

NATIONAL ANTI-DOPING GOVERNANCE OBSERVER

Indicators and instructions for assessing good
governance in national anti-doping organisations

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INDICATORS AND INSTRUCTIONS FOR ASSESSING GOOD GOVERNANCE IN NATIONAL ANTI-DOPING ORGANISATIONS

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1. Introduction

This report presents the National Anti-Doping Governance Observer (NADGO) indicators, a comprehensive set of indicators of good governance in anti-doping organisations that operate at the national or sub-national level. The aim of this report is to provide detailed instructions for official NADGO partners on data gathering and aggregation based on NADGO indicators, the data approval process, and the preparation of a report.

The indicators were devised within the context of the 'National Anti-Doping Governance Observer: Benchmarking Governance in National Anti-Doping Organisations' project and supported by a grant from the Erasmus+ programme of the European Union. Play the Game/Danish Institute for Sports Studies (Idan) acted as the coordinator of the project, which brought together academics and sports leaders from different European countries.*)

The author of this report, Dr. Arnout Geeraert (KU Leuven and Utrecht University), acted as scientific coordinator of the NADGO project and has devised the indicators. The project partners were given the opportunity to comment on a draft set of indicators.

Relevant to sport officials, public actors, stakeholders, and researchers, the indicators allow for reliable measurement of good governance through clearly defined criteria. Given their dichotomous nature (agencies score either 1 or 0 on a given indicator) they are also easy to apply. The indicators are dispersed over six good governance dimensions that emerge from relevant academic literature, namely transparency, democratic processes, internal accountability and control, and societal responsibility.

Play the Game calls upon all interested parties (anti-doping agencies, researchers, public actors, sport (con)federations) to engage with the project and to become official NADGO partners. More information on terms and conditions can be retrieved from the website <https://www.playthegame.org/theme-pages/national-anti-doping-governance-observer/>.

The 'National Anti-Doping Governance Observer' was coordinated by Play the Game and carried out in cooperation with:

- KU Leuven
- German Sport University Cologne
- University of Warsaw
- European Elite Athletes Association (EU Athletes)
- Fair Sport
- Institute of National Anti-Doping Organisations (iNADO)
- Anti Doping Denmark (ADD)
- National Anti-Doping Agency (NADA Germany)
- Polish Anti-Doping Agency (POLADA)
- Slovak Anti-Doping Agency (SADA)
- Sport Ireland – Anti-Doping Unit

2. Instructions for official NADGO partners

The NADGO indicators are presented in Annex 1. The indicators were devised by the author of this report based on insights from relevant theories and a review of relevant sets of good governance principles that exist worldwide. The project partners commented on draft indicators during several meetings. The method used for devising the indicators, aggregating the indicator scores, and visually presenting the findings is presented in the NADGO project's final report. The focus here is on providing background information and instructions for NADGO partners on how to use the indicators and how to draft a NADO report.

Any interested stakeholder in anti-doping can use the tool by following the instructions which are freely available via www.playthegame.org. However, in order to get an official approval of the results of the benchmarking, the data must be reviewed and accepted by Play the Game. Please contact Play the Game if you wish to become an official NADGO partner.

NADGO dimensions, principles, indicators, and meta-data sheets

The NADGO indicators are dispersed over six good governance dimensions that emerge from academic literature, namely operational transparency, anti-doping transparency, democratic processes, internal accountability and control, operational independence, and anti-doping responsibility.

Operational transparency

The reporting of the organisation's general internal workings, which allows others to monitor these workings. This reporting is subject to applicable data protection and privacy laws.

Anti-doping transparency

The reporting of the organisation's anti-doping activities, which allows others to monitor these activities.

Democratic processes

Clear and objective procedures for the (re-)appointment of oversight body members; actors' involvement in decision-making processes that affect them; and fair and open internal debates.

Internal accountability and control

The separation of powers in the organisation's governance structure as well as a system of rules and procedures that ensures that staff and officials comply with internal rules and norms.

Operational independence

The freedom to make decisions and carry out activities without being governed, controlled or instructed by other persons or organisations.

Anti-doping responsibility

Implementing anti-doping policies beyond the World Anti-Doping Code requirements.

As explained in detail in the NADGO project's final report, these dimensions have been selected on the basis of relevant theoretical insights that explain their positive impact in terms of legitimacy, effectiveness, and resistance to unethical practices.

Each dimension is operationalised through principles – 50 in total-, which are measured via dichotomous indicators. They permit a reliable measurement of good governance through clearly defined criteria. Given their dichotomous nature, the indicators are also easy to apply. Agencies either score 1 or 0 on the individual indicators. In a limited number of cases, particular criteria may not be applicable. In that case, the external evaluator can indicate ‘NA’ (not applicable) in the ‘score’ section.

Given that organisations vary in terms of their capacity and the governance-related risks they are confronted with, the same good governance standard cannot apply to all NADOs. The indicators are therefore divided into three categories, namely ‘basic’, ‘intermediate’, and ‘advanced’.

Basic indicators constitute a minimum standard of good governance for all NADOs that is relatively easy to implement. All NADOs can be expected to have sufficient capacity to implement the indicators in this category.

Intermediate indicators are costlier and, thus, more demanding to implement. This category should be implemented by mid-size to large NADOs (more than 10 but less than 30 FTE employees).

Advanced indicators are relevant to the largest NADOs (30 or more FTE employees) or to any NADO that is willing and able to implement the highest standards of good governance.

To facilitate the measurement process, meta-data sheets have been devised for each indicator (see Annex 1). The sheets explicitly detail minimum criteria to be fulfilled by the NADOs and feature the category on an indicator-by-indicator basis (basic, intermediate, or advanced) as well as relevant data source(s).

Standardised data gathering process

In order to ensure reliable data, official NADGO partners are required to follow a standardised process when collecting data. The process, outlined below, comprises six phases. Both the data collection and aggregation process require significant resources. The standardised data gathering process takes about one week per NADO to complete.

Phase 1: Selecting and contacting

Contact the NADO and explain the process (outline, time frame, benefits for NADOs, confidentiality). Establish a contact point, i.e. a NADO representative who can assist you with data gathering. In case of refusal, explain that scoring will take place on the basis of publicly available data and give the opportunity to give feedback on the data gathered (phases 3 and 5).

Phase 2: Data gathering and first preliminary scoring

Conduct desktop research: analyse the NADO’s website, statutes, internal regulations, and any other relevant available documents. Apply the indicators and conduct a preliminary scoring to get a clear view of the completeness of the collected data. Fill in the scores: fill in the “evidence” field for every indicator. Briefly mention where the data were found.

Phase 3: Feedback

Send a questionnaire in which you ask to provide missing data. If necessary, conduct an interview and ask for additional evidence (e.g. official documents, emails, newsletters, etc.).

Phase 4: Second preliminary scoring

Conduct a second preliminary scoring on the basis of the feedback received. Be strict so that the burden of proof lies with the NADO. Fill in the scores: fill in the “evidence” field for every indicator. Briefly mention where data was found. In case the data were obtained from the interview/ questionnaire, this should be indicated. Write comments in case of uncertainty so that you (or an external party) can review the scores later.

Phase 5: Final feedback

Send the scores to the NADO and ask for feedback and additional evidence in case of disagreement. Conduct a second interview in case of any uncertainties.

Phase 6: Final scoring

Conduct the final scoring and inform the NADO.

Required documentation for the data approval process

The NADGO indicators are applied by different researchers to measure good governance in federations in different countries across the world. For the sake of comparability, it is essential that the data and scores are reliable. Play the Game therefore conducts a basic check of the data gathered by all the official NADGO partners. This procedure aims to minimise data inconsistencies and errors in measurement and aggregation. It also ensures that data gathering took place in accordance with the standardised process.

Official NADGO partners are required to submit the following documents to Play the Game:

The filled in score sheets.

The contact letters that have been sent to the NADO.

The questionnaires / interview request that have been sent to the NADO.

A list of uncertain scores (an explanation should be provided).

Standardised NADO report

Official NADGO partners are required to produce a report of their findings to be published on the Play the Game website. Play the Game provides a Microsoft Word template for the report. To enable meaningful comparisons, the partners are required to include a number of elements in this report. These are listed below.

NADO dashboard (produced by Play the Game)

1. Overview [word limit: 500]

- Introduce the NADO that was benchmarked.
- Mention the time frame of the study.
- Summarize the results and recommendations in general terms.
- Summarize the sections (1-2 sentences per section).

2. Context [word limit: 2000]

2.1. National sport system

- Explain the structure of the relationship between government and the sport sector.

Refer to the configurations described in VOCASPORT Research Group (2004, pp. 53-61) and Henry (2009).

Henry, I. (2009). European models of sport: governance, organisational change and sports policy in the EU. *Hittotsubashi Journal of Arts and Sciences*, 50(1), 41-52. Available at <https://hermes-ir.lib.hit-u.ac.jp/rs/bitstream/10086/18054/1/HJart0500100410.pdf>

VOCASPORT Research Group (2004,). *Vocational education and training in the field of sport in the European Union: situation, trends and outlook*. Lyon: European Observatoire of Sport and Employment. Available at <http://eose.org/wp-content/uploads/2014/03/vocasport-Final-Report-English-Version.pdf>

- List and describe the major actors (e.g. ministry, government agency, umbrella organisations, NOC).

2.2. Key national anti-doping legislation and policies

- List and describe the main legislation and (public) policies specifically aimed at combating doping and briefly place these in historical / cultural / political perspective where relevant.

2.3. Key features of NADO governance

- Explain when the NADO was established. Describe the legal status of the NADO, including the formal relationship with government and the sport movement and the main source of funding.
- Describe the basic governance structure of the NADO (e.g. board, management, standing committees), and list the number of FTE employees.

2.4. Key anti-doping policy figures

- Latest annual budget and sources of funding (government and/or private)
- Current registered testing pool size
- Latest available number of in-competition tests in national programme (urine and blood) (contract testing on behalf of external ADOs should not be included)
- Latest available number of out-of-competition tests (urine and blood) (contract testing on behalf of external ADOs should not be included)

3. Methods [word limit: 500]

- Data collection: give the timeframe of the research phases (including the deadline for providing data); describe how many researchers were responsible for collecting the data and how coordination took place.
- Data analysis: explain if the NADO qualifies as small, medium, or large.

4. Results [word limit: 3000]

Briefly discuss NADGO index, Operational transparency index, Anti-doping transparency index Democratic processes index, Internal accountability and control index, Operational independence index, and Anti-doping responsibility index by referring to the Dashboard.

4.1. Dimension 1: Operational transparency

- Discuss the indicators with the highest and lowest average scores (list the percentages). Explain the positive and negative effects of these scores based on the indicators' and/or dimension's relevance as discussed in the meta-data sheets.

- Group low and high scores together in specific areas / sub-dimensions.
- 4.2. Dimension 2: Anti-doping transparency
- Discuss the indicators with the highest and lowest average scores (list the percentages). Explain the positive and negative effects of these scores based on the indicators' and/or dimension's relevance as discussed in the meta-data sheets.
 - Group low and high scores together in specific areas / sub-dimensions.
- 4.3. Dimension 3: Democratic processes
- Discuss the indicators with the highest and lowest average scores (list the percentages). Explain the positive and negative effects of these scores based on the indicators' and/or dimension's relevance as discussed in the meta-data sheets.
 - Group low and high scores together in specific areas / sub-dimensions.
- 4.4. Dimension 4: Internal accountability and control
- Discuss the indicators with the highest and lowest average scores (list the percentages). Explain the positive and negative effects of these scores based on the indicators' and/or dimension's relevance as discussed in the meta-data sheets.
 - Group low and high scores together in specific areas / sub-dimensions.
- 4.5. Dimension 5: Operational independence
- Discuss the indicators with the highest and lowest average scores (list the percentages). Explain the positive and negative effects of these scores based on the indicators' and/or dimension's relevance as discussed in the meta-data sheets.
 - Group low and high scores together in specific areas / sub-dimensions.
- 4.6. Dimension 6: Anti-doping responsibility
- Discuss the indicators with the highest and lowest average scores (list the percentages). Explain the positive and negative effects of these scores based on the indicators' and/or dimension's relevance as discussed in the meta-data sheets.
 - Group low and high scores together in specific areas / sub-dimensions.
5. Discussion and policy implications [word limit: 1000]
- Summarize the main findings in the six dimensions.
 - Explore the way forward for NADO governance. List potential risks and suggest key areas for improvement and further investigation.
 - Consider how the results can be explained by applicable policies and/or laws.

References

Provide a reference list using the APA referencing style (see http://www.muhlenberg.edu/library/re-shelp/apa_example.pdf).

Annex 1. Indicators and meta-data sheets

Definitions and interpretation

Athlete support personnel: any person working with, treating, or assisting an athlete who participates in or prepares for sport competition. Relevant people include coaches and trainers, managers, agents, medical or paramedical personnel, team staff, and close family.

Oversight body: a body, operationally separate from management, established to supervise the operational activities of the organisation.

Financial statements: written records of the financial performance of the organisation that report on income, expenditures, and the overall financial situation.

Management: the director or group of directors tasked with making operational policies and decisions.

Multi-annual policy plan: a plan that lays out the policies to be implemented in the following two years or more.

Standing committee: a permanent committee that deals with a designated subject.

1. Operational transparency

The reporting of the organisation's general internal workings, which allows others to monitor these workings. This reporting is subject to applicable data protection and privacy laws.

[Principle 1]

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

Relevance

The publication of these key items gives stakeholders insight in the core aspects of the organisation's governance.

Indicator		Category	Detailed evaluation criteria	Data source	Score
1.1	Does the organisation publish its statutes /constitution on its website and are they retrievable through the home page (or sub-levels of the home page accessible through the home page) of its website?	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Organisation's website	
1.2	Does the organisation publish its internal regulations on its website and are they retrievable through the home page (or sub-levels of the home page accessible through the home page) of its website?	Basic	Does the organisation publish a comprehensive set of principles that establish the internal workings (i.e. governance procedures) of the organisation in more detail than the statutes do? Do these principles detail the workings of at least the oversight body, management and all of its standing committees? Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website? <i>Note: the organisation does not have to publish all its internal regulations in order for the criteria to be fulfilled.</i>	Organisation's website	
1.3	Does the organisation publish its organisational chart on its website and is it retrievable through the home page (or sub-levels of the home page accessible through the home page) of its website?	Basic	Does the organisation publish an organisational chart with multiple hierarchical levels? Is the webpage where the chart can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Organisation's website	

[Principle 2]

The organisation publishes the rules that govern the appointment of the oversight body members.

Relevance

Reporting on appointment rules generates trust and increases external scrutiny of the organisation's independence.

Indicator	Category	Detailed evaluation criteria	Data source	Score
2.1 Does the organisation publish the rules that govern the appointment of all the oversight body members on its website and are they retrievable through the home page (or sub-levels of the home page accessible through the home page) of its website?	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Organisation's website; statutes; internal regulations	

[Principle 3]

The organisation publishes the rules that govern the appointment of the members of the hearing panel.

Relevance

Reporting on appointment rules generates trust and increases external scrutiny of the hearing panel's independence.

Indicator	Category	Detailed evaluation criteria	Data source	Score
3.1 Does the organisation publish the rules that govern the appointment of the members of the hearing panel on its website and are they retrievable through the home page (or sub-levels of the home page accessible through the home page) of its website?	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website? <i>Note: this principle/ indicator is applicable even when the organisation is not responsible for appointing any members of the hearing panel.</i>	Organisation's website; statutes; internal regulations	

[Principle 4]

The organisation publishes oversight body and standing committee decisions on its website.

Relevance

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

Indicator	Category	Detailed evaluation criteria	Data source	Score
4.1	Basic	<p>Does the organisation report on decisions taken in all its oversight body meetings that took place during the preceding 12 months via its website?</p> <p>Is the webpage or document where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website?</p> <p><i>Note that, for reasons of privacy, the organisation does not need to publish the official minutes. The organisation may produce a public version of the minutes, but it may also publish newsletters (or similar) on its website that contain reporting on decisions.</i></p> <p><i>In case the organisation does not have an oversight body, reports on executive decisions taken (i.e. decisions taken by management) during the preceding 12 months must be available.</i></p>	Organisation's website	
4.2	Basic	<p>Do reports on decisions provide information on the rationale behind some decisions?</p> <p>Is this the case for at least half of the oversight body meetings?</p> <p><i>In case the organisation does not have an oversight body, reports on executive decisions taken during the preceding 12 months must be available. and information must be provided on the rationale behind some decisions.</i></p>	Reports available on website	
4.3	Basic	Does the organisation report via its website on decisions taken in standing committee	Organisation's website	

	<p>of the minutes of standing committee meetings that took place during the preceding 12 months on its website (retrievable through the home page or sub-levels of the home page)?</p>		<p>meetings that took place during the preceding 12 months? Does the organisation report on decisions taken in all of its standing committees? Is the webpage or document where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website? <i>Note that, for reasons of privacy, the organisation does not need to publish the official minutes. The organisation may produce a public version of the minutes, but it may also publish newsletters on its website that contain reporting on decisions.</i> <i>The indicator is not applicable when the organisation does not have any standing committees.</i> <i>The indicator does not apply to standing committees that, by their very nature, discuss sensitive matters, such as the whereabouts committee.</i></p>		
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[Principle 5]

The organisation publishes the agendas of its oversight body meetings on its website.

Relevance

The publication of the agenda the oversight body meetings opens up for scrutiny the internal workings of these bodies.

Indicator	Category	Detailed evaluation criteria	Data source	Score
<p>5.1</p>	<p>Basic</p>	<p>Is the webpage where the document can be downloaded linked (either directly or via a chain of links) to the homepage of the website?</p>	<p>Organisation's website</p>	
<p>5.2</p>	<p>Basic</p>	<p>Did the organisation publish the agenda of its oversight</p>	<p>Published agendas</p>	

	agenda items with a word of explanation, the list of topics to be discussed and does it specify which items shall be put to the vote?		<p>body meetings that took place in the past 12 months on its website before the meetings took place and are they retrievable through the home page (or sub-levels of the home page accessible through the home page) of the website?</p> <p>Do all the document list agenda items?</p> <p>Do all the documents provide explanatory remarks with a number of agenda items?</p> <p>Do all the documents specify the items that shall be put to the vote?</p>		
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[Principle 6]

The organisation publishes information about its oversight body members on its website.

Relevance

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

Indicator		Category	Detailed evaluation criteria	Data source	Score
6.1	Does the organisation's website list the names of all the current members of the oversight body?	Basic	<p>Can the information be retrieved either from a webpage or from the minutes of the general assembly or from the annual report?</p> <p>Is the webpage where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website?</p> <p><i>This indicator is not applicable in case the organisation does not have an oversight body.</i></p>	Organisation's website; minutes of the general assembly; annual report	
6.2	Does the organisation's website list the start and end date of the term of each individual member of the oversight body?	Basic	<p>Does the information include the start and end dates of the mandates of all the oversight body members?</p> <p>Can the information be retrieved either from a webpage or from the minutes of the general assembly or from the annual report?</p> <p>Is the webpage where the information can be retrieved from linked (either directly or</p>	Organisation's website; minutes of the general assembly; annual report	

			<p>via a chain of links) to the homepage of the website?</p> <p><i>This indicator is not applicable in case the organisation does not have an oversight body.</i></p>		
6.3	Where applicable, does the website also state the duration and the number of previous mandates?	Basic	<p>Can the information be retrieved either from a webpage or from the minutes of the general assembly or from the annual report?</p> <p>Is the webpage where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website?</p> <p><i>This indicator is not applicable in case the organisation does not have an oversight body.</i></p>	Organisation's website; minutes of the general assembly; annual report	
6.4	Does the organisation's website provide biographical information about each individual oversight body member, including at least their professional background?	Basic	<p>Does the organisation's website provide information about the professional career and/ or education for each individual oversight body member?</p> <p>Can the information be retrieved either from a webpage or from the minutes of the general assembly or from the annual report?</p> <p>Is the webpage where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website?</p> <p><i>Note: this indicator is not applicable in case the organisation does not have an oversight body.</i></p>	Organisation's website; minutes of the general assembly; annual report	
6.5	Does the organisation's website provide information on any affiliations with sport organisations or government for each individual oversight body member?	Basic	<p>Can the information be retrieved either from a webpage or from the annual report?</p> <p>Is the webpage where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website?</p> <p><i>Note: the organisation only fulfils the criteria if it publishes information on all relevant affiliations.</i></p>	Organisation's website; minutes of the general assembly; annual report; interview with organisation representative; web search	

			<i>This indicator is not applicable in case the organisation does not have an oversight body.</i>		
6.6	Does the organisation's website list at least one (general) e-mail address, which may be used to contact the oversight body?	Basic	Does the organisation publish either the contact details for one or more oversight body members or does it provide a general address and is explicit reference made to the address being a contact for the oversight body? Is the webpage where the information can be retrieved from linked (either directly or via a chain of links) to the homepage of the website? <i>This indicator is not applicable in case the organisation does not have an oversight body.</i>	Organisation's website; minutes of the general assembly; annual report	

[Principle 7]

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

Relevance

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

Indicator	Category	Detailed evaluation criteria	Data source	Score
7.1	Basic	<i>Note: recognised international standards refers to the International Financial Reporting Standards (IFRS). The statements can be included in the annual report or in a separate document, published on its website in accordance with indicator 1.1.</i>	Organisation's website	
7.2	Basic	Does the organisation publish on its website the last 3 annual financial statements (that are or should have been produced) and are they retrievable through the home page (or sub-levels of the home page accessible through the home page) of the website? <i>Note: this indicator is not applicable if the organisation has been established less than 3 years ago.</i>	Organisation's website	

[Principle 8]

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

Relevance

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

Indicator		Category	Detailed evaluation criteria	Data source	Score
8.1	Does the organisation's latest annual report include a statement (report) on remuneration for oversight body members and / or management?	Basic	Does the organisation report on remuneration by providing at least general figures? Is the information included in either the financial report or in the annual report?	Financial report; annual report	
8.2	Does the remuneration report include a separate statement on the remuneration of the oversight body members, including any fringe benefits, in an anonymous or aggregated manner?	Basic	<i>Note that the indicator is not applicable in case the organisation does not have an oversight body.</i>	Financial report; annual report	
8.3	Does the remuneration report include a separate statement on the remuneration of senior management, including any fringe benefits, in an anonymous or aggregated manner?	Basic		Financial report; annual report	

[Principle 9]

The organisation reports on conflicts of interest.

Relevance

Reporting on conflicts of interest stimulates reflection, generates trust, and increases external scrutiny.

Indicator		Category	Detailed evaluation criteria	Data source	Score
9.1	Did the organisation publish a document that provides an (anonymised) overview of the declarations of conflicts of interest.	Basic	Did the organisation produce a document in the preceding 12 months that includes an (anonymised) overview of the declarations of conflicts of interest made by oversight body members? Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Most recent annual report, separate document	

			<i>Note that, in case the organisation does not have an oversight body, the criteria are fulfilled when a document has been published that details declarations of conflicts of interest</i>		
9.2	Did the organisation publish a document that provides an (anonymised) overview of the decisions in which conflicts of interest were involved?		<p>Did the organisation produce a document in the preceding 12 months that provides an (anonymised) overview of the decisions in which conflicts of interest were involved?</p> <p>Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?</p>	Most recent annual report, separate document	

[Principle 10]

The organisation reports on all its sources of income.

Relevance

Reporting on sources of income generates trust and increases external scrutiny of the organisation's independence.

Indicator	Category	Detailed evaluation criteria	Data source	Score
10.1	Basic	<i>Note: this information can be included in the annual report or in a separate document, published on the organisation's website in accordance with indicator 1.1.</i>	Financial report; annual report; organisation's website	

2. Anti-doping transparency

The reporting of the organisation's anti-doping activities, which allows others to monitor these activities.

[Principle 11]

The organisation publishes annual general activity reports on its website.

Relevance

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

Indicator	Category	Detailed evaluation criteria	Data source	Score
11.1	Basic	<p>Did the organisation publish a report in the preceding 12 months that reports on its activities?</p> <p>Is the webpage where the report can be retrieved from linked (either directly or via a chain of links) to the homepage of the website?</p> <p><i>Note: the report can be published either separately or as an integral part of, for instance, the annual policy plan.</i></p>	Organisation's website	
11.2	Basic	<p>Does the organisation publish the 3 most recent general activity reports on its website and are they retrievable through the home page (or sub-levels of the home page accessible through the home page) of the website?</p> <p><i>Note: this indicator is not applicable If the organisation has been established less than 3 years ago.</i></p>	Organisation's website	
11.3	Basic	<p>Did the organisation produce a general activity report in the past 12 months?</p> <p>Does the most recent general activity report provide a summary of concrete actions undertaken?</p> <p>Does the latest general activity report establish an explicit link between the actions undertaken and how</p>	Most recent annual report	

			they contributed to the fulfilment of concrete objectives?		
11.4	Does the most recent general activity report contain a report on the activities of all the standing committees?	Basic	<p>Did the organisation produce a general activity report in the preceding 12 months?</p> <p>Does the most recent general activity report provide information on the activities of all standing committees (beyond the meeting dates and the number of meetings held)?</p> <p><i>Note that this indicator is not applicable in case the organisation does not have any standing committees.</i></p>	Most recent annual report	

[Principle 12]

The organisation publishes a multi-annual policy plan on its website.

Relevance

Publishing a multi-annual policy plan makes an organisation more accountable and increases the likelihood that it will reach its goals.

Indicator		Category	Detailed evaluation criteria	Data source	Score
12.1	Does the organisation publish a multi-annual policy plan?	Basic	Did the organisation publish a plan that lays out the policies to be implemented in the following two years or more?	Document outlining multi-annual policy plan	
12.2	Does this plan outline specific objectives and envisioned actions?	Basic	<p>Did the organisation publish a plan that lays out the policies to be implemented in the following two years or more?</p> <p>Does the document formulate specific objectives (what does the organisation want to achieve?) and actions (how does the organisation want to achieve this?)?</p>	Document outlining multi-annual policy plan	
12.3	Does this plan outline key performance indicators that establish concrete operational goals?	Basic	Did the organisation publish a plan that lays out the policies to be implemented in the following two years or more?	Document outlining multi-annual policy plan	

			Does the document formulate specific objectives (what does the organisation want to achieve?) and actions (how does the organisation want to achieve this?)?		
			Does the document outline key performance indicators that establish concrete operational goals?		
12.4	Has the organisation published an annual policy plan which is based on the multi-annual policy plan in the preceding twelve months?	Basic	Did the organisation publish a (separate) document outlining an annual plan which is based on the multi-annual policy plan in the preceding twelve months?	Document outlining multi-annual policy plan	

[Principle 13]

The organisation publishes its budget and long-term financial planning.

Relevance

Publishing a budget and long-term financial planning makes an organisation more accountable and increases the likelihood that it will reach its goals.

Indicator	Category	Detailed evaluation criteria	Data source	Score
13.1	Basic	Does the organisation publish a financial planning for the next two years or more? Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website? <i>Note that devising a long-term financial planning requires that government funding is awarded on a multi-annual basis. However, the indicator applies even when the lack of a long-term financial planning is beyond the control of the organisation.</i>	Document outlining multi-annual financial planning	
13.2	Basic	Did the organisation publish a (separate) document outlining an annual budget in the preceding twelve months?	Document outlining multi-annual financial planning	

			Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?		
13.3	Has the organisation published an annual budget in the preceding twelve months which is based on long-term financial planning?	Basic	Did the organisation publish a (separate) document outlining an annual budget in the preceding twelve months? Is this budget based on long-term financial planning? Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Document outlining multi-annual financial planning	

[Principle 14]

The organisation publishes information about the planning of its testing activities.

Relevance

Reporting on the planning of testing activities generates trust and increases external scrutiny of the organisation's testing activities.

Indicator	Category	Detailed evaluation criteria	Data source	Score
14.1	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Annual report; general statistical report of doping control activities; organisation's website	
14.2	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Annual report; general statistical report of doping control activities; organisation's website	
14.3	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website? <i>Note: the reporting can (and should) be very general, as there is a high risk of predictability if detailed information is provided.</i>	Annual report; general statistical report of doping control activities; organisation's website	

14.4	Did the organisation publish a statement in the past 12 months that details the number of Therapeutic Use Exemptions requested and granted?	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Annual report; general statistical report of doping control activities; organisation's website	
14.5	Did the organisation publish a statement in the past 12 months that provides information about the Athlete Biological Passport programme and details the number of Athlete Biological Passports of which it has the responsibility to manage results and share information with other Anti-Doping Organisations (i.e. as passport custodian)?	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Annual report; general statistical report of doping control activities; organisation's website	

[Principle 15]

The organisation publishes a detailed account of its testing activities.

Relevance

Reporting on testing generates trust and increases external scrutiny of the organisation's doping control activities.

Indicator	Category	Detailed evaluation criteria	Data source	Score
15.1	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Annual report; general statistical report of doping control activities; organisation's website	
15.2	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Annual report; general statistical report of doping control activities; organisation's website	
15.3	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Annual report; general statistical report of doping control activities; organisation's website	

15.4	Did the organisation publish a statement in the past 12 months that details the total number of samples analysed for the entire set of prohibited substances detailed in WADA's 'Technical Document for Sport Specific Analysis' (TDSSA)?	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Annual report; general statistical report of doping control activities; organisation's website	
15.5	Did the organisation publish a statement in the past 12 months that details the number of anonymous tips regarding potential violations and whether they resulted in a sporting sanction and/or criminal charges over a period of 12 months?	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Annual report; general statistical report of doping control activities; organisation's website	

[Principle 16]

The organisation publishes a detailed account of its long-term storage programme.

Relevance

Reporting on the long-term storage programme generates trust and increases external scrutiny of the organisation's doping control activities.

Indicator	Category	Detailed evaluation criteria	Data source	Score
16.1	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Annual report; general statistical report of doping control activities; organisation's website	
16.2	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Annual report; general statistical report of doping control activities; organisation's website	

[Principle 17]

The organisation publishes a detailed account of whereabouts failures.

Relevance

Reporting on testing generates trust and increases external scrutiny of the organisation's doping control activities.

Indicator	Category	Detailed evaluation criteria	Data source	Score
17.1 Did the organisation publish a statement in the past 12 months that details the number missed tests over a period of 12 months?	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Annual report; general statistical report of doping control activities; organisation's website	
17.2 Did the organisation publish a statement in the past 12 months that details the number of filing failures over a period of 12 months?	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Annual report; general statistical report of doping control activities; organisation's website	

[Principle 18]

The organisation reports on test results and how they were managed.

Relevance

Reporting on test results and how they were managed generates trust and increases external scrutiny of the organisation's doping control activities.

Indicator	Category	Detailed evaluation criteria	Data source	Score
18.1 Did the organisation publish a statement in the past 12 months that details the number of adverse analytical findings over a period of 12 months?	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Annual report; organisation's website	
18.2 Did the organisation publish a statement in the past 12 months that details the number of adverse passport findings?	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website? <i>Note: the indicator is not applicable in case of no adverse passport findings in the applicable period.</i>	Annual report; organisation's website	
18.3 Did the organisation publish a statement in the past 12 months that details the number and type of anti-doping rule violations over a period of 12 months?	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Annual report; general statistical report of doping control activities	

				ties; organisation's website	
18.4	Did the organisation publish a statement in the past 12 months that details the number of cases forwarded to the independent hearing panel over a period of 12 months?	Basic	Is the webpage where the documents can be downloaded linked (either directly or via a chain of links) to the homepage of the website?	Annual report; general statistical report of doping control activities; organisation's website	
18.5	Did the organisation communicate in the past 12 months which athletes were found to have committed anti-doping rule violations, including their sanction, and, where applicable, the end date of their suspension?	Basic	<i>Note: the information may be published in a secure database, accessible to relevant sport officials.</i>	Annual report; general statistical report of doping control activities; organisation's website	

[Principle 19]

The organisation reports on its policies in the areas of anti-doping education, cooperation, and research.

Relevance

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

Indicator		Category	Detailed evaluation criteria	Data source	Score
19.1	Does the most recent general activity report contain a report on the activities of the organisation in the area of anti-doping education?	Basic	Did the organisation produce a general activity report in the preceding 12 months? Does the most recent general activity report contain a report on the activities of the organisation in the area of anti-doping education?	Most recent annual report	
19.2	Does the most recent general activity report contain a report on the activities of the organisation in the area of cooperation with other entities?	Basic	Did the organisation produce a general activity report in the preceding 12 months? Does the most recent general activity report contain a report on the activities of the organisation in the area of cooperation with other entities?	Most recent annual report	
19.3	Does the most recent general activity report contain a report on the activities of the organisation in the area of	Basic	Did the organisation produce a general activity report in the preceding 12 months?	Most recent annual report	

	research (e.g. on athlete perspectives or on sociological, behavioural, legal, ethical, scientific/medical issues)?		Does the most recent general activity report contain a report on the activities of the organisation in the area of research (e.g. on athlete perspectives or on sociological, behavioural, legal, ethical, scientific/medical issues)?		
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3. Democratic processes

Clear and objective procedures for the (re-)appointment of oversight body members; actors' involvement in decision-making processes that affect them; and fair and open internal debates.

A. Clear and objective procedures for the (re-)appointment of oversight body members

[Principle 20]

Oversight body members are (re-)appointed according to clear procedures.

Relevance

Clear and objective (re-)appointment procedures enhance the accountability of oversight body members.

Indicator	Category	Detailed evaluation criteria	Data source	Score
20.1	Basic	Do the organisation's statutes or establishing act detail procedures for the appointment and reappointment of all the members of the oversight body? <i>Note: the principle/indicator does not apply in case the organisation does not have an oversight body.</i>	Organisation's statutes, internal regulations, or establishing act	
20.2	Basic	Do the rules governing the appointment of the oversight body establish who has the authority to appoint oversight body members? <i>Note: the principle/indicator does not apply in case the organisation does not have an oversight body.</i>	Organisation's statutes, internal regulations, or establishing act	

[Principle 21]

Term limits have been established for oversight body members.

Relevance

Term limits prevent the monopolisation of power and encourage the emergence of new ideas for solving problems.

Indicator		Category	Detailed evaluation criteria	Data source	Score
21.1	Do the organisation's statutes or establishing act establish term limits for oversight body members?	Basic	Do the organisation's statutes establish a maximum number of defined terms for all oversight body members? <i>Note: the principle/ indicator does not apply in case the organisation does not have an oversight body.</i>	Organisation's statutes; establishing act	
21.2	Do the organisation's statutes or establishing act establish term limits for oversight body members that do not allow oversight body members to stay in office for longer than 12 consecutive or non-consecutive years?	Basic	<i>Note: the criterion applies to all oversight body functions. The principle/ indicator does not apply in case the organisation does not have an oversight body.</i>	Organisation's statutes; establishing act	
21.3	Do the organisation's statutes establish term limits that do not allow the president to stay in office for longer than 8 consecutive or non-consecutive years?	Basic	<i>Note: the principle/ indicator does not apply in case the organisation does not have an oversight body.</i>	Organisation's statutes; establishing act	

[Principle 22]

Formal procedures stimulate a differentiated and balanced composition of the oversight body.

Relevance

A differentiated and balanced composition of the oversight body helps the organisation to achieve its objectives better.

Indicator		Category	Detailed evaluation criteria	Data source	Score
22.1	Do the organisation's statutes or establishing act establish that oversight body members have diverse backgrounds and competences/skills?	Basic	Do the organisation's statutes or establishing act detail procedures for the appointment and reappointment of all the members of the oversight body? Do these procedures ensure that oversight body mem-	Organisation's statutes; establishing act	

			<p>bers have diverse backgrounds and competences/skills?</p> <p><i>Note: in case the organisation does not have an oversight body, the above criteria must apply to the standing body within the organisation that has a general advisory function.</i></p>		
22.2	<p>Do the organisation's statutes or establishing act ensure that the oversight body has at least expertise in three or more of the following areas:</p> <ol style="list-style-type: none"> 1) legal/ justice; 2) medical/ scientific; 3) sport (policy); 4) athlete perspectives; 5) communication/ education; 6) intelligence/investigation; 7) management/ leadership/ governance; 8) finance? 	Basic	<p>Do the organisation's statutes or establishing act detail procedures for the appointment and reappointment of all the members of the oversight body?</p> <p>Do these procedures ensure that oversight body members have diverse backgrounds and competences/skills?</p> <p>Do these procedures require the presence of oversight body members with the backgrounds and competences/skills in three or more of the following areas: three or more of the following areas:</p> <ol style="list-style-type: none"> 1) legal/ justice; 2) medical/ scientific; 3) sport (policy); 4) athlete perspectives; 5) communication/ education; 6) intelligence/investigation; 7) management/ leadership/ governance; <p>finance?</p> <p><i>Note: in case the organisation does not have an oversight body, the above criteria must apply to the standing body within the organisation that has a general advisory function.</i></p>	Organisation's statutes; establishing act	
22.3	<p>The current oversight body has at least expertise in three or more of the following areas:</p> <ol style="list-style-type: none"> 1) legal/ justice; 	Basic	<p><i>Note: in case the organisation does not have an oversight body, the listed criteria must apply to the standing body within the organisation</i></p>	Organisation's website; organisation representative	

2) medical/ scientific; 3) sport (policy); 4) athlete perspectives; 5) communication/ education; 6) intelligence/investigation; 7) management/ leadership/ governance; finance?		<i>that has a general advisory function.</i>		
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B. Actors' involvement in decision-making processes that affect them

[Principle 23]

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

Relevance

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

Indicator	Category	Detailed evaluation criteria	Data source	Score
23.1 Does the organisation have a formal (written) policy that outlines which anti-doping policy fields it allows athletes to share their views on and how?	Basic	Does the organisation have a document that outlines in which anti-doping policy fields it allows athletes to share their views and how?	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
23.2 Does the organisation institutionalise the involvement of athletes in policy processes in a democratically appropriate manner?	Basic	Does the organisation either have (a) a representative body for athletes whose members are elected by athletes for a specified limited term and which has a term of reference that includes specific expectations around consultation; or (b) is a memorandum of understanding in place with an independent organisation that formally represents a large majority of at least the athletes that are part of the Registered Testing Pool?	Organisation's website; statutes and internal regulations; additional evidence provided by organisation's representative	

23.3	Is the multi-annual policy plan adopted in consultation with athletes?	Basic	Did the organisation adopt a plan that lays out the policies to be implemented in the following two years or more? Were athletes formally invited to provide input into the most recent multi-annual policy plan?	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by organisation representative	
23.4	Do the organisation's statutes or establishing act ensure that at least one oversight body member is able to credibly voice the point of view of athletes (e.g., former athlete or athlete representative).	Basic		Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by organisation representative	
23.5	Does the organisation undertake other actions aimed at involving athletes in its decision-making procedures?	Advanced	Does the organisation undertake (ad hoc) actions (e.g. sending questionnaires, organising focus groups,...) aimed at involving athletes in its decision-making procedures?	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by organisation representative	

[Principle 24]

The organisation ensures the participation of athlete support personnel in its policy processes.

Relevance

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

Indicator	Category	Detailed evaluation criteria	Data source	Score
24.1	Intermediate	Does the organisation have a document that outlines both objectives and specific actions aimed at involving coaches in its policy processes?	Organisation's website; multi-annual policy plan; annual policy plan; policy	e.g. medical staff, physiotherapists, player agents / managers

	lows athlete support personnel (e.g. medical staff, physiotherapists, player agents/ managers) to share their views on and how?			evaluations; annual report; additional evidence provided by organisation's representative	
24.2	Is the multi-annual policy plan adopted in consultation with athlete support personnel?	Basic	<p>Did the organisation adopt a plan that lays out the policies to be implemented in the following two years or more?</p> <p>Were athlete support personnel formally invited to provide input into the most recent multi-annual policy plan?</p>	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by organisation representative	X
24.3	Does the organisation undertake specific actions aimed at involving athlete support personnel in its decision-making procedures?	Advanced	Does the organisation undertake (ad hoc) actions (e.g. sending questionnaires, organising focus groups,...) aimed at involving athlete support personnel in its decision-making procedures?	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by organisation representative	X

[Principle 25]

The organisation implements a gender equality policy.

Relevance

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

Indicator		Category	Detailed evaluation criteria	Data source	Score
25.1	Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at encouraging the equal access to representation for different genders in decision-making positions?	Intermediate	Does the organisation have a document that outlines both objectives and specific actions aimed at encouraging the equal access to representation for different genders in decision-making positions?	Document outlining the policy	
25.2	Does the organisation implement gender sensitive procedures for appointing oversight body members?	Basic	Does the organisation implement procedures that encourage (but not necessarily establish) a more equal representation of males and females (e.g. taking gender into consideration in oversight body member profiles or establishing quota)? <i>Note: in case the organisation does not have an oversight body, the above criteria must apply to the standing body within the organisation that has a general advisory function.</i>	Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by the organisation	
25.3	Does the organisation implement gender sensitive procedures for identifying candidates for positions awarded as part of human resources policies?	Intermediate		Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by the organisation	
25.4	Does the organisation undertake actions aimed at the reconciliation of family responsibilities and professional obligations for its staff (e.g. flexible working hours, telework)?	Intermediate		Organisation's website; statutes and internal regulations; multi-annual policy plan; additional evidence provided by the organisation	

C. Democratic decision-making

[Principle 26]

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

Relevance

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

Indicator		Category	Detailed evaluation criteria	Data source	Score
26.1	Does the organisation establish a quorum for the oversight body in its statutes or internal regulations?	Basic	<i>Note: the indicator/ principle is not applicable when the organisation does not have an oversight body.</i>	Organisation's statutes and internal regulations	
26.2	Does the organisation establish a quorum of at least 75% for the oversight body in its statutes or internal regulations?	Basic	Does the organisation establish a quorum of at least 75% for the oversight body in its statutes or internal regulations? Is the quorum applicable for all items put to the vote in all oversight body meetings? <i>Note: the indicator/ principle is not applicable when the organisation does not have an oversight body</i>	Organisation's statutes and internal regulations	

[Principle 27]

The oversight body meets regularly to discuss relevant issues according to established procedures.

Relevance

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

Indicator		Category	Detailed evaluation criteria	Data source	Score
27.1	Did the oversight body meet at least three times during the preceding twelve months?	Basic	Did the oversight body meet at least three times during the preceding twelve months? <i>Note: in case the organisation does not have an oversight body, the above criteria must apply to the standing body within the organisation that has a general advisory function.</i>	Evidence provided by organisation representative (agenda, meeting schedule)	

27.2	Do the organisation's statutes or internal regulations establish that the oversight body must meet at least three times a year?	Basic	<p>Do the organisation's statutes or internal regulations establish a minimum number of oversight body meetings to be held each year that is equal to or higher than three?</p> <p><i>Note: in case the organisation does not have an oversight body, the above criteria must apply to the standing body within the organisation that has a general advisory function.</i></p>	Organisation's statutes and internal regulations	
27.3	Do the organisation's internal regulations establish the procedures for drawing up the agenda for oversight body meetings?	Basic	<p>Do the organisation's internal regulations establish how the agenda of oversight body meetings is established?</p> <p><i>Note: in case the organisation does not have an oversight body, the above criteria must apply to the standing body within the organisation that has a general advisory function.</i></p>	Organisation's internal regulations	
27.4	Do the organisation's internal regulations establish the oversight body meeting proceedings?	Basic	<p>Do the organisation's internal regulations establish how oversight body meetings proceed (e.g. voting, taking notes during the meeting, presiding over the meeting)?</p> <p><i>Note: in case the organisation does not have an oversight body, the above criteria must apply to the standing body within the organisation that has a general advisory function.</i></p>	Organisation's internal regulations	
27.5	Do the organisation's internal regulations establish the procedures for the adoption of decisions?	Basic	<p>Do the organisation's internal regulations establish rules and/or a procedure regarding the adoption of decisions by the oversight body (e.g. unanimity, consensus or majority voting)?</p> <p><i>Note: in case the organisation does not have an oversight body, the above criteria must apply to the standing body within the organisation that has a general advisory function.</i></p>	Organisation's internal regulations	

27.6	Does the oversight body have a document outlining an annual meeting schedule?	Basic	<p>Does the oversight body have an applicable (valid) meeting schedule, in which it schedules meetings and establishes topics to be discussed?</p> <p>Has the document been established at one point during the preceding 12 months?</p> <p><i>Note: in case the organisation does not have an oversight body, the above criteria must apply to the standing body within the organisation that has a general advisory function.</i></p>	Organisation's website; meeting schedule document	
27.7	Does the oversight body have a document outlining an annual meeting schedule?	Basic	<p>Does the oversight body have an applicable (valid) meeting schedule covering all meeting within a period of 12 months, in which it schedules meetings and establishes topics to be discussed?</p> <p>Has the document been established at one point during the preceding 12 months?</p> <p><i>Note: in case the organisation does not have an oversight body, the above criteria must apply to the standing body within the organisation that has a general advisory function.</i></p>	Organisation's website; meeting schedule document	

4. Internal accountability and control

The separation of powers in the organisation's governance structure as well as a system of rules and procedures that ensures that staff and officials comply with internal rules and norms.

[Principle 28]

The oversight body establishes procedures regarding the premature resignation of its members.

Relevance

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

Indicator		Category	Detailed evaluation criteria	Data source	Score
28.1	Do the organisation's statutes and/or internal regulations establish procedures regarding the premature resignation of oversight body members in case of repeated absenteeism?	Basic	<i>Note: in case the organisation does not have an oversight body, the above criteria must apply to the standing body within the organisation that has a general advisory function.</i>	Organisation's statutes; internal regulations	
28.2	Do the organisation's statutes and/or internal regulations establish procedures regarding the premature resignation of oversight body members in case of conflict (such as incompatible views)?	Basic	<i>Note: in case the organisation does not have an oversight body, the above criteria must apply to the standing body within the organisation that has a general advisory function.</i>	Organisation's statutes; internal regulations	
28.3	Do the organisation's statutes and/or internal regulations establish procedures regarding the premature resignation of oversight body members in case of unethical conduct (as established by the code of ethics)?	Basic	Does the organisation have a rules on ethical conduct applicable to oversight body members? Does the organisation establish procedures regarding the premature resignation of oversight body members for breaches of the code of ethics? <i>Note: in case the organisation does not have an oversight body, the above criteria must apply to the standing body within the organisation that has a general advisory function.</i>	Organisation's statutes; internal regulations	

[Principle 29]

The organisation applies a clear governance structure according to the principle of separation of powers according to which the oversight body supervises management appropriately.

Relevance

A clear separation of powers prevents a single person or entity from monopolising power and ensures that different entities keep each other in check.

Indicator		Category	Detailed evaluation criteria	Data source	Score
29.1	Do the organisation's statutes and/ or internal regulations define key positions on the oversight body, including those of president and at least one other position (e.g. secretary or treasurer)?	Basic	Do the organisation's statutes and/ or internal regulations define specific oversight body member functions and related tasks, including those of president	Organisation's statutes and internal regulations	

			<p>and at least one other position (e.g. secretary or treasurer)?</p> <p><i>Note: in case the organisation does not have an oversight body, the above criteria must apply to the standing body within the organisation that has a general advisory function.</i></p>		
29.2	Do the organisation's statutes and/ or internal regulations establish that the oversight body determines the organisation's general policy (e.g. mission, vision, and strategy)?	Basic	<p>Do the statutes and/or internal regulations establish the oversight body's exclusive responsibilities?</p> <p>Do these responsibilities include carrying out the organisation's general policy (they do not have to mention vision, mission and strategy explicitly)?</p> <p><i>Note: in case the organisation does not have an oversight body, the above criteria must apply to the standing body within the organisation that has a general advisory function.</i></p>	Organisation's statutes and internal regulations	
29.3	Do the organisation's statutes and/ or internal regulations establish that the oversight body has final authority over the organisation's budget and finances?	Basic	<p>Do the statutes and/or internal regulations establish the oversight body's exclusive tasks/ responsibilities?</p> <p>Do these tasks include having final authority over the organisation's budget and finances?</p> <p><i>Note: it is for the oversight body, and not for management or staff, to determine the organisation's budget and finances.</i></p> <p><i>Note: in case the organisation does not have an oversight body, the above criteria must apply to a body separate from management.</i></p>	Organisation's statutes and internal regulations	
29.4	Do the organisation's statutes and/ or internal regulations establish that management is tasked with defining the organisation's operational policy?	Basic	<p>Do the organisation's statutes and/or internal regulations establish management's exclusive tasks?</p> <p>Do these tasks refer to issues of operational policy?</p> <p><i>Note: management's functions must not include establishing the organisation's</i></p>	Organisation's statutes and internal regulations	

			<p><i>general policy or having authority over the organisation's budget and finances. Management cannot have voting rights on the oversight body.</i></p> <p><i>Note: in case the organisation does not have an oversight body, the above criteria must apply to a body separate from management.</i></p>		
29.5	Do the organisation's statutes and/ or internal regulations define the purpose and delegated tasks of each of the standing committees?	Basic	<p>Do the organisation's statutes and/ or internal regulations explicitly and unambiguously define a purpose/ function for each of the standing committees?</p> <p>Do the organisation's statutes and/ or internal regulations explicitly and unambiguously define the tasks delegated to each of the standing committees?</p> <p><i>Note: in case the organisation does not have any standing committee, the indicator is not applicable.</i></p>	Organisation's statutes and internal regulations; organisation's website (to check the number of standing committees)	
29.6	Do the organisation's statutes and/ or internal regulations define the composition of each of the standing committees?	Basic	<p>Do the organisation's statutes and/ or internal regulations explicitly and unambiguously define the composition (number of members and the procedures for appointing the members) of each of the standing committees?</p> <p><i>Note: in case the organisation does not have any standing committee, the indicator is not applicable.</i></p>	Organisation's statutes and internal regulations; organisation's website (to check the number of standing committees)	
29.7	Do the organisation's statutes and/ or internal regulations define the reporting requirements for each of the standing committees?	Basic	<p>Do the organisation's statutes and/ or internal regulations explicitly and unambiguously define the reporting requirements for each of the standing committees?</p> <p><i>Note: in case the organisation does not have any standing committee, the indicator is not applicable.</i></p>	Organisation's statutes and internal regulations; organisation's website (to check the number of standing committees)	

[Principle 30]

The organisation has implemented an internal audit function.

Relevance

Internal audit mechanisms constitute a crucial component of internal accountability. They ensure that funds are allocated efficiently and as budgeted and whether financial control procedures have been complied with.

Indicator		Category	Detailed evaluation criteria	Data source	Score
30.1	Do the organisation's statutes and/or internal regulations establish that a person or entity is responsible for checking whether financial control procedures have been complied with?	Basic		Organisation's statutes, establishing act	
30.2	Do the organisation's statutes and/or internal regulations that a person or entity is responsible for checking whether funds are allocated efficiently and as budgeted?	Basic		Organisation's statutes and internal regulations	

[Principle 31]

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

Relevance

Open tenders decrease bribery risks.

Indicator		Category	Detailed evaluation criteria	Data source	Score
31.1	Do the organisation's statutes and/or internal regulations establish that a competitive tender process between at least three competitors must take place for major commercial and procurement contracts?	Basic	<i>Note: the organisation's statutes and/or internal regulations may refer to a procurement law.</i>	Statutes; internal regulations	
31.2	Do the organisation's statutes and/or internal regulations establish that at least two individuals evaluate tenders and formally approve the award of the contract?	Basic	Do the organisation's statutes and/or internal regulations establish that a competitive tender process between at least three competitors must take place for major commercial and procurement contracts?	Statutes; internal regulations	

			Do the organisation's statutes and/or internal regulations establish that at least two individuals evaluate tenders and formally approve the award of the contract?		
31.3	Do the organisation's statutes and/or internal regulations establish that those who approve the placement of a contract are different from those who request the placement of the contract?	Intermediate	Do the organisation's statutes and/or internal regulations establish that a competitive tender process between at least three competitors must take place for major commercial and procurement contracts? Do the organisation's statutes and/or internal regulations establish that approving the placement of a contract and requesting it are done by distinct individuals?	Statutes; internal regulations	

[Principle 32]

The organisation is externally audited by an independent auditor.

Relevance

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

Indicator	Category	Detailed evaluation criteria	Data source	Score
32.1	Basic	Have the organisation's financial statements and accounting records been reviewed by an independent and officially approved auditor?	Organisation's statutes; financial statements and accounting records, interview with organisation representative	
32.2	Advanced	The organisation implements a quality management system (e.g., ISO 9001).	Interview with organisation representative	
32.3	Advanced	Have the organisation's risk management procedures and risk assessment methodologies (application and effectiveness) been reviewed at least once by an	Organisation's statutes; interview with organisation	

	independent and an officially approved auditor in the preceding five years?			representative	
32.4	Has the organisation's governance (compliance programme, governance structure, internal processes, etc.) been reviewed by an independent and officially approved auditor in the preceding five years?	Advanced		Organisation's statutes; interview with organisation representative	

[Principle 33]

The organisation implements a financial control system.

Relevance

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

Indicator	Category	Detailed evaluation criteria	Data source	Score
33.1	Basic		Organisation's statutes and internal regulations; applicable legislation	
33.2	Basic		Organisation's statutes and internal regulations; applicable legislation	
33.3	Intermediate		Organisation's statutes and internal regulations; applicable legislation	
33.4	Intermediate		Organisation's statutes and internal regulations; applicable legislation	

33.5	Do the organisation's statutes and/or internal regulations and/or national legislation restrict the use of cash?	Basic		Organisation's statutes and internal regulations; national law	
33.6	Do the organisation's statutes and/or internal regulations and/or national legislation establish a requirement for accurate and clear payment categorizations and descriptions in the financial accounts?	Basic		Organisation's statutes and internal regulations; applicable legislation	
33.7	Do the organisation's statutes and/or internal regulations and/or national legislation establish a system in which (significant) financial transactions are periodically reviewed?	Intermediate		Organisation's statutes and internal regulations; applicable legislation	

[Principle 34]

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

Relevance

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

Indicator		Category	Detailed evaluation criteria	Data source	Score
34.1	Does the organisation have a code of conduct that applies to its oversight body members?	Basic	Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles? Do these principles apply to its oversight body members? <i>Note: this indicator is not applicable if the organisation does not have an oversight body.</i>	Organisation's statutes and internal regulations; website; code of conduct	
34.2	Does the organisation have a code of conduct that applies to its management?	Basic	Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles? Do these principles apply to its management?	Organisation's statutes and internal regulations; website; code of conduct	

34.3	Does the organisation have a code of conduct that applies to its staff?	Basic	Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles? Do these principles apply to its staff?	Organisation's statutes and internal regulations; website; code of conduct	
34.4	Does the code of conduct that applies to the organisation's oversight body members contain a general obligation to act with integrity?	Basic	Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles? Do these principles apply to its oversight body members? Do these principles contain a general requirement that obliges oversight body members to refrain from unethical behaviour (e.g. "shall act with integrity"; "shall not engage in corrupt practices"; "shall adhere to principles of ethical conduct", etc.)? <i>Note: this indicator is not applicable if the organisation does not have an oversight body.</i>	Organisation's statutes and internal regulations; website; code of conduct	
34.5	Does the code of conduct that applies to oversight body members contain rules on expenses?	Basic	Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles? Do these principles apply to its oversight body members? Do these principles contain specific rules on expenses? <i>Note: this indicator is not applicable if the organisation does not have an oversight body.</i>	Organisation's statutes and internal regulations; website; code of conduct	
34.6	Does the code of conduct that applies to oversight body members contain rules on accepting gifts?	Basic	Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles? Do these principles apply to its oversight body members?	Organisation's statutes and internal regulations; website; code of conduct	

			<p>Do these principles contain specific rules on accepting gifts?</p> <p><i>Note: this indicator is not applicable if the organisation does not have an oversight body.</i></p>		
34.7	Does the code of conduct that applies to oversight body members contain rules on conflicts of interest?	Basic	<p>Do the organisation's statutes, establishing act, internal regulations or code of conduct contain rules on conflicts of interest?</p> <p><i>Note: this indicator is not applicable if the organisation does not have an oversight body.</i></p>	Organisation's statutes and internal regulations; website; code of conduct	
34.8	Does the code of conduct that applies to oversight body members contain an obligation to notify breaches of the code of ethics to appropriate internal individuals or entities?	Basic	<p>Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles?</p> <p>Do these principles apply to its oversight body members?</p> <p>Does these principles contain an obligation to notify breaches of the code of ethics to appropriate internal individuals or entities?</p> <p><i>Note: this indicator is not applicable if the organisation does not have an oversight body.</i></p>		
34.9	Has the code of conduct been signed by all the members of the oversight body?	Basic	<p>Does the organisation have a comprehensive set of principles that establishes good conduct or did it adopt an existing set of principles?</p> <p>Do these principles apply to its oversight body members?</p> <p>Has the code of conduct been signed by all the members of the oversight body?</p> <p><i>Note: this indicator is not applicable if the organisation does not have an oversight body.</i></p>	Organisation's statutes and internal regulations; website; code of conduct; interview with organisation representative; additional evidence provided by organisation representative	
34.10	Did the organisation take steps during the previous twelve months to ensure	Basic	Does the organisation have a comprehensive set of principles that establishes good	Organisation's statutes and in-	

	that all the relevant stakeholders are notified of the contents of the code and that they understand it?		conduct or did it adopt an existing set of principles? Did the organisation take steps during the previous twelve months to ensure that all the relevant stakeholders are notified of the contents of the code and that they understand it? <i>Note: steps may include distributing the code via website announcements, newsletters, publication in a general activity report, or specific actions aimed at education / training (seminars, electronic resources etc.).</i>	ternal regulations; website; code of conduct; interview with organisation representative; additional evidence provided by organisation representative	
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[Principle 35]

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

Relevance

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

Indicator	Category	Detailed evaluation criteria	Data source	Score
35.1	Basic	Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of applicable rules of conduct? <i>Note: this principle concerns (and therefore requires the adoption/ establishment of) rules of conduct applicable to staff, management and oversight body members. These criteria are automatically fulfilled when the criteria in the two subsequent indicators are fulfilled.</i>	Organisation's statutes and internal regulations; code of conduct	
35.2	Basic	Do the organisation's statutes and/ or internal regulations establish procedures for processing complaints about violations of the rules of conduct that have been established/ adopted by the organisation?	Organisation's statutes and internal regulations; code of conduct	

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

5. Operational independence

The freedom to make decisions and carry out activities without being governed, controlled or instructed by other persons or organisations.

[Principle 36]

Acting national politicians and high-level government officials cannot be employed by the organisation, nor serve as oversight body members.

Relevance

Acting politicians and high-level government officials are subject to particularly high risks for conflicts of interest in doping matters.

Indicator		Category	Detailed evaluation criteria	Data source	Score
36.1	Do the organisation's statutes and/or establishing act establish that acting national politicians and high-level government officials cannot be employed by the organisation, nor serve as oversight body members/ officials?	Basic	Do the organisation's statutes and/or establishing act clearly and unambiguously establish that acting national politicians and government officials cannot be employed by the organisation, nor serve as oversight body members/ officials?	Organisation's statutes; internal regulations; establishing act	
36.2	Are there no acting national politicians or high-level government officials employed by the organisation and do they not serve as oversight body members/ officials?	Basic	<i>Note: a 1 score indicates that acting national politicians and government officials are not employed by the organisation and do not serve as oversight body members/ officials.</i>	Organisation's website; web search; interview with organisation representative	

[Principle 37]

People who are involved in the decision-making, management or operations of a national or international sport governing body or major event organisation are formally ineligible to serve as members of the oversight body.

Relevance

People that hold a position in or are employed by sports organisations are subject to particularly high risks for conflicts of interest in doping matters.

Indicator		Category	Detailed evaluation criteria	Data source	Score
37.1	Do the organisation's statutes and/or establishing act establish that people who are involved in the decision-making, management or operations of a national or international sport governing body or major event organisation cannot be employed by the organisation, nor serve as oversight body members?	Basic	Do the organisation's statutes and/or establishing act clearly and unambiguously establish that people who are involved in the decision-making, management or operations of a national or international sport governing body or major event organisation cannot be employed by the organisation, nor serve as oversight body members?	Organisation's statutes; internal regulations; establishing act	
37.2	Are there no employees or oversight body members who are involved in the management or operations of national or international sport governing body or major event organisation?	Basic	<i>Note: a 1 score indicates that people who are involved in the management or operations of national or international sport governing body or major event organisation are not employed by the organisation and do not serve as oversight body members.</i>	Organisation's website; web search; interview with organisation representative	

[Principle 38]

The organisation's government funding is provided separately from other government funding lines and awarded on a multi-annual basis.

Relevance

A separate multi-annual funding line allows the organisation to plan its activities several years ahead without external interference.

Indicator		Category	Detailed evaluation criteria	Data source	Score
38.1	Is the organisation's government funding provided separately from other government funding lines?	Basic	Does the organisation receive its core funding directly from the government? Is the organisation's government funding is provided separately from other funding lines? <i>Note: when the organisation is not funded by the government, the indicator score is 0.</i>	Organisation's statutes; internal regulations; establishing act	
38.2	Is the organisation's government funding awarded on a multi-annual basis?	Basic	Does the organisation receive its core funding directly from the government? Is the organisation's government funding awarded on a multi-annual basis?	Organisation's website; web search; interview with organisation representative	

[Principle 39]

The organisation has the authority to draft its own budget.

Relevance

Having the authority to draft the budget is a key element of organisational autonomy.

Indicator		Category	Detailed evaluation criteria	Data source	Score
39.1	Does the organisation have the authority to draft the its own budget without being subject to external approval?	Basic	Does the organisation have the authority to draft its own budget without being subject to external approval?	Organisation's statutes; internal regulations; establishing act	

[Principle 40]

The organisation has explicitly been delegated the authority to administer a registered testing pool and to conduct doping tests within the relevant territory by a government act.

Relevance

Having the authority to administer a registered testing pool and conduct doping tests is fundamental for ensuring operational independence.

Indicator		Category	Detailed evaluation criteria	Data source	Score
40.1	The organisation has explicitly been delegated the authority to act as the sole national anti-doping organisation and to administer a registered testing pool and conduct doping tests within the relevant territory by a government act.	Basic	Has the organisation been established or recognised by a government act? Does the act and/ or other relevant legislation establish that the organisation has the authority to act as the designated national anti-doping organisation within the relevant territory? Does the act and/ or other relevant legislation establish that the organisation has the designated authority to administer a registered testing pool, and conduct doping within the relevant territory?	Organisation's statutes; internal regulations; establishing act	

[Principle 41]

The anti-doping hearing panel is independent, and its members have appropriate competences.

Relevance

Having an independent and competent hearing panel increases the likelihood that adjudication is fair and free from conflict of interest.

Indicator		Category	Detailed evaluation criteria	Data source	Score
41.1	Have detailed procedures for the appointment and reappointment of all the members of the hearing panel been established?	Basic		Organisation's statutes; establishing act; rules governing the workings of the hearing panel	
41.2	Do the procedures governing the appointment and reappointment of all the members of the hearing panel establish that the latter are appointed for at least a renewable four-year term of office?	Basic	Have detailed procedures for the appointment and reappointment of all the members of the hearing panel been established?	Organisation's statutes; establishing act; rules governing the workings of the hearing panel	
41.3	Do the rules governing the workings of the hearing panel establish that the hearing panel should be composed of at least a chair and two members?	Basic		Organisation's statutes; establishing act; rules governing the workings of the hearing panel	
41.4	Do the rules governing the workings of the hearing panel establish that at least the chair has a legal	Basic	:	Organisation's statutes; establishing act;	

	background and that the entire panel has a collective expertise in relevant fields like science, medicine, or sport?			rules governing the workings of the hearing panel	
41.5	Do the rules governing the workings of the hearing panel establish that the members of the hearing panel should have no direct or indirect personal or professional relation with the parties to the proceedings or any organisations of which the parties are members?	Basic	<i>Note: at a minimum, the hearing panel members cannot be employed by or hold a position in a governing body of the same sport that is practised by the athlete.</i>	Organisation's statutes; establishing act; rules governing the workings of the hearing panel	
41.6	Do the rules governing the workings of the hearing panel establish that the members of the hearing panel should have no prior involvement in the case?			Organisation's statutes; establishing act; rules governing the workings of the hearing panel	
41.7	Do the rules governing the workings of the hearing panel establish that the person who is asserted to have committed an anti-doping rule violation is authorised to request the replacement of a member of the hearing panel in case of doubts on her/his impartiality?			Organisation's statutes; establishing act; rules governing the workings of the hearing panel	
41.8	Do the rules governing the workings of the hearing panel establish that the person who is asserted to have committed an anti-doping rule violation is entitled to present her/his case to the panel (i.e., in person or in writing)?	Basic		Organisation's statutes; establishing act; rules governing the workings of the hearing panel	

[Principle 42]

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

Relevance

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

Indicator		Category	Detailed evaluation criteria	Data source	Score
42.1	Do the organisation's statutes and/or internal regulations establish procedures regarding conflicts of interest?	Basic	Do the organisation's statutes and/or internal regulations establish procedures that handle oversight body members' conflicts of interest?	Organisation's statutes and internal regulations; code of conduct	
42.2	Do these procedures ensure that (perceived) conflicts of interest are reported before or at the start of every oversight body meeting, listed in the minutes, and recorded in a registry?	Basic	Do the organisation's statutes and/or internal regulations establish procedures that handle oversight body members' conflicts of interest? Do these procedures ensure that (perceived) conflicts of interest are notified before or at the start of every oversight body meeting, listed in the minutes of the oversight body meetings, and recorded in a registry?	Organisation's statutes and internal regulations; code of conduct	
42.3	Do these procedures guarantee that the members of the oversight body may not participate in the vote about certain decisions for which a conflict of interest exists?	Basic	Do the organisation's statutes and/or internal regulations establish procedures that handle oversight body members' conflicts of interest? Do these procedures ensure that (perceived) conflicts of interest are notified before or at the start of every oversight body meeting, listed in the minutes of the oversight body meetings, and recorded in a registry? Do these procedures forbid oversight body members to vote and/or to participate in discussions in clearly defined situations in which a conflict of interest exists? <i>Note: it is not necessary that the procedures forbid an oversight body member to vote and/or participate in discussions every time a conflict of interest exists.</i>	Organisation's statutes and internal regulations; code of conduct	

6. Anti-doping responsibility

Implementing anti-doping policies beyond the World Anti-Doping Code requirements.

[Principle 43]

The organisation implements a policy on educating and prevention that goes beyond the International Standard for Education.

Relevance

Education and information programmes provide relevant actors with the information, values and skills that are necessary for ensuring doping free sport.

Indicator	Category	Detailed evaluation criteria	Data source	Score
43.1 Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at educating and informing relevant actors on anti-doping policies and the risks of doping in which it includes recreational athletes that are not part of the Registered Testing Pool as a target group?	Basic		Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
43.2 Does the organisation have a formal (written) policy that outlines objectives and specific actions aimed at educating athletes on anti-doping governance?	Basic	<i>Note: relevant actions include, for instance, informing athletes about anti-doping governance and opportunities for athlete participation in decision-making procedures.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
43.3 Does the organisation have a staff member who formally acts as a point of contact and is responsible for all matters regarding educating and informing relevant actors on anti-doping policies and the risks of doping?	Intermediate	Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan a single person who is responsible for all matters regarding educating and informing relevant actors on anti-doping policies and the risks of doping? Does the organisation provide the contact details of	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

			this person on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report, or in its latest (multi-annual) policy plan?		
43.4	Does the organisation cooperate with other organisations with a view to educating and informing relevant actors on anti-doping policies and the risks of doping?	Intermediate	<i>Note: relevant organisations include, for instance, NADOs, RADOs, sport event organisers, public authorities, gyms, schools; and NGOs.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
43.5	Did the organisation carry out an evaluation of the impact of its relevant actions?	Basic	Does the organisation have a written report that analyses the impact of the relevant actions? <i>Note: impact evaluations must go beyond providing an overview of outputs and focus on outcomes. Such outcomes may be part of KPIs. The evaluation can either be published as part of the annual report or as a separate document.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

[Principle 44]

The organisation cooperates with other national anti-doping organisations with a view to combating doping in sport.

Relevance

Cooperation between National Anti-Doping Organisations increases mutual understanding, leads to joint solutions, increases individual competences, and improves information exchange.

Indicator	Category	Detailed evaluation criteria	Data source	Score
44.1	Intermediate	Did the organisation engage in a formal partnership with at least one national anti-doping organisation during the past 24 months?	Organisation's website; partnership agreement	

[Principle 45]

The organisation cooperates with law enforcement with a view to combating doping in sport.

Relevance

Cooperating with law enforcement improves information exchange regarding (potential) anti-doping violations and related illegal activities.

Indicator	Category	Detailed evaluation criteria	Data source	Score
45.1	Intermediate	<p>Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan a single person who is responsible for all matters regarding cooperation with law enforcement?</p> <p>Does the organisation provide the contact details of this person on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report, or in its latest (multi-annual) policy plan?</p>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
45.2	Intermediate	<p>Did the organisation sign a document (e.g. memorandum of understanding) or does a piece of national legislation exist that establishes the terms of its cooperation with law enforcement?</p> <p>Does the document establish the terms regarding the exchange of information?</p>	Organisation's website; partnership agreement	
45.3	Intermediate	<p>Did the organisation sign a document (e.g. memorandum of understanding) establishing the terms of its cooperation with law enforcement?</p> <p>Does the document establish the terms regarding the exchange of information?</p>	Organisation's website; partnership agreement	
45.4	Basic	<p>Does the organisation have a written report that analyses the impact of the relevant actions?</p> <p><i>Note: impact evaluations must go beyond providing an overview of outputs and focus on outcomes. Such outcomes may be part of KPIs. The evaluation can either be published as part of</i></p>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence pro-	

			<i>the annual report or as a separate document.</i>	vided by organisation's representative	
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[Principle 46]

The organisation proactively engages in intelligence gathering and investigations in relation to doping in sport.

Relevance

Information about doping activities allows the organisation to prioritise issues and allocate the necessary resources to deal with them accordingly.

Indicator	Category	Detailed evaluation criteria	Data source	Score
46.1 Does the organisation have a formal (written) plan for collecting information on doping from different sources?	Basic	Does the organisation have a written plan that details how information is collected from specific internal sources (e.g. ADAMS, athletes and support personnel), and chaperones and doping control officers) and external sources (e.g. health agencies, sport bodies, law enforcement agencies, other NADOs, international federations, the internet)?	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
46.2 Does the organisation have a staff member (i.e. intelligence manager) who formally acts as a point of contact and is responsible for all matters regarding intelligence gathering and investigations?	Intermediate	Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan at least one person who is responsible for all matters regarding intelligence gathering and investigations? Does the organisation provide the contact details of this person on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report, or in its latest (multi-annual) policy plan?	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
46.3 Did the organisation engage in cooperation with a view to gathering intelligence?	Basic		Organisation's website; multi-annual policy plan; annual policy	

				plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
46.4	Did the organisation produce an intelligence report during the past 24 months?	Basic	Do official documents mention an intelligence report that was produced during the past 24 months?	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
46.5	Did the organisation carry out an evaluation of the impact of its relevant actions?	Basic	Does the organisation have a written report that analyses the impact of the relevant actions? <i>Note: impact evaluations must go beyond providing an overview of outputs and focus on outcomes. Such outcomes may be part of KPIs. The evaluation can either be published as part of the annual report or as a separate document.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

[Principle 47]

The organisation promotes anti-doping research.

Relevance

Research on (the use of) doping provides knowledge that is essential for establishing effective anti-doping policies.

Indicator	Category	Detailed evaluation criteria	Data source	Score
47.1	Basic	Does the organisation have a written policy that defines specific objectives and actions, specifically aimed at promoting anti-doping research? <i>Note: the specific objectives and actions may be part of a wider policy. They may</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report;	

			<i>pertain to research on athlete perspectives or on sociological, behavioural, legal, ethical, scientific/medical issues.</i>	additional evidence provided by organisation's representative	
47.2	Does the organisation have a staff member who formally acts as a point of contact and is responsible for all matters regarding promoting anti-doping research?	Intermediate	Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan a single person who is responsible for all matters regarding promoting anti-doping research? Does the organisation provide the contact details of this person on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report, or in its latest (multi-annual) policy plan?	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
47.3	Does the organisation cooperate with research institutions on anti-doping research?	Intermediate	Does the organisation cooperate with research institutions on athlete perspectives or on one or more of the following: sociological, behavioural, legal, ethical, scientific/medical issues?	Organisation's website; partnership agreement	
47.4	Did the organisation carry out an evaluation of the impact of its relevant actions?	Basic	Does the organisation have a written report that analyses the impact of the relevant actions? <i>Note: impact evaluations must go beyond providing an overview of outputs and focus on outcomes. Such outcomes may be part of KPIs. The evaluation can either be published as part of the annual report or as a separate document.</i>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	

[Principle 48]

Testing activities and anti-doping policies externally audited.

Relevance

An external audit of testing activities and anti-doping policies allows the organisation to improve its anti-doping actions and it increases external trust.

Indicator		Category	Detailed evaluation criteria	Data source	Score
48.1	Have the organisation's testing activities been reviewed by an auditor?	Basic	Have the organisation's testing activities been reviewed by a person or organisation that has no formal affiliation with the organisation (for instance, an international organisation - not including WADA)?	Organisation's statutes; financial statements and accounting records, interview with organisation representative	
48.2	Have the organisation's anti-doping policies been reviewed by an independent auditor?	Intermediate	Have one or more of the organisation's anti-doping policies (not including its testing activities) been reviewed by a person or organisation that has no formal affiliation with the organisation (for instance, an international organisation - not including WADA)?	Organisation's statutes; interview with organisation representative	

[Principle 49]

The organisation participates in working groups established by WADA, iNADO, UNESCO, and/or the Council of Europe.

Relevance

Participation in working groups established by WADA and/or the Council of Europe increases mutual understanding, leads to joint solutions, increases individual competences, and improves information exchange.

Indicator		Category	Detailed evaluation criteria	Data source	Score
49.1	Did the organisation participate in one or more meetings of anti-doping working groups established by WADA, iNADO, UNESCO, and/or the Council of Europe during the past 24 months?	Basic	Did the organisation participate in one or more meetings of anti-doping working groups established by WADA, iNADO, UNESCO, and/or the Council of Europe during the past 24 months?	Organisation's statutes; financial statements and accounting records, interview with organisation representative	

[Principle 50]

The organisation establishes a procedure for notifying doping abuse that ensures whistle-blower protection.

Relevance

Whistleblower protection allows relevant actors to report potential anti-doping violations without fearing reprisal.

Indicator		Category	Detailed evaluation criteria	Data source	Score
50.1	Does the organisation have a staff member who formally acts as a point of contact and is responsible for all matters regarding anonymous cooperation with whistle-blowers?	Basic	<p>Does the organisation mention on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report or in its latest (multi-annual) policy plan a single person who is responsible for all matters regarding anonymous cooperation with whistle-blowers?</p> <p>Does the organisation provide the contact details of this person on a webpage (easily retrievable in accordance with indicator 1.1), in its latest annual report, or in its latest (multi-annual) policy plan?</p>	Organisation's website; multi-annual policy plan; annual policy plan; policy evaluations; annual report; additional evidence provided by organisation's representative	
50.2	Do the organisation's statutes and/ or internal regulations establish clearly defined rules for reporting potential anti-doping violations?	Basic	Do the procedures contain clearly defined rules establishing how and where complaints must be submitted?	Organisation's statutes and internal regulations; code of conduct	
50.3	Do the organisation's statutes and/ or internal regulations establish clearly defined rules for investigating reports about potential anti-doping violations?	Basic	Do the rules clearly outline how and by whom complaints must be investigated?	Organisation's statutes and internal regulations; code of conduct	
50.4	Does the organisation establish a procedure for reporting potential anti-doping rule violations that ensures that no person who, in good faith, reports a potential violation shall be subject to retaliation or negative consequences?	Basic	<p>Do the organisation's statutes and/ or internal regulations establish procedures for processing reports about potential anti-doping violation?</p> <p>Do the procedures establish that no person who, in good faith, reports a potential anti-doping violation shall be subject to retaliation or negative consequences?</p>	Organisation's statutes and internal regulations	
50.5	Do the procedures establish that reports and related investigations must be kept confidential to the extent possible?	Basic	<p>Do the organisation's statutes and/ or internal regulations establish procedures for processing reports about potential anti-doping violation?</p> <p>Do the procedures establish that reports and related investigations must be kept confidential to the extent possible?</p>	Organisation's statutes and internal regulations	

50.6	Do the procedures enable individuals to file an anonymous report of potential anti-doping violations?	Basic	Do the organisation's statutes and/ or internal regulations establish procedures for processing reports about potential anti-doping violation? Do the procedures enable individuals to file an anonymous complaint?	Organisation's statutes and internal regulations	
50.7	Does the organisation establish a reporting system where individuals can file a report in a simple and fast way?		<i>Note: examples of such a hotline include a secured online form or a telephone number.</i>		