigated in accordance with due process)
Evidence (hyperlink, reference, comment, etc.):	

W9	
Appropriate gender balance in Board or equivalent	
	0 - Female representation is no more than 5%, or no information available
	1 - Female representation is more than 5% but no more than 15%
	2 - Female representation is at least 15% with rules/policy to encourage gender balance
	3 - Female representation is at least 25% with rules/policy to encourage gender balance
	4 - Executive Board has at least 40% of each gender with rules/policy to encourage gender balance
Evidence (hyperlink, reference, comment, etc.):	

W10

Compliant with applicable laws regarding data protection (such as GDPR) and takes measures to ensure IT security

	0 - No
	1 - Some evidence of action taken regarding data protection issues
	2 - Organization is compliant with applicable data protection laws, such as GDPR and undertakes IT security measures
	3 - Organization is compliant with applicable data protection laws and provides training for staff members, undertakes regular risk reviews of its security of IT systems with actions to mitigate risks
	4 - State of the art policies and procedures in place (e.g. working with external consultants or experts)

Evidence (hyperlink, reference, comment, etc.):

SECTION D: Democracy

Please indicate the extent to which you consider that your organization fulfils the following. Additional documents can be submitted as part of your response, if needed.

W11	
Election of the President and a majority of members of all executive bodies	
	0 - No information provided (or not applicable to organization)
	1 - Some elections but for limited number of roles
	2 - Elections for president and majority of members of executive bodies
	3 - Elections for president and majority of roles, voting numbers published
	4 - Elections for president and majority of roles, voting numbers published, element of external scrutiny (e.g. notary and/or electronic voting system)
Evidence (hyperlink, reference, comment, etc.):	

W12

Involvement of athletes ('active' as defined in the Olympic Charter) in decision-making

	0 - No
	1 - Some representation of key stakeholders in governing bodies
	2 - Designated key stakeholder representatives in governing bodies (not consultative)
	3 - Representation of key stakeholders including athlete(s) on Executive Board, duly elected/designated by the relevant body
	4 - State of art athlete and other key stakeholder representation

Evidence (hyperlink, reference, comment, etc.):

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W13

Conflict of interest policy identifying actual, potential and perceived conflicts with exclusion of members with an actual conflict from decision-making

	0 - No relevant rules or policy in place
	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 published, checked against register and evidence of implementation (e.g. through meeting minutes)
Evidence (hyperlink, reference, comment, etc.):	

SECTION E: Development

Please indicate the extent to which you consider that your organization fulfils the following . Additional documents can be submitted as part of your response, if needed.

W14	
Respect principles of sustainable development and regard for the environment	
	0 - No
	1 - At least some reference to environmental responsibility in official documents
	2 - Official guidance on respecting principles of sustainable development and environment
	3 - Policy and measures on environmental responsibility, evidence of implementation, details published
	4 - State of the art policy on environmental responsibility, monitoring in place, details published
Evidence (hyperlink, reference, comment, etc.):	

W15	
Education programmes (topics other than integrity) and assistance to coaches, judges, referees and athletes	
	0 - No
	1 - At least some educational support for coaches, judges, referees and athletes
	2 - Education programme and assistance for coaches, judges, referees and athletes
	3 - Education programme and assistance for coaches, judges, referees and athletes with details published
	4 - State of the art education programme for coaches, judges, referees and athletes with details published
Evidence (hyperlink, reference, comment, etc.):	

W16	
Put in place integrity awareness/education programmes (such as anti-doping, match fixing, safeguarding and other related integrity topics)	
	0 - No
	1 - At least some information on integrity awareness available (e.g. anti-doping educational material)
	2 - Integrity awareness/education programmes in place
	3 - Formal, diversified integrity awareness/education programmes in place with evidence of implementation
	4 - State of the art integrity awareness/education programmes in place with evidence of implementation (e.g. mandatory, regular education, online/offline, communication)
Evidence (hyperlink, reference, comment, etc.):	

W17	
Anti-discrimination policies on racial, religious or sexual orientation	
	0 - No
	1 - Recognition of anti-discrimination issues in official documents
	2 - Official anti-discrimination policy or policies in place
	3 - Anti-discrimination policy / policies covering all characteristics, evidence of implementation (e.g. education activity or sanctioning)
	4 - State of the art anti-discrimination policies, evidence of implementation, results published
Evidence (hyperlink, reference, comment, etc.):	

SECTION F: Control mechanisms

Please indicate the extent to which you consider that your organization fulfils the following. Additional documents can be submitted as part of your response, if needed.

W18	
Adopt policies and processes for internal control	
	0 - No
	1 - Some systems in place for internal control and/or risk management
	2 - Official procedure in place for internal control and risk management
	3 - Official procedure in place for internal control and risk management, evidence of implementation
	4 - State of the art internal control and risk management procedure, evidence of implementation
Evidence (hyperlink, reference, comment, etc.):	

W19

Awarding of main events follows an open and transparent process

	0 - No information provided (or not applicable to organization)
	1 - Some information available about process for awarding main events
	2 - Information provided about process for awarding main events with rules including criteria, fair timetables
	3 - Process for awarding events, rules include criteria, fair timetables, information published
	4 - Process for awarding events, rules include criteria, fair timetables, shortlisting or rotation, with element of external bidding assessment

Evidence (hyperlink, reference, comment, etc.):

W20	
Decisions can be challenged through internal appeal mechanisms with final recourse to the Court of Arbitration for Sport or an appropriate independent body ensuring the right to a fair trial	
	0 - No appeal mechanisms
	1 - Some opportunity for internal or external appeals (e.g. in very limited circumstances)
	2 - Right of appeal for all relevant decisions, stipulated in Statutes/Constitution
	3 - Right of appeal for all relevant decisions with final recourse to the CAS or an appropriate independent body
	4 - Right of appeal for all relevant decisions with final recourse to the CAS or an appropriate independent body with evidence of implementation
Evidence (hyperlink, reference, comment, etc.):	

END OF QUESTIONNAIRE

The completed questionnaire should be submitted to WADA along with any relevant supporting documents.