COUNTY FA CODE OF GOVERNANCE







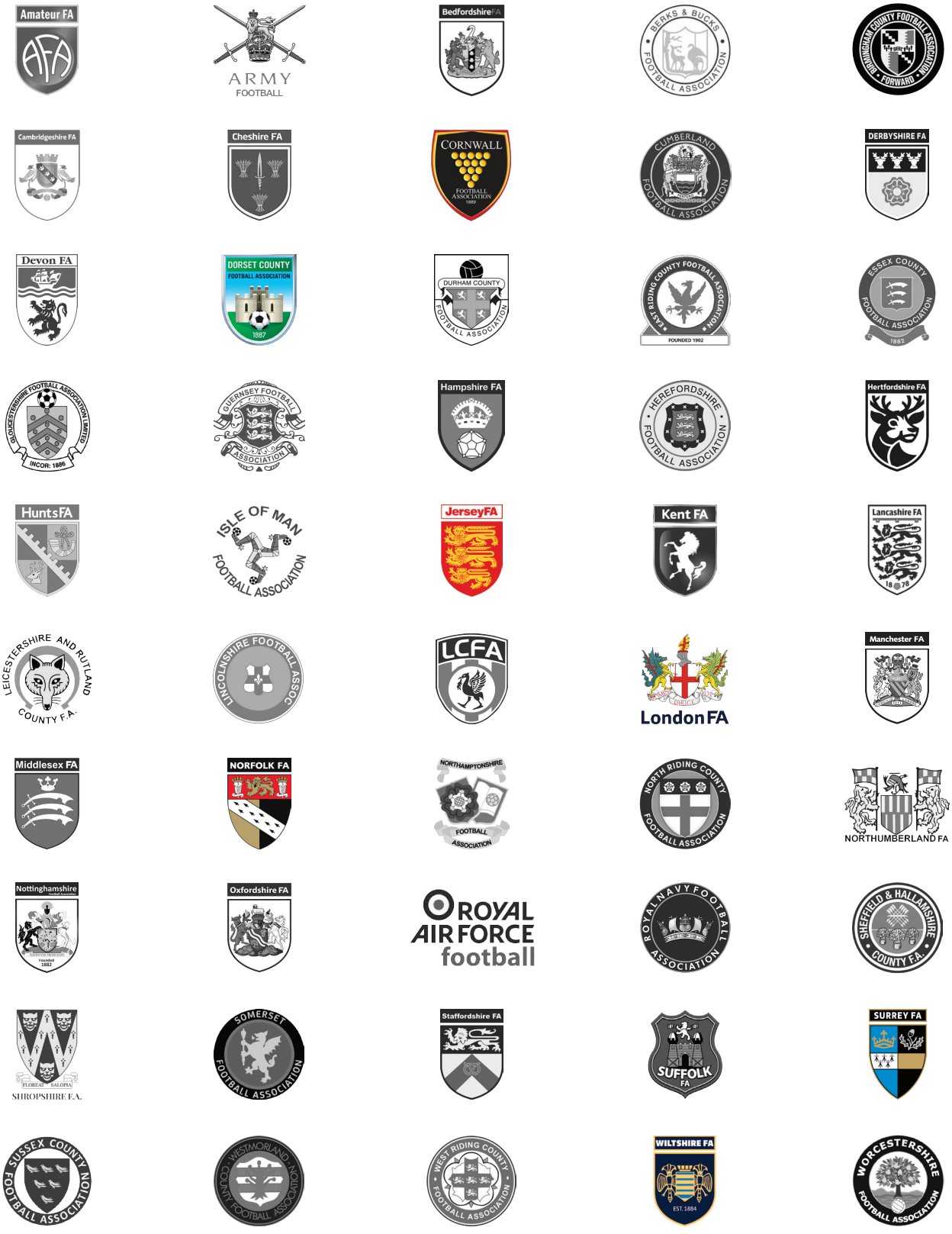
THE FA's CODE OF GOVERNANCE FOR COUNTY FAs

VERSION: 2.0

PUBLISHED: OCTOBER 2022

COUNTY FA COMPLIANCE WITH THE FA CODE OF GOVERNANCE

The seven County FA logos shown in colour below indicate those which have achieved compliance status at the time of this publication.



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KEY CHANGES TO THE REQUIREMENTS IN THIS VERSION OF THE FA's CODE OF GOVERNANCE FOR COUNTY FAs

There are multiple updates to version 2.0 of The Code of Governance. Requirements that have changed materially are listed in the table below. If a requirement has no material changes, it is not listed below.

Please note that various appendices have also been updated (see overleaf).

Version 1.2 Requirement #	Version 2.0 Requirement #	Version 1.2 Requirement #	Version 2.0 Requirement #
1.9 and 1.10	Integrated and further updated as 1.9	2.14	Updated
N/A	1.10 is a new requirement	2.15	Updated
1.11	Updated	3.1	Updated
1.12	Updated	N/A	3.3 is a new requirement
1.17	Updated	3.3	Now 3.4
1.21	Integrated and updated as 5.3	3.4	Now 3.5 and updated
1.22	Now 1.21	4.1	Updated
1.23 and 1.24	Integrated and updated as 1.22	4.2 and 4.3	Integrated and updated as 4.2
1.25	Now 1.23	N/A	4.3 is a new requirement
1.26	Now 1.24 and updated	4.4	Updated
1.27	Now 1.25	4.5	Updated
1.28	Now 1.26 and updated	4.6	Updated
1.29	Now 1.27	5.3	Integrates 1.21 and updated as 5.3
1.30	Now 1.28 and updated	5.4 and 5.5	Integrated and further updated as 5.4
1.31	Now 1.29	N/A	5.5 is a new requirement
2.1	Updated	5.6	Updated
2.2 and 2.3	Integrated and updated as 2.3	5.7	Updated
N/A	2.3 is a new requirement	5.8	Removed
2.7	Updated	N/A	5.8 is a new requirement
2.8	Updated	5.9	Removed
2.10	Updated		

KEY CHANGES TO THE APPENDICES IN THIS VERSION OF THE FA's CODE OF GOVERNANCE FOR COUNTY FAs

Appendix	Title	Comment
1	County FA Code of Governance Articles of Association – Template and Guidance Notes	Updated
2	Example of Authority Scheme of Delegation	Updated
3	County FA Board of Directors' Handbook Index – Template	Updated
4	Companies Act 2006 – Duties of a Director	No change
5	Example of Director and Council Member Code of Conduct	Updated
6	Example of a Board of Directors' Agenda	Updated
7	Board Skills Audit	No change
8	Board Skills: Diagnostic and Evaluation – Independent Assessment Flow	No change
9	County FA Chief Executive Officer Role Profile – Template	Updated
10	County FA Finance Director Role Profile – Template	Updated
11	County FA Chair of the Board of Directors Role Profile – Template	Updated
12	County FA Governance Nomination and Appointment Committee – Terms of Reference	Updated
13	Board Recruitment Process Guidelines	No change
14	County FA Senior Independent Director Role Profile	No change
15	ICSA Guidance Note: The Roles of the Chairman, Chief Executive and Senior Independent Director under the Combined Code	No change
16	ICSA Guidance Note: Terms of Reference for the Audit Committee	No change
17	County FA Board Nomination and Appointment Committee Chair – Role Profile – Template	No change
18	Inclusion Advisory Groups (IAGs) What You Need To Know	Updated
19	Recruitment Pack for Appointment of County FA Independent Chair of Inclusion Advisory Group/Board/Network	No change
20	How to be a More Inclusive County FA	No change
21	County FA Independent Chair of Inclusion Advisory Group – Role Profile – Template	No change
22	County FA Remuneration Committee Terms of Reference - Template	Updated
23	Risk Committee Terms of Reference – Template	Updated
24	County FA Youth Council Guidance	Updated
25	County FA Youth Council Constitution and Terms of Reference – Template	No change
26	The [insert name of County FA] Youth Council Code of Conduct	No change
27	Understanding and Engaging with Under-18s	No change
28	Sporting Equals Guidance Document: How to Increase Ethnic Diversity in Sports Leadership	No change
29	County FA Equality Policy – Template	No change
30	County FA Diversity and Inclusion Action Plan Guidance	New resource

Changes to appendices (continued)

Appendix	Title	Comment
31	Example of a County FA Equality and Diversity Action Plan	Updated
32	Sport England and UK Sport Guidance Document: Diversity Action Plan	Updated
33	Documents to consider including in Governance Section of County FA Website	No change
34	County FA Generic Role Profile – Template	No change
35	County FA Director Application Pack	No change
36	Director Appointment Letter – Template	No change
37	Equality and Diversity Monitoring Form	Updated
38	Example of Article for County FAs to Co-opt Directors	No change
39	County FA Succession Planning Guidance	No change
40	Director's Declaration of Good Character	No change
41	Example of Induction Checklist for Directors	No change
42	County FA Board Director Appraisal – Template	No change
43	ICSA Guidance Note: Specimen Conflict of Interest Policy, Declaration Form and Register of Interests for Charity Trustees	No change
44	Declaration of Interests' Form – Template	No change
45	Guidance on the use of Risk Registers and Safeguarding Risks	Updated
46	Safeguarding Risk Assessment Tool – Template	Updated
47	Sport England: Risk Policy for a Small Association (adapted for County FAs)	No change
48	The UK Equality Standard – A Framework for Sport	No change
49	The UK Equality Standard – Resource Pack	No change
50	The UK Equality Standard for Sport – Guidance for Sports Organisations	No change
51	Independent Non-Executive Director Role Profile	No change
52	Independent Non-Executive Commercial Director Role Profile	Updated
53	Independent Non-Executive Human Resource Director Role Profile	No change
54	Board Tracker	No change
55	Policy Tracker	No change
56	Board Safety Champion role description	New resource
57	Conflict of interest policy template	New resource
58	Business Continuity Plan template	New resource
59	People Plan template and guidance	New resource

A gold standard for our National Game

In a world where change is accelerating at an incredible rate, the need for effective governance is paramount to meet the modern-day challenges in our game. Football is not immune to this change and none of us should be afraid to embrace it. I believe adoption of this Code will help us to achieve the success we all strive for and I would encourage you to consider adopting it to help equip our game for a brighter, more successful future. Our national community across grassroots football includes almost 100,000 teams and as a football loving nation, there are more than 30 million spectators and 11 million participants. Football has the power to inspire and influence societal change. It is vital that we are set-up appropriately with exceptional governance structures: football deserves the very best that we have to offer.

Given the huge responsibility – and privilege – that County FAs have in terms of developing, governing and regulating the game, we have a collective responsibility to ensure that our governance is 'gold standard'. This will help us deliver the best possible outcomes for football as ultimately, strong governance structures help organisations address potential shortcomings, ensuring they benefit from a strong range of appropriate skills complimented by effective decision-making structures. This reduces risks, improves performance and drives long-term organisational success.

Football is For All. It's a clear statement from The FA about how diversity and inclusion underpins everything that we do. It's language that's woven into the organisation. It's more important than ever that we have diverse talent shaping thinking across our organisations; on our Boards, Councils and Executive teams. Diverse teams bring wider thinking regarding how we do things how we can relate more effectively to our participants and our communities and ultimately improve our performance.

Where does For All fit into Governance? Firstly, the benefits of diversity in workplaces are clear and indisputable. There is a lot of research that evidences how diverse companies outperform those who aren't.

In my County, Dorset, I have seen first-hand the benefits of applying the requirements of the Code and we are certainly a much stronger Association as a result. With strong governance, we will be in the best position we can be to ensure we thrive in the future by serving our participants in the most effective way. This Code breaks down how our Governance structures can collectively be aligned to help us deliver Football For All. It encourages us to shine a spotlight on our governance and dissect how we are equipped to make decisions to best serve the game. Elements of this will be challenging. It requires that we look inward and asks us to challenge ourselves. It asks that we look forward and it asks us to make changes. Throughout this self-examination, it is important that we accept that our responsibilities are to the game and always seek to improve what we do.

I am excited about the journey ahead and am sure you will find this Code an invaluable tool, as I have. I strongly encourage you work towards achieving the Code and lead the way for the local governance of sport in England.



Sue Hough

Chair,
National Game Board and
Member of Code of Governance
Steering Group



Huge progress towards achieving the 'gold standard' in football governance

At a County FA Chief Executive Officer network meeting in early 2018, FA and County FA executives undertook an exercise to look forward and identify what collective actions were required to ensure County FAs thrive in the future. Governance was one of the key areas discussed and it was unanimously agreed that football deserved the highest possible governance standards of any sport in England. That set the ball rolling with this programme of work.

Following consultation, a working group was set up to develop a Code that met this requirement. The working group was made up predominantly of County FA representatives, with representation also from The FA youth council, Sport England and The FA. The work of this group was overseen by a steering group.

The existing gold standard, the Sport England Code of Governance was used as the template. The working group was tasked with adapting this Code so that it was refined specifically for football and for County Football Associations, whilst staying true to the highest possible requirements of the existing Code. All 58 requirements of the Sport England Code were analysed, discussed and debated at length. Some remained, some were adapted, some were removed, and some new requirements were added. At the end of many months of work, the new 'Code of Governance for County Football Associations' was produced, which contained a total of 63 key requirements.

Sport England and UK Sport have now reviewed and updated its Code of Governance. We reconvened our working group and undertook a thorough review of our Code. Some requirements were removed and some requirements were updated. The end result was a reduction in the County FA requirements from 65 to 63 and these are aligned to the five key Principles of the updated Sport England and UK Sport Code as follows:

- Structure (29 requirements);
- People (15 requirements);
- Communication (5 requirements);
- Standards & Conduct (6 requirements);
- Policies & Processes (8 requirements).

To help County FAs meet these requirements there is lots of support available, including many documents and guidance materials in the appendices, together with support from FA staff and of course support from our colleagues in County FAs. I encourage County FAs to learn from and support each other as many will be facing similar challenges. The County FA Code of Governance surgeries provide an excellent platform for this.

At the time of writing, Wiltshire, Dorset, London, Surrey, Cornwall, Norfolk and Jersey County FAs have become Code compliant and will be happy to share learnings from their journeys. Nearly every County FA has set out an objective to be Code compliant by 2024. The working group was made up predominantly of County FA representatives, with representation also from The FA Youth Council, Sport England and The FA. The work of this group was overseen by a steering group. As a member of the working group, I am delighted to have been a part of this project and am very proud of this new Code. I pass on my sincere thanks to all those who contributed. I believe it is a significant piece of work that will put County FAs into the strongest-possible positions in terms of building and executing strategies and operational plans that deliver the greatest outcomes for football. In doing that, it will also help ensure County FAs are best positioned to succeed and to thrive in the future.

The Affiliated Associations asked for a 'Gold Standard' Code that is specific for football. I believe that this Code continues to deliver on that request. I encourage all County FAs to embrace and adopt this Code and trust that you find it a valuable tool.



Colin Bridgford

Chair,
Affiliated Association Committee and Member of Code of Governance Steering and Working Groups



Setting a governance 'gold standard' that's football-specific

At the time of writing, it's four-and-a-half years since County FA Chief Executive Officers unanimously agreed that football deserved the highest possible regional governance standards of any sport in England. That's when the ball started rolling with this piece of work. Towards the end of 2021, our first County FAs became fully compliant with the Code. There are many, many benefits to County FAs of adopting this Code. One of these is a better ability to deal with and respond to crises, as a Board appointed on a skills matrix will be able to pull upon diverse skillsets and experience and in doing so, better respond to such events.

Somewhere in the middle of that the global pandemic hit us. Without question that has been the biggest stress test ever exerted upon The FA and the County FAs. If ever there was an occurrence that would highlight, put in bold and underline the need for agile and quality board decision making, that was it.

We've not sat still with this Code. It will always need to evolve. This latest iteration follows an update from Sport England to their Code of Governance for NGBs. It was pleasing to see that we were already ahead of the game with some of the changes made, having either included them in our previous version (1.2) or having commenced parallel workstreams. This new version (2.0) incorporates all the additional requirements from Sport England and the same process has been undertaken as last time; with support from a working group and the Affiliated Associations Committee, each requirement has been discussed, debated and tweaked where necessary to fully reflect our National Game and our County FAs.

To help County FAs meet these requirements there is lots of support available, including many documents and guidance materials in the appendices, support from FA staff and of course support from one another. I encourage County FAs to learn from and support each other as many will be facing similar challenges.

The County FA Code of Governance surgeries provide an excellent platform for this.

At the time of writing, seven County FAs are now fully compliant with this Code and I whole heartedly congratulate them all. Prioritising this is quite simply the right thing to do. The consequences of weak governance can be devastating for any organisation and this Code is the best possible insurance policy to ensure such risks are minimised. It is also a powerful standard that will stand up to the highest levels of scrutiny, helping you to develop partnerships (as potential partners will be assured that the County FA is a "safe" partner) and to demonstrate to your stakeholders that your organisation is governed to the highest standards seen in English sport.



Tim Foster
Head of Operations,
The FA

WORKING GROUP

Current members:

- **Paul Bickerton**
  London FA Chief Executive Officer
- **Colin Bridgford**
  Affiliated Associations Committee Chair/ Manchester County FA Chief Executive Officer
- **Dal Darroch**
  The FA Head of Diversity & Inclusion Strategic Programmes
- **Peter Ducksbury**
  Affiliated Associations Committee/Westmorland County FA Chief Executive Officer
- **Tim Foster**
  The FA Head of Operations
- **Mark Hardcastle**
  The FA Senior Operations Delivery Manager
- **Sam Hobbs**
  The FA County FA Support Services Manager – Learning & Development
- **Richard McDermott**
  The FA Company Secretary
- **Ian Mason**
  Affiliated Associations Committee/Oxfordshire County FA Chief Executive Officer
- **Roy Northall**
  Affiliated Associations Committee/Worcestershire FA Chairman
- **Greg Petts**
  Affiliated Associations Committee/Kent FA Director
- **Chris Pringle**
  The FA Regional Manager (South)
- **Oliver Selfe**
  Chief Executive Officer, Wiltshire FA
- **Lynsey Tweddle**
  Head of Corporate Governance, Sport England
- **Arran Williams**
  The FA Diversity and Inclusion Manager

Former members:

- **Kevin Coleman**
  formerly FA Equality and Diversity Manager
- **Sarah Nickless**
  formerly Affiliated Associations Committee/The FA Youth Council
- **Arran Williams**
  The FA Diversity and Inclusion Manager

STEERING GROUP

Current members:

- **Colin Bridgford**
  Affiliated Associations Committee Chair and Manchester County FA Chief Executive Officer
- **Dal Darroch**
  The FA Head of Diversity & Inclusion Strategic Programmes
- **Sue Hough**
  National Game Board Chair and Dorset FA Chief Executive Officer
- **Tim Foster**
  The FA Head of Operations
- **Mark Hardcastle**
  The FA Senior Operations Delivery Manager
- **Richard McDermott**
  The FA Company Secretary
- **Chris Pringle**
  The FA Regional Manager (South)
- **Phil Smith**
  Director of Sport, Sport England

Former members:

- **Mervyn Leggett**
  formerly National Game Board Chair and Worcestershire FA Chief Executive Officer
- **Philip Smith**
  formerly Affiliated Associations Chair, National Game Board Member and Kent County FA Chair

DEVELOPMENT OF THE CODE – TIMELINE

2018

FEBRUARY 22 2018

CEO meeting, discussed future vision for County FAs. 10 positioning statements derived from feedback including the need for a Gold Standard to help County FAs be more inclusive and diverse.

MARCH – JUNE 2018

Positioning statements tested against County FA Boards, National Game

Representatives, National Game Board members. Response was overwhelmingly positive.

2019

JANUARY – SEPTEMBER 2019

Steering and working group meetings, Code created using Sport England Tier 3 Code as framework.

MAY 2019

Consultation and debate at CEO/ Chairs day.

SEPTEMBER 25 2019

National Game Board approve the Code and encourage its adoption.

2020

JANUARY 31 2020

The Code is launched.

2021

AUGUST 2021

Wiltshire FA becomes the first County FA compliant with the Code.

OCTOBER 2021

Dorset FA achieves compliance with the Code.

NOVEMBER 2021

Version 1.2 of Code launched.

2022

JANUARY – OCTOBER 2022

Surrey, Norfolk, Cornwall, London and Jersey FAs achieve compliance with the Code.

OCTOBER 2022

Version 2.0 of Code launched



How to use version 2.0 of the Code

This document includes:

Model Articles of Association: We have worked with Northridge Law to create a new set of Model Articles of Association. These are compliant with The FA County FA Code of Governance and can be found in Appendix 1 and have been recently updated to reflect the requirements of the update Code.

Outline of the Five Principles: An overall explanation and why each Principle is important.

Definitions: Page 20 contains a list of definitions of key terms.

The main Code, which starts on page 22, is then broken down as follows:

The Five Principles

These break down the key themes under which the requirements are detailed, and for each Principle we explain why it is important. As you'll see, each Principle has been given a different colour, to make navigation easier.

The Requirements

The requirements break down a set of actions that ensure each Principle can be met. There are 63 requirements in total. Each requirement is highlighted in the colour we have given each Principle and are in number order. All requirements must be met in order to achieve the Code, unless dispensation is provided.The requirements are not listed in any order of relative importance.

Commentary

The requirements are explained in full detail in a commentary. The commentary is intended to clarify the details of the requirements and eliminate any grey areas or potential confusion.

Tools/resources

Where relevant, each requirement signposts you to tools and resources to help guide you. These are usually in the form of Appendices to this document, but occasionally point to third-party resources.

Version Control

This Code is version 2.0, which replaces version 1.2 (November 2021). As you'll have seen, pages 9-11 inclusive show the updates made from version 1.2. For any further clarity on any elements of this Code or the supporting materials, please contact your Regional Manager, Senior Lead for County FAs or the Head of Operations. We know many of you are close to achieving the Code and you have our full support in helping you along this exciting journey.

Next steps

For those County FAs already compliant or planning to apply for compliance before 30th June 2023, you will remain assessed against version 1.2 until June 2024. By June 2024 you will be required to be compliant with the new requirements as set out in this version (2.0). Of course, we encourage you to adopt all requirements of this version (2.0) as soon as possible and an updated compliance framework will be produced so that evidence can be uploaded in due course.

For County FAs looking to apply for compliance after 30 June 2023, compliance will be required against the requirements as set out in this version (2.0).



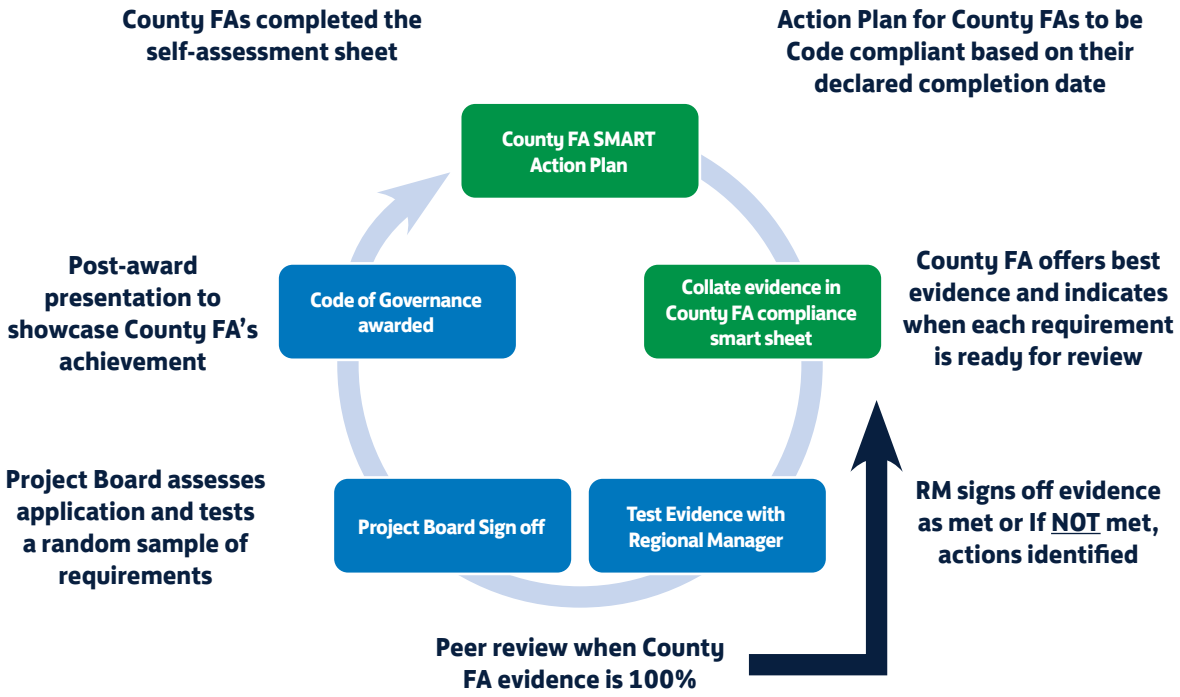
Tim Foster
Head of Operations,
The FA

LOOKING AHEAD

Once a County FA has been assessed against the Code, and is deemed to be compliant, the logo on the left will be issued in digital and print-ready artwork forms. It can then be used on County FA external and internal communications channels, as appropriate.

Code of Governance Compliance Framework process

The flow chart below details the process a County FA should follow when seeking compliance with the Code of Governance. All of the work at this stage should be focused in the County FA's Compliance Framework smartsheet. There is no need for any further updates or amendments to the self-assessment smartsheet. That process is now complete and provided an initial (untested) position against the Code's requirements and began the action planning process. County FAs are advised to work with their Regional Manager to upload evidence against the requirements. This can be done in any order, working in small batches to chunk the work and to align the process to natural County FA workflows such as Annual General Meetings and Board meetings. Please indicate on the smartsheet if you consider a piece of evidence as met, upload any supporting evidence, and your Regional Manager will review this with you. Once this is completed for all requirements and they are reviewed as 'met', your County FA's application for Code compliance will be forwarded to the National Game Board Project Board for review and approval. Your County FA will then be invited to present this to the Project Board where compliance will be awarded if everything is in order.



The Five Principles of Good Governance

PRINCIPLE 01: STRUCTURE (29 REQUIREMENTS)

County Football Associations shall have a clear and appropriate governance structure, led by a Board which is collectively responsible for the long-term success of the Association and exclusively empowered to lead it. The Board shall be properly constituted, and shall operate effectively.

Why is this important?

The right governance structure with decisions made at the right level enables the best decisions to be made to drive the success of the Association.

Having an appropriate governance structure demonstrates to all stakeholders that the Association is well managed. This is key to winning the confidence of staff, suppliers and potential investors and also provides a framework for the Association's growth and development.

PRINCIPLE 02: PEOPLE (15 REQUIREMENTS)

County Football Associations shall recruit and engage people with appropriate diversity, independence, skills, experience and knowledge to enable effective decisions that further the Association's goals.

Why is this important?

Diverse, skilled and experienced decision-making bodies which contain independent voice and engage in constructive, open debate enable good decision-making.

PRINCIPLE 03: COMMUNICATION (5 REQUIREMENTS)

County Football Associations shall be transparent and accountable, engaging effectively with stakeholders and nurturing internal democracy.

Why is this important?

Being responsive to members, participants and stakeholders, understanding their interests and hearing their voice helps shape the Association's governance and strategy. Transparency about why the Association exists, what it is trying to do, how it is doing it and with what results empowers stakeholders by giving them the information about the Association that they need to know.

PRINCIPLE 04: STANDARDS AND CONDUCT (6 REQUIREMENTS)

County Football Associations shall uphold high standards of integrity, and engage in regular and effective evaluation to drive continuous improvement.

Why is this important?

Having the right values embedded in the culture of the Association helps to protect investment and enhance the reputation of the Association, earning stakeholder trust. Constantly seeking to improve makes an Association swift to respond to new challenges and opportunities, reducing risk and maximising performance.

PRINCIPLE 05: POLICIES AND PROCESSES (8 REQUIREMENTS)

County Football Associations shall comply with all applicable laws and regulations, undertake responsible financial strategic planning, and have appropriate controls and risk management procedures.

Why is this important?

Understanding the legal environment and having in place appropriate financial and other controls help mitigate risk and enhance stakeholder trust.

Definitions

On this page, the words 'organisation' and 'Association' refer to the County FA.

The following are definitions of key terms which are used in this Code.

Board – this means the organisation's governing body. This may be called the Board (or Board of Directors or Board of Governors), the Trustees, the management committee or some other name. It is the body with overall and executive responsibility for governing the organisation, overseeing and controlling its management. This Code uses the word 'Director' to mean members of the Board (i.e. the organisation's governing body), and therefore should be interpreted as such, regardless of what the organisation calls them.

Co-opted – a Co-opted Director is one who is temporarily appointed as such by the Board outside of the customary appointment process in accordance with **Requirement 2.5**.

Council – a body forming part of the constitutional or Associational structure of the Association, representing some or all of its stakeholders in some capacity, and having powers or rights with respect to its governance, but which is not the Board of the Association (or a committee of the Board) or the shareholders in general meeting. A body will be treated as a Council for the purposes of this Code if it fulfils this definition, regardless of the name given to it by the Association.

Ex Officio – a person holds a position (e.g. as a Director or committee member) 'ex officio' if they do so by virtue of some other office they hold, and their position is therefore wholly dependent (and conditional) on them continuing to hold that office. For example, a Chief Executive Officer who is on the Board in an ex-officio capacity will automatically step down from the Board upon resignation as Chief Executive Officer.

FA Representative – the person elected or appointed by the Association to represent the Association on the Council of The Football Association. When selecting its representative, the Association shall be required to abide by any eligibility criteria as shall be put in place by The Football Association from time to time. By virtue of being on the FA Council, the representative might also be involved in various committees, making decisions that help to shape the game. The representative should be able to represent the views of the Association at FA Council meetings and also act as an effective communicator between the Association and the Football Association and will be required to comply with the Code of Conduct for FA Council members.

Independent – a person is independent if they are free from any close connection to the Association and if, from the perspective of an objective outsider, they would be viewed as independent. A person may still be deemed to be 'independent' even if they are a member of the Association and/or play the sport. Examples of a 'close connection' include:

(a) They are or have within the last four years been actively involved in the Association's affairs, e.g. as a representative of a specific interest group within the Association;

(b) They are or have within the last four years been an employee of the Association; or

(c) They have close family ties with any of the Association's Directors or senior employees.

Nominated Directors – Directors whose appointment to the Board arises from provisions in the articles of association of the Association permitting the election or nomination of Directors by the Association's membership, Council or by particular stakeholders.

Retrospective term limits – the Code does not currently require the prior service of incumbent Directors to be included in the calculation of their maximum term limits, although the Association may choose to do so. However, if you wish to introduce retrospective term limits in the future, we recommend that the effective date for calculating the prior service of a Director should be September 2019 (being the month in which the Code was approved by the National Game Board).

Senior Independent Director – an independent Director who is appointed as such by the Board, and whose responsibilities include:

(i) Providing a sounding Board for the Chair;

(ii) Serving as an intermediary for the other Directors when necessary;

(iii) Acting as an alternative contact for stakeholders to share any concerns if the normal channels of the Chair or the Association's management fail to resolve the matter or in cases where such contact is inappropriate; and

(iv) Leading on the process to appraise the performance of the Chair.

THE PRINCIPLE:

County FAs shall have a clear and appropriate governance structure, led by a Board which is collectively responsible for the long-term success of the Association and exclusively empowered to lead it. The Board shall be properly constituted, and shall operate effectively.

WHY IS THIS IMPORTANT?

The right governance structure, with decisions made at the right level, enables the best decisions to be made to drive the success of the Association.

Having an appropriate governance structure demonstrates to all stakeholders that the Association is well managed. This is key to winning the confidence of staff, suppliers and potential investors and also provides a framework for growth and development.

More often, businesses want to partner with organisations that can evidence strong Governance structures, as in doing so this can reassure businesses that they will be minimising their risk of being potentially exposed to scenarios in the future that could not only endanger the reputation/brand of the Association, but of the partnering business.

Businesses are turning more and more to partners who can evidence not only good decision-making but inclusive and diverse organisations and cultures. Evidencing this is likely to become more and more important in terms of building and maintaining such relationships.

PRINCIPLE 01 STRUCTURE



01

STRUCTURE

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REQUIREMENTS AND RESOURCES

BOARDS

Requirement 1.1

The Board of the Association shall:

(a) be the ultimate decision-making body and accordingly exercise all of the powers of the Association;

(b) be responsible for setting the strategy of the Association; and

(c) maintain and demonstrate a clear division between the Board's management and oversight role and the executive's operational role.

Part A:

One of the key purposes of the Code is to help County Football Associations ensure that they make the best decisions. It is now widely accepted that having an effective Board is important to the success of any organisation, and this Code accordingly places emphasis on Boards, starting with the requirement that the Board of the Association has appropriate authority: Directors are collectively responsible and accountable for the long-term success of an Association and, as such, it is important and appropriate that ultimate authority rests with the Board.

Members of the Association (i.e. the legal members – in the case of a company limited by guarantee, for example, this means the members of the company whose names are entered into the company's register of members) also have an important role to play in governance, and the requirement that the Board has ultimate authority does not override or supersede the powers of such members under law.

Matters reserved to the Board often include:

- Approval of the Association's strategy (see **Requirement 1.1(Part B)** and the commentary on it below);
- Approval of the long term financial plan and annual budget;
- Monitoring delivery of the strategic plan and objectives;
- Periodic review of the financial plan and performance against annual budget;
- Ensuring legal and regulatory compliance as required;
- Periodic review of major risks;
- Discussion of, and engagement with, stakeholder proposals and concerns; and
- A process to identify areas where the Board may be assisted by further education and training.
- It is expected that the Board will discuss each of the above at least annually (and more frequently if necessary).
- In practice, the Board may delegate some responsibilities to committees or other groups but choose to retain certain matters for its attention only. It is important to understand that ultimately, accountability lies with the Board and accountability cannot be delegated. **Requirements 1.22** to **1.26** discuss committees in more detail.

BOARDS
Requirement 1.1 cont'd

Part B:

It is important that the Board has the authority to set the Association's strategy but it is likely that in order to do so effectively, the Board will need to draw on, and consult, a range of stakeholders (the commentary to **Requirement 3.4** notes that a stakeholder is 'any person or group who has an interest in the Association or is affected by its actions').

Best practice suggests that the Board should set a rolling three to four year strategy for the Association which outlines its key long term objectives and the strategies being implemented to achieve them. This will be aligned to the National Game Strategy in place at the time. However, as one National Game Strategy comes towards an end, it is important that the Board continue to plan ahead and do not wait for the new Strategy guidance before commencing any planning.

From this strategic plan, an annual business/operational plan is developed by the executive of the Association, which outlines the key tasks to be undertaken to contribute to the achievement of the strategic objectives. The Board will agree with The Football Association key performance indicators and secondary measures to monitor the achievement of the strategic plan and business/operational plan objectives, with responsibility for achievement of the objectives, tasks and key performance indicators allocated to specific committees, employees or volunteers.

The responsibility to set the strategy also extends to keeping it under review, and it is recommended that the Board reviews it at least annually.



BOARDS

Requirement 1.1 cont'd

Part C:

Associations have an executive or management team which has responsibility for the day-to-day running of the Association and which is accountable to the Board.

Some Associations may only have a small number of staff and perhaps one or two senior executive positions. In this case it is still important to ensure, as far as possible, there is separation between the operational responsibilities of staff and the strategic role of the Board.

To enable the Board and the executive to perform their respective functions effectively it is important that the responsibilities of each are clear and understood by Directors, senior executives and others within the Association. As well as a list of reserved matters (see **Requirement 1.1 (Part A)** and the commentary under it); the Board should consider putting in place a list of delegated authorities covering both financial and non-financial obligations of the Board and the Board members.

Boards are non-executive (with the exception of the CEO or equivalent being appointed onto the Board in an Ex-Officio capacity) and non-operational. It is important that the Board understands that the Executive team, led by the lead Executive (CEO or equivalent) are free to deal with day-to-day operational matters without interference from the Board.

Boards may wish to consider the extent (if any) to which members of the Board or Council (if applicable) are able to liaise directly with the executive outside of the formal procedures, and whether any such communication should be reported to the Board for their record and information.

Where Associations have a Council, the role, responsibilities and decision-making rights of the Council are to be clearly defined. It is important that the Board are able to make decisions regarding the financial and operational elements of the business, where the Council can enjoy constitutionally derived powers to regulate the game. This is often referred to as "Business matters" (Board) and "Football matters" (Council). Where an Association does not have a Council, but has other committees with delegated authority or constitutionally derived powers, the same Principle applies.

Adherence to this Code will ensure that the Board contains the right skills to deliver the capability to make sound decisions regarding these business matters.

Tools/Resources

- See **Appendix 2: Example of Authority Scheme of Delegation**
- See **Appendix 3: County FA Board of Directors' Handbook Index – Template**

BOARDS cont'd

Requirement 1.2

All Directors must act in the best interests of the Association, and in a manner consistent with their legal duties.

Directors should act with this in mind when contributing to Board discussions and decisions. It is recognised that nominated Directors may be appointed to the Board by the Council and as such may provide a useful conduit between the Board and their 'constituency'. However, their duty to act in the best interests of the Association (as a whole) is paramount. This responsibility would ordinarily be explained to Directors as part of the appointment and induction process (see Requirements **2.11** and **2.12**) and followed up by the Chair if necessary. It may also be reflected in the Directors' Code (see **Requirement 4.4**).

Tools/Resources

- See **Appendix 3: County FA Board of Directors' Handbook Index – Template**
- See **Appendix 4: Companies Act 2006 – Duties of a Director**
- See **Appendix 5: Example of Director and Council Member Code of Conduct**



COUNCILS

Requirement 1.3

A Council shall not be able to override the Board, but may have reasonable rights to consultation and constructive challenge (see Requirement 1.1 (Part A))

A Council is defined as: 'a body forming part of the constitutional structure of a County Football Association, representing some or all of its stakeholders in some capacity, and having powers or rights with respect to its governance, but which is not the Board of the Association (or a committee of the Association) or the shareholders in a general meeting'. The definition also notes that a body will be treated as a Council for the purposes of this Code if it fulfils this definition, regardless of the name given to it by the Association.

This Code does not offer any opinion nor recommendation as to whether a County Football Association should have a Council or an alternative structure, this is for the Association to determine.

Not all County Football Associations include a Council within their governance structure. However, where they exist they often act as the conduit for the members' views, and can therefore play an important role in ensuring healthy democracy within the Association (see also **Requirement 1.1 (Part A)**).

It is for the Association to determine the role of its Council within the parameters set by this Code. However, the reasonable rights to consultation and constructive challenge that a Council may have in fulfilling its role as a conduit for the views of the wider sport could include:

- An audience with the Chair of the Board;
- An audience with the Board as a whole;
- The power to call a meeting of the members;
- The power to put resolutions at a members' meeting;
- The right to be consulted on the development of the Association's strategy and any major strategic decisions which affect football;
- Providing a forum for debate among stakeholders;
- Acting as a 'sounding board' for the Board and providing advisory opinions as and when appropriate;
- Providing a pool of candidates to fill certain positions; and
- Acting as an ambassador to disseminate the Association's strategic vision, helping to ensure that all stakeholders understand and support a shared vision for the development of football and of their respective Association.

An Association may wish to consider undertaking periodic evaluations of:

- Its Council's role, rights and effectiveness; and
- Whether it represents fairly the participant and stakeholder landscape of the sport: see also **Requirement 3.3** which requires Associations to develop a strategy for engaging with its stakeholders.

This evaluation can help the Association to decide whether its Council is serving the Association and its stakeholders well, and take any necessary steps to address any areas of weakness that are identified. In accordance with the Principle of transparency, the Association may decide to publish a summary of the conclusions of this evaluation process, and the resultant steps planned and/or taken, on its website.

COUNCILS cont'd

Requirement 1.4

Where Councils are permitted to appoint Directors, such appointments shall reflect not more than one third of the Directors.

Where Councils are permitted to appoint Directors, the number is limited within this Code to avoid undue influence, control or group think of/or within the Board.

Council appointments should be made with reference to the skills, experience and diversity required by the Board in line with **Requirements 2.4**. Directors appointed by the Council from amongst the Council's membership will be considered as Nominated Directors and so shall not be considered an independent Directors and must be non-executive.

Any Council member appointed to the Board would be able to continue on Council beyond the expiry of their Council term limit (**Requirement 1.6**) while they complete their time on the Board. However, their attendance at Council beyond the expiry of their Council term limit will be in a non-voting, observer capacity only.

If one third of the Council appointed Directors is not a whole number, then this should be rounded down.



COUNCILS cont'd

Requirement 1.5

A Nominated Director shall not be considered an independent Director and must be non-executive.

A Nominated Director is defined in 'Definitions' on **page XX** as a Director 'whose appointment to the Board arises from provisions in the articles of association of the Association permitting the election or nomination of Directors by the Association's membership, Council or by particular stakeholders'. For example. if the articles of association allow for the Council, a club, league or other specific body to appoint individuals who represent that body on the Board. This description means a Nominated Director does not meet the definition of independent and so cannot be counted towards the minimum requirement for independent Directors on the Board (**Requirement 1.19**).

Requirement 1.6

Council members may hold office for a maximum of either two, four-year terms or three, three-year terms.

Although the application of Council term limits is encouraged, it is, as per other areas of this Code, up to the Association to decide which elements of this Code are applied.

Term limits ensure a periodic injection of new people and ideas and provide an opportunity to refresh the skills base of a Council to suit its purpose. This may be important in terms of succession planning, particularly if the Council appoints Nominated Directors to the Board. Establishing term limits for Council members will also open up opportunities for new or younger members to become actively involved in the administration of the game. It is important that the Council is collectively, and proportionately, representative of football being played in the County, and term limits help create a focus on understanding how to attract new individuals into the Council structure to support this representation. Without term limits, it is a risk that the Council could become less representative of the membership, especially in times of change of that membership group.

It is understood that it is challenging to attract a younger volunteer workforce onto organisations such as Councils, however it is possible if consideration is given to adapting how Councils function, in order to make them more appealing to a younger generation. Term limits will help Associations prioritise their planning in how to make this possible.

The Association may also wish to consider whether it needs to improve other aspects of diversity on its Council and if so how it will achieve this, for example by implementing and publishing a plan to achieve greater diversity on the Council and reporting publicly progress against it.

The Requirement sets maximum term limits: Associations may find it appropriate to set shorter individual terms (e.g. of two years) which can be repeated subject to the maximum limit of eight or nine years set out in the Requirement.

Term limits are not required to be set retrospectively at the point of introducing this Code; however although not a requirement they could be applied retrospectively if the Association chooses to do so.

COUNCILS cont'd

Term limits will not apply to committee members where a committee structure exists in place of a Council (this does not apply if a committee structure runs alongside a Council, with Council members being placed on the committees. In this case it is the Council term limits that apply).

It is appreciated that Council Members are volunteers who willingly give their time in the interests of running the game and it may be the case that the organisation with the right to appoint a Council Member may find it difficult to find someone to replace the incumbent when he/she has reached the end of his/her term. In these exceptional circumstances, when no-one else can be found to represent that particular organisation on Council, and where they are willing to do so, the Association may decide to extend the incumbent's term by a single additional term. In such circumstances we would expect the Association to work with the organisation to identify opportunities to appoint a new representative at the end of the additional term. This means that a Council member could potentially serve for a maximum of 12 years.

Term limits will apply to any other body to which stakeholders have a right of appointment even if this body is not called a Council.

If a Council Member is appointed as a Board Director, that member may remain on Council in a non-voting, non-representative capacity when he/she reaches the end of his/her Council term for as long as they remain a Board Director. The term as Board Director starts at zero regardless of term spent on Council, as the Director will become an Ex Officio Council Member. Despite these limits, this means a Council member could serve for 9 years on Council, with a potential extra term of another 3 years, then 9 years on the Board, with an additional term of 3 years if appointed as The Chair of the Board or onto The FA Council, which would be a total of 24 years.



COUNCILS cont'd

Requirement 1.7

In accordance with Principles 03 and 04, Councils must act with integrity and be transparent in their workings.

Acting with integrity and in a transparent manner are key elements of this Code. To demonstrate compliance, Associations with Councils should consider carefully how these Principles apply to their Councils. To assist, they may find it helpful to refer to the Requirements of **Principles 03** and **04** of this Code in order to formulate relevant policies and procedures. Examples include:

Integrity

- The requirement for a code of conduct for Council members (see **Requirement 4.4** by way of comparison); and
- Proactive management of conflicts of interest (see **Requirement 4.6** by way of comparison).

Transparency

Publication of (Publication on the Association's website is recommended):

- An explanation of the purpose of the Council;
- Council meeting agendas and minutes;
- The Council members' code of conduct;
- Council members who are in place from time to time;
- An explanation of how members are elected onto Council;
- Any conflicts of interest of Council members; and
- The outcome of any evaluation of the Council together with the resultant steps taken or to be taken (see the commentary to **Requirement 1.3**).

Tools/Resources

- See **Appendix 5: Example of Director and Council Member Code of Conduct**



COUNCILS cont'd

Requirement 1.8

Where an individual no longer represents a stakeholder on The Council but is able to attend Council meetings in an honorary capacity, he/she shall not be able to vote.

Voting Council Members must all be representative of a particular stakeholder (e.g. a club or league). Those members of Council who no longer represent a particular stakeholder but remain as a Council Member in an honorary position are not eligible to vote. Honorary positions may include individuals who hold titles such as Honorary Member, Life Vice-President and Vice-President which they have attained in recognition of the length of service given to the Council.



BOARD SIZE AND COMPOSITION

Requirement 1.9

The size of a Board should not exceed twelve persons unless agreed with The FA, in order to:

(a) Meet the requirements of the Association;

(b) Have the appropriate balance of skills, experience, diversity, independence and knowledge;

(c) Manage changes to its composition (including that of its committees) without undue disruption; and

(d) Promote an open and inclusive dialogue amongst the Directors.

Boards should be sized twelve or fewer. A temporary increase in size may be appropriate if it would assist in succession planning but it is expected that this would be a rare exception. It is not mandatory to have a Board of twelve, and Associations should consider whether a smaller Board would be appropriate for them. If the Board is too big, it may be too unwieldy to make effective decisions. If too small, issues of continuity may arise when vacancies occur and it may be difficult to achieve the required range of skills.

An appropriate Board size allows for full and frank discussions amongst all Directors, while balancing the need to have varying and diverse opinions, achieved by a membership with a balance of skills, experience, independence and knowledge. The greater this diversity, the more constructive the ongoing check and challenge process will be. A large group of people from similar backgrounds, for example of the same ethnicity, age bracket and gender and with similar life experience, education and skills are unlikely to see challenges and opportunities from a wide range of perspectives.

Running Board numbers at the quorum for a prolonged period of time is to be avoided as this presents serious continuity risks and inevitably dilutes the richness of a duly appointed, optimally sized Board.

It is for the Association to determine the appropriate size for its Board, having regard to the factors set out above. The following Requirement is also relevant to this:

Requirement 3.4, by which County Football Associations must have a strategy for engaging with their stakeholders. A full understanding of the Association's stakeholder landscape may inform the composition of its Board (and it's Council, if it has one).

Requirement 1.10

The FA reserve the right to require that an organisation in which they invest appoint an Independent Chair. This right will only be exercised after appropriate consultation and The FA reasonably believes that it is necessary to safeguard FA funding or further the purposes for which that funding was granted.

The "County FA Funding Agreement 2021-24" (current funding contract at time of publication of this version of The Code) sets out any step-in measures that The FA may employ. Should these steps be exhausted and matters not resolved to the satisfaction of The FA, The FA reserve the right to require the County FA appoints an independent Chair. It is hoped that this step would not be required but the right is reserved.

BOARD SIZE AND COMPOSITION cont'd

Requirement 1.11

Each organisation must maintain an up-to date matrix detailing the skills, experience, independence and knowledge required of its Board.

One element which enables a Board to constitute itself properly and perform effectively is knowing which skills are required to deliver and oversee the Association's strategy, and then securing these skills through the Board appointment process. **Requirement 2.4** is clear that all Board appointments should be skills-based.

The skills matrix should clearly set out the skills required of the Board and include an assessment of the current position. Any gaps can then inform the preparation of the role description and person specification for any new Director which the Association is seeking to appoint. This assessment also enables the Association to have a clear picture of the skillset of its current Directors and draw on this experience as necessary when relevant matters arise, and to assess training and development needs.

This skills audit is to be conducted as a minimum every three years. It is recommended that this is conducted independently to avoid blind spots in the process.

The requirement states that the skills matrix must be kept up-to-date. The Board should therefore review and if necessary amend it from time to time (it is suggested annually), and it may be convenient to undertake this review alongside the annual Board evaluation (see **Requirements 4.1** and **4.2**).

Tools/Resources

- See **Appendix 7: Link to template Board Skills Audit in MS Forms**
- See **Appendix 8: Board Skills: Diagnostic and Evaluation – Independent Assessment Flow**
- See **Appendix 51 Independent Non-Executive Director Role Profile**
- See **Appendix 52 Independent Non-Executive Commercial Director Role Profile**
- See **Appendix 53 Independent Non-Executive Human Resource Director Role Profile**

Requirement 1.12

No one individual on the Board may have the unfettered ability to take a decision.

A Board's terms of reference will normally include a provision that ensures a certain number of people (a quorum) is required in order for a decision to be made. In determining this number, it is helpful to consider what would work from a practical viewpoint given the size of the Board. However, to avoid a situation where one individual is able to unduly influence or make a decision, this should, at the least, be two where there is no provision for a Chair's casting vote or three where a Chair's casting vote provision exists. If authority is delegated to an individual by the Board, then the terms of the delegation should be clearly and fully recorded.

If authority is delegated to an individual by the Board then the terms of the delegation should be clearly and fully recorded.

- See **Appendix 10: County FA Finance Director Role Profile – Template**
- Refer to the **Financial Management County FA Operating Guidance Manual v1.6 HERE**

BOARD SIZE AND COMPOSITION cont'd

Requirement 1.13

If a member of the executive management of the Association (e.g. the Chief Executive Officer (or equivalent) or Senior Finance Officer) is appointed to the Board, then they may only be appointed in an Ex Officio capacity.

Some Associations may determine that it is appropriate for a member of its executive or senior management team to be a Director because of the way the Association operates and the knowledge, experience or insight brought by that role (see definition of 'Ex Officio' in the 'Definitions on **page 20**). In these circumstances, the appointment relates to the role rather than the individual and if an individual ceases to be in that role, they should also cease to be a Director . As a vacancy arises the Association may take the opportunity to consider if it is still appropriate for the Ex Officio position to be a Director based on the skills and knowledge required by the Board.

It is recommended that CEOs (or equivalent) are on the Board in an ex-officio capacity although this is not a mandated requirement. Benefits of this include:

- The ability of the CEO to ensure the Board are well informed on operational matters;
- An ability for the CEO to challenge the Board if they are becoming too operationally involved (see **Requirement 1.1C**); and
- A reduced risk in a lack of clarity of matters being delegated to the CEO (or equivalent) by the Board.

Tools/Resources

- See **Appendix 9: County FA Chief Executive Officer Role Profile – Template**
- See **Appendix 10: County FA Finance Director Role Profile – Template**



TERM LIMITS

Requirement 1.14

Subject to the exceptions set out in Requirement 1.15 below, a Director may serve on the Board for a maximum of three terms of three years.

Term limits ensure the Board benefits from a periodic injection of new people and ideas and that power is not perpetually concentrated in one group. Terms limits also enable a Board to recruit the right skills at the right time to suit the strategic objectives of the Association.

The term limits applicable to the Board will usually be stated in the articles of association or other similar constitutional document.

The term limits required by this Code are not required to be applied retrospectively, although Associations may wish to apply retrospectively*. For those Associations choosing not to apply retrospective Board limit terms in full, the application of partially retrospective limits is encouraged.

If Directors are appointed on one-year terms, consideration should be given as to whether this provides the right balance between continuity and refreshment of the Board and whether a longer term length up to three years is more appropriate.

Where a Director is approaching the end of their current term, it is good practice to require the Director to give notice of whether they wish to be considered for reappointment for a further term (e.g. 3-6 months ahead of the end of the current term). This enables the Nominations Committee to consider if they support the incumbent Director's reappointment or nominate another candidate.

* Associations wishing to be fully compliant with Tier 3 of the Sport England / UK Sport: A Code of Sports Governance will need to adopt retrospective term limits.



TERM LIMITS cont'd

Requirement 1.15

The exceptions referred to in Requirement 1.14 are as follows:

(a) A Director may serve on the Board for a maximum of twelve years if appointed as Chair of the Association or if appointed onto the FA Council;

(b) A Director appointed in an Ex Officio capacity may serve on the Board for the duration of their holding the relevant office; and

(c) In exceptional circumstances (for example to assist succession planning), a Chair or Director may hold office for a further year.

Part A:

If an individual holds a position as Chair of the Board, or is appointed onto the Football Association's Council;

- They may serve on the Board (for an additional 3 year term and a maximum of twelve years); or
- They may be appointed to an honorary position, and/or attend Board meetings as an observer (i.e. not as a Director, and on a non-voting basis).

Part B:

This is in line with the definition of 'Ex Officio' found in 'Definitions' on **page 20**.

Part C:

As noted at **Requirement 1.9(c)**, the size of the Board should be sufficient to handle changes to its composition. In addition, **Requirement 2.7** requires succession plans for orderly appointments to the Board. However, where it would make sense to retain an individual beyond their normal term of office, and they are willing to do this, the Board may decide to extend their term for a further year. Whilst it is for the Board to decide when this is the right course of action, the expectation is that the rationale would be clear and it would only be done on an exceptional basis (e.g. because of unforeseen succession planning issues or because an individual brings a particular skill that is needed at that time). The Football Association would expect to be consulted on any proposal to extend a Director's term.

Requirement 1.16

When a Director has completed their maximum term, at least four years must elapse before they can be eligible to stand as a Director for that Association again.

Associations may wish to set a longer period if they consider this appropriate. If the Association does not allow a Director to stand again, even after four years have elapsed, this is not a Code compliance issue.

THE CHAIR

Requirement 1.17

Each Board must have a duly appointed Chair who shall be responsible for the leadership of the Board, and consideration should be given to appointing an Independent Chair.

The Chair has an important role in leading the Board and establishing an environment that enables the Board to achieve its potential and secure the long term success of the Association. As part of this leadership role, Chairs often:

- Set the Board's agenda;
- Ensure the effectiveness of the Board, including how individual Directors perform and interact at meetings
- (see **Requirement 4.1** regarding Board evaluation);
- Ensure that the Directors receive accurate, timely and clear information;
- Ensure that adequate time is available for discussion of all agenda items, in particular strategic issues, and
- that this time is used productively;
- Ensure that Board decisions are executed;
- Promote a culture of openness and debate amongst the Board by facilitating the effective contribution of
- all Directors and ensuring constructive relations between executives and Directors;
- Act as a link between the Board and executive, particularly the Chief Executive Officer (or equivalent), whilst avoiding managing the executive team and leaving the CEO (or equivalent) free to do so and to manage the day to day operations;
- Manage conflicts of interest;
- Take a lead on governance matters; and
- Set an example in the values and behaviour they adopt, acting at all times in line with the mandatory

Director's code that has been agreed by the Board (see further **Requirement 4.4**). Associations are not required to appoint an independent Chair, but it may be prudent, when a Chair vacancy arises, to consider whether the appointment of an independent Chair would be the right step for the Association, as independent Chairs offer the potential to have a more detached, objective view.

Tools/Resources:

- See **Appendix 11: County FA Chair of the Board of Directors' Role Profile – Template**
- Also, following on from their appointment, each new County FA Chair will be invited to Wembley Stadium to meet a combination of The FA Company Secretary, Director of Operations, Head of Operations, Senior Operations Delivery and National People Development Manager for an induction into the business.

THE CHAIR cont'd

Requirement 1.18

The roles of Chair and Chief Executive Officer shall not be exercised by the same individual and the division shall be established in writing and agreed by the Board.

This re-enforces **Requirement 1.1 (Part C)** which requires a clear division between the Board's management and oversight role and the executive's operational role. A Chair is only able to provide objective oversight if they have sufficient separation from, and are not directly responsible for, the day-to-day management of an Association. Conversely, a Chief Executive Officer (or equivalent) is often required to become intimately involved in developing and executing management plans for an Association. Keeping the roles separate therefore ensures each has the opportunity to perform their respective functions to the best of their ability.

Tools/Resources:

- See **Appendix 9: County FA Chief Executive Officer Role Profile – Template**
- See **Appendix 11: County FA Chair of the Board of Directors' Role Profile – Template**



INDEPENDENT NON-EXECUTIVE DIRECTORS

Requirement 1.19

At least one third of the Board shall be independent non-executive Directors.

'Independent' is defined in 'Definitions' on **page 20**.

There are a number of reasons why it is beneficial to have independent non-executive Directors on a Board. They enhance decision-making by providing objective scrutiny and offering an independent perspective, drawing on their current and previous experience from outside of the Association. Having an element of independence in an Association's governance structure often enhances the reputation of the Association and makes it a more favourable proposition to potential partners, investors or sponsors.

In some Associations, the majority of the Board is independent. However, other Associations may have good reasons for not adopting this model.

To perform effectively independent non-executive Directors need to receive a good induction (see **Requirement 2.12**), have access to the right information at the right time, and have the confidence and space within the boardroom to offer constructive challenge. In return, independent non-executive Directors need to ensure they are able to commit sufficient time to their role and to understanding the business of the Association.

In order to preserve the value deemed from having an element of independent challenge in the decision-making process, Associations may want to consider if a quorum of the Board should include a certain number of independent Directors.

This mirrors the Councils ability to appoint one third of Directors (see **Requirement 1.4**).

If one third is not a whole number, then this should normally be rounded up for the purposes of calculating the required number of independent non-executive Directors (unless otherwise agreed with The Football Association).

Tools/Resources

- See **Appendix 12: County FA Governance Nomination and Appointment Committee – Terms of Reference**
- See **Appendix 13: Board Recruitment Process Guidelines**

INDEPENDENT NON-EXECUTIVE DIRECTORS cont'd

Requirement 1.20

Each Board shall appoint one of its independent non-executive Directors to be the Senior Independent Director.

The Senior Independent Director has a specific role set out in 'Definitions' on **page 20**. Senior Independent Directors can assist the working of the Board through the exercise of these special responsibilities. It is for Associations to decide whether this replaces the role of Vice-Chair should Associations decide to appoint a Vice-Chair (which is not a mandatory requirement).

The key difference between the Senior Independent Director and the Vice-Chair role is that the Vice-Chair, when standing in for The Chair, will utilise the Senior Independent Director as a sounding board, and also utilise the Senior Independent Director for feedback on performance. This is the same support the Senior independent Director would provide to the Chair.

Tools/Resources

- See **Appendix 14: County FA Senior Independent Director – Role Profile**
- See **Appendix 15: ICSA Guidance Note: The Roles of the Chairman, Chief Executive and Senior Independent Director under the Combined Code**



MEETINGS

Requirement 1.21

The Board and its committees shall:

(a) Meet sufficiently regularly to discharge their duties effectively; and

(b) Maintain a proper record of their meetings and decisions.

Part A

The regularity of Board (and committee) meetings is a matter for the Association to decide and is often determined by the Chair in consultation with other Directors and the Chief Executive Officer (or equivalent role). However, in deciding what is appropriate, the Association may wish to consider:

- The role the Board plays in monitoring and scrutinising performance against key strategic and financial priorities; and
- The benefits of scheduling meetings to fit with key business milestones (such as financial reporting periods) and to ensure dates are set well in advance to secure time in Directors' diaries.

Boards may choose to make provision in their terms of reference to enable meetings to take place 'virtually' to handle urgent matters that arise outside of the normal Board (or committee) meeting calendar.

Part B

Maintaining a proper record of meetings and decisions promotes accountability and transparency by providing clarity about what was agreed, why a decision was made and who made it.

If a Director has any concerns about the running of the Association or a proposed action, these concerns should be recorded in the Board minutes.

Minutes from committee meetings should be made available to the Board so that Directors are aware of any decisions made under delegated authority. In the interests of wider transparency, Associations are also

encouraged to think about publishing the minutes (or summary reports) from Board and committee meetings to provide stakeholders with information about decisions (see also the commentary under **Requirement 3.1**).

Tools/Resources

- See **Appendix 3: County FA Board of Directors' Handbook Index – Template**
- See **Appendix 5: Example of Director and Council Member Code of Conduct**

BOARD COMMITTEES

Requirement 1.22

The Board shall:

(a) maintain (i) an Audit Committee and (ii) a Nominations Committee;

(b) ensure the Nominations Committee shall have a majority of Independent Non-Executive Directors and if dealing with the appointment of a successor to the Chair, shall be chaired by an Independent Non-Executive Director;

(c) ensure all Committees shall report to Board and have clear terms of reference; and

(d) establish any other Committees and/or Task and Finish Groups as it sees fit.

(ai) Audit committee

The audit committee has particular responsibility in relation to ensuring the adequacy of the Association's financial reporting and internal controls. It is for the Board to determine the composition of the audit committee but best practice suggests this should be comprised of at least two, and preferably three, independent non-executive Directors, with at least one member of the committee having recent and relevant financial experience and one member who can bring knowledge of effective risk management and internal control. The Chair of the Board should not ordinarily be a member of the audit committee.

The audit committee is usually responsible for making a recommendation on the appointment, reappointment and removal of the external auditors and would meet the external and internal auditors at least annually, without management, to discuss matters relating to its remit and any issues arising from the audits. Formal terms of reference for the audit committee should be agreed by the Board, these terms of reference and reports on the committee's work may be made available on the Association's website in the interests of transparency.



BOARD COMMITTEES cont'd

(aii and b) Nomination committee

A nomination committee has responsibility for leading the process for Board and lead executive (CEO or equivalent) appointments and making recommendations to the Board. For Board appointments, this includes evaluating the Board's current capability against the agreed skills matrix, and, in light of this evaluation, agreeing a description of the role and capabilities required for a particular appointment. See also **Requirement 1.11** (skills matrix).

A nomination committee can be ad hoc rather than permanent but the whole Board can not act in place of the nomination committee. The expectation is that large, complex Associations with significant and sizeable operations will find it helpful to have a standing nomination committee. Terms of reference for the nomination committee should be agreed by the Board; these terms of reference and reports on the committee's work may be made available on the Association's website in the interests of transparency.

Having a majority of independent non-executive Directors on the committee provides assurance to the Board and stakeholders (including interested candidates) that the appointment process benefits from independent and objective scrutiny. The size of the nomination committee is up to the Association but in practice many Associations find a nomination committee of three is appropriate. Good practice suggests an Independent Non-Executive Chairs the Committee, with the Chair of the Board an ordinary member. It is for the Association to decide who chairs the Committee, other than the circumstances set out in (b) of this requirement where an Independent Non-Executive Director is required to be Chair if circumstances mean an Association is not able to establish a Nominations Committee with a majority of Independent Directors form the Board (e.g. because of vacancies on the Board), the organisation can look to external individuals to bring independence. The key aim here is to preserve the principle of independent thought. Given the important role the Nominations Committee plays in the appointment process it is important to ensure this Committee is diverse.



BOARD COMMITTEES cont'd

(c) Reporting to Board and terms of reference

Terms of reference for Board Committees should set out clearly which responsibilities the Board has agreed to delegate and the reasons for this, ensuring the scope of Committee authority is clear. Committee terms of reference should be agreed by the Board. As well as formal responsibilities, best practice suggests terms of reference should also include details bout the administration of the Committee, for example:

*Committee membership

*Frequency of meetings

*How decisions are recorded and reported to the Board

*How many Committee members should be present for a decision to be made (the quorum); and

*Whether the Committee can meet and decide matters virtually

As with Boards, the most successful Committees are widely accepted to be those which draw on a range of viewpoints and skills to support delivery of the Committee's role, and which foster an inclusive culture where all voices are heard and valued and difference of opinion welcomed and respected. To reinforce this, the Association may wish to reference conduct, behaviours and values in Committee terms of reference. For Nominations Committees and related interview panels in particular, Associations may want to consider whether additional training would be helpful to support members in better fulfilling their roles and ensuring an inclusive approach to the recruitment process.

As well as sharing minutes from Committee meetings, it is important the Chair of each Committee has an appropriate reporting mechanism to the Board to ensure Directors are aware of key decisions made under delegated authority. This might be, for example, through a written report or a formal verbal update to the Board. Committee chairs may also meet as a group with, or discuss matters directly with, the Board. They may also meet with Chairs of similar Committees from other organisations to share best practice and discuss latest developments in their field.

As per **requirement 4.2** (c); undertaking a Committee evaluation provides another opportunity for the Committee to report to the Board, noting how it has discharged the responsibilities which have been delegated to it.

The terms of reference for each Committee should be kept under regular review in line with the Association's Board documents and policy review schedule and may be made available on the organisation's website in the interests of transparency.

It is good practice to ensure any new member joining a Committee is provided with a copy of its terms of reference and receives and induction to the Committee.

Tools/Resources

- See **Appendix 16: ICSA Guidance Note: Terms of Reference for the Audit Committee**
- See **Appendix 8: Board Skills: Diagnostic and Evaluation – Independent Assessment Flow**
- See **Appendix 12: County FA Governance Nomination and Appointment Committee – Terms of Reference**
- See **Appendix 13: Board Recruitment Process Guidelines**
- See **Appendix 15: ICSA Guidance Note: The Roles of the Chairman, Chief Executive and Senior Independent Director under the Combined Code**
- See **Appendix 17: County FA Board Nomination and Appointment Committee Chair – Role Profile – Template**
- Refer to ICSA Terms of reference for the audit committee Guidance **HERE**
- Refer to FRC Guidance on Audit Committees **HERE**
- Refer to the National Audit Office Audit Committee Self-Assessment Checklist **HERE**

BOARD COMMITTEES cont'd

Requirement 1.23

The Board shall maintain a permanent committee of the Board to lead on equality, inclusion and diversity matters.

The Equality Committee above refers to the Inclusion Advisory Groups (IAG) (sometimes known as Inclusion Advisory Boards, IAB) which have been set up and maintained by Associations. This point requires the Association to make these committees, groups or boards permanent committees to their Boards. It

is important to note these groups/boards should exist in an independent and advisory nature. Equality Committees enable Associations to benefit from external experience and expertise from local diverse communities who can make sure the football offer they deliver is as inclusive and representative as possible.

Tools/Resources

- See **Appendix 18: Inclusion Advisory Groups – What You Need to Know**
- See **Appendix 19: Recruitment Pack for Appointment of County FA Independent Chair of Inclusion Advisory Group/Board/Network**
- See **Appendix 20: How to be a More Inclusive County FA**

Requirement 1.24

The Chair of the committee's established under 1.22 and 1.23 shall be appointed via an open, publicly advertised recruitment process.

It has been established and reinforced through FA-commissioned research that one of the critical success factors of an Equality Committee is having a strong and influential Chair driving change. Therefore the recruitment of the most able and suitable candidate from the biggest pool of applicants is important. The Chair of the committee, or another member of the Committee will become either a Board observer or Board member at the Association which means this role is crucial. A specific and demanding role description and recruitment process is necessary for this particular role.

Tools/Resources

- See **Appendix 16: ICSA Guidance Note: Terms of Reference for the Audit Committee**
- See **Appendix 18: Inclusion Advisory Groups – What You Need to Know**
- See **Appendix 19: Recruitment Pack for Appointment of County FA Independent Chair of Inclusion Advisory Group**
- See **Appendix 20: How to be a More Inclusive County FA**
- See **Appendix 21: County FA Independent Chair of Inclusion Advisory Group – Role Profile – Template**

BOARD COMMITTEES cont'd

Requirement 1.25

The Board shall establish:

- **Any further committees which it considers necessary to support its work; and**
- **Other committees as shall be required by the Rules and Regulations of The Football Association from time to time.**

As noted in **Requirement 1.1(Part A)**, the Board may decide to delegate certain responsibilities to other committees or groups. Generally, delegation to committees does not detract from the Board's collective accountability for delegated issues, but can help significantly with the Board's management of them.

Typically, Boards often delegate consideration of the following governance-related issues to committees (in addition to the work of the audit committee and nomination committee).

- Risk management and internal control;
- Remuneration; and
- Ethics and compliance.

Sometimes these issues are part of the work of other committees (e.g. the audit committee's remit may include risk management and internal control, and the nomination committee's remit may include

remuneration); sometimes separate committees are established. Whether and how to delegate consideration of the above issues is for the Board to determine.

In addition, Boards sometimes constitute committees to give detailed and expert consideration of football-specific issues.

A committee may include individuals who are not Directors, if the Board considers this appropriate. Recruiting individuals to serve on committees can bring specialist skills to them, and also act as a development opportunity, giving valuable experience to individuals who may in the future wish to pursue becoming Directors It is recommended that any such appointments of non-Directors to committees are skills-based, and if appointments are to be made from outside the sport (e.g. the recruitment of technical specialists to audit or nomination committees), that they are publicly advertised, e.g. on the websites of The Football Association

(a free service). Consideration should be given to ensuring that any relevant codes of conduct or expected behaviours are passed down to such appointees.

Tools/Resources

- See **Appendix 16: ICSA Guidance Note: Terms of Reference for the Audit Committee**
- See **Appendix 22: County FA Remuneration Committee Terms of Reference – Template**
- See **Appendix 23: Risk Committee Terms of Reference – Template**
- Refer to ICSA Terms of reference for the audit committee Guidance **HERE**
- Refer to FRC Guidance on Audit Committees **HERE**
- Refer to the National Audit Office Audit Committee Self-Assessment Checklist **HERE**

BOARD COMMITTEES cont'd

Requirement 1.26

Each committee established under Requirements 1.22, 1.23, 1.24 and 1.25 shall report to the Board and have clear terms of reference which identify its responsibilities and any powers delegated to it by the Board.

Terms of reference for Board committees should set out the reasons for the delegation and the responsibilities and powers the Board has agreed to delegate. They should be agreed by the Board. Best practice suggests that terms of reference should also include details about the membership of the committee, the frequency of meetings, how decisions are recorded and reported to the Board and how many committee members should be present for a decision to be made (i.e. the quorum). As well as sharing minutes from committee meetings, it is important that the Chair of each committee has an appropriate reporting mechanism to the Board to ensure Directors are aware of key decisions made under delegated authority.

The terms of reference of each committee may be made available on the Association's website in the interests of transparency.

Tools/Resources

- See **Appendix 12: County FA Governance Nomination and Appointment Committee – Terms of Reference**
- See **Appendix 16: ICSA Guidance Note: Terms of Reference for the Audit Committee**
- Also see **within Appendices 18 and 19 for examples of an Inclusion Advisory Group's Terms of Reference**
- See **Appendix 22: County FA Remuneration Committee Terms of Reference – Template**
- See **Appendix 23: Risk Committee Terms of Reference – Template**

YOUTH COUNCIL

Requirement 1.27

Each Association shall be required to establish a Youth Council in line with the guidance provided by The Football Association from time to time.

YOUTH COUNCIL cont'd

Due to the proportion of affiliated football being played by young people, it is sensible that all Associations should have a Youth Council that formalises the voice of young people in the administration and development of the game at a local level. Where they work best, the involvement of Youth Councillors adds to the confidence and credibility of the Association in how it engages with young people. It also extends the Association's workforce with a number of skilled and motivated volunteers. There are examples of Youth Councils aligning themselves with the Association's Development Plans to aid and extend delivery as well as buddying Youth Councillors with Football Development staff. Youth Councils have contributed previously to the delivery of safeguarding programmes, the staging of events, festivals and Cup Finals, marketing and communications, Respect campaigning, club and league development and outreach community football programmes.

Youth Councils have proved useful and important for both The FA and many County FAs. The FA has, for example, received international recognition for its Youth Council, which is represented on both the main FA Council and The FA's Inclusion Advisory Board.

Tools/Resources

- See **Appendix 24: County FA Youth Council Guidance**
- See **Appendix 25: County FA Youth Council Constitution and Terms of Reference – Template**
- See **Appendix 26: County FA Youth Council Code of Conduct**

Requirement 1.28

The Youth Council shall have the right to appoint a member representing young people onto the Associations' Equality Committee (as required by Requirement 1.23).

In parallel with The FA, which appoints a representative of its Youth Council onto its Inclusion Advisory Board, having the voice of young people on the Equality Committee is a logical and inclusive step towards greater diversity across all areas of the game. Formalising this voice and embedding it in this way will help to change the culture of football, in terms of how football is run and developed at a local level.

Any member of an Association's Youth Council who is proposed to sit on an Equality Committee must also comply with the role description 'essential' criteria to ensure the relevant standards, skills, experience and qualities are bought to the committee.

Tools/Resources

- See **Appendix 24: County FA Youth Council Guidance**
- See **Appendix 25: County FA Youth Council Constitution and Terms of Reference – Template**
- See **Appendix 26: County FA Youth Council Code of Conduct**

Requirement 1.29

The Board shall be required to demonstrate how it provides the opportunity for the views of young people to be heard within the Board.

YOUTH COUNCIL cont'd

Boards of the Association shall be required to provide evidence that they are listening to, representing and empowering young people.

As highlighted in the commentary of **Requirement 1.28**, The FA Youth Council are represented on FA Council and via the FA Inclusion Advisory Board. Other means could be created to enable the views of young people to be heard within the Board of the Association:

- Full Board member;
- Co-opted Board member;
- Board member with observer status only;
- Invited to Board meetings to discuss matters which directly involve and/or impact young people; and
- Association's Youth Council and IAG minutes to be submitted to the Board for discussion.

If this is not achieved by a young person being on the Board in any capacity, then evidence in the form of agendas and minutes from the Board itself can be used.

Tools/Resources

- See **Appendix 27: Understanding and Engaging with Under-18s**



PRINCIPLE 02 PEOPLE



02

PEOPLE

THE PRINCIPLE:

Associations shall recruit and engage people with appropriate diversity, independence, skills, experience and knowledge to take effective decisions that further the Association's goals.

WHY IS THIS IMPORTANT?

Diverse, skilled and experienced decision-making bodies which contain independent voice and engage in constructive, open debate enable good decision-making.

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DIVERSITY AND INCLUSION

Requirement 2.1

Each association shall publish clear ambitions to ensure its leadership represents and reflects the diversity of the local community (as appropriate). These ambitions shall be centred on each organisation committing to achieving greater diversity in all its forms on its Board, committees and senior leadership team, as well as where possible cascading this ambition in line with Requirement 4.1 and shall include.

a. Adopt a target of, and take all appropriate actions to encourage, a minimum of 30% of each gender on its Board;

b. Demonstrate a strong and public commitment to progressing towards achieving greater diversity generally on its Board and wider leadership , including the adoption of further Board diversity targets to include but not be limited to culturally diverse backgrounds, historically under represented groups (previously refrred to as BAME) and disability. The targets shall be determined by the Association and shall reflect the diversity of its local area as evidenced through local demographic data; and

c. Appoint a member of the committee leading on equality, inclusion and diversity matters to the Board, as a minimum in an observer capacity (see Requirement 1.24).



DIVERSITY AND INCLUSION cont'd

It is recognised that decision-making is improved when a Board is able to draw on, and harness, a diverse range of opinions.

Gender is an important aspect of diversity and an Association will be expected to work towards achieving at least 30% of each gender on its Board, while also demonstrating publicly its commitment to achieving gender parity and greater diversity generally on its Board. It should demonstrate the actions it is taking to meet these targets. Although the term "each" is used in reference to gender in these notes, non-binary identification should also be considered when applying this requirement.

If 30% is not a whole number, then this should normally be rounded up for the purposes of calculting the required number of male/female Directors (unless otherwise agreed with The Football Association).

The targets referred to in this Requirement are explicitly targets, and not fixed quotas. However, the Association must be able to demonstrate how the target reflects local demographic data. The obligation on funded Associations is to demonstrably commit to work towards achieving them, and to take all appropriate actions in order to do so. Nevertheless, in order to drive real change The Football Association expects this commitment and the actions taken to be meaningful. When setting their ambitions, Boards should consider a range of factors and any legal obligations in this area. This includes but is not limited to gender, race and ethnicity, disability, LGBTQ+ and socio-economic equality, therefore reflecting the diversity of wider society. Associations should seek to recruit and retain individuals with such diverse backgrounds. In each case, Associations should take action to identify and remove any barriers to representation and inclusion.

Requirement 2.1(b) above references Black, Asian, and minority ethnic and disability diversity expressly within the context of greater diversity generally. Although we encourage moving away from the term "BAME" it is included here as it is acknowledged it is still a referenced term. Data from the sector shows that representation from these groups on Boards remains low and that Associations need to do more to increase it, and to be able to demonstrate the actions they are taking to do so.

It is also important to think about what 'greater diversity' means. Here the Code is referring not only to the protected characteristics of the Equality Act 2010 (which are gender, age, disability, gender reassignment, race, sexual orientation, religion or belief, marriage and civil partnership and pregnancy and maternity) but also diversity of socio-economic backgrounds, upbringings, education, wealth, social status, professional experience and diversity of thought. Associations should seek to recruit to their Boards people who think in different ways as well as those who have different backgrounds. For example, Associations may wish to consider the possibility of addressing the diversity of formal structures other than the Board, in order to build internal capacity for succession planning.

This Code requires Associations to be ambitious in achieving greater diversity in all its forms not only on their Boards but also on their wider workforce and membership. The value of drawing on different perspectives and voices in decision making cannot be underestimated.

Requirement 2.2

Each organisation shall create a Diversity and Inclusion Action Plan (DIAP) which, among other things, shall:

a. **identify actions needed to achieve, support and then maintain the ambitions laid out in 2.1, including how these will be reviewed;**

b. **demonstrate a strong and public commitment to promoting, embedding and advancing diversity and inclusion on the Board, senior leadership team and beyond;**

c. **be published on the organisation's website, with an annual update; and**

d. **be agreed with The FA.**

DIVERSITY AND INCLUSION cont'd

Same commentary as applies to Requirement 2.1.

Requirement 2.3

The Board shall maintain and regularly review the DIAP, on at least an annual basis.

Same commentary as applies to Requirement 2.1.

Tools/Resources (these apply to Requirements 2.1, 2.2 and 2.3

- See **Appendix 20: How to be a More Inclusive County FA**
- See **Appendix 28: Sporting Equals Guidance Document: How to Increase Ethnic Diversity in Sports Leadership**
- See **Appendix 29: County FA Equality Policy – Template**
- See **Appendix 30: County FA Diversity and Inclusion Action Plan Guidance**
- See **Appendix 31: Example of a County FA Equality and Diversity Action Plan**
- See **Appendix 32: Sport England and UK Sport Guidance Document: Diversity Action Plan**
- See **Appendix 33: Documents to consider including in GovernanceSection of County FA Website**
- See **Appendix 50 The UK Equality Standard for Sport – Guidance for Sports Organisations**
- See **Appendix 48 The UK Equality Standard – A Framework for Sport**
- See **Appendix 49 The UK Equality Standard – Resource Pack**
- See **Appendix 57: Board Directors' Conflict of Interest Policy**
- Refer to Equal Human Rights ' How to Improve Board Diversity' guide: **HERE**
- Refer to Women in Sport 'Checklist for Change': **HERE**
- Refer to Women in Sport 'Beyond 30%': **HERE**

BOARD RECRUITMENT

Requirement 2.4

Each Association shall have a formal, rigorous and transparent procedure for the appointment of new Directors to the Board, and all appointments shall be made on merit in line with the skills required of the Board.

The aim of the recruitment process is to secure the best candidates for the Board, and to do so in a formal and transparent way which builds trust in the Association (thereby demonstrating integrity, as required by Principle 04).

The appointment process may well differ for Independent and Nominated Directors but whatever the process, it should comply with this Requirement. Thus, it should be documented, and information about the process should be available to the Board and relevant stakeholders as appropriate. For example, if a Nominated Director is appointed by the membership, it is important to ensure all members have access to the information about the process in a timely manner. For the appointment of Chair and Independent Non-Executive Directors, please refer to Requirement 2.6. Irrespective of the process of appointment, all appointments should also be made on merit in line with the skills required of the Board and the Association's ambitions and plan to achieve greater diversity in all its forms. Requirement 1.11 requires each Association to maintain an up-to-date matrix detailing the skills, experience, background, thought and knowledge required of its Board. This skills matrix enables the Association to prepare the role description and person specification for any new Director which the Association is seeking to appoint, whether this be for an Independent non-executive Director or a Nominated Director position.

The Association's Diversity and Inclusion Action plan (Requirement 2.1 and 2.2) and Succession Plan (Requirement 2.7) also informs this process. In order to ensure that the appointment of Nominated Directors who, under the terms of the Association's constitution, are elected to the Board (e.g. by a particular constituency or by the membership as a whole) are made on merit and in line with the required skills and ambitions for greater diversity, Associations may wish to give consideration to the following process.

- As noted above, a role description and person specification are prepared;
- Vacancies (including the role description and person specification) are communicated widely (e.g. by publication on the website of The Football Association.); and
- The Nomination Committee reviews applications and satisfies itself that the process can be considered free of bias and has produced a diverse range of candidates. It should also provide a view on whether proposed candidates have the required skills and experience. If this is the case, in the interests of transparency, it would be appropriate for the view of the nomination committee to accompany any election materials relating to that candidate so that those making the selection have access to that information.

(Note: see further **Requirement 1.22** about Nomination Committees.)

BOARD RECRUITMENT cont'd

Tools/Resources

- See **Appendix 7: Link to template Board Skills Audit in MS Forms**
- See **Appendix 8: Board Skills: Diagnostic and Evaluation – Independent Assessment Flow**
- See **Appendix 9: County FA Chief Executive Officer Role Profile – Template**
- See **Appendix 11: County FA Chair of the Board of Directors' Role Profile – Template**
- See **Appendix 34: County FA Generic Director Role Profile – Template**
- See **Appendix 35: County FA Director Application Pack**
- See **Appendix 36: Director Appointment Letter – Template**
- See **Appendix 37: Equality and Diversity Monitoring Form**
- See **Appendix 51: Independent Non-Executive Director Role Profile**
- See **Appendix 52: Independent Non-Executive Commercial Director Role Profile**
- See **Appendix 53: Independent Non-Executive Human Resource Director Role Profile**
- Following a pilot initiative in partnership with Perrett Laver, The FA have established a new programme for 2023 onwards aimed at assisting County FAs to diversify their leadership. Guidance, learning and specific resources will be available for the whole County FA network in 2023.
- Refer to Reach Skills 'How do I recruit great Trustees' guide: **HERE**
- Refer to Edward Drummond & Co 'Process for Finding and Hiring a Non-Executive Director': **HERE**

Requirement 2.5

In exceptional circumstances a Director may be co-opted onto the Board if this is necessary to ensure that the Board has the skills and/or experience necessary to fulfil its role.

A Co-opted Director as defined in 'Definitions' on **page 20** is a Director who is 'temporarily appointed as such by the Board outside of the customary appointment process". It is for the Board to determine why and if a Co-opted Director is required and the length of time the Co-opted Director remains on the Board. However, this period should be limited and would not normally be longer than a year. The Co-opted Director's voting rights should be decided by the Board at the time of appointment.

If a Director joins the Board in this capacity it is helpful to ensure the reasons for this are documented and that the Co-opted Director has a clear understanding of their position. This is not to be used as a way to enable an incumbent Director to exceed his/her term limit.

Tools/Resources

- See **Appendix 38: Example of Article for County FAs to Co-opt Directors**

BOARD RECRUITMENT cont'd

Requirement 2.6

The appointment of the Board Chair and independent non-executive Directors must be via an open, publicly advertised recruitment process.

Open recruitment is the best way to find high quality candidates. In addition, the active promotion of diversity is a core element of the Code and to support this it is crucial that Board positions are advertised widely and not solely through personal connections. Associations are encouraged to post any Board vacancies on the jobs section of the Football Association website (there is no cost to an Association to do this). Associations should also consider where else they can be advertised, in order to obtain the widest possible reach.

Council Chairs are not to be appointed as Ex-officio Board Chairs. In an open and transparent process, Council Chairs would be eligible to apply, but would go through an open and transparent selection process.



BOARD RECRUITMENT cont'd

Requirement 2.7

The Board shall have in place continuity plans for the organisation and succession plans for orderly appointments to the Board and to key posts within the organisation.

A continuity plan is a document that outlines how an organisation will continue operating during an unplanned disruption in service. Although often compiled by the Senior Management Team, the Board has overall responsibility as part of its risk management duties. Many Boards appoint one of its Directors to champion these matters. Typically, the continuity plan outlines the risks as well as the structure of how to prevent, respond and recover from a disruptive event. Generally this involves identifying the possible disruption risks and potential impact if they occur, planning an effective response, allocating roles and responsibilities, communication processes, testing the plan and training in response to that testing, to ensure an effective response. There are often three parts to this plan: An Association's continuity plan; a data recovery plan; and a succession plan.

Continuity plan An Association's continuity plan is a broad plan designed to keep an organisation running, even in the event of a disaster. This plan focuses on the Association as a whole but drills down to specific scenarios that might create operational risks. With continuity planning, the aim is to keep critical operations functioning, so that your Association can continue to conduct normal activities. When followed correctly, an Association's continuity plan should be able to continue to provide services to stakeholders, with minimal disruption, either during or immediately after a disaster. A comprehensive plan should also address the needs of an Association's partners.

The continuity plan itself should live as a written document that outlines the Association's critical functions. This is likely to include a list of critical supplies, crucial Association functions, copies of important records and employee contact information. The information included in the plan should allow the Association to be up and running as soon as possible after a disruptive event has occurred.

Data Recovery Plan A data recovery plan is a more focused, specific part of the wider Association's continuity plan. It has a narrow focus on the data and information systems of an Association. The Football Association systems and data contained therein are covered in the Football Association's data recovery plan. The plan might also include guidance on how to restore communication between emergency staff if the usual communication lines are unavailable.

Succession Plan Effective succession planning reduces the risks associated with the loss of experienced leadership and helps maintain an appropriate balance of skills and experience within the Association and on the Board, as well as ensuring progressive refreshing of the Board. Having plans in place also enables the Board or Association to act swiftly in response to abrupt changes to the Board or senior management, helping to reduce any associated risks or costs.

It will be for the Association to determine which positions within senior management should be captured by their succession plan.

Tools/Resources

- See **Appendix 39: County FA Succession Planning Guidance**
- See **Appendix 58: County FA Business Continuity Plan template exemplar**

BOARD RECRUITMENT cont'd

Requirement 2.8

The Nominations Committee shall lead the process for Board appointments on behalf of the Board.

Requirement 1.22 deals with the composition of the Nominations Committee, its terms of reference and reporting to the Board.

The nomination committee may also want to consider the following when leading the process for

Board appointments:

- As well as referring to the Board skills matrix (**Requirement 1.11**) when preparing the role description and
- person specification for each Director role, it is helpful for the documentation to outline the expected and realistic time commitment (recognising the need for availability in the event of crises)
- Being clear on whether the Nominations Committee has delegated authority from the Board to agree the candidate or whether it is reporting back to the Board to make the decision, noting that it would typically be the latter
- To decide whether to approve a recommendation, it is important that it has sufficient and timely information about the recommended candidate, and the Chair of the Nomination Committee would ordinarily be responsible for ensuring this is the case; and
- If the candidate recommended by the Nomination Committee is rejected by the Board, the Board should be clear about its reasons and refer the matter back to the Nomination Committee:

The Nomination Committee may be able to recommend a suitable alternative candidate from the current process, or alternatively that the recruitment process is re-run.

When assembling the Nominations Committee, Associations should be careful to ensure that the skills and diversity of the Committee reflect the needs of the task at hand. Associations should consider whether additional training would support Nominations Committee and Interview Panel members to better fulfil their roles, including how to carry out an inclusive and non-biased recruitment process.

Tools/Resources

- See **Appendix 7: Link to template Board Skills Audit in MS Forms**
- See **Appendix 8: Board Skills: Diagnostic and Evaluation – Independent Assessment Flow**
- See **Appendix 9: County FA Chief Executive Officer Role Profile – Template**
- See **Appendix 11: County FA Chair of the Board of Directors' Role Profile – Template**
- See **Appendix 34: County FA Generic Director Role Profile – Template**

BOARD RECRUITMENT cont'd

Requirement 2.9

The Board or nomination committee shall inform The Football Association of any appointment process being carried out by the Association in relation to:

(a) any Directors;

(b) the Chief Executive Officer;

and shall permit The Football Association to observe any such process.

The appointment process for Directors and the Chief Executive Officer is a matter for the Association to determine and conduct and this Requirement does not signal an intention to lead or control the process. Indeed if The Football Association ask to be involved in a particular process, it would only be in the capacity of an observer and would not include having a vote on which candidate to appoint. It may also be that The Football Association could offer support during the process and act as a critical friend, ensuring that the process is fair and accords with best practice. The Football Association would ask the Association to ensure the representative has sufficient information about the process (e.g. timetable, job specification, CVs of those shortlisted) in a timely fashion.

The notification should go in the first instance to the Football Association's Regional Manager, who will inform the Head of Operations and The Company Secretary.

Tools/Resources

- See **Appendix 54: Board Tracker**. Each County FA has been provided with a Board Tracker to act as evidence of compliance against all requirements involving the make-up of the Board. This includes Board Size and Composition, Term Limits, INEDs, Board diversity including gender balance, and Board Skills and all elements of recruitment to the Board. CFAs are asked to keep the Board Skills Audit up to date. An exemplar is provided in the appendix.



BOARD RECRUITMENT cont'd

Requirement 2.10

No individual shall be appointed as a Director until they have provided to the organisation a declaration of good character and a commitment to integrity.

Operating with integrity and transparency is a key element in this Code and asking individuals to complete a declaration of good character provides the Board with additional information concerning the individual's conduct which enables them to determine if the candidate would be a suitable appointment. In addition, all Directors should commit to acting with integrity and promoting such behaviour throughout their engagement with the Association.

Some Associations already require Directors to complete a similar declaration before appointment, and this is considered good practice. It is suggested that Associations consider including the Seven Principles of Public Life (The Nolan Principles) within this declaration.

Tools/Resources

- See **Appendix 40: Director's Declaration of Good Character**

INDUCTION OF NEW DIRECTORS

Requirement 2.11

On appointment, each Director shall be given a written statement of their responsibilities.

Directors need a clear understanding of their collective and individual responsibilities in order to perform effectively. It will be for an Association to determine the form of this statement but it may include reference to:

- The responsibilities set out in the Board's terms of reference;
- The requirement that they may act in the best interests of the Association as a whole (rather than a particular group or constituency), and in a manner consistent with their legal duties (see **Requirement 1.2**);
- Expectations about conduct (in line with the Directors' code at **Requirement 4.4**); and
- Any responsibilities specific to their particular role on the Board (e.g. Senior Independent Director).

It is good practice to review the statements periodically to ensure they remain up to date.

Tools/Resources

- See **Appendix 4: Companies Act 2006 – Duties of a Director**

INDUCTION OF NEW DIRECTORS cont'd

Requirement 2.12

Each Association shall ensure that new Directors receive a full, formal and tailored induction on joining the Board.

All Directors should receive an induction on joining the Board. The objective of an induction process is to ensure all new Directors have the information they need to become as effective as possible, as soon as possible. A good induction process should help build an understanding of the Association and its main relationships and establish links with the key people within the Association. The induction may be tailored in recognition of the different needs, skills and experience of each Director but there is likely to be a baseline of common information shared with all. Associations may also find it helpful to think about using different methods for the induction process (e.g. one-to-one meetings, attendance at events, information packs, and visits).

Topics that may be covered in an induction include the following:

- The role of a Board and the duties of a Director (in line with the written statement of responsibilities at **Requirement 2.11**);
- The Association's history and structure;
- The Association's governing documents (e.g. articles, schedule of reserved matters, Board and committee terms of reference, recent Board and general meeting minutes), strategic plan, financial information, and significant issues;
- The Association's key stakeholders (it may be appropriate to facilitate meetings with such stakeholders, e.g. clubs, leagues, funders etc.); and
- This Code.

Careful consideration should be given to the amount of time needed for a proper induction, and whether it should be staggered in order to promote incremental learning and avoid an immediate over-burdening of too much information. This could be discussed with a new Director, also giving them an opportunity to contribute to the process by outlining any specific elements they would like included; for example, a newly appointed Director who is taking a position on a Board committee may want to spend more time with those who are responsible for matters that come before that committee.

Associations may wish to consider pairing a newly appointed Nominated Director with an independent non-executive Director, and vice versa, in order that each can learn from the other: Nominated Directors often have unrivalled knowledge of football, and independent Directors often bring experience from senior levels of the wider business community.

Tools/Resources

- See **Appendix 3: County FA Board of Directors' Handbook Index – Template**
- See **Appendix 41: Example of Induction Checklist for Directors**
- Refer to **ICSA guidance on induction of Directors HERE**.

REMUNERATION

Requirement 2.13

Remuneration of Directors and employees, if any, shall be determined in accordance with a formal, approved procedure.

Having a formal, approved procedure for determining remuneration provides assurance to Directors and employees that decisions are made on a consistent basis. In addition, a good remuneration policy is designed to support performance, encourage the underlying financial health of the Association and promote sound risk management.

As noted in **Requirement 1.25**, a Board may choose to constitute a remuneration committee and delegate responsibility to it to agree the remuneration of Directors and senior management. The committee may also have responsibility for agreeing a remuneration policy.

Whatever procedure an Association chooses to adopt for determining remuneration, it should be clearly documented and made available to those with an interest in the outcome.

Tools/Resources

- See **Appendix 22: County FA Remuneration Committee Terms of Reference – Template**



FA REPRESENTATIVE

Requirement 2.14

Each organisation shall have an open, formal, inclusive, transparent and documented procedure for the appointment of the FA Representative. The appointed representative shall comply with any eligibility criteria as required by The Football Association from time to time. The appointment shall be made by the Board.

The FA representative is the representation of the Association within the main Football Association Council, and by virtue of being on that Council will also be appointed onto various committees, helping to shape football in England. Given the importance of FA Representatives contributing effectively in these areas, it is important that FA representatives are chosen who are able to contribute. An "Open" procedure is one that ensures all who are eligible are aware of the vacancy and the appointment procedure. A "Formal" process is one where a clear process exists in writing and the process is documented and minuted accordingly. A "Transparent" process is one in which it is easy for interested parties to find out information about how the appointment process works along with the duties that the FA Representative is required to undertake.

A Board who have been selected based on skills will be able to identify the skills required for an FA Representative to contribute in this way and also to act as an ambassador for the Association within the FA Council. Strong consideration on should be given to ensuring the FA Representative reflects the diversity of the communities that the Association serves, which can help to amplify the voice of traditionally under-represented groups.

Tools/Resources

- See **Appendix 7: Link to template Board Skills Audit in MS Forms**
- See **Appendix 8: Board Skills: Diagnostic and Evaluation – Independent Assessment Flow**



WELFARE AND SAFETY

Requirement 2.15

The Board shall ensure its responsibilities towards the welfare and safety of its members and people (including but not limited to employees, participants and volunteers) are factored into the decisions it makes and shall appoint two of its Directors to take a lead in these areas.

(a) Each Association shall appoint one of the Directors as the Board Safeguarding Champion in compliance with The Football Associations Safeguarding 365 Standard for County FAs and the Board Safeguarding Champion shall fully meet the role description, and;

(b) Each Association shall appoint one of the Directors as the Board Safety Champion and shall fully meet the role description.

All Directors have a duty towards the welfare and safety of the organisation's employees, members and any other people for whom it is responsible. The Board must have clear oversight of all aspects of welfare and safety, including but not limited to safeguarding (adults and children), mental health and wellbeing (including psychological safety), and integrity issues. This oversight should be considerate of establishing a culture, across the organisation, where welfare and safety is paramount. It should be noted this Requirement is not intended to encompass all responsibilities related to health and safety, in particular with respect to property and facilities. The Board should consider how best these aspects are managed.

It is important that each Board Member has appropriate understanding of welfare and safety issues relevant to their organisation. A training needs analysis should be conducted which considers previous knowledge of the Board i.e. through practical experience or training. Knowledge gaps should then be filled by undertaking relevant training.

To ensure that welfare and safety is given appropriate consideration during its decision-making, it is important for the Board to appoint lead Directors for these areas. It maybe the case that the same Director fulfils both roles.

The lead Directors will have responsibility for checking and challenging the Board on decisions that affect welfare and safety across the organisation and will be able to support the executive staff for issues in that area. The Board may also want to consider what role the lead Director could play in offering a direct route for raising any welfare and safety concerns from people for whom the organisation is responsible.

The Board may appoint the welfare and safety lead Director from within its current membership or, when a vacancy arises, look to openly recruit an individual with specialist knowledge and expertise.

See The FA Safeguarding 365 Standard for County FAs for further information of Board Safeguarding Champion requirements.

Tools/Resources

- See **Appendix 56: Board Safety Champion role description**
- See **The FA's Safeguarding 365 Standard for County FAs HERE** for the Board Safeguarding Champion role description and additional resources

PRINCIPLE 03 COMMUNICATION


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03

COMMUNICATION

THE PRINCIPLE:

Associations shall be transparent and accountable, engaging effectively with stakeholders and nurturing internal democracy.

WHY IS THIS IMPORTANT?

Being responsive to stakeholders, understanding their interests and hearing their voice helps shape the Association's governance and strategy. Transparency about why the Association exists, what it is trying to do, how it is doing it and with what results empowers stakeholders by giving them the information about the Association that they need to know.

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DISCLOSURE OF INFORMATION

Requirement 3.1

Each association shall publicly disclose information on its governance, structure, strategy, activities, and financial position, including an annual update on governance, to enable stakeholders to have a good understanding of them.

Requirement 3.2

Any information disclosed shall be fair, accurate and presented in an understandable manner.

Requirement 3.3

Each organisation shall publish:

a. **the remuneration (if any) paid to each of its Directors (except for members of the senior management team who are Ex Officio Directors); and**

b. **in the case of organisations which employ more than 50 staff, the total remuneration paid to its senior management team."**

Activities

Many Associations publish an annual review of the activities of the Association. From a governance perspective, this review could include reports on the working of the Board (as referred to in **Requirement 1.22**), its Council (if the Association has one) and key committees.

Finance

Requirement 5.4 requires audited annual accounts to be published.

Diversity

Requirements 2.1 to 2.3 set out the obligations concerning transparency with regard to diversity.

To comply with these Requirements, the Association should give consideration to publishing the following as standing information:

- A statement of intent about its commitment to equality and diversity goals, and
- Its policies and procedures relating to equality and diversity. Annual reporting could include details of the following:
- How the Association has ensured that any Board recruitment activity that has occurred during the year has been undertaken in such a way as to increase diversity;
- Data on Board, staff, volunteers and participants;
- Identification of a strategic lead for equality and diversity; and
- Any other activities that have been undertaken, e.g. shadowing and mentoring schemes, and/or programmes to reach out to particular communities to build capacity in the leaders of the future.

Other Associations may wish to go further and publish more information.

DISCLOSURE OF INFORMATION cont'd

Tools/Resources – These apply to Requirements 3.1, 3.2 and 3.3

- See **Appendix 33: Documents to consider including in Governance Section of County FA Website**

ENGAGEMENT STRATEGY

Requirement 3.4

Each Association shall develop a strategy for engaging with, and listening to, its stakeholders which the Board shall contribute to and review at least annually.

This is to be published under a Governance section on the Associations website. It is important that local stakeholders are able to find such information quickly and easily

A stakeholder is any person or group which has an interest in the Association or is affected by its actions.

The stakeholder landscape of an Association is likely to be complex, and one model is unlikely to fit all. For example, Associations have hugely differing numbers of participants. Nevertheless, it is incumbent on each Association to consider properly who its stakeholders are, and how it should best engage with them.

Accessibility and effective communication are important in order to give stakeholders timely and accurate information: see further **Requirement 3.1** above.

Tools/Resources

- See **Appendix 33: Documents to consider including in Governance Section of County FA Website**

STAFF SURVEY AND PEOPLE PLAN

Requirement 3.5

Each Association shall be expected to:

(a) carry out a regular staff survey at least once a year and:

(b) use the survey outcomes to help establish a People Plan, review and discuss it on at least an annual basis and share the findings of that discussion openly with its members, people (e.g. employees, volunteers) and:

(c) make top line data available to The Football Association to collate the results for the purpose of developing a greater understanding of the County Football Association workforce

STAFF SURVEY AND PEOPLE PLAN cont'd

Successful Associations understand and develop the diversity, skills, behaviours and culture of their workforce (professional and voluntary). The FA expect Associations to demonstrate a duty of care towards everyone involved in their work whether paid or unpaid.

A People Plan is a core business and proactive process essential to ensuring the work of the Association is delivered, supported and led by a diverse range of people who are equipped and supported to meet the demands of their role and the changing needs of the people and communities they interact with.

The People Plan should be aligned to the needs and the goals of the Association for the year(s) ahead, contributing to the long-term success of the Association by ensuring the systems, policies and processes in place to support people are attuned to people's needs and aligned with the Association's strategic objectives. The expectation is the People Plan is reviewed and discussed annually and the findings shared openly. Involving staff and volunteers in the plan helps an Association keep the plan current and ensure a diverse range of perspectives is represented, informing continuous improvement in areas such as recruitment and training.

Each Association is different and will need to develop a People Plan that best suits its needs, but the essential purpose remains the same - ensuring the skills and experience of the people within an Association are organised and deployed to greatest effect.

The Football Association engages an independent research partner (Critical Research at the time of publication of version 2.0 of This Code) to conduct an annual County FA staff engagement, diversity and wellbeing survey. The administration of the survey and the analysis and reporting of the results is carried out entirely by Critical to ensure independence and anonymity of respondents. Every County (where the completion rate is greater than 90%) will receive a report designed to assist the Board and CEO in deciding on interventions to improve staff engagement, diversity and wellbeing. The FA will receive a top line report of the results across all County FAs.

This survey will be an annual exercise conducted by and paid for by The FA (correct as at the time of publication of version 2.0 of this Code.).

Tools/Resources

- See **Appendix 59: People Plan template and guidance**



PRINCIPLE 04

STANDARDS AND CONDUCT



04

STANDARDS AND CONDUCT

THE PRINCIPLE:

Associations shall uphold high standards of integrity, and engage in regular and effective evaluation to drive continuous improvement.

WHY IS THIS IMPORTANT?

Having the right values embedded in the culture of the Association helps protect public investment and also enhances the reputation of the Association, earning stakeholder trust. Constantly seeking to improve makes an Association swift to respond to new challenges and opportunities.

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DEVELOPMENT OF THE BOARD

Requirement 4.1

The Board, led by the Chair, shall:

a. undertake and maintain in writing a record of an annual evaluation of its own skills, performance, and effectiveness;

b. undertake and maintain in writing a record of annual appraisal of each individual Director, and CEO;

c. undertake and maintain in writing a record of evaluations of its Committees (Committee evaluation need not be undertaken annually); and

d. agree and implement a plan to take forward any actions resulting from the evaluations.



DEVELOPMENT OF THE BOARD cont'd

Evaluation assists with the continuous improvement of the Board and its committees. The Requirement covers three tiers of evaluation: the whole Board, Board committees, and individual Directors / the CEO (or equivalent).

Internal evaluation of the Board

The areas to be covered in the annual Board evaluation will depend on factors specific to the Association, e.g. its purpose, size and particular challenges it is facing, but it is expected that, broadly, it will cover the following issues:

(i) The balance of skills, experience, independence and knowledge of the Directors on the Board (in doing so, the Board should refrer to and update the skills matrix);

(ii) Its diversity and any elements related to ambitions in the Associations's Diversity and Inclusion Action Plan (see Requiremen 2.2);

(iii) The The quality of relationships and behaviours between Board members

(iv) A reflection on and review of the quality and timeliness of information provided to the Board and how this has affected and/or influenced their decision-making

(v) The effectiveness of the Board meetings and of Board decision making

(vi) The success of the Board in implementing the Assocation's values and promoting a positive and inclusive culture; and

(vii) Any other factors relating to its effectiveness.

The above list is not exhaustive.

Continuing development - governance expertise

Associations should consider undertaking activity which will build their governance understanding and knowledge. This is to ensure there is continuous development by Associations as a whole of their goverance activity. Relevant activity may include attendance by a Director or senior member of staff at a governance training event run by The FA or a recognised expert in the field (e.g. The Sports Governance Academy, the Sport and Recreation Alliance, Sport England, UK Sport, the Institute of Directors, the Chartered Governance Institute, a law firm event or a private sector provider etc.). Governance conferences ran periodically by The FA are likely to include representation from such groups and attendance of these conferences by the Chair, Vice Chair, Senior Independent Director and CEO (or equivalent) is recommended.

Tools/Resources

- See **Appendix 7: Link to template Board Skills Audit in MS Forms**
- See **Appendix 8: Board Skills: Diagnostic and Evaluation – Independent Assessment Flow**
- See **Appendix 42: County FA Board Director Appraisal – Template**

DEVELOPMENT OF THE BOARD cont'd

Requirement 4.2

The Board shall:

a. **undertake an externally facilitated evaluation of the Board at least every three years, or at the request of The FA; and**

b. **agree and implement a plan to take forward any actions resulting from the evaluations.**

External evaluation of the Board provides independent perspective on the performance of the Board. It should be facilitated at least every three years or at the request of The Football Association. If the external facilitator has any other connection with the Association, then this should be disclosed to The Football Association and, it is recommended, publicly in the annual governance statement. This is because if, for example, the facilitator also provides other services (e.g. recruitment services) to the Association, there can arise the perception of a lack of objectivity. The provision of other services is not in itself a bar to undertaking facilitation of a Board review, but the Board must consider any potential conflict of interest. The Football Association has procured partners to help provide these services to County Football Associations, although the Association is not obligated to use the procured partners (provided they utilise a provider who is independent). The Football Association will endeavour to create processes that minimise costs to the Associations of such evaluations. Details of these procured partners are available from The FA Senior Operations Delivery Manager.

Board evaluations are only worthwhile if the issues that are identified are addressed and followed up. Following an evaluation, the Chair should act on its results by recognising the strengths and addressing the weaknesses of the Board. This could include, where appropriate, proposing new members be appointed to the Board or seeking the resignation of Directors. Continuing development – governance expertise Associations should consider undertaking activity which will build their governance understanding and knowledge. This is to ensure that there is continuous development by Associations as a whole of their governance activity. Relevant activity may include attendance by a Director or senior member of staff at a governance training event run by a recognised leader in the field (e.g. the Sport and Recreation Alliance, Sport England, UK Sport, the Institute of Directors, the Institute of Chartered Secretaries and Administrators, a law firm event, or a private sector conference provider etc.), or by a bespoke training event run for the Association perhaps in conjunction with other funded Associations in order to promote efficiency.

Tools/Resources

- See **Appendix 7: Link to template Board Skills Audit in MS Forms**
- See **Appendix 8: Board Skills: Diagnostic and Evaluation – Independent Assessment Flow**
- See **Appendix 57: Conflict of interest policy template**

CASCADING GOOD GOVERNANCE

Requirement 4.3

The Board shall set out, promote, and support the implementation of minimum good governance standards, including with respect to diversity and inclusion:

a. throughout its organisation; and

b. within its membership and/or associated organisations.

The majority of this Code places particular focus on the Board. However, for an Association to truly realise the benefits of good governance it is important to embed, encourage and support effective and inclusive governance practices throughout its operations and structures.

Cascading good governance to support structures and partners of the Association can be enormously beneficial to the wider game.

INTEGRITY

Requirement 4.4

Each association shall adopt a mandatory Code of Conduct for all types of directorships and Council (or equivalent) positions that, among other things, requires all parties to act at all times in the best interests of the association, as well as acting with inclusivity, integrity, in an ethical manner and in accordance with their organisation's Conflict of Interest policy.

INTEGRITY cont'd

A Boards effectiveness is determined not only by who sits on it, but also what it does and how it acts. An important tool for governing how the Board operates is the Code of Conduct, which all Directors must agree to upon joining the Board as part of their induction.

To maximise the benefits of having a diverse Board with Independent Non-Executive Directors, it is important each Director feels they can offer their view in a safe, trusted and inclusive environment where different opinions are respected and indeed sought out. Any policies and practices adopted by the Board should therefore foster an environment where Directors feel they can openly debate matters and are clear about how meetings are run and what is expected of them. The Code of Conduct should set out expectations with respect to how Directors behave and the values they adopt, with a view to promoting a culture of decision-making which is ethical and inclusive and drives continuous improvement. The Code of Conduct should also set out behaviours which are considered unacceptable, including those that will not be tolerated from a diversity and inclusion perspective. It can also be referred to when evaluating the performance of the Board or of individual Directors. Associations should have policies in place that set out what will happen when the Code of Conduct may have been breached.

All Directors should act with the best interests of the Association in mind when contributing to Board matters, as per their legal duties. It is recognised that Nominated Directors may be appointed to the Board by a particular group (e.g. the Council) and as such may provide a useful conduit between the Board and its constituency. However, their duty to act in the best interests of the Board is paramount. This responsibility would ordinarily be explained to Directors as part of the appointment and induction process (see Requirements 2.11 and 2.12) and followed up by the Chair if necessary. The requirement to introduce a Code of Conduct also applies to any Council of the Association, its Committees and any other groups which may be appropriate. It is expected that this will reflect the same principles and values as the document adopted by the Board.

Acting with integrity and transparency are key elements of this Code. Codes of Conduct are evidence of this, as is the proactive management of conflicts of interest. Associations are encouraged to demonstrate a public commitment to integrity through the publication of the measures it has in place to promote it.

A commitment to the welfare and safety of all participants, staff and members must be an integral part of the function of the Board, and reference to this should be made within a Board's Code of Conduct.

Tools/Resources

- See **Appendix 5: Example of Director and Council Member Code of Conduct**
- See **Appendix 57: Conduct Conflict of interest policy template**

Requirement 4.5

The directors' code, terms of reference and other policies of the Board and its committees shall be reviewed at least every four years to ensure compliance with current laws.

To assist the Board in meeting this Requirement, it should consider establishing a review schedule as part if its corporate governance calendar. It is possible the review of some or all these documents will form part of the Board evaluation.

Tools/Resources

- See **Appendix 1: Model County FA Articles of Association to Comply with Code of Governance**
- See **Appendix 5: Example of Director and Council Member Code of**
- See **Appendix 57: Conflict of interest policy template**

CONFLICTS OF INTEREST

Requirement 4.6

4.6 The Board shall maintain a Conflict of Interest (COI) policy which:

a. **identifies protocols for Director voting, ensuring fair participation of voting among the Directors. If a COI is identified or declared, the conflicted Director may not be counted in the quorum, participate in any discussions, or vote, on the conflicted matter;**

b. **outlines the Chair's responsibility in managing COI;**

c. **requires the maintenance of a COI register and illustrates the process for this; and**

d. **outlines the responsibility on individual Directors to maintain an up to date record of their COI.**

Conflicts of interest (COI) can arise where there is a conflict between the interests of the Association and either the Director's personal interests or those of another body with which the Director is involved.

It is important to consider the legal duty of a Director to avoid a conflict of interest under the Companies Act (or the Charities Act where appropriate). Further to this, it is the legal duty of the Director to act in the best interests of the Association.

Acting in the best interests of the Association includes disclosing to the Board (and in the annual report) any other significant commitments that might impede a Director's ability to participate or make decisions without bias. This obligation is on-going, and conflicts must be reported if they arise subsequent to appointment.

As part of maintaining a COI policy, the Board should keep an up-to-date register of interests and it is the responsibility of each Director to ensure that their disclosed information remains accurate.

The Board should also ensure that the Association has a COI policy with similar expectations for executive staff.

Tools/Resources

- See **Appendix 43: ICSA Guidance Note: Specimen Conflict of Interest Policy, Declaration Form and Register of Interests for Charity Trustees**
- See **Appendix 44: Declaration of Interests' Form – Template**
- See **Appendix 57: Conflict of interest policy template**

PRINCIPLE 05

POLICIES AND PROCESSES


ADAMS
ENCLOSURES
SHEET METAL DESIGN
& MANUFACTURE

05

POLICIES AND PROCESSES

THE PRINCIPLE:

Associations shall comply with all applicable laws and regulations, undertake responsible financial strategic planning, and have appropriate controls and risk management procedures.

WHY IS THIS IMPORTANT?

Understanding the legal environment and having in place appropriate financial and other controls help mitigate risk and enhance stakeholder trust.

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LEGAL COMPLIANCE AND CONTROL

Requirement 5.1

The Board shall ensure that:

(a) both individually and collectively it understands the key legal and regulatory obligations which affect the Board and the Association; and

(b) the Association has appropriate policies and procedures in respect of these obligations.

In order to assist Directors in meeting these requirements, the Director's written statement of responsibilities (see **Requirement 2.11**) may include an outline of key legal and regulatory obligations, and the Directors' induction process (see **Requirement 2.12**) could supplement this by explaining what each obligation means. The obligation is however on-going, and Boards should consider how they can keep their understanding of these obligations up to date.

Directors are not required to have absolute knowledge of all applicable regulations that may apply to the Association. However, they must be sufficiently familiar with the applicable regulations to enable them to identify potential issues and, know the appropriate channels to elevate such issues for further investigation.

Associations are best placed to determine which legal and regulatory obligations are pertinent to them. This could include the following topics (which is not an exhaustive list):

- Company law;
- Charity law (if applicable);
- Health and safety;
- Data protection;
- Bribery and anti-corruption;
- Whistle-blowing legislation; and
- Safeguarding of vulnerable groups. (Note: the funding agreements of The Football Association contain specific obligations concerning safeguarding. These require appropriate policies and procedures to be put in place, and that Associations implement and adhere to the Safeguarding Operating Standard issued by The Football Association).

Tools/Resources

- See **Appendix 4: Companies Act 2006 Duties of a Director**
- See **Appendix 36: Director Appointment Letter – Template**
- See **Appendix 55: Policy Tracker**. A smartsheet template has been created for County FAs to use to track and manage the wide range of policies required as part of section 5 of the Code and their wider regulatory requirements. The County FA should notify their Regional Manager to set up a Policy Tracker. An exemplar is provided in the appendix.

FINANCIAL CONTROL

Requirement 5.2

Each Association shall exhibit honesty, integrity and competence in financial matters.

The Board takes responsibility for ensuring that it and the Association's staff have the relevant financial competence and qualifications to meet their obligations. More detailed guidance can be found in the Financial Management County FA Operating Guidance Manual (see link below).

Tools/Resources

- See **Appendix 10: County FA Finance Director Role Profile**
- Refer to the **Financial Management County FA Operating Guidance Manual v1.6 HERE**

POLICIES

Requirement 5.3

The Board shall:

a. **adopt appropriate and proportionate policies and procedures for their organisation including those which address regulatory obligations and those that ensure sufficient financial control;**

b. **take all reasonable steps to ensure that these policies and procedures, where appropriate, are communicated to, and understood and followed by, its Directors, staff and volunteers (where relevant); and**

c. **ensure that these policies and procedures are reviewed and updated at least once every two years.**

d. **boards shall adopt policies and practices that:**

- **Foster openness and debate amongst Directors; and**
- **Set out clear expectations with respect to the running of Board meetings and direct behaviour.**

POLICIES cont'd

The financial policies and procedures of an Association are an important part of the overall control framework. Effective policies and procedures, that are understood by the Directors, staff and volunteers will help to ensure effective management of the Association's finances. The financial policies should be appropriate for the Association but would be reasonably expected to include policies covering:

- Controls on expenditure – who can spend what and with whose authority;
- Controls on travel and subsistence – when and what can be claimed for travel and subsistence;
- Exercising budgetary control – who can spend how much and on what, and what expenditure needs
- special permission;
- Banking – how income is banked, who can authorise direct debits and how bank accounts are reconciled;
- Procurement – how an Association ensures that effective competitive procurement processes are in place
- where appropriate; and
- Reserves – target levels and how these will be monitored.

A policy around reserves is an important element of the financial management and forward financial planning and a policy would usually establish the target level of reserves for an Association to hold. This level will vary from Association to Association, and the policy on reserves would set out why a certain level is appropriate for that Association and therefore why holding these reserves is necessary. The reserves policy is explained in the the Financial Management County FA Operating Guidance Manual (see link below). Communication of the relevant policies to staff and volunteers will be important for ensuring that the policies are understood and followed. Associations may want to consider including relevant policies within their

induction processes and making policies readily accessible via an intranet page or staff handbook.
A Board's effectiveness is determined not only by who sits on it, but also what it does and how it acts. To garner the benefits brought by having a diverse Board with independent non-executive Directors, it is important that each Director feels they can offer their view in a trusted environment where different opinions are respected.

Any policies and practices adopted by the Board should therefore foster an environment where Directors feel they can openly debate matters and are clear about how meetings are run and what is expected of them. As noted under **Requirement 1.17**, the Chair plays a key role in ensuring the right environment exists and that meetings are run according to the policies and practices that have been agreed by the Board. It is recommended that this be evidenced through a Board Code of Conduct.

Tools/Resources

- See **Appendix 3: County FA Board of Directors' Handbook Index – Template**
- See **Appendix 5: Example of Director and Council Member Code of Conduct**
- See **Appendix 10: County FA Finance Director Role Profile – Template**
- Refer to the **Financial Management County FA Operating Guidance Manual v1.6 HERE**

FINANCIAL STRATEGY

Requirement 5.4

Each association must prepare annual accounts which;

(a) Comply with legal requirements and recognised accounting standards;

(b) Give specific disclosure of income received from public investors and

(c) Clearly account for the expenditure of such funding;

(d) Are audited (unless otherwise agreed by The FA); and

(e) Are published on the organisation's website.

Most Associations will be required to follow the accounting standards set out under UK Generally Accepted Accounting Principles (GAAP). Responsibility for the approval of the accounts rests with the Board and Directors should also ensure that the annual accounts are transparent and understandable to members, funders and the general public. In addition to the requirements under UK GAAP, as a recipient of public funds, the annual accounts of each Association should provide visibility of the income received from The Football Association via a note, together with an analysis of expenditure against that income.

As laid out in section 7 of the County FA funding agreement, the County FA must have its accounts independently audited annually. This can be undertaken by a 'reporting accountant', but in any case such accountant must be wholly independent of the Association. Accounts are to be published where it is easily accessible to members and the public, for instance on the Association's website.

Tools/Resources

- See **Appendix 10: County FA Finance Director Role Profile – Template**
- Refer to the **Financial Management County FA Operating Guidance Manual v1.6 HERE**

Requirement 5.5

The Board shall be responsible for ensuring that it and the organisation have the relevant competence and qualifications in financial matters.

As well as ensuring it has the relevant financial skills and expertise among its group of Directors, the Board is also responsible for ensuring staff have the relevant financial competence and qualifications to meet their obligations. This might include seeking assurances periodically from the Senior Leadership Team that appropriately qualified staff are employed and have access to relevant information and training to maintain professional competency in financial matters.

Tools/Resources

- See **Appendix 10: County FA Finance Director Role Profile – Template**
- Refer to the **Financial Management County FA Operating Guidance Manual v1.6 HERE**

FINANCIAL STRATEGY cont'd

Requirement 5.6

The Board must actively plan and regularly monitor the financial position and performance of the organisation. Key elements to this would be:

a. **setting an annual budget and regular review of management accounts;**

b. **regular review of updated cash flow forecasts; and**

c. **regular review of financial risks and mitigations**

The Board should present a fair and transparent assessment of the Association's long term position and future prospects.

This includes establishing a strategic plan and making judgements about the longer term financial viability and direction of the Association. Typically the strategic plan and financial forecast would be for a minimum of 3 years and aligned to The FA Grassroots Football Strategy. The Board should have processes in place to monitor progress against that plan and the one year budget and how they will put in place remedial action if required. Many Associations in the sporting sector have relied on public funding to contribute to their ongoing administration costs.

Boards should ensure that their strategy includes a balanced assessment of ways that they might realistically seek alternative sources of funding or could engage with other partners to deliver shared objectives. Examples would include engaging members, the public or private sector on sponsorship opportunities or commercialisation of sporting rights.

RISK MANAGEMENT AND INTERNAL CONTROL

Requirement 5.7

The association shall maintain risk management and internal control systems, which are regularly reviewed and monitored to ensure they are effective and provide reasonable assurance.

The Board is responsible for determining the nature and extent of the principal risks that it is willing to take in achieving its strategic objectives. The Board should ensure there are processes to:

- Consider and maintain a record of identified risks;
- Agree appropriate steps in order to mitigate their potential impact;
- Monitor and review the risk management systems; including detailed risk assessments ; and
- Focus on those risks which could threaten the Association's financial position, strategic objectives, reputation and future performance.

Boards may wish to consider scheduling "deep dives" into these higher level risks on a regular basis, to ensure appropriate assurance is in place for mitigation and contingency planning in relation to those risks.

The Board should describe in their annual report the principal risks and how they are being managed and mitigated. Risks may include financial, operational, reputational, behavioural , safeguarding or external risks. Financial approval levels are an example of a financial risk. See Financial Operating Guidance Manual for further information.

RISK MANAGEMENT AND INTERNAL CONTROL cont'd

Tools/Resources
• See **Appendix 45: Guidance on the use of Risk Registers and Safeguarding Risks** • See **Appendix 46: Safeguarding Risk Assessment Tool – Template** • See **Appendix 47: Sport England: Risk Policy for a Small Association** • Refer to Kingston James Charities toolkit: a toolkit for effective risk management **HERE**. • See **Appendix 58: County FA Business Continuity Plan template exemplar** • Refer to the **Financial Management County FA Operating Guidance Manual v1.6 HERE**

ENVIRONMENTAL SOCIAL GOVERNANCE

Requirement 5.8

The Board shall ensure it factors the impacts on stakeholders, wider society and the environment into the decisions it makes and the actions implemented by the organisation. The Board should encourage and influence stakeholders to adopt a similar approach.

- The impact an organisation makes on society, the environment, its stakeholders and the economy is often referred to a environmental social governance (ESG) or corporate social responsibility (CSR). Having effective CSR/ESG programmes contributes positively to all stakeholders as well as adding value to the organisation itself and ensures that it operates in a sustainable way.
- Stakeholders are increasingly interested in an organisation's approach in this area. Organisations are encouraged to think about information they can share in this respect (e.g. any organisational policies related to sustainability, actions taken and / or performance delivered, partnerships formed to support sustainable practices).

Tools/Resources
• See **Appendix 45: Guidance on the use of Risk Registers and Safeguarding Risks** • See **Appendix 46: Safeguarding Risk Assessment Tool – Template** • See **Appendix 47: Sport England: Risk Policy for a Small Association** • Refer to Kingston James Charities toolkit: a toolkit for effective risk management: **HERE** • See **Appendix 58: County FA Business Continuity Plan template exemplar** • Refer to the **Financial Management County FA Operating Guidance Manual v1.6 HERE**


The FA
FOR ALL
COUNTY FA
CODE OF
GOVERNANCE

06

COUNTY FA CODE OF GOVERNANCE SURGERIES


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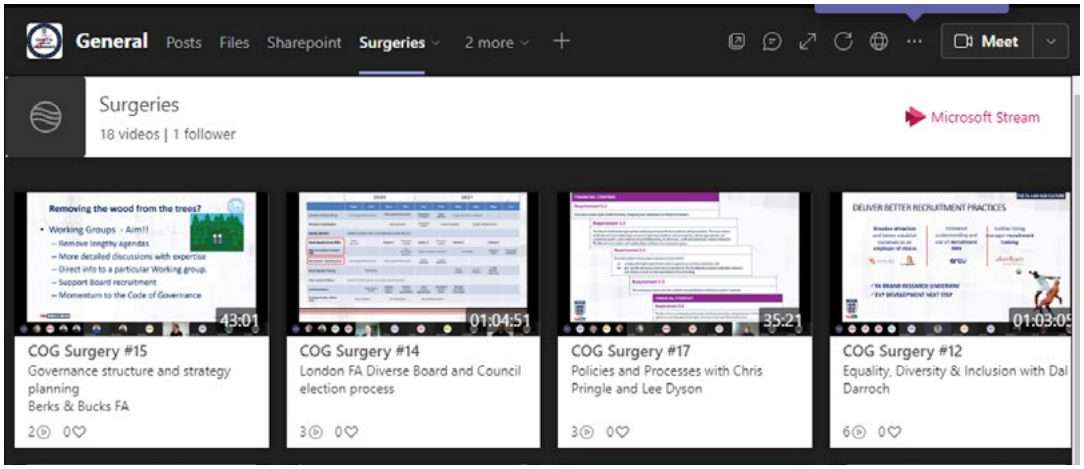
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COUNTY FA CODE OF GOVERNANCE SURGERIES

Since the introduction of the Code of Governance, regular themed surgeries have taken place for County FAs. These have been recorded and are available to replay **here.**

The surgery themes are as follows:

- Role of boards (Manchester FA)
- Recruiting independent board members (North Riding FA)
- Approaching the Code of Governance and understanding local demographics (Norfolk FA)
- Developing a truly board owned strategy (London FA)
- The surgery resumed in September with a session on Articles with Richard McDermott (The FA)
- Board Recruitment and Induction (Suffolk FA)
- The Role of the Chair (Association of Chairs)
- Board Skills Audit process (North Riding FA)
- Progress to good governance and better diversity (Jersey FA)
- Conflicts of Interest (The FA)
- A guide to providing evidence in the compliance framework (Wiltshire FA)
- Equality, diversity & inclusion overview (The FA)
- Diverse & independent Board Members (Herefordshire FA)
- Managing diverse Board and Council elections (London FA)
- Governance structure and strategy planning (Berks & Bucks FA)
- Communications in good governance (The FA)
- Managing Policy Processes (The FA)
- Board reporting (Derbyshire FA)
- Stakeholder engagement (Hampshire FA and Birmingham FA)
- Board led strategies (Lincolnshire FA)
- Gathering Evidence (The FA)
- Charitable Status considerations (The FA)
- Dorset FA sharing their approach to good governance & achieving the Code (Dorset FA)
- Board recruitment via the Perrett Laver pilot (Lincolnshire FA)
- Chair and Senior Independent Director recruitment via the Perrett Laver pilot (Surrey FA)
- Perrett Laver reporting on the pilot with 6 CFAs
- Worcestershire and Middlesex FA share their experiences and positive outcomes of Board recruitment (Worcestershire FA & Middlesex FA)
- Surrey FA achieves the Code of Governance & a guide to The Annual Report (Surrey FA & The FA)
- A review of governance progress 21-22 and what's to come in 22-23 (The FA)
- 3 more Code compliant CFAs (London FA, Cornwall FA and Norfolk FA) & a guide to Diversity and Inclusion Action Plans (DIAPs) by The FA



07 APPENDICES



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APPENDIX 1

County FA Code of Governance Articles of Association – Template and Guidance Notes

County FA Code of Governance Articles of Association – Template

Company Number: *[insert]*

THE COMPANIES ACT 2006

COMPANY LIMITED BY GUARANTEE

ARTICLES OF ASSOCIATION

OF

[INSERT COUNTY ASSOCIATION NAME]

PART 1: INTERPRETATION

1. Defined Terms

In the Articles, unless the context requires otherwise:

"1986 Act" – or any numbered section of it, means the **Insolvency Act 1986** or such section as amended, restated or re-enacted from time to time;

"Act"– or any numbered section of it, means the **Companies Act 2006** or such section as amended, restated or re-enacted from time to time;

"Articles" – means the Association's articles of association, as amended from time to time;

"Association" – means the county football association called ***[insert name]***;

"chairman" – has the meaning given in Article 13;

"chairman of the meeting" – has the meaning given in Article 28;

[Option if Article 16.1.5 used: **"council elected director"** – means a director appointed in accordance with Article 16.1.5;]

[Option if Article 40.1 used: **"council terms"** – means any standing orders or terms of reference regulating the conduct of business of council adopted by the council from time to time pursuant to Article 40.1;]

"director" – means a director of the Association;

"document" or "notice" – includes, unless otherwise specified, any document or notice sent or supplied by electronic communication;

"elected director" – means a director appointed in accordance with Article 16.1.1;

"electronic communication" – means any document or information sent or supplied in electronic form within the meaning of section 1168 of the Act;

"the Football Association" – means the company called "Football Association Limited" registered in England and Wales with company registration number 00077797;

"the Football Association Council" – means the Council of the Football Association;

"member" – has the meaning given in section 112 of the Act;

"model articles" – means the model articles of association for a private company limited by guarantee set out in Schedule 2 of the **Companies (Model Articles) Regulations 2008 (SI2008/3229)** and any amendment or replacement from time to time;

"objects" – the Association's objects as set out in Article 2;

"ordinary resolution" – has the meaning given in section 282 of the Act and includes such a resolution passed by written resolution;

"proxy notice" – has the meaning given in Article 34;

"Rules" – means the provisions for the regulation of football matters known as the "Rules of The Football Association Limited" as applicable from time to time and any regulations, standing orders, decisions, rulings, findings, penalties or orders of any nature made pursuant to the Rules;

"secretary" – means the Association secretary (if any) and includes any joint, assistant or deputy secretary;

"senior independent director" – has the meaning given in Article 16.4;

"special resolution" – has the meaning given in section 283 of the Act and includes such a resolution passed by written resolution;

"statutes" – means the Act and every other statute or statutory instrument, law or regulation for the time being in force and concerning companies in so far as they apply to the Association;

"writing" – means the representation or reproduction of words, symbols or other information in a visible form by any method or combination of methods, whether sent or supplied in electronic form or otherwise; and

[Option if Article 40.3 used: **"youth council terms"** – means any standing orders or terms of reference regulating the conduct of business and membership of youth council adopted by the youth council from time to time pursuant to Article 40.3;].

1.1 Words denoting the singular number include the plural number and vice versa; words denoting the masculine gender include the feminine gender; and words denoting persons include bodies corporate (however incorporated) and unincorporated, including unincorporated associations of persons and partnerships.

1.2 Unless the context otherwise requires, other words or expressions contained in these Articles bear the same meaning as in the Act.

1.3 The model articles shall not apply to the Association.

PART 2: OBJECTS

2. Objects

The primary objects for which the Association is established is to operate the county football association and promote participation in amateur football in ***[insert location]***, but this shall not restrict the objects of the Association. The directors may do all such other things in furtherance of these objects as they consider fit.

PART 3: APPLICATION OF INCOME AND PROPERTY AND DIRECTORS' BENEFITS

3. Application of Income and Property

3.1 The income and property of the Association shall be applied solely towards the promotion of the objects, and no part thereof shall be paid or transferred directly or indirectly, by way of dividend, bonus or otherwise by way of profit, to the members of the Association. This does not prevent:

3.1.1 A member of the Association receiving a benefit from the Association in the capacity of a beneficiary of the Association; or

3.1.2 Reasonable and proper remuneration to any member of the Association for any goods or services provided to the Association.

4. The Association

4.1 The members and directors of the Association shall so exercise their rights, powers and duties and shall where appropriate use their best endeavours to ensure that others conduct themselves so that the business affairs of the Association are carried out in accordance with the Rules for the time being in force.

4.2 *[Option for County FA to consider:* No proposed alteration to the provisions set out herein shall be effective unless the proposed alteration has been approved in writing by the Football Association 14 days or more before the day on which the alteration is proposed to take place.]

5. Conflicts of Interest

5.1 A director must declare to the other directors any situation of which he or she is aware in which he or she has, or could have, a direct or indirect interest that conflicts, or might conflict, with the interests of the Association unless the situation cannot reasonably be regarded as likely to give rise to a conflict of interest.

5.2 An interest of a director to be disclosed under Article 5.1 may be declared at a meeting of directors, by notice in writing pursuant to section 184 of the Act or by means of a general notice under section 185 of the Act.

5.3 If a conflict of interest arises for a director and the conflict is not authorised by virtue of any other provision in the Articles, the remaining directors may authorise such a conflict of interest if each of the following conditions is satisfied:

5.3.1 The director is absent from the part of any meeting at which there is discussion of the conflict of interest, including any arrangement or transaction affecting that other organisation, company or person;

5.3.2 The director does not vote on any such matter and is not to be counted when calculating whether a quorum of directors is present at the meeting; and

5.3.3 The remaining directors are satisfied and agree that it is in the interests of the Association to authorise the conflict of interest which has arisen.

PART 4: DIRECTORS

DIRECTORS' POWERS AND RESPONSIBILITIES

6. Directors' General Authority

The directors are responsible for the management of the Association's business, for which purpose they may exercise all the powers of the Association and do on behalf of the Association all such acts as may be done by the Association as are not by statutes or by the Articles required to be done by the Association in a general meeting.

7. Directors may Delegate

7.1 Subject to the Articles, the directors may delegate any of the powers which are conferred on them under the Articles:

7.1.1 To such person or committee;

7.1.2 By such means (including by power of attorney);

7.1.3 To such an extent;

7.1.4 In relation to such matters or territories; and

7.1.5 On such terms and conditions, as they think fit.

7.2 Any such delegation may authorise further delegation of the directors' powers by any person to whom they are delegated.

7.3 The directors may revoke any delegation in whole or part or alter its terms and conditions.

8. Committees

8.1 Committees to which the directors delegate any of their powers must contain at least one director and must follow procedures which are based as far as they are applicable on those provisions of the Articles which govern the taking of decisions by directors.

8.2 The directors may make rules of procedure for all or any committees, which prevail over any rules or bye-laws derived from the Articles if they are not consistent with them.

8.3 As a minimum the directors shall maintain an equality committee and any other committees required by the Rules from time to time. The directors shall also maintain an audit committee and a nominations committee unless the directors consider it appropriate for the directors to act in place of such committees, as well as such other committees as the directors consider necessary to support them.

DECISION-MAKING BY DIRECTORS

9. Meetings of Directors

9.1 Subject to the provisions of these Articles, the directors may meet together for the despatch of business, adjourn and otherwise regulate their meetings as they think fit.

9.2 At any time any director may, and the secretary on the requisition of a director shall, summon a meeting of the directors.

9.3 Any such notice shall specify where, when and how the meeting is to be held. Any director may waive notice of any meeting and such waiver may be retrospective.

9.4 All acts done in good faith by any meeting of the directors or of any committee shall, notwithstanding it being discovered afterwards that there was some defect in the appointment or continuance in office of any such persons or that they or any of them were disqualified, be as valid as if every such person had been duly appointed or had duly continued in office and was qualified to be a director or member of the committee as the case may be.

10. Quorum for Meetings and Voting

10.1 The quorum necessary for the transaction of business of the directors may be fixed from time to time by the directors and, unless so fixed at any other number, shall be two.

10.2 A meeting of the directors at which a quorum is present shall be competent to exercise all powers and discretions for the time being exercisable by the directors.

10.3 Questions arising at any meeting of the directors shall be determined by a majority of votes. In case of an equality of votes the chairman shall have a second or casting vote.

11. Participation in Directors' Meetings

11.1 Subject to the Articles, directors "participate" in a directors' meeting, or part of a directors' meeting, when:

11.1.1 The meeting has been called and takes place in accordance with the Articles; and

11.1.2 They can each communicate to the others any information or opinions they have on any particular item of the business of the meeting.

11.2 In determining whether directors are participating in a directors' meeting, it is irrelevant where any director is or how they communicate with each other.

11.3 If all the directors participating in a meeting are not in the same place, they may decide that the meeting is to be treated as taking place wherever any of them is.

12. Resolutions in Writing

12.1 A resolution executed by all the directors, or by all the members of a committee constituted under these Articles, shall be as valid and effectual as if it had been passed at a meeting of the directors, or (as the case may be) at a meeting of that committee, which in every case was duly convened and held.

12.2 For the purposes of this Article 12:

12.2.1 A resolution shall consist of one or more written instruments or one or more electronic communications sent to an address specified for the purpose by the secretary, or a combination of them, provided that each such written instrument and electronic communication (if more than one) is to the same effect;

12.2.2 A written instrument is executed when the person executing it signs it;

12.2.3 An electronic communication is executed when the person executing it sends it provided that it has been authenticated in such manner (if any) as the secretary shall prescribe;

12.2.4 The directors, or (as the case may be) members of a committee constituted under these Articles, need not execute the same written instrument or electronic communication;

12.2.5 A resolution shall be effective when the secretary certifies that sufficient evidence has been received by him or her that the resolution has been executed in accordance with this Article 12; and

12.2.6 If no secretary is appointed, the chairman shall perform the functions of the secretary under this Article 12.

13. Chairing of Directors' Meetings

13.1 The members may appoint a director to chair directors' meetings (the "chairman"). The chairman shall not be the chief executive officer of the Association (or any equivalent office holder).

13.2 The chairman shall immediately cease to hold such appointment upon ceasing to be a director.

13.3 If the chairman is not participating in a directors' meeting within ten minutes of the time at which it was to start, the participating directors must appoint one of themselves to chair it.

14. Records of Decisions to be Kept

The directors must ensure that the Association keeps a record, in writing, for at least 10 years from the date of the decision recorded, of every decision taken by the directors.

APPOINTMENT AND RETIREMENT OF DIRECTORS

15. Number of Directors

15.1 The number of directors shall be subject to a maximum of 12.

15.2 No less than one third of the directors from time to time shall be independent.

15.3 ***[Option where Council section used:*** The number of council elected directors shall not exceed one third of the directors holding office from time to time.]

16. Methods of Appointing Directors

16.1 Save as otherwise provided in the Articles, the directors of the Association shall be:

16.1.1 Such persons as the Association may by ordinary resolution appoint who are willing to act to as a director;

16.1.2 Such other persons as the directors may from time to time co-opt to the board of directors on a temporary basis, provided that any co-opted director shall not be entitled to hold office for a period of longer than one year save in exceptional circumstances documented by the directors;

16.1.3 ***[Option (where appointing the Equality Committee Director as a full Director and not just as an observer):*** one member of the equality committee established pursuant to Article 8.3;]

16.1.4 ***[Insert any specific office holders who should be Directors (e.g. CEO, Treasurer), noting that it is recommended that the CEO is on the board – Counties to determine;]***

16.1.5 ***[Insert any specific process for appointment from Council – Counties to determine].***

16.2 No person may be appointed as a director:

16.2.1 Unless he or she has attained the age of 18 years; or

16.2.2 In circumstances such that, had he or she already been a director, he or she would have been disqualified from acting under the provisions of Article 18.

16.3 ***[Option (where only appointing Equality Committee Director as an observer):*** The equality committee established pursuant to Article 8.3 shall be entitled to appoint one member who is not otherwise a director to attend directors' meetings as an observer. In this capacity, he or she shall be entitled to receive notice of, and attend and speak at, all directors' meetings and to receive copies of all board papers as if he or she were a director, but shall not be entitled to vote on any resolutions proposed, shall not count towards the quorum for the meeting or have any rights of a director and shall not hold himself or herself out as a director in any way.]

16.4 The directors shall nominate an independent non-executive director to act as the senior independent director. The senior independent director shall act as a sounding board for the chairman, serve as an intermediary for the other directors when necessary, act as an alternative contact for members of council if the normal channels of communication to the directors through the chairman or the Association's executive team fail to resolve matters or where the use of such channels may be inappropriate, and lead on the process of appraising the performance of the chairman.

17. Term of Office

17.1 At the third annual general meeting following the date of his or her appointment, an elected director shall retire from office and may offer himself or herself for re-appointment by the members. Elected directors shall not be entitled to offer themselves for re-appointment at more than two annual general meetings at which he or she is eligible for re-appointment in accordance with this Article, provided that:

17.1.1 An elected director may stand for further re-election and serve for a period of up to twelve years from the date of his or her first appointment as a director if he or she is appointed as chairman or appointed to the Football Association Council during his or her term of office as a director; and

17.1.2 The board may in exceptional circumstances permit an elected director to hold office for a period up to a further year beyond the date on which he or she would otherwise have retired without being eligible for re-appointment in accordance with this Article.

17.2 ***[Option (where a Director is appointed from Council):*** At the council meeting immediately preceding the third anniversary of his or her appointment as a council elected director, a council elected director shall retire from office as a director and may offer himself or herself for re-appointment by council. Council elected directors shall not be entitled to offer themselves for re-appointment at more than two such council meetings at which he or she is eligible for re-appointment

in accordance with this Article, subject to the exceptions in Articles 17.1.1 and 17.1.2 also applying to council elected directors in the same way as elected directors].

17.3 If a director retires pursuant to Article 17.1 ***[or 17.2]***, he or she shall not be eligible for re-appointment to the board until a period of four years has passed from the date of his or her retirement.

17.4 The term limits in Article***[s]*** 17.1 ***[and 17.2]*** shall apply retrospectively from the date of the relevant director's appointment, whether before the date of adoption of these Articles or not.

18. Termination of Director's Appointment

A person ceases to be a director:

18.1 If he or she ceases to be a director by virtue of any provision of the Act or he or she becomes prohibited by law from being a director;

18.2 If he or she has a bankruptcy order made against him or is declared bankrupt by any court of competent jurisdiction or where he or she makes any arrangement or composition with his or her creditors generally or applies for an interim order under section 253 of the 1986 Act in connection with a voluntary arrangement under the 1986 Act;

18.3 If he or she dies or he or she is, or may be, suffering from mental disorder and either:

18.3.1 He or she is admitted to hospital in pursuance of an application for admission for treatment under the Mental Health Act 1983 or any similar law in any jurisdiction; or

18.3.2 An order is made by a court having jurisdiction (whether in the United Kingdom or elsewhere) in matters concerning mental disorder for his or her detention or for the appointment of a receiver, curator bonis or other person to exercise powers with respect to his or her property or affairs;

18.4 If by notice in writing to the Association he or she resigns (but only if at least two directors remain in office when the notice of resignation is to take effect);

18.5 If such person is subject to a decision of the Football Association that such person be suspended from holding office or from taking part in any football activity relating to the administration or management of a football club;

18.6 ***[Option for the County FA to consider:*** if he or she no longer complies with the provisions of any regulations of the Football Association relating to "Owners and Directors" as shall be in force from time to time pursuant to paragraph J(1)(f) of the Rules;]

18.7 If he or she is the subject of a decision of the Football Association, UEFA or FIFA that he or she be suspended permanently or for a specified period from taking part in football management and/or football administration and/or any football related activity pursuant to any applicable disciplinary provisions under the rules or statutes of UEFA or FIFA (as appropriate);

18.8 If he or she no longer complies with a declaration of good character given by the director upon taking office or the Association's directors' code from time to time;

18.9 If he or she ceases to hold office by reason of any order made under the Company Directors Disqualification Act 1986 or by virtue of any provision of the statutes;

18.10 If he or she is removed by the members of the Association by a majority vote;

18.11 If he or she is convicted of any criminal offence, other than any minor motoring or similar offence that cannot reasonably damage the reputation of the Association; or

18.12 Where he or she is an ex officio director, if he or she ceases to hold the office by which he or she became entitled to be a director.

19. Directors' Indemnity

19.1 Subject to the provisions of the Act, and so far as may be consistent with the statutes:

19.1.1 Every director and every other officer other than the Association's auditor or the reporting accountant may be indemnified out of the assets of the Association against all costs, charges, losses, expenses and liabilities incurred by him or her in the actual or purported execution and/or discharge of his or her duties and/or the actual or purported exercise of his or her powers and/or otherwise in relation to, or in connection with, his or her duties, powers or offices, in each case to the extent permitted by section 232 of the Act; and

19.1.2 The Association may also provide funds to any director or any other officer (other than the Association's auditor or reporting accountant) or do anything to enable a director or such other officer to avoid incurring expenditure, in each case in the manner permitted by and subject to the restrictions required by section 205 of the Act.

PART 5: MEMBERS

BECOMING AND CEASING TO BE A MEMBER

20. Applications for Membership

20.1 The subscribers to the memorandum shall be members of the Association.

20.2 No person shall become a member of the Association unless:

20.2.1 That person has completed an application for membership in a form approved by the directors; and

20.2.2 That person has paid the annual subscription.

20.3 The directors may from time to time establish rules for membership of the Association setting out, inter alia, criteria for membership, categories of membership, rights and obligations of members, and fees payable by members, provided that such rules do not:

20.3.1 Conflict with the articles; and

20.3.2 Allow open membership to all without discrimination on any grounds.

21. Termination of Membership

21.1 A person shall immediately cease to be a member (provided that at least one member remains on the Register of Members thereafter):

21.1.1 If the member is removed by notice in writing to the Association signed by a majority of the remaining members;

21.1.2 If by notice in writing to the Association, the member resigns his or her membership;

21.1.3 If he or she dies; or

21.1.4 If he or she fails to pay any subscription as soon as it is due and payable.

22. Transfer of Membership

Membership of the Association is not transferable.

ORGANISATION OF GENERAL MEETINGS

23. General Meetings

The directors may whenever they think fit convene a general meeting and shall, following requisition in accordance with the Act, proceed to convene a general meeting in accordance therewith.

24. Calling General Meetings

24.1 A general meeting of the Association shall be called by at least 14 days' clear notice.

24.2 The Association may give such notice by any means or combination of means permitted by the Act.

24.3 A general meeting, notwithstanding that it has been called by a shorter notice than that specified above, shall be deemed to have been duly called if it is so agreed by a majority in number of the members having a right to attend and vote at the meeting, being a majority who together hold not less than 90 per cent of the total voting rights.

25. Notice of General Meetings

25.1 Every notice calling a general meeting shall specify the place and the day and hour of the meeting.

25.2 There shall appear with reasonable prominence in every such notice a statement that a member entitled to attend and vote is entitled to appoint a proxy to attend, speak and vote instead of him and that a proxy need not be a member of the Association.

25.3 The text of each special resolution to be proposed at the general meeting shall be set out in the notice. Either the text of, or sufficient information to enable a member to understand the purpose of, each ordinary resolution shall be set out in the notice.

26. Attendance and Speaking at General Meetings

26.1 A person is able to exercise the right to speak at a general meeting when that person is in a position to communicate to all those attending the meeting, during the meeting, any information or opinions which that person has on the business of the meeting.

26.2 A person is able to exercise the right to vote at a general meeting when:

26.2.1 That person is able to vote, during the meeting, on resolutions put to the vote at the meeting; and

26.2.2 That person's vote can be taken into account in determining whether or not such resolutions are passed at the same time as the votes of all the other persons attending the meeting.

26.3 The directors may make whatever arrangements they consider appropriate to enable those attending a general meeting to exercise their rights to speak or vote at it.

26.4 In determining attendance at a general meeting, it is immaterial whether any two or more members attending it are in the same place as each other.

26.5 Two or more persons who are not in the same place as each other attend a general meeting if their circumstances are such that if they have (or were to have) rights to speak and vote at that meeting, they are (or would be) able to exercise them.

27. Quorum for General Meetings

If the Association only has one member that member shall be a quorum. In any other case two members entitled to vote upon the business to be transacted or one-tenth of the total number of such persons for the time being, whichever is the greater, shall be a quorum. A proxy or an authorised representative of a member shall count for the purposes of the quorum. No business other than the appointment of the chairman of the meeting is to be transacted at a general meeting if the persons attending it do not constitute a quorum.

28. Chairing General Meetings

28.1 If the members have not appointed a chairman, or if the chairman is unwilling to chair the meeting or is not present within ten minutes of the time at which a meeting was due to start:

28.1.1 The directors present; or

28.1.2 (If no directors are present) the meeting, must appoint a director or member to chair the meeting, and the appointment of the chairman of the meeting must be the first business of the meeting.

28.2 The person chairing a meeting in accordance with this Article is referred to as "the chairman of the meeting".

29. Attendance and Speaking by Directors and Non-Members

29.1 Directors may attend and speak at general meetings, whether or not they are members.

29.2 The chairman of the meeting may permit other persons who are not:

29.2.1 Members of the Association; or

29.2.2 Otherwise entitled to exercise the rights of members in relation to a general meeting, to attend and speak at a general meeting.

30. Adjournment

30.1 If the persons attending a general meeting within half an hour of the time at which the meeting was due to start do not constitute a quorum, or if during a meeting a quorum ceases to be present the chairman of the meeting must adjourn it.

30.2 The chairman of the meeting may adjourn a general meeting at which a quorum is present if:

30.2.1 The meeting consents to an adjournment; or

30.2.2 It appears to the chairman of the meeting that an adjournment is necessary to protect the safety of any person attending the meeting or ensure that the business of the meeting is conducted in an orderly manner.

30.3 The chairman of the meeting must adjourn a general meeting if directed to do so by the meeting.

30.4 When adjourning a general meeting, the chairman of the meeting must:

30.4.1 Either specify the time and place to which it is adjourned or state that it is to continue at a time and place to be fixed by the directors; and

30.4.2 Have regard to any directions as to the time and place of any adjournment which have been given by the meeting.

30.5 If the continuation of an adjourned meeting is to take place more than 14 days after it was adjourned, the Association must give at least 7 clear days' notice of it (that is, excluding the day of the adjourned meeting and the day on which the notice is given):

30.5.1 To the same persons to whom notice of the Association's general meetings is required to be given; and

30.5.2 Containing the same information which such notice is required to contain.

30.6 No business may be transacted at an adjourned general meeting which could not properly have been transacted at the meeting if the adjournment had not taken place.

VOTING AT GENERAL MEETINGS

31. Voting: General

A resolution put to the vote of a general meeting must be decided on a show of hands unless a poll is duly demanded in accordance with the Articles.

32. Errors and Disputes

32.1 No objection may be raised to the qualification of any person voting at a general meeting except at the meeting or adjourned meeting at which the vote objected to is tendered, and every vote not disallowed at the meeting is valid.

32.2 Any such objection must be referred to the chairman of the meeting, whose decision is final.

33. Poll Votes

33.1 A poll on a resolution may be demanded:

33.1.1 In advance of the general meeting where it is to be put to the vote; or

33.1.2 At a general meeting, either before a show of hands on that resolution or immediately after the result of a show of hands on that resolution is declared.

33.2 A poll may be demanded by:

33.2.1 The chairman of the meeting;

33.2.2 The directors;

33.2.3 Two or more persons having the right to vote on the resolution; or

33.2.4 A person or persons representing not less than one tenth of the total voting rights of all the members having the right to vote on the resolution.

33.3 A demand for a poll may be withdrawn if:

33.3.1 The poll has not yet been taken; and

33.3.2 The chairman of the meeting consents to the withdrawal.

33.4 Polls must be taken immediately and in such manner as the chairman of the meeting directs.

34. Content of Proxy Notices

34.1 Proxies may only validly be appointed by a notice in writing (a "proxy notice") which:

34.1.1 States the name and address of the member appointing the proxy;

34.1.2 Identifies the person appointed to be that member's proxy and the general meeting in relation to which that person is appointed;

34.1.3 Is signed by or on behalf of the member appointing the proxy, or is authenticated in such manner as the directors may determine; and

34.1.4 Is delivered to the Association in accordance with the Articles and any instructions contained in the notice of the general meeting to which they relate.

34.2 The Association may require proxy notices to be delivered in a particular form and, subject to the Act, by a particular time and may specify different forms for different purposes.

34.3 Proxy notices may specify how the proxy appointed under them is to vote (or that the proxy is to abstain from voting) on one or more resolutions.

34.4 Unless a proxy notice indicates otherwise, it must be treated as:

34.4.1 Allowing the person appointed under it as a proxy discretion as to how to vote on any ancillary or procedural resolutions put to the meeting; and

34.4.2 Appointing that person as a proxy in relation to any adjournment of the general meeting to which it relates as well as the meeting itself.

35. Delivery of Proxy Notices

35.1 A person who is entitled to attend, speak or vote (either on a show of hands or on a poll) at a general meeting remains so entitled in respect of that meeting or any adjournment of it, even though a valid proxy notice has been delivered to the Association by or on behalf of that person.

35.2 An appointment under a proxy notice may be revoked by delivering to the Association a notice in writing given by or on behalf of the person by whom or on whose behalf the proxy notice was given.

35.3 A notice revoking a proxy appointment only takes effect if it is delivered before the start of the meeting or adjourned meeting to which it relates.

35.4 If a proxy notice is not executed by the person appointing the proxy, it must be accompanied by written evidence of the authority of the person who executed it to execute it on the appointor's behalf.

36. Amendments to Resolutions

36.1 An ordinary resolution to be proposed at a general meeting may be amended by ordinary resolution if:

36.1.1 Notice of the proposed amendment is given to the Association in writing by a person entitled to vote at the general meeting at which it is to be proposed not less than 48 hours before the meeting is to take place (or such later time as the chairman of the meeting may determine); and

36.1.2 The proposed amendment does not, in the reasonable opinion of the chairman of the meeting, materially alter the scope of the resolution.

36.2 A special resolution to be proposed at a general meeting may be amended by ordinary resolution if:

36.2.1 The chairman of the meeting proposes the amendment at the general meeting at which the resolution is to be proposed; and

36.2.2 The amendment does not go beyond what is necessary to correct a grammatical or other non-substantive error in the resolution.

36.3 If the chairman of the meeting, acting in good faith, wrongly decides that an amendment to a resolution is out of order, the chairman's error does not invalidate the vote on that resolution.

37. Resolutions in Writing

37.1 A resolution executed by such number of members as would have been required to vote for the resolution had it been proposed in general meeting at which all of the members were present and voting shall be as valid and effectual as if it had been passed at a general meeting duly convened and held.

37.2 For the purposes of this Article 37:

37.2.1 A resolution shall consist of one or more written instruments or one or more electronic communications sent to an address specified for the purpose by the secretary, or a combination of them, provided that each such written instrument and electronic communication (if more than one) is to the same effect;

37.2.2 A written instrument is executed when the person executing it signs it;

37.2.3 An electronic communication is executed when the person executing it sends it provided that it has been authenticated in such manner (if any) as the secretary shall prescribe;

37.2.4 The members need not execute the same written instrument or electronic communication;

37.2.5 A resolution shall be effective when the secretary certifies that sufficient evidence has been received by him or her that the resolution has been executed in accordance with this Article 37;

37.2.6 If no secretary is appointed, the chairman shall perform the functions of the secretary under this Article 37;

37.2.7 The resolution must be accompanied by a statement informing the member how to signify his or her agreement to it and the date by which this is to be done; and

37.2.8 A proposed written resolution will lapse if it is not passed before 28 days from the circulation date.

PART 6: COUNCIL AND YOUTH COUNCIL

[Part 6 is optional depending whether the County FA has a Council or an alternative structure, and should be adapted to reflect the makeup of the particular County FA]

38. Bodies

38.1 There shall be a body known as the council of ***[insert name of County FA]***.

38.2 The following shall be members of council:

38.2.1 ***[County FA to insert as appropriate]***

38.3 ***[Note: to be reviewed against full council provisions in the Articles and any standing orders]*** Any person who holds a position on council other than as a current representative of a stakeholder group of the Association shall only be entitled to be an honorary member of council, entitled to attend but not vote at council meetings.

38.4 There shall be a body known as the youth council of ***[insert name of County FA]***, to represent the interests of young people.

39. Term Limits

39.1 Each council member shall serve as a council member from the date of his or her appointment until his or her replacement or vacation of office in accordance with these Articles. A council member shall serve office for a maximum of ***[two terms of four years] [three terms of three years]***, at which point he or she shall retire. Each term shall run from the date of his or her appointment or most recent re-appointment until the council meeting immediately preceding the end of the time period of a term of office at which point, subject to any provisions of any council terms, he or she shall be eligible for re-appointment at such council meeting.

39.2 A council member who is a director shall be entitled to remain on council as an honorary member of council, entitled to attend but not vote at council meetings, for such period beyond which he or she would otherwise be required to retire in accordance with Article 39.1 as he or she remains a director.

39.3 The board may in exceptional circumstances where a suitable replacement cannot be found permit a council member to serve for a further term of the same length as set out in Article 39.1 beyond the date on which he or she would otherwise have retired without being eligible for re-appointment in accordance with Article 39.1.

40. Powers of Council and Youth Council

40.1 ***[Note: optional for each County FA to determine the detail regarding the conduct of business of Council and Youth Council. It can either be set out in the Articles, or in standing orders or terms of reference. If wishing to set out the parameters of the Council in this section, the recommended starting point is adapting the County FA's existing council provisions for inclusion in this section]*** Subject to approval of the directors, the council

may amend or adopt standing orders or terms of reference regulating the conduct of business of council ("council terms").

40.2 The council shall have the powers set out in ***[Article 40.1][the Council terms]***, and may have rights to consult and challenge the directors on matters agreed in ***[Article 40.1] [the Council terms]***, but in no event can the council make any decision on any financial or commercial matter or override the ultimate decision making authority and powers of the directors.

40.3 Subject to approval of the directors, the youth council may amend or adopt standing orders or terms of reference regulating the business and membership of youth council ("youth council terms").

40.4 The youth council shall have the powers set out in ***[Article 40.1][the Youth Council terms]***, and may have rights to consult and challenge the directors on matters agreed in ***[Article 40.1][the Youth Council terms]***, but in no event can the youth council make any decision on any financial or commercial matter or override the ultimate decision making authority and powers of the directors.

PART *[7]*: LIABILITY OF MEMBERS AND DISSOLUTION

41. Liability Of Members

41.1 Each member undertakes that, if the Association is wound up while he or she is a member or within one year after he or she ceases to be a member, he or she will contribute an amount to the assets of the Association as may be required for:

41.1.1 Payment of the Association's debts and liabilities contracted before he or she ceases to be a member;

41.1.2 Payment of the costs, charges and expenses of winding up; and

41.1.3 Adjustment of the rights of the contributories among themselves, provided that such amount shall not in aggregate exceed £1.

PART *[8]*: ADMINISTRATIVE ARRANGEMENTS

42. Means of Communication to be Used

42.1 Subject to the Articles, anything sent or supplied by or to the Association under the Articles may be sent or supplied in any way in which the Act provides for documents or information which are authorised or required by any provision of that Act to be sent or supplied by or to the Association.

42.2 Subject to the Articles, any notice or document to be sent or supplied to a director in connection with the taking of decisions by directors may also be sent or supplied by the means by which that director has asked to be sent or supplied with such notices or documents for the time being.

42.3 A director may agree with the Association that notices or documents sent to that director in a particular way are to be deemed to have been received within a specified time of their being sent, and for the specified time to be less than 48 hours.

43. When Notice or Other Communications are Deemed to Have Been Received

43.1 Any notice, document or information sent or supplied by the Association to the members or any of them:

43.1.1 By post, shall be deemed to have been received 24 hours after the time at which the envelope containing the notice, document or information was posted unless it was sent by second class post, or there is only one class of post, or it was sent by air mail to an address outside the United Kingdom, in which case it shall be deemed to have been received 48 hours after it was posted. Proof that the envelope was properly addressed, prepaid and posted shall be conclusive evidence that the notice, document or information was sent;

43.1.2 By being left at a member's registered address, or such other postal address as notified by the member to the Association for the purpose of receiving Association communications, shall be deemed to have

been received on the day it was left;

43.1.3 By electronic means, shall be deemed to have been received 24 hours after it was sent. Proof that a notice, document or information in electronic form was addressed to the electronic address provided by the member for the purpose of receiving communications from the Association shall be conclusive evidence that the notice, document or information was sent; and

43.1.4 By making it available on a website, shall be deemed to have been received on the date on which notification of availability on the website is deemed to have been received in accordance with this Article or, if later, the date on which it is first made available on the website.

44. Secretary

A secretary may be appointed by the directors for such time, at such remuneration and upon such conditions as the directors may think fit, and any secretary so appointed may be removed by the directors. The directors may from time to time by resolution appoint an assistant or deputy secretary, and any person so appointed may act in place of the secretary if there be no secretary or no secretary capable of acting.

45. Accounts

45.1 The directors shall cause proper and adequate books of account to be kept to enable accounts to be prepared which comply with the relevant provisions of the Act and the statutes. Proper and adequate books shall not be deemed to be kept and/or deemed sufficient if there are not kept such books of account as are necessary to give a true and fair view of the state of the affairs of the Association, to show and explain its transactions and to disclose with reasonable accuracy at any time, the financial position of the Association at any time.

45.2 The books of account shall be kept at the registered office of the Association, or, subject to section 388 of the Act, at such other place or places as the directors shall think fit and shall always be open to the inspection of any director.

45.3 The Association must, pursuant to section 423 of the Act, send a copy of its annual accounts and reports for each financial year to every member, to every holder of the Association's debentures and to every person who is entitled to receive notice of general meetings. Copies need not be sent to a person for whom the Association does not have a current address as defined in section 423 of the Act.

45.4 The Association must, pursuant to section 424 of the Act, comply with the obligations set out at Article 45.3 not later than:

45.4.1 The end of the period for filing accounts and reports to the Registrar of Companies; or

45.4.2 If earlier, the date on which the Association actually delivers its accounts to the Registrar of Companies.

46. No Right to Inspect Accounts and Other Records

Except as provided by law or authorised by the directors or an ordinary resolution of the Association, no person is entitled to inspect any of the Association's accounting or other records or documents merely by virtue of being a member.

47. Rules and Bye-Laws

The directors may from time to time make (and vary) such rules or bye-laws as they may deem necessary or expedient or convenient for the proper conduct and management of the Association and for the purposes of prescribing (a) classes of and conditions of membership and (b) the rights, privileges and obligations of membership, whether statutory membership or otherwise. The members shall have power to alter, add to or repeal any such rules or bye-laws and the directors shall adopt such means as they think sufficient to bring to the notice of the members all such rules or bye-laws, which shall be binding on all members provided that no rule or bye-law shall be inconsistent with, or shall affect or repeal anything contained in, these Articles.

County FA Code of Governance Articles of Association – Guidance Notes

Introduction

Articles of Association are a key constitutional document of a company, setting out its basic management and administrative structure. They regulate the internal affairs of the company including, for example, powers and duties of directors, and meeting and voting requirements.

County FAs are now subject to The FA's Code of Good Governance ("**Code**"), which draws on the Tier 3 Principles of Sport England's Code on Sports Governance. To assist you in meeting the Five Principles of Good Governance under the Code, we have prepared a template set of Articles for you to adapt to fit the particular needs of your County FA ("**Association**").

This guidance note is intended to assist you with reviewing and adapting the Articles, and ultimately to adopt a new set of Articles to meet the requirements of the Code. It should be read alongside the Code, noting in particular that the Code includes cross-references to the relevant provisions of the Articles which address a particular Requirement of the Code. It is recommended that you take legal advice on the completion and adoption of these template Articles. In particular, it is likely that Associations will have their own Council provisions, which will need to be incorporated into the Articles. This is considered further in the guidance notes below.

Administrative requirements

Once the Articles have been adapted to meet the requirements of your Association, they can be adopted by special resolution of the members (section 21, Companies Act 2006). The special resolution and the new articles will need to be filed at Companies House.

A memorandum of association is required for a company limited by guarantee, but there is no need to restate the memorandum of association when adopting new articles. If the Associations were incorporated under the Companies Act 1985, the existing memorandum is automatically deemed to form part of the articles. If the current objects of an Association (as set out in the existing memorandum) are altered or deleted through the adoption of the new articles, a Form CC04 will need to be filed at Companies House.

The articles of some County FAs require that The FA approve any proposed changes to the articles. If this is the case, please send them to The FA Company Secretary. If the articles do not include this requirement, please notify The FA of the changes you are proposing to make.

Guidance

Article(s)	Subject matter	Additional guidance
1–1.2	• Provides definitions and explanations of terms frequently used throughout the Articles. • Where defined terms are not set out in the list at Article 1, their meaning will be in accordance with the Companies Act 2006.	• This list is non-exhaustive, and you should consider whether any additional drafting will require you to add to the terms in Article 1.
1.3	• The model articles are a default set of articles of association which are provided by the government as a starting point for companies to adopt and / or tailor. The model articles are disapplied here.	
2	• Clarifies the purposes towards which the Association will work, and the limits within which the directors and members should act.	• The objects should be your starting point when determining whether acts committed by or on behalf of a director or member are in the best interests of the Association. • Refer to **Principle 01** of the Code ("Structure").
3	• States the permitted and restricted applications of the Association's assets, including an express prohibition on operating as 'for-profit' companies. • Article 3 does allow for payments to beneficiaries and goods or services providers (e.g. you may use the Association's income to pay staff wages, or to cover overheads).	

ARTICLES RELATING TO DIRECTORS

Article(s)	Subject matter	Additional guidance
4	• Directors must act in the best interests of the Association and in compliance with the FA rules and regulations, and must ensure that those carrying out services on their behalf do the same. • An optional Article for your Association to determine is whether any changes you intend to make to these Articles (whether on adoption or at a later date) must first be approved by The FA. This is not a strict requirement of The FA.	• Refer to **Principle 01** of the Code ("Structure").

ARTICLES RELATING TO DIRECTORS cont'd		
Article(s)	**Subject matter**	**Additional guidance**
5	• Concerns a director's interest in a proposed transaction or arrangement with the Association and provides that each director must declare the nature and extent of any such interest to the other directors. • Even after making a declaration of interest, the director cannot count in the quorum or vote on any resolution concerning that transaction or arrangement.	
6	• Gives the directors adequate authority and autonomy to fulfil the Association's objects (see: Article 2) and to conduct necessary business on its behalf. Consistent with the Code, the directors must have ultimate decision making power. • It also confirms that this authority can be capped by law or the Articles themselves, including any provision in the Articles for certain decisions or transactions to be done or authorised by member consent only.	• Refer to **Principle 01** of the Code ("Structure").
7–8	• Ultimate responsibility rests with the directors, but the Articles do allow for delegation (and sub-delegation) including to committees. • Article 8 sets out the requirements for the existence and governance of committees.	• Refer to **Principle 01** of the Code ("Structure"). • You do not need to prescribe every committee to whom the board delegate responsibilities in the Articles. However, per **Principle 01** of the Code, equality, audit and nominations committees should be considered.
9	• Lays out the procedural requirements for the calling and holding of a board meeting. (See: means of communication at Articles 43-44, below.)	
10	• Sets out the minimum number of directors who must be present in order to conduct a board meeting (a "quorum"). • It confirms the votes required in order to determine a question arising at such a meeting. • It also provides for the chairman to have the casting vote in the event of a deadlock.	

ARTICLES RELATING TO DIRECTORS cont'd		
Article(s)	**Subject matter**	**Additional guidance**
11	• Allows for directors to attend and vote at board meetings without attending in-person (e.g. by conference call). (See: position for members at Article 26, below.)	
12	• Permits and explains the process for directors' votes to be cast other than in-person at a board meeting.	
13	• Allows for the appointment of a chairman or appointment of a meeting chair (e.g. where no chairman has been appointed or where the chairman is unavailable). • Stipulates that a non-director cannot be appointed as chairman.	• Refer to **Principle 01** of the Code ("Structure").
14	• States the minimum requirements for the keeping of board meeting records.	• This is a minimum under the Articles, but you should ensure that you also meet any requirements under other applicable laws or regulations (e.g. those imposed by statute).

ARTICLES RELATING TO DIRECTORS cont'd		
Article(s)	**Subject matter**	**Additional guidance**
15–16	• Deals with the composition of and appointment of the board of directors. • Prescribes a maximum of 12 directors, not less than one third being independent and not more than one third being elected from council. • Sets out methods of appointing directors, including by ordinary resolution, co-opting on a temporary basis, and other appointments from council.	• This section will need to be tailored to the specific circumstances of your Association. • Refer to **Principle 01** of the Code ("Structure"). There are certain diversity requirements under **Principle 02** which should be complied with, but are not considered as matters to include in the Articles. • Refer to **Principle 02** of the Code ("People"). You should consider any specific office holders who should be directors (e.g. CEO or treasurer). It is recommended that the CEO is on the board. • The template Articles do not define "independence", but please refer to the Appendix in the Code for a definition. Council elected directors are not independent. • You should consider whether any additional processes to reflect appointments from council should be set out. • You should specify whether your equality director will be a full director or just an observer.

ARTICLES RELATING TO DIRECTORS cont'd		
Article(s)	**Subject matter**	**Additional guidance**
17	• Sets out the duration of a director's time in office, as well as the requirements for retirement and re-election.	• Refer to **Principle 01** of the Code ("Structure"). Term limits are set as the default position in the template Articles. If these are being amended, you should ensure these are compliant with the term limits in the Code. • Company registers should accurately reflect the appointment dates of directors and should be maintained. • This Article applies to appointments pre-dating the Articles, so you will need to consider how long existing directors have already been in office for and whether they may continue to stand or will be required to undergo re-election or to retire.
18	• Provides a list of the circumstances in which a director's appointment will be automatically ended (e.g. by a legal or regulatory prohibition, or on bankruptcy). • Allows for members to vote to remove a director.	• Refer to **Principle 01** of the Code ("Structure"). • Refer to **Principle 02** of the Code ("People"). One of the termination triggers is where the director fails to comply with its declaration of good character per **Principle 02**. • Refer to **Principle 04** of the Code ("Standards and Conduct").
19	• Provides that the Association may pay the expenses incurred by a director.	

ARTICLES RELATING TO MEMBERS		
Article(s)	**Subject matter**	**Additional guidance**
20	• Establishes the formalities for admission as a member. • It gives the board of directors the authority to set the applicable rules and fees.	• The directors should regularly review the rules for admission to ensure that they meet the needs of the Association at that time (e.g. to encourage diversity if there is a lack of minority representation or reduce fees if there is a need to attract more members).
21	• Lays out the conditions under which a member will be removed (e.g. on failure to pay the applicable fees). • It also includes a mechanism for the other members to demand the removal of a member.	
22	• Prohibits membership to be transferred to any third party.	
23–25	• Set out the procedures for calling and convening a general meeting of the members. • Article 24 includes a process by which members may shorten the notice period required to call a specific general meeting (e.g. to authorise that the Association conduct particularly time-sensitive business). • Article 25 includes requirements as to the form and contents of the notice to call a general meeting.	
26–27	• State the minimum number of members who must be present in order to conduct a general meeting. • Article 26 also confirms that members can attend and vote at meetings without attending in-person (e.g. by conference call). (See: position for directors at Article 11, above.)	
28	• Mandates that a chairman must be in place or must be appointed at the meeting before any further business may be transacted. • It also states the appointment process for the chairman of a general meeting.	
29	• Gives directors and permitted third parties (at the discretion of the chairman) the right to attend and speak at a general meeting.	

ARTICLES RELATING TO MEMBERS cont'd		
Article(s)	**Subject matter**	**Additional guidance**
30	• Explains the circumstances in which a general meeting may be temporarily suspended by the chairman. • It also sets out how the adjournment must be carried out and what information must be provided by the chairman at the time of the adjournment.	
31–32	• Confirms the voting process at general meetings. • The default position is that votes will be counted as one vote per member (i.e. by "show of hands").	
33	• States when and how to demand that a vote is conducted differently from the default position of a vote per member (see: Article 31, above). Instead votes will be allocated and counted according to the number of votes held by each member (i.e. by "poll").	
34–35	• A proxy notice alerts the other members that a member will not be attending a general meeting but wishes to appoint another (specified) member or third party to attend, speak and vote at that general meeting in accordance with his / her wishes. • The Articles set out the requisite form and contents of a proxy notice, as well as how and when it must be delivered to the Association in order for it to be deemed valid.	
36	• Confirms the process necessary to make any non-material alterations to a previously proposed ordinary or special resolution.	
37	• Permits and explains the process for members' votes to be cast other than in-person at a general meeting. (See: similar process for casting directors' votes outside of board meetings at Article 12, above.)	

ARTICLES RELATING TO THE ESTABLISHMENT AND FUNCTIONING OF A COUNCIL AND YOUTH COUNCIL		
Article(s)	**Subject matter**	**Additional guidance**
38	• The Association may elect a "Council" to oversee the work and governance of the Association and act as a system of checks and balances on the board's powers. • This Article lays out the composition of the Council, stating those members who will hold attendance and voting rights at Council meetings. It also provides for former Council members to continue to attend, but not vote at, Council meetings. • The Association shall elect a youth council to represent the interests of young people.	• This is an optional section that will need to be tailored specifically to your Association. • Refer to **Principle 01** of the Code ("Structure"). • The Code does not offer any opinion nor recommendation as to whether a County Football Association should have a Council or an alternative structure. You should therefore consider your particular requirements and determine whether to adopt a Council or other structure, and document this in your Articles. • The template Articles allow for flexibility by setting out detail regarding the conduct of business of council in separate standing orders or terms of reference. It is for the County FA to consider how prescriptive the Articles should be as regards the council. If wishing to set out the parameters of the council in this section, the recommended starting point is adapting the County FA's existing council provisions for inclusion in this section.

ARTICLES RELATING TO THE ESTABLISHMENT AND FUNCTIONING OF A COUNCIL AND YOUTH COUNCIL cont'd		
Article(s)	**Subject matter**	**Additional guidance**
39	• Clarifies for how long a Council member is permitted to hold office and whether or not he can be re-elected after this period.	• Refer to **Principle 01** of the Code ("Structure"). The template Articles have set term limits as the default (based on either 3 x 3 year, or 2 x 4 year terms). • Company registers should accurately reflect the appointment dates of Council members and should be maintained.
40	• Establishes where and how the powers and functions of the Council and Youth Council will be set out. It requires these terms to be written and to be authorised by the board. • It also caps these powers and functions in order to ensure ultimate authority remains with the board.	• It is optional for each County FA to determine the detail regarding the conduct of business of Council and Youth Council. It can either be set out in the Articles, or in standing orders or terms of reference. • If you intend to set out the parameters of the Council in this Article, the recommended starting point is adapting your existing Council provisions for inclusion in this section.

ARTICLES RELATING TO MISCELLANEOUS MATTERS		
Article(s)	**Subject matter**	**Additional guidance**
41	• Stipulates for which matters, for how long and up to what threshold members will be held liable to the Association. • Members will not need to meet this liability whilst the Association is a going concern, but it will become applicable in the event of the Association being wound up with debts remaining due.	
42–43	• Specifies in what form the Association may communicate with its directors and members. The Articles allow for hard copy, electronic or website communication, but subject always to each director or member first consenting to the method of communication adopted. • The Articles also set out how to calculate the delivery times and dates for each communication.	
44	• Allows the directors to elect to appoint, remunerate and remove a company secretary, as well as a deputy and / or assistant secretary.	• The Articles do not demand a secretary be appointed and it is not a statutory requirement. However, it is recommended in order to ensure the Association meets all of its administrative and regulatory responsibilities, such as Companies House filings and maintenance of company registers.
45–46	• Sets out the accounting requirements of the Association, including which records must be kept, where they must be kept, and to whom they must be sent and when.	
47	• Gives the directors the power to make, vary and revoke any Association rules or bye-laws at their discretion. • It also expressly sets out the Articles' priority over any such Association rules and bye-laws by preventing the directors from exercising this power in a way which would repeal or be in conflict with the Articles.	

APPENDIX 2

Example of Authority Scheme of Delegation (Updated October 2021)

1. Introduction

The Delegated Authorities (or schedule of delegations) is a key control document for The Company and compliance with it at all times is mandatory.

The schedule sets out who can:

(i) Enter the Company into a spending commitment

(ii) Authorise payments.

Failure to comply with any of the requirements of the Delegated Authorities policy could be classified as gross misconduct and could lead to dismissal.

2. Policy Statement

Delegated authorities have been established on the basis that the primary control point is when placing the order or awarding the grant, and not the payment process.

A Delegated authority is required for the following activities:

- To enter the Company into a spending commitment on grants, goods and services, on gifts and hospitality;
- The approval of payments of authorised expenditure on grants, goods and services, travel and subsistence and on gifts and hospitality;
- The approval of purchase ledger payments;
- The physical signing of cheques;
- The electronic authorisation required to transfer funds to a third party.

3. Qualification/Exemptions

These arrangements apply to:

- All Company employees including those seconded from other Companies.
- All staff placed through agencies e.g. interims, contractors, temporary staff.
- The Company Board.
- The Sub Committees of the Company Board.
- The Council of the Company.
- The Independent members of The Company's Committees and Advisory Groups.

4. Implementation Responsibilities

Staff should ensure that they are aware of their delegated authority in the course of entering the Company into a spending commitment or when authorising payments. Staff members acting in a higher position are not automatically delegated authority.

All staff who have a delegated authority will receive a formal letter outlining their limits. The staff member will be requested to sign and return their acceptance of this authority, and will need to provide a specimen signature for The Company's records to Finance.

In considering any decision to enter into a spending commitment or approve payments, full compliance with The Company's Conflict of Interest policy is mandatory.

Overview

The following table depicts the authorisation process that is in place.

Area of Authority	Limits Applied	Designated Persons
Board member expenses		Chair of Board or Finance Director
Order for goods and services	Up to £250 Up to £500 Up to £1000 Up to £5000 Over £5000	
Petty Cash expenditure	Up to £15 Over £15	Line Manager CEO/Finance Director
Safe keys		Office Manager
Bank account	May depend on existing arrangements and whether simple or complex mandate	Finance Director Finance Director/CEO/Chair (combination of two signatories)
Staff Expenses		
Purchase of office equipment	Up to £250 £250 to £2500 Over £2500	Office Manager (or equivalent) CEO Chair or Board
Legal Documents		CEO/Chair
Leases on equipment		CEO/Finance Director

APPENDIX 3

County FA Board of Directors' Handbook Index – Template

Board Handbook Contents

- Articles of Association
- Standing Orders
- Schedule of reserved matters
- The FA County FA Code of Governance
- Board terms of reference
- Organogram
- Corporate Governance structure (Board, Council, Standing Committees)
- List of staff and contact details
- Business Strategy
- Annual Operational Plan
- Annual Report
- List of committee members and contact details
- Register of Interests form
- Board Code of Conduct
- Board Conflict of Interest Policy
- Chairman, Director and CEO Job description
- Role of the Senior Independent Director
- Matters reserved for the Board
- Scheme of Delegation
- Role profiles
- Duties and Liabilities of being a Director of a Company Limited by Guarantee
- Written statement of responsibilities
- Committee remits (if expected to sit on any Committees)

Board Policies

- Board Expenses Policy
- Board Remuneration Policy
- Board Induction Policy and Procedures
- Board and Committee Evaluation Policy and Procedures
- Board Training Policy
- Board Stakeholder Engagement Policy
- Board Recruitment Policy and Procedure
- Complaints procedure
- Gifts and Hospitality Register
- Internet, Email and Social Media Policy
- Equality Policy
- Conflicts of Interest Policy
- Financial Procedures
- Grievance Policy
- Risk Assessment Form
- Policy for Safeguarding Children, Young People and Adults at Risk
- Data Protection Policy
- Anti-Fraud and Anti-Corruption Policy
- Health and Safety Policy
- Risk Management Policy
- Bribery Prevention, Gifts and Hospitality Policy
- Information Technology Policy
- Whistleblowing Policy
- Customer Charter
- Human Resource policies

APPENDIX 4

Companies Act 2006 – Duties of a Director

The following text is a verbatim lift of the relevant numbered clause in the Companies Act 2006.

170. Scope and nature of general duties

1. The general duties specified in sections 171 to 177 are owed by a Director of a company to the company.
2. A person who ceases to be a Director continues to be subject:
   (a) To the duty in section 175 (duty to avoid conflicts of interest) as regards the exploitation of any property, information or opportunity of which he became aware at a time when he was a Director; and
   (b) To the duty in section 176 (duty not to accept benefits from third parties) as regards things done or omitted by him before he ceased to be a Director.

   To that extent those duties apply to a former Director as to a Director, subject to any necessary adaptations.
3. The general duties are based on certain common law rules and equitable Principles as they apply in relation to Directors and have effect in place of those rules and Principles as regards the duties owed to a company by a Director.
4. The general duties shall be interpreted and applied in the same way as common law rules or equitable Principles, and regard shall be had to the corresponding common law rules and equitable Principles in interpreting and applying the general duties.
5. The general duties apply to a shadow Director of a company where and to the extent that they are capable of so applying.

171. Duty to act within powers

A Director of a company must:

(a) Act in accordance with the company's constitution, and
(b) Only exercise powers for the purposes for which they are conferred.

172. Duty to promote the success of the company

1. A Director of a company must act in the way he considers, in good faith, would be most likely to promote the success of the company for the benefit of its members as a whole, and in doing so have regard (amongst other matters) to:
   (a) The likely consequences of any decision in the long term,
   (b) The interests of the company's employees,
   (c) The need to foster the company's business relationships with suppliers, customers and others,
   (d) The impact of the company's operations on the community and the environment,
   (e) The desirability of the company maintaining a reputation for high standards of business conduct, and
   (f) The need to act fairly as between members of the company.
2. Where or to the extent that the purposes of the company consist of or include purposes other than the benefit of its members, subsection (1) has effect as if the reference to promoting the success of the company for the benefit of its members were to achieving those purposes.
3. The duty imposed by this section has effect subject to any enactment or rule of law requiring Directors, in certain circumstances, to consider or act in the interests of creditors of the company.

173. Duty to exercise independent judgment

1. A Director of a company must exercise independent judgment.
2. This duty is not infringed by his acting:
   (a) In accordance with an agreement duly entered into by the company that restricts the future exercise of discretion by its Directors, or
   (b) In a way authorised by the company's constitution.

174. Duty to exercise reasonable care, skill and diligence

1. A Director of a company must exercise reasonable care, skill and diligence.
2. This means the care, skill and diligence that would be exercised by a reasonably diligent person with:
   (a) The general knowledge, skill and experience that may reasonably be expected of a person carrying out the functions carried out by the Director in relation to the company, and
   (b) The general knowledge, skill and experience that the Director has.

175. Duty to avoid conflicts of interest

1. A Director of a company must avoid a situation in which he has, or can have, a direct or indirect interest that conflicts, or possibly may conflict, with the interests of the company.
2. This applies in particular to the exploitation of any property, information or opportunity (and it is immaterial whether the company could take advantage of the property, information or opportunity).
3. This duty does not apply to a conflict of interest arising in relation to a transaction or arrangement with the company.
4. This duty is not infringed:
   (a) If the situation cannot reasonably be regarded as likely to give rise to a conflict of interest; or
   (b) If the matter has been authorised by the Directors.
5. Authorisation may be given by the Directors:
   (a) Where the company is a private company and nothing in the company's constitution invalidates such authorisation, by the matter being proposed to and authorised by the Directors; or
   (b) Where the company is a public company and its constitution includes provision enabling the Directors to authorise the matter, by the matter being proposed to and authorised by them in accordance with the constitution.
6. The authorisation is effective only if:
   (a) Any requirement as to the quorum at the meeting at which the matter is considered is met without counting the Director in question or any other interested Director, and
   (b) The matter was agreed to without their voting or would have been agreed to if their votes had not been counted.
7. Any reference in this section to a conflict of interest includes a conflict of interest and duty and a conflict of duties.

176. Duty not to accept benefits from third parties

1. A Director of a company must not accept a benefit from a third party conferred by reason of:
   (a) His being a Director, or
   (b) His doing (or not doing) anything as Director.
2. A "third party" means a person other than the company, an associated body corporate or a person acting on behalf of the company or an associated body corporate.
3. Benefits received by a Director from a person by whom his services (as a Director or otherwise) are provided to the company are not regarded as conferred by a third party.
4. This duty is not infringed if the acceptance of the benefit cannot reasonably be regarded as likely to give rise to a conflict of interest.
5. Any reference in this section to a conflict of interest includes a conflict of interest and duty and a conflict of duties.

177. Duty to declare interest in proposed transaction or arrangement

1. If a Director of a company is in any way, directly or indirectly, interested in a proposed transaction or arrangement with the company, he must declare the nature and extent of that interest to the other Directors.
2. The declaration may (but need not) be made:
   (a) At a meeting of the Directors, or
   (b) By notice to the Directors in accordance with:
      (i) Section 184 (notice in writing), or
      (ii) Section 185 (general notice).
3. If a declaration of interest under this section proves to be, or becomes, inaccurate or incomplete, a further declaration must be made.
4. Any declaration required by this section must be made before the company enters into the transaction or arrangement.
5. This section does not require a declaration of an interest of which the Director is not aware or where the Director is not aware of the transaction or arrangement in question.

   For this purpose a Director is treated as being aware of matters of which he ought reasonably to be aware.
6. A Director need not declare an interest:
   (a) If it cannot reasonably be regarded as likely to give rise to a conflict of interest;
   (b) If, or to the extent that, the other Directors are already aware of it (and for this purpose the other Directors are treated as aware of anything of which they ought reasonably to be aware); or
   (c) If, or to the extent that, it concerns terms of his service contract that have been or are to be considered:
      (i) By a meeting of the Directors, or
      (ii) By a committee of the Directors appointed for the purpose under the company's constitution.

APPENDIX 5

Example of Director and Council Member Code of Conduct

1. Scope

1.1 This Code of Conduct ("Code") applies:

(i) To all Directors appointed to the Board of the Association;

(ii) All Members of The Council of the Association ("Council") as defined within the Association's Articles of Association ("Articles");

(iii) All individuals appointed to any committee or sub-committee of the Council or of a Board of the Association; and

(iv) Where so stated, to past Directors of the Association or past members of any committee or sub-committee of either a Board or Council.

1.2 The Code applies whenever a Director, Council Member or Committee Member is (i) conducting the business of the Association; (ii) conducting the business of the office to which they have been elected or appointed; and (iii) when they are acting as a representative or ambassador of the Association.

1.3 This Code is supplemental to and should be read in conjunction with: (i) the Articles; (ii) the Standing Orders for the Conduct of Business at Meetings of Council of the Association and Committees of a Board or Council ("Standing Orders"); and (iii) the terms of reference of any committee and/or sub-committee.

2. Accountability

You are accountable to the Association and must exercise your powers in accordance with your legal duties (where applicable) in good faith and for the benefit of the Association, its members, employees and the wider football family. You will be held accountable for your actions and your part in reaching decisions, and must submit yourself to whatever scrutiny is thought to be appropriate to your role.

3. Confidentiality

3.1 You must ensure that you handle confidential information in accordance with the law and with regard to the best interests and reputation of the Association.

3.2 You must not use confidential information for private purposes or to harm the Association or to maliciously damage the reputation of others, or disclose confidential information to the media or any other third party without the prior authority of the Chair or the Chief Executive Officer (or a nominee of either the Chair or Chief Executive Officer). This obligation continues indefinitely after you cease to hold any position referred to in paragraph 1.1 above.

3.3 Confidential information is any information which comes into your possession as a result of your Association role, which you know or ought reasonably to know is confidential including, without limitation, the personal data of individuals who are subject to regulatory proceedings.

4. Press and Media

4.1 You are not entitled to discuss or disclose any Association business with or to the press or wider media, unless:

(i) It is explicitly part of your remit; or

(ii) You are specifically authorised by the Association to do so.

4.2 If you receive any enquiries from the press or wider media about the Association you agree not to comment on behalf of the Association and to pass on the relevant information as soon as reasonably practicable to the Chief Executive Officer or Chair of the Association. If you are representing the views of another body as opposed to the Association on a matter affecting the Association, this must be made clear to the media and you should

inform the Chief Executive Officer or Chair of such media engagement. It is acknowledged that your position within the Association may be referred to by the media notwithstanding that you are not commenting on behalf of the Association.

5. Conflicts of interest

5.1 You agree to abide by the law, the articles of association of the Association, Standing Orders and relevant committee terms of reference relating to conflicts of interest. You must declare all conflicts of interest in advance and, if required, preclude yourself from participation where a material conflict of interest exists.

5.2 You must notify any actual or perceived conflicts of interest to the Chief Executive Officer of the Association through the annual declaration process and on an interim basis, as soon as reasonably practicable after becoming aware of the actual or perceived conflict, if your circumstances change.

6. Decision-making

6.1 Whilst you may properly be influenced by the views of others, including the body that has the right to appoint you to the Association, it is your responsibility to decide objectively, independently and in good faith what view to take, and how to vote.

6.2 Directors must act in the best interests of the Association in a manner consistent with their legal duties. In particular, a Director must exercise their duties in a way that they consider, in good faith, would be most likely to promote the success of the Association for the benefit of its members as a whole having regard (among other matters) to:

(i) The likely consequences of the decision in the long term;

(ii) The interests of employees;

(iii) The need to foster business relationships with suppliers, customers and others;

(iv) The impact of operations on the community and the environment;

(v) The desirability of maintaining a reputation for high standards of business conduct; and

(vi) The need to act fairly as between the relevant members of the Association.

6.3 You must not act outside the constitutional framework of the Association.

6.4 You should support the Principle of collective decision-making, accept a decision passed by the relevant threshold and support that decision. It is acknowledged that you may wish to convey your dissenting view to a decision to your relevant stakeholders through appropriate communication channels (including for example but without limitation at a Council Meeting) where such decisions may be the subject of further scrutiny or discussion. Such communications shall not be a breach of the Code provided they conform with your duties in relation to Confidentiality (paragraph 3) and Press and Media (paragraph 4). It is recognised that if the decision is not in accord with the views of the body you represent, you may publicly represent the views of that body on that issue.

7. Diligence

You must exercise reasonable skill, care and diligence in carrying out your duties, especially (but not limited to) preparing for and attending Board, Council, committee and sub-committee and other meetings.

8. Allowances and Expenses

You agree to abide by the Association's Expenses Policy as amended from time to time and must ensure that your claims are reasonable, accurate and honest and supported by appropriate documentation and that you do not use the Association's resources for your own, your family or friends' gain.

9. Gifts and Hospitality

You must not accept gifts, hospitality or other benefits from third parties that might reasonably be thought to influence, or be intended to influence, your judgement; or where to do so could bring discredit upon the Association. You will comply in all respects with the Association's Gifts and Hospitality Policy as amended from time to time.

10. Leadership

You should promote and support the Principles set out in this Code by leadership and example, always acting in such a way as to preserve confidence in the Association. You must not knowingly misrepresent the views or policies of the Association.

11. Treatment of Others

You must treat others with respect and dignity (including but not limited to the Association staff and volunteer workforce) and must not bully, harass, victimise or discriminate against any person(s) or do anything which would cause you or the Association to breach any of the equality enactments or could reasonably be considered as bringing the Association into disrepute.

12. Stewardship

You have a responsibility to play your part in complying with and ensuring that the Association uses its resources prudently and in accordance with the law, the articles of association of the Association, Standing Orders, Rules of The FA ("Rules"), regulations adopted by the Association and other constitutional documents of the Association.

13. Betting

You are deemed to be a Participant under The FA's Betting Rules and will comply in all respects with those Rules and any replacement of or amendment to them from time to time.

14. Social Media

When using social media, you must conduct your activity with professionalism, honesty, respect and good judgement and ensure that such conduct is not in any way detrimental to the Association. The provisions relating to Confidentiality (paragraph 3) and the Press and Media (paragraph 4) shall apply in respect to social media.

15. General Conduct and Behaviour

15.1 No code of conduct can be all-embracing and it is necessary to honour the spirit of the Code as well as its letter. Your behaviour should be honest, ethical, impartial and considerate, and dedicated to the development and good management of the Association. Should your conduct or behaviour fall below these standards, the Code may apply, notwithstanding that such conduct or behaviour is not covered explicitly above.

15.2 For the avoidance of doubt and, in exceptional circumstances only, the Code may also apply in respect of historical conduct or behaviour (which shall be limited to the period of time served in any role described in paragraph 1.1 above) and to actions carried out while not acting in an official Association capacity which could reasonably be considered as bringing the Association into disrepute.

16. Breach

16.1 If you are accused of a breach of this Code you will submit to the Association's disciplinary process which is set out in **Appendix 5.1**, and abide by the result (subject to any right of appeal included in that process).

16.2 In accordance with the Articles and the Standing Orders, a breach of this Code may result in removal from office.

Review

This Code shall be subject to review as required and at least every three years.

I agree to abide by this Code of Conduct:

Signature:..... Name:.....

Date:.....

Appendix 5.1

1. Procedure in the event of an alleged breach

In the event that an individual alleged to be in breach of the Code is an employee of the County FA (including the CEO) the relevant disciplinary processes as set out in the employee's contract and the Association's Disciplinary Policy shall be followed in the first instance.

In the event that an individual alleged to be in breach of the Code is a Participant (pursuant to the Rules as amended from time to time), the relevant disciplinary processes as set out in the Rules shall be followed in the first instance.

Nothing shall prevent any action being taken pursuant to the Code of Conduct or these procedures following the instigation of an employment or Rules related disciplinary process.

Where there are reasonable grounds to suspect that an individual has breached the Code, all relevant evidence shall be passed to the Chief Executive Officer ("CEO") of the County FA. Where the allegation is against the CEO, the relevant evidence should be passed to the Chair or a Board Director designated by the Chair ("designated person"). The CEO (or designated person) shall then as soon as reasonably practicable commence a four-part process:

1.1 **Decision on whether there should be an Interim Suspension or other appropriate interim action;**

1.2 **Investigation and Recommendation;**

1.3 **Decision and Sanction; and**

1.4 **Appeal Process.**

Each part of the process is more particularly described in paragraphs 1.1 to 1.4 below. Where considered appropriate, the Chair and a Vice-Chair or other Board Director of the County FA may jointly agree to vary the process set out in paragraphs 1.1 to 1.3, and the Chair may vary the Appeal Process set out in paragraph 5 (except where the Chair or the relevant Vice-Chair of the County FA is the subject of an ongoing disciplinary process). A variation to the process may include, but shall not be limited to, a person other than the CEO/designated person, or together with the CEO/designated person, leading the process as described below.

All parties involved in an investigation and related proceedings shall act in a spirit of cooperation to ensure that proceedings are conducted expeditiously, fairly and appropriately.

1.1 Decision on whether there should be an Interim Suspension or other appropriate interim action

Where there are reasonable grounds to suspect that an individual has breached the Code, the CEO/designated person shall have the power to order that the individual be suspended on an interim basis from his/her duties or that other appropriate interim action be taken pending an investigation. Any such power shall only be exercised in consultation with the Chair (or in the event that the Chair is the subject of the disciplinary process a suitable alternative that is agreed by the Vice-Chair of the County FA). A non-exhaustive list of factors to be considered when reaching this decision include:

(a) The strength of the evidence available;

(b) The seriousness of the alleged breach;

(c) Whether there are any relevant safety or welfare concerns to be considered; and

(d) Whether the individual is to fulfil any duties on Association business prior to a final decision being reached.

1.2 Investigation and Recommendation

1.2.1 The CEO/designated person shall carry out an investigation into all alleged breaches of the Code, which shall include (where practicable) giving the individual an opportunity to answer any allegations made. The CEO/designated person shall be entitled to request any reasonable support in conducting the investigation including for example but without limitation the appointment of a third party to assist in the investigation. The CEO/designated person or the alternative competent investigator assisting the CEO/designated person in the investigation will interview the individual and any witnesses to produce statements, which will be used in the formation of the recommendation. At the end of any investigation, the CEO/designated person shall consult with

the Chair (or if the Chair is the subject of the disciplinary process a suitable alternative that is agreed by the Board of the County FA (as appropriate) and then provide a written report (the "Report") to the individual which shall include the following:

(a) Details of which section(s) of the Code are alleged to have been breached;

(b) Details of relevant evidence to support the allegation(s); and

(c) The CEO/designated person's conclusion on whether there is sufficient evidence for the matter to proceed.

1.2.2 Upon receipt of the Report from the CEO/designated person, the individual shall be granted a reasonable opportunity to provide any further written submissions that he/she may wish to put forward prior to a final decision being reached by the "Deciding Panel" (see 1.3 below).

1.3 Decision and Sanction

1.3.1 The Chair (or if the Chair is the subject of the disciplinary process a suitable alternative that is agreed by the Vice-Chair of the County FA) shall constitute a "Deciding Panel" which shall comprise of at least two members and may include the Chair, the Vice-Chair of the Association, the Senior Independent Director or other persons (including persons independent from the Association). No person shall participate in the Deciding Panel where they have a conflict of interest.

1.3.2 Bearing in mind the nature of the matter before them, the Deciding Panel may appoint any third party, such as an expert in one of the protected characteristics under the Equality Act 2010, to provide them with guidance on any matter involving the alleged breach including for example but without limitation:

(i) Whether a breach may have occurred;

(ii) The severity of the breach; and/or

(iii) If relevant, an appropriate sanction.

1.3.3 The individual against whom the allegations are made shall have the opportunity to appear before the Deciding Panel if so requested by the individual. The Deciding Panel may also request that the individual appear before it if the Deciding Panel consider this to be necessary and appropriate. The individual may choose to be accompanied by a representative. If the individual chooses to have formal legal representation, this shall not be at the County FA's cost.

1.3.4 The Deciding Panel may speak directly with a complainant or witness or other persons as it may choose.

1.3.5 The Deciding Panel shall collectively decide, after considering the Report provided by the CEO/designated person, together with any written or oral submissions by the individual, complainant and any witnesses as well as the views of any third party whose guidance is sought, whether there has been a proven breach of the Code, and on any appropriate sanction.

1.3.6 The Deciding Panel shall consider the admissibility of anonymous evidence on a case by case basis in the context of the fairness of the proceedings as a whole and on the assumption that such anonymous evidence shall only be admissible in exceptional circumstances. In doing so, the Deciding Panel shall consider the significance of such evidence (for example, if the evidence is new or is available from other sources) and the reason(s) for the witness wishing to provide the evidence anonymously.

1.3.7 In reaching a decision the Deciding Panel shall apply the civil standard of proof being "the balance of probabilities".

1.3.8 The following non-exhaustive list of matters may be taken into account when considering the appropriate sanction:

(a) The severity of the breach of the Code;

(b) The manner in which the individual has acted following the alleged breach, including, for example, the manner in which the individual has co-operated with the investigation;

(c) Any other mitigating factors; and

(d) Whether the individual can continue to represent the County FA, including fulfilling his/her duties on the Board of the County FA, or Council or on any County FA Committee(s) with integrity and credibility.

1.3.9 Available sanctions may include, but are not limited to, any one or more of: a warning, censure, suspension of any nature and duration, or removal from office. The factors that the Deciding Panel shall consider when determining the appropriate sanction are set out in paragraph 1.3.8 above.

1.3.10 The individual shall be notified of the decision in writing with reasons.

1.4 Appeal Process

1.4.1 The individual may appeal against any finding that he/she has breached the Code, and/or against any sanction imposed following such a finding.

1.4.2 The notice of an appeal must be lodged with the Chair within 14 days of notification of the decision appealed against.

1.4.3 The notice of appeal must:

(a) Identify the specific decision(s) being appealed;

(b) Set out the grounds of appeal;

(c) Set out a statement of all of the facts and submissions upon which the appeal is based; and

(d) Confirm whether the individual requests an oral hearing.

1.4.4 The available grounds of appeal shall be only that:

(a) The Deciding Panel misinterpreted or failed to comply with the Code or any rules or regulations relevant to its decision;

(b) New evidence has come to light that was not available at the time of the original hearing;

(c) The Deciding Panel came to a decision to which no reasonable such body could have arrived at; and/or

(d) The Deciding Panel issued a sanction which is excessive.

1.4.5 The appeal shall be considered and finally determined by the Chair unless

(i) The Chair has been a member of the Deciding Panel in which case the appeal shall be considered by a nominee of the Chair; or

(ii) The appellant specifically requests that the appeal is determined by an Appeals Panel, in which case the Chair shall constitute such an Appeals Panel and the provisions of paragraphs 1.3.1 and 1.3.2 of this procedure shall apply.

In the event that an oral hearing is requested:

(a) The Chair shall have the right to appoint other persons to act as his/her advisers during the hearing. Such persons shall not, however, vote on the final decision which shall be the Chair's.

(b) The Chair may adopt such procedures as he/she considers appropriate and expedient for the just determination of any appeal, and shall not be bound by any enactment or rule of law relating to the admissibility of evidence in proceedings before a court of law.

(c) The individual appearing before the Chair may be accompanied by a representative (as per paragraph 1.3.3 above). Any such representative shall not be permitted to give evidence as a witness. The Chair may, in his/her discretion, appoint any person (who shall not be a professional legal adviser) ("the Respondent") to present the case against the individual. The Chair may also proceed in the absence of any party, unless he/she is satisfied that there are reasonable grounds for the failure of the party to attend, and shall do so in such manner as he/she considers appropriate.

1.4.6 Following consideration of the submissions of the parties (whether at an oral hearing or in writing), together with all documentary evidence presented, the Chair may:

(a) Allow or dismiss the appeal;

(b) Remit the matter to be considered again by the Deciding Panel;

(c) Exercise any power which the Deciding Panel could have exercised; or

(d) Make any further or other order considered appropriate, either generally, or for the purpose of giving effect to his/her decision.

1.4.7 In the event that the Chair is the subject of the disciplinary procedures, one of the Vice-Chair of the County FA shall be responsible for the application of the relevant procedures set out in 1.4 and the notice of appeal shall be lodged with the CEO.

2. Confidentiality/Publication of proceedings

2.1 Subject to paragraph 4.2 below, the investigation and any related proceedings shall be confidential between the County FA and the individual concerned.

2.2 The County FA shall have the power to publish in the public press, on a web site or in any other manner considered appropriate:

(i) The outcome of any investigation and related proceedings;

(ii) The details of any decision; and

(iii) The representations, submissions, evidence and documents created in the course of the investigation and related proceedings. Subject to their duty of confidentiality as set out in the Code, the individual may choose to make a public statement following the published outcome of the disciplinary process.

3. Arbitration

3.1 Subject to paragraph 3.2 below, any dispute or difference arising out of the Code of Conduct or these procedures shall be referred toThe Football Association.

3.2 Where there has been an alleged breach of the Code the individual that is alleged to have committed the breach may not commence an arbitration until such time as the process set out in paragraphs 1.1 to 1.4 above has been concluded.

APPENDIX 6

Example of a Board of Directors' Agenda

[Insert name] **COUNTY FOOTBALL ASSOCIATION LIMITED**

Date: ***[insert date]***

TO: ALL MEMBERS OF THE BOARD OF DIRECTORS

Dear Directors,

Please be advised that a meeting of the Board of Directors will be held on ***[X date]*** at the County FA headquarters, ***[insert address]*** from ***[insert start time]*** to ***[insert end time]***.

Agenda

Item	For Decision/ Discussion/ Noting	Enclosures	Lead
1. Chair's opening remarks			
2. Apologies			
3. Declarations of interest			
4. Minutes of the previous meeting			
5. Matters arising from previous meeting 5.1 Board Action Points 5.2 Any other matters arising not covered elsewhere on the agenda			
6. Business strategy objectives review			
7. Safeguarding Operating Standard update and review			
8. County FA operational plan delivery review			
9. Risk assessment review			

Item	For Decision/ Discussion/ Noting	Enclosures	Lead
10. Governance update 10.1 County FA Code of Governance compliance 10.2 Standing Committee reports 10.3 Inclusion Advisory Group report 10.4 Youth Council report 10.5 Policy updates			
11. Financial report 11.1 Monthly Accounts review 11.2 Cashflow update 11.3 Budget Update			
12. Insurance report			
13. Staffing report			
14. Property report 14.1 Premises 14.2 Office equipment 14.3 IT			
15. Health & safety report			
16. FA updates 16.1 National Game Board 16.2 FA Representative report 16.3 General executive updates			
17. Specific projects update (examples): • Commercial Plan • Communications Plan			
18. Date of next meeting			
19. Any other business			

Yours faithfully,

Signature:..... Name:.....

Chief Executive Officer

APPENDIX 7

Board Skills Audit

See link to template Board Skills Audit in MS Form

APPENDIX 8

Board Skills: Diagnostic and Evaluation – Independent Assessment Flow

The process flow applies when utilising the services of a Consultant to facilitate an Independent Assessment:

Item	Timeframe
County FA contacts The FA to request Independent Director Skills Diagnostic and Board Evaluation.	
The FA contacts consultant to commission the County FA Independent Board Evaluation and Skills Diagnostic.	
The FA Regional Manager engages consultant and the County FA Chair to ascertain availability.	
The FA Regional Manager confirms preferred dates with consultant.	
Consultant makes contact with the County FA Chair, provides a briefing note, the skills diagnostic self-assessment documentation and agrees the schedule and process for completion. Proposed schedule is 2 months from start to finish.	
County FA Chair sends self-assessment skills diagnostic to each Director with a deadline for completion.	
County FA Directors return the completed skills diagnostic self-assessment to the consultant.	
Consultant meets each County FA Director, reviews the skills diagnostic self-assessment and leads an interview.	
Consultant reviews the outcomes of the skills diagnostic self-assessment and interviews.	
Consultant interviews County FA Chief Executive Officer to review the outcomes and corroborate findings.	
Consultant interviews The FA Regional Manager (and any other FA staff seen as relevant) to review outcomes and corroborate findings.	
Consultant compiles a report regarding the skills set and competence of each Director and provides an evaluation of the overall Board to the County FA Chair, Chief Executive Officer and The FA Regional Manager within 14 days of final interview.	

Item	Timeframe
Consultant leads webinar debrief with County FA Chair, Chief Executive Officer and The FA Regional Manager to provide an overview of the report within 7 days of report being issued.	
Consultant provides final full Board report and personalised Director reports to Chair to circulate within 7 days of webinar.	
Chair, Chief Executive Officer and The FA Regional Manager meet to consider recommendations and agree process for developing the action plan.	
Chair and Chief Executive Officer establish action plan and share with Board.	
County FA executes action plan.	

The County FA has the option to use the Regional Manager as the consultant in this process, subject to the agreement of both parties. Please contact your Regional Manager to discuss this in the first instance.

APPENDIX 9

County FA Chief Executive Officer Role Profile – Template

Job Title	Chief Executive Officer
Reports to	Chair of the Board of Directors

Job Purpose
• To lead delivery of The FA Grassroots Football Strategy and the ***[Association]*** Business Strategy. • To be responsible and accountable for the day-to-day running of the ***[Association]***. • To spearhead the strategic direction and culture of the ***[Association]*** and act as an ambassador for grassroots football. • To perform the role of Senior Safeguarding Lead (SSL) as outlined in The FA's Safeguarding 365 for County FAs, overseeing effective safeguarding delivery across the ***[Association]*** and grassroots football. • To support the adoption of FA technology systems across grassroots football. • To comply with FA rules, regulations, policies, procedures and guidance that are in place from time to time.

Direct Reports	***[List the roles that report directly into this role]***

Location	***[Include office address and other options or requirements such as homeworking or additional travel to other locations or overnight stays.]***
Working hours	***[Hours per week, include whether any evening or weekend working is required. Are the hours per week flexible, would a job share be possible?]***
Contract type	***[Permanent or fixed term, fixed term to cover maternity, secondment etc.]***

Responsibilities
• Ensure the ***[Association]*** works within agreed organisational values and delivers against its strategic objectives. • Perform the duties of a Company Secretary and ensure that the ***[Association]*** complies with the requirements of the Companies Act 2006. • Ensure the principles of good governance are upheld by implementing and maintaining The FA's Code of Governance for County FAs. • Manage budgets through appropriate systems and processes and allocate resources to ensure that the ***[Association]*** operates within sound financial principles. • Maintain an oversight of all the ***[Association]*** policies and procedures, ensuring that they are reviewed annually and updated where necessary. • Accountable for ensuring that safeguarding is embedded throughout the ***[Association]*** and grassroots football in accordance with safeguarding legislation, FA Safeguarding Policy, best-practice guidance and education programmes.

Responsibilities
• Ensure the Board receives regular updates on safeguarding and are provided with all the information they require to fulfil their governance oversight duties and to scrutinise ongoing safeguarding policies and procedures. • Embed safeguarding responsibilities and accountabilities into the ***[Association]*** Business Strategy, Budget, Risk Register and Operational Plan. • Accountable for ensuring that staff and volunteers deployed by the ***[Association]*** are suitable for their roles and uphold the values and behaviours of the ***[Association]*** through a safer recruitment policy and that this policy is applied to new appointments. • Lead investigations into allegations made against ***[Association]*** staff or volunteers and/or other volunteers directly deployed on behalf of the ***[Association]*** to work with under-18s and adults at risk, including those who work on a temporary or locum basis. • Generate a culture of listening to children and ensure there are processes in place to consider children and young people's views as part of the decision-making process. • Ensure that the Health and Safety policies and procedures are implemented consistently across the ***[Association]*** in line with Health and Safety legislation. • Responsible for the wellbeing, development and ongoing performance of the workforce. • Work with the Board on matters relating to finance, corporate governance, football development, football services, marketing, communications, public relations and risk management. • Attract increased investment into the ***[Association]*** by maximising assets and continually raising its image, profile and reputation. • Responsible for relationship management with The FA and ensure that all activities are managed with integrity and the highest levels of compliance. • Build strategic partnerships with key stakeholders to improve delivery and increase relevance of football locally. • Ensure the ***[Association]*** is committed to promoting equality and diversity throughout all areas of its work and grassroots football. • Provide the highest level of customer excellence to support volunteers across all FA Technology systems (FA Events, Whole Game System, Matchday app and Full-Time). • Execute tasks as required in order to meet the ***[Association]*** changing priorities.

Person Specification	
Qualifications	
Essential	**Desirable**
• Educated to degree level (or equivalent work experience).	• Recognised management qualification e.g. CMI, MBA. • Recognised accountancy qualification e.g. ACCA, CIMA, CIPFA. • A company secretary qualification.

Skills	
Essential • Ability to lead a team with excellent communication and people management skills. • Strategic level decision-making skills in a fast-paced and stakeholder-intensive environment. • Business planning, objective setting and managing team and individual performance. • Ability to influence effectively at all levels. • Expertise in managing and engaging a wide range of stakeholders to create sustainable partnerships. • Ability to lead the team in delivering exceptional customer service. • Coaching and mentoring skills. • Financial acumen and the proven ability to establish and monitor financial control systems and manage risk. • Ability to develop and implement commercial strategies to generate income. • Ability to work under pressure, handle multiple priorities and meet deadlines. • Excellent IT skills including the use of Microsoft Office applications.	**Desirable**
Knowledge and Experience	
Essential • Fundamental understanding of running a business, including finance and human resource management. • Experience in delivery of strategic objectives • Understanding of football governance and development. • Knowledge of relevant legislation including company law, equality legislation, employment and health and safety legislation. • Knowledge and understanding of safeguarding.	**Desirable** • Comprehensive understanding of The FA's Grassroots Football Strategy and how the County FA Business Plans support its delivery. • Knowledge and understanding of working with volunteers. • Knowledge of marketing. • Previous experience of working in grassroots football or other sports-related governing bodies.
Enhanced DBS Check required?	YES/NO ***[delete as applicable]***
Check required on Companies House disqualified directors' register?	YES
Clean, full driving licence?	YES/NO ***[delete as applicable]***

The job holder will be expected to understand and work in accordance with the values and behaviours described below *[modify this section as required for your County FA values]*	
FA Value	**Behaviours**
PROGRESSIVE	**Embraces new thinking in pursuit of continuous improvement:** • Identifies the need for, and actions change in direction, practice, policy or procedure. • Questions the way things are done and takes informed risks. • Continuously seeks to improve efficiency and performance.
RESPECTFUL	**Sets the standards for respectful behaviour across the game:** • Maintains people's self-esteem when interacting with them. • Avoids pre-judgement when listening to suggestions from others. • Seizes the opportunity to apply FA standards at all times.
INCLUSIVE	**Champions and ensures that football is, and will remain, a game for everyone:** • Openly collaborates with colleagues and partners in the game. • Provides equal opportunity to people of different backgrounds, experience and perspective. • Seeks out and embraces new ways of thinking and working.
DETERMINED	**Tenacious and accountable. Serving the whole game and doing the right thing:** • Works relentlessly to overcome roadblocks or obstacles to achieve the goal. • Remains focused on seeing agreed goals through to completion taking pride in their work. • Maintains motivation for their team and themselves.
EXCELLENT	**The very best outcome achieved by sustained excellence in performance:** • Seeks to achieve the highest levels of performance at all times. • Persistent to achieve a standard that others consider impossible. • Challenges others to go further and achieve more.

Job description reviewed and modified by:	*[insert name and role title]*
Date job description reviewed and modified:	*[insert date]*
Job description authorised by:	*[insert name and role title]*

Signed by role holder (on appointment):	*[insert signature]*
Date signed:	*[insert date]*

One copy to be retained by the job holder, one signed copy to be stored confidentially by the employer.

APPENDIX 10

County FA Finance Director Role Profile – Template

Role Title	Independent Non-Executive Finance Director
Reports to	Chair of the Board of Directors

Role Description
The Non-Executive Finance Director will act as an ambassador for [Association] and act as a custodian of the highest standards of financial integrity and governance. The Director will bring recent and relevant financial experience that will enable robust financial controls and secure systems of risk management. They will work closely with the wider Board, and lead any relevant committees, ensuring that they are informed through relevant and timely information. They will required to form a strong relationship with the CEO, providing support and acting as a sounding board on all financial matters.
Role Purpose
• To direct and monitor the business affairs of the Association by determining the vision, strategy, plans, policies, and financial investment required to achieve the overall long-term business objectives. • To oversee the financial planning of the Association by analysing its performance and risks. • To retain constant awareness of the Association's financial position and act to prevent problems. • To be an active board member, providing strategic oversight and to constructively challenge and review the ***[Association]*** strategic plan.

Location	***[Include office address and other options or requirements such additional travel to other locations or overnight stays.]***
Estimated time commitment to fulfil the role	***Keep this as flexible as possible to maximise inclusivity. The post requires a commitment to attend [ ] Board meetings a year. Meetings are normally held on [day/date] at [where?] and normally last in the region of [ ] hours.***
Remuneration and Expenses	This is a voluntary role. ***[Relevant expenses will be paid in line with the current [Association] Expense Policy.*** ***Travel and accommodation expenses to FA events where The FA has agreed to reimburse the Association will be paid in line with the current County FA Expense Policy issued by The FA.]***

Responsibilities

General

- Serve as a Director of ***[Association]*** and to actively participate in its strategic management.
- Execute the responsibilities of a Company Director in accordance with the Companies Act (2006) and other relevant legislation.
- Safeguard the interests of the membership and stakeholders of the Association.
- Establish clear objectives to deliver the agreed strategy and business plan and regularly review performance against those objectives.
- Ensure the effective implementation of Board decisions by the CEO and staff, holding the CEO to account for the effective management and delivery of the Association's strategic aims and objectives.
- Jointly oversee the management of risk to the Association.
- Develop and maintain an effective corporate governance structure.
- Monitor the financial affairs of the Association and ensure the effective use of ***[Association]*** finances.
- Promote equality of opportunity throughout the Association.
- Represent the Association to partners and stakeholders of the Association in a professional manner.
- Act with discretion in respect of sensitive, confidential, or commercial information provided to you in this role.

Finance

- Oversee all audit and control operations.
- Oversee the preparation of timely and detailed reports on financial performance on a quarterly and annual basis.
- Provide support to, and act as a sounding board for the CEO on financial matters.
- Ensure compliance with regulations, statutes and guidelines.
- Ensure financial controls and processes are in place.
- Support the Association in its strategic decision-making.

Person Specification	
Qualifications and Experience	
• Proven experience as a Director of Finance or similar role. This will include working as a CFO/Director of Finance and/or accountancy qualifications. • In-depth knowledge of corporate finance and accounting principles, laws and best practices. • Solid knowledge of financial analysis and forecasting.	
Skills and Personal Attributes	
• Possess or show willingness to have an understanding of grassroots football. • Analytical and rational thinking. • Positive attitude and highly self-motivated with ability to motivate others. • Evidence of emotional intelligence and self-awareness. • A strong commitment to promoting and embedding diversity and inclusion at all levels.	
Enhanced DBS Check required?	YES/NO *[delete as applicable]*
Check Companies House Disqualified Directors' Register?	YES
Clean full driving licence?	YES/NO *[delete as applicable]*

The role holder will be expected to understand and work in accordance with the values and behaviours described below *[modify this section as required for your County FA values]*	
FA Value	**Behaviours**
PROGRESSIVE	**Embraces new thinking in pursuit of continuous improvement** • Identifies the need for, and actions change in direction, practice, policy or procedure. • Questions the way things are done and takes informed risks. • Continuously seeks to improve efficiency and performance.
RESPECTFUL	**Sets the standards for respectful behaviour across the game:** • Maintains people's self-esteem when interacting with them. • Avoids pre-judgement when listening to suggestions from others. • Seizes the opportunity to apply FA standards at all times.
INCLUSIVE	**Champions and ensures that football is, and will remain, a game for everyone:** • Openly collaborates with colleagues and partners in the game • Provides equal opportunity to people of different backgrounds, experience and perspective • Seeks out and embraces new ways of thinking and working.

DETERMINED	**Tenacious and accountable. Serving the whole game and doing the right thing:** • Works relentlessly to overcome roadblocks or obstacles to achieve the goal. • Remains focused on seeing agreed goals through to completion taking pride in their work. • Maintains motivation for their team and themselves.
EXCELLENT	**The very best outcome achieved by sustained excellence in performance:** • Seeks to achieve the highest levels of performance at all times. • Persistent to achieve a standard that others consider impossible. • Challenges others to go further and achieve more.

Role profile reviewed and modified by:	*[Insert name and role title]*
Date role profile reviewed and modified:	*[Insert date]*
Role profile authorised by:	*[Insert name and role title]*

Signed by role holder (on appointment):	*[insert signature]*
Date signed:	*[insert date]*

One copy to be retained by the role holder, one signed copy to be stored confidentially by the Association.

APPENDIX 11

County FA Chair of the Board of Directors Role Profile – Template

Role Title	Chair of the Board of Directors
Reports to	Accountable to the Membership of ***[insert County FA name]***

Role Purpose	
• To be responsible for the leadership of the Board of Directors and is accountable to the Membership of ***[ ]*** County Football Association (subsequently referred to as 'the Association'). He or she will be responsible for overseeing the affairs of the Association and for ensuring that the Board meets its obligations and responsibilities to the Association. • To hold the Board to account for the performance of the Association providing inclusive leadership to the Board of Directors, ensuring that each Director fulfils their duties and responsibilities for the effective governance of the Association. • To act as an ambassador for the Association. • The Chief Executive Officer reports to the Board of Directors through the Chair who is directly responsible for his or her performance review and management.	
Direct Reports	(CEO or Company Secretary reports to the Chair)

Location	Include office address and other options or requirements such as homeworking or additional travel to other locations or overnight stays.
Estimated time commitment to fulfil the role	The role requires a commitment to attend ***[ ]*** Board meetings a year. Meetings are normally held on ***[day/date]*** at ***[insert location]*** and normally last in the region of ***[ ]*** hours. The Chair is also required to attend General Meetings and other ad hoc events held within the County.
Remuneration or Expenses	This is a voluntary role which is not accompanied by any financial remuneration. County FA Expenses will be paid in line with the current Expense Policy of ***[insert County FA name]***. Travel and accommodation to FA events where The FA has agreed to reimburse County FA Expenses will be paid in line with the current County FA Expense Policy issued by The FA.

Responsibilities
• Serve as a Director of the Association and to lead the Board in setting the strategy of the Association. • Execute the responsibilities of a Company Director in accordance with the Companies Act (2006) and other relevant legislation (including the Charities Act 2011). ***[Note: County FAs to delete the bracketed phrase if not applicable].*** • Ensure that the Board maintains and demonstrates a clear division between the Board's management and oversight role and the executive's operational role. • Lead the Board in the approval of the long term financial plan and annual budget. • Set the agenda for each Board meeting in consultation with the CEO. • Chair Board meetings effectively, ensuring that Directors receive accurate, timely and clear information and that adequate time is available for discussion and time is used productively. • Lead the Board in demonstrating transparency and accountability, engaging effectively with stakeholders and nurturing internal democracy. • Set an example in the values and behaviours adopted, acting at all times in line with the Code of Conduct agreed by the Board. • Monitor the delivery of the strategic plan and objectives of the Association. • Undertake and maintain evaluation records of the Board's skills and performance and of individual Directors, and that of its committees in line with the Code of Governance. • Use evaluation findings to develop the skills and effectiveness of the Board. • Review, with the CEO, any issues of concern to the Board including the wellbeing of staff and the wider workforce of the Association. • Manage the performance of the CEO, providing opportunities for coaching and development as required. • Lead the Board in identifying proportionate and appropriate actions to be taken to support and/or maintain diversity targets set and agreed for the Board. • Act as an ambassador and represent the Association at internal and external meetings and functions. • Appoint Chairs to the various committees in consultation with members of the Board. • Serve as an ex officio member of all committees. • Perform other responsibilities as assigned by the Board.

Person Specification	
Qualifications	
Essential	**Desirable**
• No specific qualifications are essential to perform this role of Chair. • However, where the Chair performs a specific function on the Board in addition to Chair, qualifications may be required.	

Skills	
Essential • Excellent meeting chairing skills including the ability to generate a productive group discussion ensuring that all voices and points of view are heard and given due consideration. • Strategic leadership and management skills. • The ability to facilitate a positive Board culture, and in particular the relationship between the Board and the executive workforce. • Decision-making skills. The appropriate use of knowledge and experience to make informed decisions to the benefit of the organisation. • Excellent interpersonal skills including rapport-building, active-listening and incisive questioning. • Recruitment and selection skills. • The ability to form productive relationships both internally and externally and strategic partnerships for the benefit of the Association.	**Desirable** • Performance management and conducting appraisals (in relation to the management of CEO). • Business coaching and mentoring. • Working with Board skills audits.
Knowledge	
Essential • Knowledge and understanding of the responsibilities of a Board Director. • Knowledge and understanding of the Companies Act (2006). • Thorough knowledge and understanding of the Safeguarding Requirements for the Association. • Thorough knowledge of the Articles of Association and their application. • Up to date and thorough knowledge of Grassroots Football and the role of the Association in its governance. • Knowledge of the County FA Governance Code. • Understanding of how to apply Principles of inclusive practice. • Knowledge and understand of financial accounts, management accounts and budgeting. • An understanding of The FA National Game Strategy and how this affects the work of the County Football Associations.	**Desirable** • Knowledge of other key areas of legislation including Health and Safety, Employment, GDPR, Bribery and anti-corruption, whistleblowing and Taxation. • Risk management. • Customer experience and engagement. • Succession planning.

• A sound understanding of the volunteer/ professional relationship and how this can best work to support the work of the Association. • An understanding of and commitment to equality, diversity and inclusion. • Effective use of digital communication including email and the internet.	
Enhanced DBS Check required?	YES
Check Companies House Disqualified Directors' Register?	YES
Clean full driving licence?	YES/NO *[delete as applicable]*

The Role Holder will be expected to understand and work in accordance with the values and behaviours described below.

The values below are those of The FA. If the County FA has a variation of these values, they should be inserted below.

FA Value	Behaviours
PROGRESSIVE	**Embraces new thinking in pursuit of continuous improvement** • Identifies the need for, and actions change in direction, practice, policy or procedure. • Questions the way things are done and takes informed risks. • Continuously seeks to improve efficiency and performance.
RESPECTFUL	**Sets the standards for respectful behaviour across the game** • Maintains people's self-esteem when interacting with them. • Avoids pre-judgement when listening to suggestions from others. • Seizes the opportunity to apply FA standards at all times.
INCLUSIVE	**Champions and ensures that football is, and will remain, a game for everyone** • Openly collaborates with colleagues and partners in the game. • Provides equal opportunity to people of different backgrounds, experience and perspective. • Seeks out and embraces new ways of thinking and working.
DETERMINED	**Tenacious and accountable. Serving the whole game and doing the right thing** • Works relentlessly to overcome roadblocks or obstacles to achieve the goal. • Remains focused on seeing agreed goals through to completion taking pride in their work. • Maintains motivation for their team and themselves.

EXCELLENT	**The very best outcome achieved by sustained excellence in performance** • Seeks to achieve the highest levels of performance at all times. • Can be persistent to achieve a standard that others consider impossible. • Challenges others to go further and achieve more.

Role Profile agreed by the Board of *[insert County FA name]* and signed on behalf of the Board by the Chair:	**Name**	**Signature**
Date Role Profile agreed by the Board:	*[insert date]*	
Role Profile signed by role holder:	**Name**	**Signature**
Date Role Profile signed by role holder:	*[insert date]*	

APPENDIX 12

County FA Governance Nomination and Appointment Committee – Terms of Reference

1. Code Requirement

Point 1.24 of the Governance Code requires that the Board shall maintain a Nomination Committee either on a permanent or ad hoc basis unless the circumstances of the organisation are such that it is appropriate for the Board to act as the Nomination Committee.

2. Purpose

The Nomination and Appointment Committee has the responsibility for leading the process of recruitment for Board and senior executive appointments. However, the Board retains the authority to make the final decision.

In respect of Board appointments, it is the responsibility of the Nomination and Appointment Committee to evaluate the Board's current capability against the agreed skills matrix, and, considering this evaluation, agree a description of the role and capabilities required for an appointment. See also **Requirement 1.11** (skills matrix).

3. Remit

The Nomination and Appointment Committee will:

- Consider nominations for the role of elected Directors of the Association against agreed criteria and to ensure that the candidates have the skills, knowledge and experience to adequately perform the role.
- Oversee the process for engaging appointed Directors, including:
  - Ensuring that role descriptions and person specifications are drafted and approved.
  - Ensuring that the post is advertised widely in a manner that will attract a diverse range of candidates.
  - Considering all applications against the agreed criteria and conducting interviews where appropriate.
  - Making recommendations to the Board of Directors.
- Oversee the process for appointing members of Standing Committees of the Association, including:
  - Ensuring that posts are advertised widely in a manner that will attract a diverse range of candidates.
  - Considering all applications against the agreed criteria and conducting interviews where appropriate.
  - Making recommendations to the Board of Directors.

4. Membership

Most of the members of the Nomination and Appointment Committee shall be Independent Non-executive Directors and it shall be chaired by the Chair (except when it is dealing with the appointment of a successor to the Chair, when it shall be chaired by an Independent non-executive Director). In many cases the Nomination Committee will have three members and be set up on an ad hoc basis. If the Board does not have a Nomination and Appointment Committee, the Board itself will be responsible for recruitment to the Board.

5. Role of the Nomination and Appointment Committee in recruiting Appointed Directors

It will usually be the responsibility of the Nomination and Appointment Committee to draw up the shortlist of candidates from the applications received with support of the CEO.

In establishing and interview panel, the Nomination and Appointment Committee may invite additional individuals to join who have specific expertise such as The FA Senior Regional Manager.

After the interview process, the Nomination and Appointment Committee reviews the assessment of the candidates and makes recommendations to the Board of the preferred candidate. If possible, the Nomination and Appointment Committee should reach a unanimous verdict.

If multiple candidates are deemed appointable, the Nomination and Appointment Committee may draw attention to this point.

The Board should be provided with enough information on the candidates who were interviewed in order that they can reasonably come to a decision. It is assumed that the Board will accept the recommendations of the Nominations and Appointment Committee in nearly all cases. However, the Board has the ultimate authority to appoint.

6. When the Board acts as Nomination and Appointment Committee

For those County FAs which do not have a Nomination and Appointment Committee, the Board itself will be responsible for recruitment to the Board. It should be the aim of the Board to reach a consensus view on the preferred candidate. If that is not possible, the Chair or Senior Independent Director when recruiting a new Chair, should be responsible for the final decision.

It is important when the Board acts as the Nomination Committee, it is particularly mindful of any conflicts of interest that may arise.

7. Recruiting without discrimination

It is a legal requirement not to discriminate against role applicants at any stage of the process because of protected characteristics as specified in the Equality Act. Stages include:

- Advertising the role.
- Longlisting.
- Shortlisting for interview.
- Interviewing.
- Making an offer.

The Board should have an overview of diversity among the Board and across the County FA as a whole. Where it reasonably thinks that a protected group is under-represented or faces disadvantage it can set aspirational targets to improve diversity and inclusion in the County FA.

Any targets set must be realistic and must avoid unlawful discrimination.

8. Advertising for Appointed Directors

To attract the most skilled and diverse range of candidates possible, positions for appointed Directors should be advertised widely. Advertising should be tailored to the target audience both in the content of the advert and where it is placed. Evidence suggests that the wording of role descriptions impacts on the diversity of applicants (beyond simply ensuring that the application does not actively discriminate).

It is recommended that the application period is left open for approximately 4 weeks.

9. Invitations to Interview

Applicants who are to be invited to an interview should receive at least one week's notice and be sent the following information:

- Time and place of interview.
- Names and positions of interviewers.
- Details of the selection process.
- Requirement to bring identity documents.

Candidates should be asked about access needs before the interview and relevant needs should be met.

10. Interview questions

The Nomination and Appointment Committee should convene in advance of the interviews to decide on the questions to be asked and to agree an objective means of candidate assessment such as a scoring system.

Candidates should be asked for specific examples to demonstrate the competencies being sought.

11. Interview Panel composition

The Nomination and Appointment Committee may choose to appoint additional members to the interview panel, should it be deemed necessary.

Typical interview panel composition would be:

- Chair.
- CEO.
- Expert – preferably externally verified.
- Independent adviser (e.g. HR, Regional Manager).
- One other Board Member.

It is recommended that the interview panel should be of mixed gender.

The interview panel should arrange to meet for an initial discussion before the first interview and then should speak again directly or soon after the final interview.

12. Decision-making

- The decisions of the Nomination and Appointment Committee shall be communicated in writing, which includes emails.
- The Nomination and Appointment Committee is empowered to refuse the nomination of any person who objectively fails to meet the criteria.

13. Disclosure and Barring Service Check

A DBS Check is likely to be needed for some (if not all) Board roles. Consult with the Senior Safeguarding Lead for advice.

14. Informing unsuccessful candidates

Candidates who take part in an interview but are unsuccessful should be informed by phone and some feedback should be provided.

Candidates rejected before interview should be informed by email at the earliest opportunity.

15. Appointment letter for new Directors

Any verbal offers should only be made on a conditional basis.

The successful candidate should be sent a written offer detailing the terms and conditions of appointment. While there is not a contract of employment between the County FA and any non-executive Director, all Directors will have legal duties under the Companies Act.

Appointments should be conditional upon:

- Satisfactory DBS Check, if needed;
- Completion of Declaration of Good Character (see **Appendix 40** for a Template).

16. Co-opting a Director

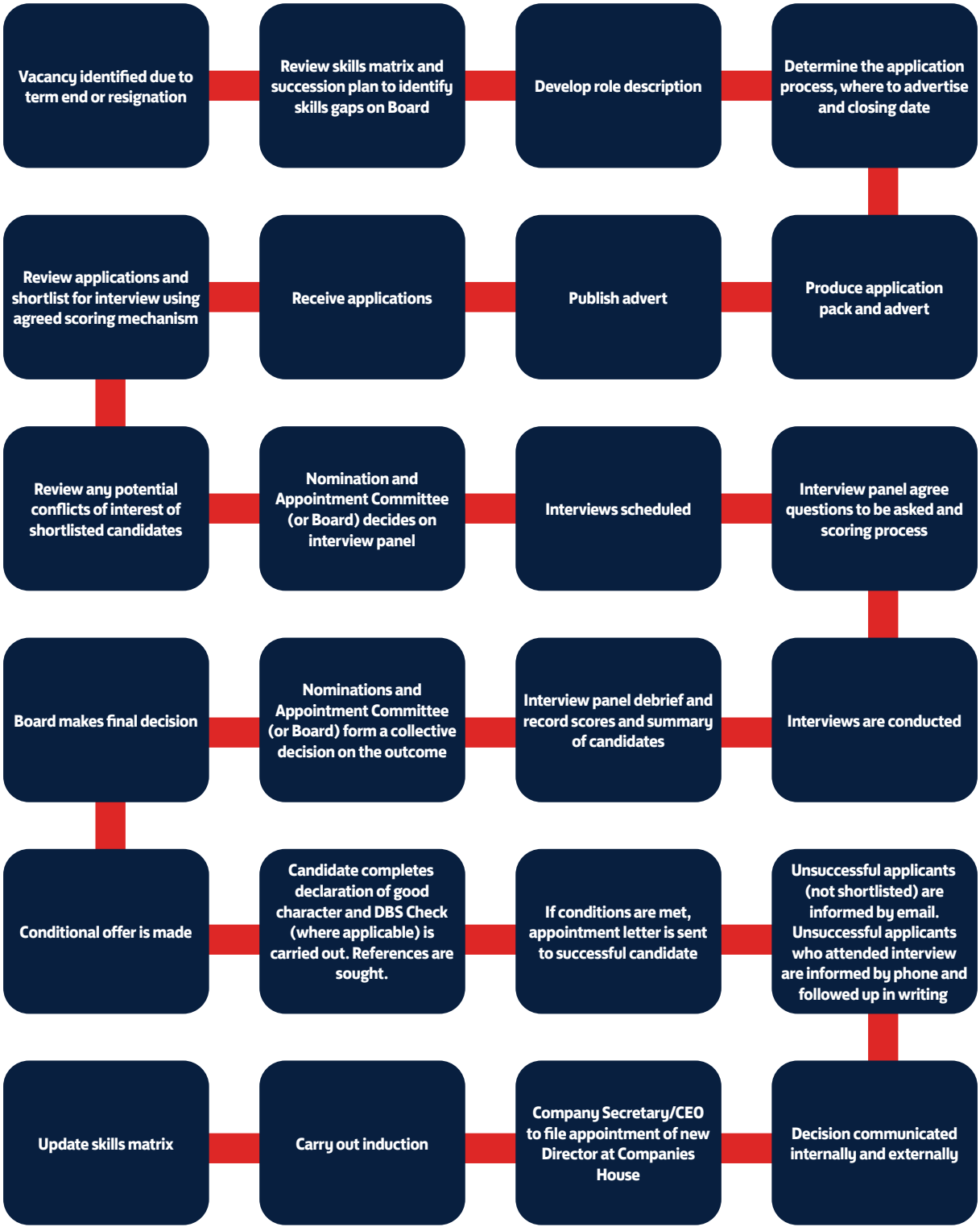
A co-opted Director is a Director who is temporarily appointed by the Board outside of the customary appointment process. This period would not normally be longer than a year. The reasons for co-opting a Director should be documented. During the period of co-option, the Nomination and Appointment Committee should implement plans to address the reason for the original co-option (e.g. recruitment to fill a skills gap).

17. Review

The Board will review the terms of reference and processes of the Nomination and Appointment Committee on an annual basis.

APPENDIX 13

Board Recruitment – Process Guidelines



APPENDIX 14

County FA Senior Independent Director Role Profile – Template

Role Title	Senior Independent Director
Reports to	Chair of the Board of Directors

Role Purpose
• The Senior Independent Director is a non-executive Director appointed by the Board who may be but does not have to be the Vice-Chair. • Collectively, the Board of Directors of *[ ]* Ltd are required to direct the business affairs of the Association and to determine the vision and strategy, plans, policies and financial investment required to achieve the Association's aims. As such, individually and collectively, the Directors are accountable to the Membership.

Location	Include office address and other options or requirements such as homeworking or additional travel to other locations or overnight stays.
Estimated time commitment to fulfil the role	Keep this as flexible as possible to maximise inclusivity. The post requires a commitment to attend *[ ]* Board meetings a year. Meetings are normally held on *[day/date]* at *[where]* and normally last in the region of *[ ]* hours.
Expenses	County FA Expenses will be paid in line with the current Expense Policy of *[insert County FA name]*. Travel and accommodation to FA events where The FA has agreed to reimburse County FA Expenses will be paid in line with the current County FA Expense Policy issued by The FA.

Responsibilities
General Director Duties • Serve as a Director of the Company and to actively participate in its strategic management. • Execute the responsibilities of a Company Director in accordance with the Companies Act (2006) and other relevant legislation. • Safeguard the interests of the Membership and stakeholders of the Association. • Establish clear objectives to deliver the agreed strategy and business plan and regularly review performance against those objectives. • Ensure the effective implementation of Board decisions by the CEO and staff, holding the CEO to account for the effective management and delivery of the Association's strategic aims and objectives. • Set challenging objectives for continuously improved performance. • Oversee the management of risk to the Association, including matters of Health and Safety.

- Develop and maintain an effective corporate governance structure.
- Monitor the financial affairs of the Association through reports provided by the Finance Director and to ensure the effective use of financial and other resources.
- Contribute to constructive debate on all Board matters.
- Promote equality of opportunity throughout the Association.
- Fully participate in Board induction, training or development and performance monitoring.
- Perform other responsibilities as assigned by the Board.

Specific Senior Independent Director Duties

- Be available to County FA staff and volunteers if they have concerns which contact through the usual channels of CEO or Chair has failed to resolve or where it would be inappropriate to use such channels.
- Support the Chair in leading the Board and acting as a sounding Board and source of advice for the Chair.
- Hold a meeting with the other Directors at least once per year in the absence of the Chair as part of the Chair's appraisal process.
- There may be other circumstances where such meetings are appropriate. Examples might include informing the reappointment process for the Chair, where concerns have been expressed regarding the Chair or when the Board is experiencing a period of stress.
- Carry out the appraisal of the Chair.
- Take responsibility for an orderly succession process for the Chair role where a re-appointment or a new appointment is necessary.

Person Specification	
Qualifications	
Essential Adapt this section according to the Board skills matrix to meet the needs required for the Board to function effectively. Consider: • Academic level of qualification required – is an academic level essential? • Professional level of qualification required – is there a relevant qualification – is it a must have or only desirable?	**Desirable**

Skills	
Essential • Strategic leadership and management skills. The ability to develop and monitor organisational strategy. • Decision-making skills. The appropriate use of knowledge and experience to make informed decisions to the benefit of the organisation. • The ability to debate, discuss and challenge in a constructive manner. • Excellent interpersonal skills. The ability to form strong, productive relationships both internally and externally to the benefit of the Association. • An ability to understand financial accounts, management accounts and budgeting. • Access to and ability to use, email and the internet. • Diplomacy and conflict management skills.	**Desirable**
Knowledge	
Essential • A sound understanding of the volunteer/ professional relationship and how this can best work to support the work of the Association. • An understanding of and a commitment to equality in action. • Thorough knowledge and understanding of the Safeguarding Requirements for the Association. • Knowledge, understanding and interest in grassroots sport, particularly football, and other related activities.	**Desirable** • An understanding of The FA Grassroots Football Strategy and how this affects the work of the County Football Associations.
Enhanced DBS Check required?	YES/NO ***[delete as applicable]***
Check Companies House Disqualified Directors Register?	YES
Clean full driving licence	YES/NO ***[delete as applicable]***

The Role Holder will be expected to understand and work in accordance with the values and behaviours described below **The values below are those of The FA. If the County FA has a variation of these values, they should be inserted below.**	
FA Value	**Behaviours**
PROGRESSIVE	**Embraces new thinking in pursuit of continuous improvement** • Identifies the need for, and actions change in direction, practice, policy or procedure. • Questions the way things are done and takes informed risks. • Continuously seeks to improve efficiency and performance.
RESPECTFUL	**Sets the standards for respectful behaviour across the game** • Maintains people's self-esteem when interacting with them. • Avoids pre-judgement when listening to suggestions from others. • Seizes the opportunity to apply FA standards at all times.
INCLUSIVE	**Champions and ensures that football is, and will remain, a game for everyone** • Openly collaborates with colleagues and partners in the game. • Provides equal opportunity to people of different backgrounds, experience and perspective. • Seeks out and embraces new ways of thinking and working.
DETERMINED	**Tenacious and accountable. Serving the whole game and doing the right thing** • Works relentlessly to overcome roadblocks or obstacles to achieve the goal. • Remains focused on seeing agreed goals through to completion taking pride in their work. • Maintains motivation for their team and themselves.
EXCELLENT	**The very best outcome achieved by sustained excellence in performance** • Seeks to achieve the highest levels of performance at all times. • Can be persistent to achieve a standard that others consider impossible. • Challenges others to go further and achieve more.

Role Profile agreed by the Board of *[insert County FA name]* and signed on behalf of the Board by the Chairperson:	**Name**	**Signature**
Date Role Profile agreed by the Board:	*[insert date]*	
Role Profile signed by role holder:	**Name**	**Signature**
Date Role Profile signed by role holder:	*[insert date]*	

APPENDIX 15

ICSA Guidance Note: The Roles of the Chairman, Chief Executive and Senior Independent Director under the Combined Code

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As you'll see, it contains Appendices of its own – not to be confused with the numbering of Appendices of this overall FA-produced document.

icsa
Trust through governance

Guidance note

The roles of the chairman, chief executive and senior independent director under the Combined Code

Contents:

Introduction
The chairman
The chief executive
The senior independent director "SID"
Appendix 1: Role of chairman
Appendix 2: Role of chief executive
Appendix 3: Role of the chairman and chief executive – alternative approach



Institute of Chartered Secretaries and Administrators

The roles of the chairman, chief executive and senior independent director under the Combined Code

Introduction

Corporate governance in the UK is regulated not by legislation but by the Combined Code, which is annexed to the UK Listing Rules and requires companies to either comply or explain why they are choosing a different course. This means that companies are entitled to have procedures that suit their business, rather than follow a prescribed legal structure, as long as they can give an adequate explanation in their annual report for not following the Code.

Some of the proposed changes to the Combined Code resulting from the Higgs review[1] which gave the most cause for debate related to what was seen as a weakening of the role of the chairman. Many of these issues were resolved before the final version of the Code was produced in July 2003. This note looks to identify the respective roles of the chairman, the chief executive and the senior independent (non-executive) director.

1 The role and effectiveness of the non-executive director, by Derek Higgs published January 2003

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The roles of the chairman, chief executive and senior independent director under the Combined Code

The chairman

The Higgs review sees the chairman playing a pivotal role in the company, and creating the conditions for overall board and individual non-executive director effectiveness. The Combined Code clearly differentiates between the running of the company's business and the running of the board. The Code states that the chairman is responsible for:

- Leadership of the board, ensuring its effectiveness on all aspects of its role and setting its agenda;
- Ensuring that the directors receive accurate, timely and clear information;
- Ensuring effective communication with shareholders;
- Facilitating the effective contribution of non-executive directors and ensuring constructive relations between executive and non-executive directors, and
- Acting on the results of board performance evaluation by recognising the strengths and addressing the weaknesses of the board and, where appropriate, proposing new members be appointed to the board or seeking the resignation of directors.[1]

To ensure that this happens the Combined Code now requires that the roles of the chairman and chief executive be separated,[2] in addition the board needs to agree a high level statement of which decisions are to be taken by the board and those that are delegated to management.[3] Appendix 1 to this guidance note details a suitable outline statement for the board to adopt.

The Combined Code now suggests that a chief executive should not go on to become chairman of the same company.[5] This is because the detailed knowledge of the general running of the company will impede the handover of management responsibility to another individual. This may cause confusion among other executives and result in unwanted tensions between the chairman and chief executive. It may also impact on the chairman's ability to keep the non-executive directors informed, as they may take for granted that the non-executives have the same level of inside knowledge as they do.

This does not mean that there may not be circumstances when, for a short period of time, the chief executive may be the best candidate to act as chairman. For example this may be during a period of intense company reorganisation, where the board has promoted a new chief executive from within. The outgoing chief executive could provide valuable support to the new appointee, for a short period, before a new chairman is found. This would be a clear example of the need to explain the company's non-compliance with the Code provision. In

[1] Principles of Good Governance and code of Best Practice (The Combined Code as amended by the Higgs review), principles A.2 and A.6
[2] Code provision A.2.1
[3] Code provision A.1.1 5
Code provision
A.2.2

this case the chairman could not be considered independent on appointment,[4] which would need to be disclosed in the annual report.

The chairman, under the Code, is responsible for ensuring the efficient use of the board's time and that the agenda is forward looking, concentrating on strategy, rather than approving issues which should have been delegated to management. They must allow sufficient time to discuss complex or contentious issues and if necessary arrange for preboard preparation. This should avoid non-executive directors being faced with unrealistic deadlines for decision-making.

The company secretary has a clear role to play in supporting the chairman in the design of the agenda and ensuring that the non-executive directors are comfortable with the amount of information that they receive. The Combined Code states "The company secretary should be responsible for advising the board, through the chairman, on all governance matters."[5]

The chief executive

The revised Combined Code does not specify a corporate governance role for the chief executive, but notes that the board should have a clear division of responsibilities and the posts of chairman and chief executive should not be combined in one individual.

To facilitate the division of the responsibility of running the board and running the company the Combined Code recommends that a clear division of responsibilities is set out in writing and agreed by the board.[6] It is, however, recognised that there should be a strong executive representation on the board, so that power and information are not concentrated in one or two individuals.[7]

[4] Code provision A.2.2
[5] Code principle A.5
[6] Code provision A.2.1
[7] Code principle A.3

The roles of the chairman, chief executive and senior independent director under the Combined Code

The senior independent director "SID"

The Higgs review builds on the view expressed in Hampel[8] and codified in the Combined Code that a senior non-executive director should be identified in the annual report. The SID should be available to shareholders, if they have a concern that contact through the normal channels of chairman, chief executive and finance director has failed to resolve or where such contact is inappropriate.[9] To be in a position to undertake this role, the SID should attend "sufficient meetings with a range of major shareholders to listen to their views in order to help develop a balanced understanding of their issues and concerns. The chairman should ensure that the views of shareholders are communicated to the board as a whole".[10] It must be emphasised that these are meetings that management would have as part of their normal investor relations programme, they are not special events or one to one meetings with the institution and SID, unless the shareholder has raised a concern with the SID that has not been dealt with in the normal manner.

Under the revised Code the SID should also lead a meeting of the non-executive directors at least once a year, without the chairman present, to appraise the chairman's performance and on such other occasions as are deemed appropriate.[11]

The purpose of this guidance note is not to be prescriptive but to provide a starting point to help ensure that all the issues are addressed. As with most aspects of corporate governance one size does not fit all and the detailed division of responsibilities will vary from one company to another according to each company's specific circumstances and the nature of the individuals involved. Examples of such differences may be the reporting lines of some individuals or whether charitable donations are considered separately or as part of the corporate social responsibility policy.

Appendices 2 & 3 provide separate specimen descriptions of the roles of the chairman and chief executive respectively while appendix 4 provides an example of an alternative approach that some companies may prefer. Appendix 5 provides a brief suggested description of the role of the senior independent director.

Additional reading:
Guidance Note – Matters reserved for the board
Guidance Note – Reporting lines for the company secretary
Guidance Note – Specimen job description for the corporate governance role of the company secretary

[8] Committee of Corporate Governance: Final Report (The Hampel Report) January 1998
[9] Code provision A.3.3
[10] Code provision D.1.1

The roles of the chairman, chief executive and senior independent director under the Combined Code

Appendix 1: Role of chairman

A. The chairman is responsible for:

1. Meetings

- Chairing board and general meetings and those of the nomination committee.
- Running the board and ensuring its effectiveness in all aspects of its role, including regularity and frequency of meetings.
- Setting the board agenda, taking into account the issues and concerns of all board members. The agenda should be forward looking, concentrating on strategic matters.
- Ensuring that there is appropriate delegation of authority from the board to executive management.
- Ensuring that the directors receive accurate, timely and clear information, including that on the company's current performance, to enable the board to take sound decisions, monitor effectively and provide advice to promote the success of the company.
- Managing the board to allow enough time for discussion of complex or contentious issues. The chairman should ensure that directors (particularly nonexecutive directors) have sufficient time to consider critical issues and obtain answers to any questions or concerns they may have and are not faced with unrealistic deadlines for decision making.

2. Directors

- Facilitating the effective contribution of non-executive directors and encouraging active engagement by all members of the board.
- Ensuring constructive relations between the executive and non-executive directors.
- Holding meetings with the non-executive directors without the executives present.[12]

3. Induction, development and performance evaluation

- Ensuring that new directors participate in a full, formal and tailored induction programme, facilitated by the company secretary.
- Ensuring that the development needs of directors are identified and, with the company secretary having a key role, that these needs are met. The directors should be able to continually update their skills and the knowledge and familiarity with the company required to fulfil their role on the board and its committees.
- Identifying the development needs of the board as a whole to enhance its overall effectiveness as a team.

[12] This corresponds to provision A.1.3 of the Combined Code however experience suggests that the scope of such meetings may need to be carefully defined and controlled to ensure that executive directors are not made to feel that decisions are being made without their involvement.

- Ensuring the performance of the board, its committees and individual directors is evaluated at least once a year and acting on the results of such evaluation by recognising the strengths and addressing the weaknesses of the board. Where appropriate, through the nomination committee, proposing that new members be appointed to the board or seeking the resignation of others.

4. Relations with shareholders

- Ensuring effective communication with shareholders.
- Maintaining sufficient contact with major shareholders to understand their issues and concerns, in particular discussing governance, strategy and remuneration with them.
- Ensuring that the views of shareholders are communicated to the board as a whole so that all directors develop an understanding of their views.

5. AGM

- Arranging for the chairmen of board committees to be available to answer questions at the AGM and for all directors to attend.

The chairman's direct reports are the chief executive and the company secretary.

B. In addition, the chairman should:

- Uphold the highest standards of integrity and probity.
- Set the agenda, style and tone of board discussions to promote effective decision making and constructive debate.
- Ensure that they are fully informed about all issues on which the board will have to make a decision, through briefings with the chief executive, the company secretary, and members of the executive management as appropriate.
- Ensure clear structure for, and the effective running of, board committees.
- Ensure effective implementation of board decisions.
- Promote effective relationships and open communication between executive and non- executive directors both inside and outside the boardroom, ensuring an appropriate balance of skills and personalities.
- Build an effective and complementary board, and with the nomination committee, initiate change and plan succession in board appointments (except that of a successor as chairman) subject to board and shareholder approval.
- With the assistance of the company secretary, promote the highest standards of corporate governance, seeking compliance with the Combined Code. If full compliance is not possible, ensure that the reasons for non-compliance are fully understood, agreed by the board and explained to shareholders.
- Ensure an appropriate balance is maintained between the interests of shareholders and other stakeholders (employees, customers, suppliers and the community).

- Ensure the long term sustainability of the business.
- Ensure the continual improvement in quality and calibre of the executives.
- Establish a close relationship of trust with the chief executive and finance director, providing support and advice while respecting executive responsibility
- Provide coherent leadership of the company, including, in conjunction with the chief executive, representing the company to customers, suppliers, governments, shareholders, financial institutions, the media, the community and the public.

Appendix 2: Role of chief executive

The chief executive is accountable and reports to the board and is responsible for running the group's business.

A. The chief executive is responsible for the following, within the authority limits delegated to them by the board:

1. Business strategy and management

- Developing group objectives and strategy having regard to the group's responsibilities to its shareholders, customers, employees and other stakeholders.
- The successful achievement of objectives and execution of strategy following presentation to, and approval by, the board.
- Recommending to the board an annual budget and [5 year] financial plan and ensuring their achievement following board approval.
- Optimising as far as is reasonably possible the use and adequacy of the group's resources.

2. Investment and financing

- Examining all trade investments and major capital expenditure proposed by subsidiary companies and the recommendation to the group board of those which, in a group context, are material either by nature or cost.
- Identifying and executing acquisitions and disposals, approving major proposals or bids.
- Leading geographic diversification initiatives.
- Identifying and executing new business opportunities outside the current core activities.

The roles of the chairman, chief executive and senior independent director under the Combined Code

3. Risk management and controls

- Managing the group's risk profile, including the health and safety performance of the business, in line with the extent and categories of risk identified as acceptable by the board.
- Ensuring appropriate internal controls are in place.

4. Board committees

- Making recommendations on remuneration policy, executive remuneration and terms of employment of the senior executive team, including the company secretary to the remuneration committee.
- Making recommendations to the nomination committee on the role and capabilities required in respect of the appointment of executive directors.

5. Communication

- Providing a means for timely and accurate disclosure of information, including an escalation route for issues.
- Ensuring effective communication with shareholders.

6. Other

- Setting group HR policies, including management development and succession planning for the senior executive team and approving the appointment and termination of employment of members of that team.

B. The duties which derive from these responsibilities include:

- Leading the executive directors and the senior executive team in the day to day running of the group's business, including chairing the executive committee and communicating its decisions/recommendations to the board.
- Ensuring effective implementation of board decisions.
- Regularly reviewing the operational performance and strategic direction of the group's business.
- Regularly reviewing the group's organisational structure and recommending changes as appropriate.
- Formalising the roles and responsibilities of the senior executive team, including clear delegation of authorities.
- Supervising the activities of subsidiary companies' most senior executives.
- Developing senior teams within subsidiaries and ensuring succession planning.
- Developing the following policies for board approval and then implementing them.
- Codes of ethics and business practice
- Share dealing code

The roles of the chairman, chief executive and senior independent director under the Combined Code

- Health and safety policy, risks and procedures (to be reviewed annually)
- Communications policy (including procedures for the release of price sensitive information)
- Investor relations policy
- Corporate social responsibility policy (including environmental, employee communications and employee disability)
- Charitable donations policy;
- Ensuring that all group policies and procedures are followed and conform to the highest standards.
- Together with the chairman, providing coherent leadership of the company, including, representing the group to customers, suppliers, government, shareholders, financial institutions, employees, the media, the community and the public.
- Keeping the chairman informed on all important matters.

The roles of the chairman, chief executive and senior independent director under the Combined Code

Appendix 3: Role of the chairman and chief executive – alternative approach

Statement of division of responsibilities between the chairman and the chief executive

1. Reporting lines		
	Chairman	**Chief executive**
1.1	The chairman reports to the board (the "board").	The chief executive reports to the chairman (acting on behalf of the board) and to the board directly.
1.2	The chairman is not responsible for executive matters regarding the group's business. Other than the chief executive and the company secretary, no executive reports to the chairman, other than through the board.	The chief executive is responsible for all executive management matters affecting the group. All members of executive management report, either directly or indirectly, to him/her.
2. Key responsibilities		
	Chairman	**Chief executive**
2.1	The chairman's principal responsibility is the effective running of the board.	The chief executive's principal responsibility is running the group's business.
2.2	The chairman is responsible for ensuring that the board as a whole plays a full and constructive part in the development and determination of the group's strategy and overall commercial objectives.	The chief executive is responsible for proposing and developing the group's strategy and overall commercial objectives, which he does in close consultation with the chairman and the board.
2.3	The chairman is the guardian of the board's decision-making processes.	The chief executive is responsible, with the executive team, for implementing the decisions of the board and its committees.

The roles of the chairman, chief executive and senior independent director under the Combined Code

3. Other responsibilities		
	Chairman	**Chief executive**
3.1	Running the board and setting its agenda.	Providing input to the board's agenda from himself and other members of the executive team.
3.2	Ensuring that board agendas take full account of the important issues facing the group and the concerns of all board members. There should be an emphasis on strategic, rather than routine, issues.	Ensuring that he maintains a dialogue with the chairman on the important and strategic issues facing the group, and proposing board agendas to the chairman which reflect these.
3.3	Ensuring that the board receives accurate, timely and clear information on: • the group's performance • the issues, challenges and opportunities facing the group and • matters reserved to it for decision.	Ensuring that the executive team gives appropriate priority to providing reports to the board which contain accurate, timely and clear information.
3.4	Ensuring, with the advice of the company secretary where appropriate, compliance with the board's approved procedures, including the schedule of matters reserved to the board for its decision and each committee's terms of reference.	Ensuring, in consultation with the chairman and the company secretary as appropriate, that he and the executive team comply with the board's approved procedures, including the schedule of matters reserved to the board for its decision and each committee's terms of reference.
3.5	Arranging informal meetings of the directors, including meetings of the non-executive directors at which the executive directors are not present, as required to ensure that sufficient time and consideration is given to complex, contentious or sensitive issues.	Ensuring that the chairman is alerted to forthcoming complex, contentious or sensitive issues affecting the group of which he might not otherwise be aware.

The roles of the chairman, chief executive and senior independent director under the Combined Code

3.6	Proposing to the board, in consultation with the chief executive, company secretary and committee chairmen as appropriate: • a schedule of matters reserved to the board for its decision • Terms of reference for each board committee and other board policies and procedures.	Providing input to the chairman and company secretary on appropriate changes to the schedule of matters reserved to the board and committee terms of reference.
3.7	Chairing the nomination committee, and, in that role, initiating change and succession planning in board appointments to retain and build an effective and complementary board, and to facilitate the appointment of effective and suitable members and chairmen of board committees.	Providing information and advice on succession planning, to the chairman, the nomination committee, and other members of the board, particularly in respect of executive directors.
3.8	Proposing, in conjunction with the nomination committee, the membership of board committees and their chairmen.	If so appointed by the board, serving on the nomination committee.
3.9	Ensuring that there is effective communication by the group with its shareholders, including by the chief executive, finance director and other executive management, and ensuring that members of the board develop an understanding of the views of the major investors in the group.	Leading the communication programme with shareholders.
3.10	Taking the lead in providing aperly constructed induction programme for new directors, facilitated by the company secretary.	Commenting on induction programmes for new directors and ensuring that appropriate management time is made available for the process.
3.11	Taking the lead in identifying and seeking to meet the development needs both of individual directors and of the board as a whole, assisted by the company secretary.	Ensuring that the development needs of the executive directors and other senior management reporting to him are identified and met.

3.12	Ensuring that the performance of the board as a whole, its committees, and individual directors is formally and rigorously evaluated at least once a year.	Ensuring that performance reviews are carried out at least once a year for each of the executive directors. Providing input to the wider board evaluation process.
3.13	Promoting the highest standards of integrity, probity and corporate governance throughout the group and particularly at board level.	Promoting, and conducting the affairs of the group with the highest standards of integrity, probity and corporate governance.
4. Status of this statement		
4.1	Any amendments to this statement are a matter reserved to the board.	
4.2	This statement is to be annexed to the chief executive's job description. In the event of any conflict between this statement and the chief executive's job statement in so far as they may relate to his role as group chief executive, this statement shall take precedence.	

Approved by the board on [ ]

Appendix 4: Draft board responsibilities statement

To achieve the maximum effectiveness of the board, the board accepts that the roles of chairman and chief executive need to be split and clearly defined. The policy statement adopted by the board on dd mm yyyy defines the role of the chairman and chief executive. The chairman is responsible for leadership of the board and creating the conditions for overall board and individual director effectiveness, both inside and outside the boardroom. The chief executive is responsible for running the group's business.

It should be noted that this document does not supersede the authorities delegated in the matters reserved for the board document approved by the board on dd mm yyyy.

Appendix 5: Role of the senior independent director ("SID")

1. Shareholders

    - The SID will be available to shareholders if they have concerns which contact through the normal channels of chairman, chief executive or finance director has failed to resolve or for which such contact is inappropriate.
    - They will attend sufficient meetings with major shareholders and financial analysts to obtain a balanced understanding of the issues and concerns of such shareholders.

2. Chairman

    - The SID will chair the nomination committee when it is considering succession to the role of chairman of the board.
    - They will meet with the non-executive directors at least once a year to appraise the chairman's performance and on such other occasions as are deemed appropriate.

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Institute of Chartered Secretaries and Administrators

APPENDIX 16

ICSA Guidance Note: Terms of Reference for the Audit Committee

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The Governance Institute

Guidance note

Terms of reference for the audit committee

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Institute of Chartered Secretaries and Administrators

Terms of reference for the audit committee

A Introduction

This guidance note proposes model terms of reference for the audit committee of a company seeking to comply fully with the requirements of the UK Corporate Governance Code. It draws on the experience of company secretaries and is based on best practice as carried out in some of the UK's largest listed companies.

It reflects the UK Corporate Governance Code as revised in April 2016 (the 'Code') and the updated FRC Guidance on Audit Committees (the 'FRC Guidance'), also published in April 2016. The Code is applicable for financial periods beginning on or after 17 June 2016. Copies of the Code and the FRC Guidance are available at www.frc.org.uk

The model terms of reference are intended as a guide for companies to adapt to their needs. In particular:

- Companies with additional primary listing(s) may need to amend the terms of reference in light of additional requirements in the relevant country, in particular the US Sarbanes-Oxley Act 2002.
- Some responsibilities that are relevant to certain sectors only are shown in square brackets.
- There are a number of responsibilities that may be carried out by the audit committee which, alternatively, may be carried out by another board committee or at board level and these have been mentioned in footnotes.

The guidance notes on terms of reference for all board committees should be read together when allocating responsibilities to the committees. It is important to recognise the links and overlap between the responsibilities of board committees and consequently the need for each board committee to have full knowledge of the deliberations of other committees through reports to the board and, if possible, by appointing one audit committee member to the remuneration committee and one to a separate risk committee, if there is one.

Acknowledgement
This guidance note has been prepared with the assistance of a working group comprising ICSA members and Slaughter and May.

If you have any feedback on the content of these resources, or additional questions that you'd like to discuss, please contact the ICSA information centre: **020 7612 7035** | **informationcentre@icsa.org.uk**

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Terms of reference for the audit committee

B The Code

The Code states that:

> 'The board should establish formal and transparent arrangements for considering how they should apply the corporate reporting and risk management and internal control principles and for maintaining an appropriate relationship with the company's auditors.'[1]

It goes on to clarify that, in practical terms, this means that: 'The board should establish an audit committee …'.[2]

The Code recommends that the main role and responsibilities of the audit committee should be set out in written terms of reference, tailored to the particular circumstances of the company,[3] and be made available (e.g. by including them on a website maintained by or on behalf of the company).[4]

There is a requirement in the Code for the audit committee to 'report to the board on how it has discharged its responsibilities'.[5] In addition, the Code recommends that the work of the committee in discharging its responsibilities should be described in a separate section of the annual report.[6] The annual report should also include a statement from the audit committee explaining its recommendation in relation to the appointment, reappointment or removal of the external auditor, wherever the board has not accepted that recommendation.[7] The audit committee chairman should attend the annual general meeting and be available to answer questions.[8]

The provisions of the Code[9] ensure that companies are required not only to go through a formal process of considering their internal audit and control procedures and evaluating their relationship with their external auditor, but to be seen to do so in a fair and thorough manner. As part of this process, it is essential that the audit committee is properly constituted with a clear remit and identified authority, and that it has processes in place to enable directors serving on audit committees to perform their role.

1 Section C of the Code: Main principle C.3
2 Code provision C.3.1. and Financial Conduct Authority (FCA) Disclosure and Transparency Rules (DTRs) 7.1.1R
3 Code provision C.3.2. and FRC Guidance, paragraph 10
4 Code provision C.3.3. (also see footnote 7 to the Code)
5 Code provision C.3.2.
6 Code provision C.3.8.
7 Code provision C.3.7.
8 Code provision E.2.3. and FRC Guidance, paragraph 85
9 Code Section C

C Notes on the terms of reference

The FRC Guidance is designed to assist company boards in making suitable arrangements for their audit committees and provides recommendations on the conduct of the audit committee's relationship with the board, executive management and internal and external auditors. Audit committees are not required to follow the FRC Guidance but it provides a useful framework when implementing the provisions of the Code. It recognises that audit committee arrangements need to be proportionate to the task, and will vary according to the size, complexity and risk profile of the company.[10]

As regards the composition of the committee, it is best practice that it comprises a minimum of three independent non-executive directors. Audit committees of smaller companies may comprise two members and one may be the chairman, provided he or she does not chair the committee and was independent on appointment as chairman.[11] The board should satisfy itself that at least one member of the committee has recent and relevant financial experience and competence in accounting and/or auditing, and that the audit committee as a whole has competence relevant to the sector in which the company operates.[12] Other non-committee members may be invited to attend and assist the committee from time to time, according to the particular items being considered and discussed.

The audit committee should be provided with sufficient resources to undertake its duties.[13] Although not a provision in the Code, it is good practice for the company secretary, or his or her nominee, to act as secretary to the committee. The FRC Guidance states that the audit committee should have access to the services of the company secretariat on all audit committee matters. It also states that the company secretary should ensure that the audit committee receives information and papers in a timely manner to enable full and proper consideration to be given to the issues.[14] In this regard, it is the company secretary's responsibility to ensure that the board and its committees are properly constituted and advised, and that there is clear coordination between the board and the various committees.

10 FRC Guidance, paragraph 2
11 Code provision C.3.1. A smaller company is one that has been below the FTSE 350 throughout the year immediately prior to the reporting year (see footnote 6 to the Code).
12 Code provision C.3.1., FRC Guidance, paragraph 15 and also FCA Rule DTR 7.1.1A R
13 FRC Guidance, paragraph 23
14 FRC Guidance, paragraphs 24 and 25

Terms of reference for the audit committee

The frequency with which the committee needs to meet will vary depending on the nature, scale and complexity of the company and may change from time to time. The FRC Guidance states that it is for the audit committee chairman, in consultation with the company secretary, to decide the frequency of meetings. There should be as many meetings as the audit committee's role and responsibilities require and the Guidance recommends there should be no fewer than three meetings each year.[15] When scheduling meetings, there should be a sufficient interval between audit committee meetings and board meetings to allow for work arising from the audit committee to be carried out and reported to the board.[16]

The list of duties included in the model terms of reference are those which all audit committees should consider in line with best practice. Some companies may wish to add to this list[17] and some smaller companies may need to modify it in other ways. The audit committee should take the initiative in deciding the key matters it should consider and what information and assurance it needs to carry out its functions, and it should satisfy itself that the sources of information and assurance it receives are sufficient and objective.[18]

The Code requires that a separate section of the company's annual report describe the work of the audit committee in discharging its responsibilities and sets out the contents requirements for that report.[19] Such report should be signed by the audit committee chairman.[20]

15 FRC Guidance, paragraph 18
16 FRC Guidance, paragraph 19
17 For example, some companies also require the committee to monitor/make recommendations on the potential implications of legal actions being taken against the company, the adequacy of arrangements for managing conflicts of interest, the expenses incurred by the chairman, treasury management policies, monitoring the company's supply chain and processes/procedures for compliance with the Modern Slavery Act 2015, and gender pay gap reporting.
18 FRC Guidance, paragraphs 31, 41 and 42
19 Code provision C.3.8. and FRC Guidance, paragraphs 80 and 81
20 FRC Guidance, paragraph 80

Terms of reference for the audit committee

D Model terms of reference

Note: square brackets contain recommendations which are in line with best practice but which may need to be changed to suit the circumstances of the particular organisation, or excluded where not relevant to the company or if the company has a separate risk committee.

1 Membership

1.1 The committee shall comprise at least [three][21] members. [The committee shall include at least one member of the risk committee][22] and, where possible, one member of the remuneration committee.[23] Members of the committee shall be appointed by the board, on the recommendation of the nomination committee in consultation with the chairman of the audit committee.[24]

1.2 All members of the committee shall be independent non-executive directors[25] at least one of whom shall have recent and relevant financial experience and with competence in accounting and/or auditing.[26] The chairman of the board shall not be a member of the committee.[27]

1.3 Only members of the committee have the right to attend committee meetings. However, the finance director, head of internal audit and external audit lead partner will be invited to attend meetings of the committee on a regular basis and other non-members may be invited to attend all or part of any meeting as and when appropriate and necessary.[28]

1.4 The board shall appoint the committee chairman. In the absence of the committee chairman and/or an appointed deputy at a committee meeting, the remaining members present shall elect one of themselves to chair the meeting.

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21 Or in the case of smaller companies (companies below the FTSE 350 index) two members. Code provision C.3.1. and FRC Guidance, paragraph 9.
22 if the board has a separate risk committee
23 It is not always possible for a company's audit committee to include a member of the remuneration committee but it is helpful to address the issue of board committees working independently whilst having some overlapping agenda items.
24 FRC Guidance, paragraph 13
25 Guidance on circumstances likely to affect independence is given in Code provision B.1.1. See also FRC Guidance, paragraph 14.
26 See Code provision C.3.1.; DTR 7.1.1A R and FRC Guidance, paragraph 15 which also provide that the audit committee as a whole shall have competence relevant to the sector in which the company operates, and set out recommended experience and skills of members.
27 unless the company is a smaller company. See Code provisions regarding the independence of the chairman: A.3.1., B.1.1. and footnote 5. Provision C.3.1. of the Code provides that in smaller companies the company chairman may be a member of, but not chair, the committee provided she or she was independent on appointment as chairman. Except on appointment, the chairman of the company is not considered independent.
28 FRC Guidance, paragraph 20

Terms of reference for the audit committee

2 Secretary

The company secretary, or his or her nominee, shall act as the secretary of the committee and will ensure that the committee receives information and papers in a timely manner to enable full and proper consideration to be given to issues.[29]

3 Quorum

The quorum necessary for the transaction of business shall be [two] members.[30]

4 Frequency of meetings

4.1 The committee shall meet at least [three] times a year at appropriate intervals in the financial reporting and audit cycle and otherwise as required.[31]

4.2 Outside of the formal meeting programme, the committee chairman, and to a lesser extent the other committee members, will maintain a dialogue with key individuals involved in the company's governance, including the board chairman, the chief executive, the finance director, the external audit lead partner and the head of internal audit.[32]

29 FRC Guidance, paragraph 25

30 Code provision C.3.1. requires that at least one member of the committee has recent and relevant financial experience and DTR 7.1.1A R states that one committee member must have competence in accounting and/or auditing. It would therefore be preferable for any quorum to include such a member whenever possible.

31 FRC Guidance, paragraph 18. The frequency and timing of meetings will differ according to the needs of the company and meetings should be organised so that attendance is maximised. The FRC Guidance suggests key dates within the financial reporting and audit cycle might include: when the audit plans (internal and external) are available for review and when interim statements, preliminary announcements and the full annual report are near completion.

32 FRC Guidance, paragraph 22

Terms of reference for the audit committee

5 Notice of meetings

5.1 Meetings of the committee shall be convened by the secretary of the committee at the request of any of its members or at the request of the external audit lead partner or head of internal audit if they consider it necessary.

5.2 Unless otherwise agreed by the committee, notice of each meeting confirming the venue, time and date together with an agenda of items to be discussed, shall be forwarded to each member of the committee no later than [five] working days before the date of the meeting. Supporting papers shall be sent to committee members at the same time.[33]

5.3 Notices, agendas and supporting papers can be sent in electronic form where the recipient has agreed to receive documents in such a way.

6 Minutes of meetings

6.1 The secretary shall minute the proceedings and decisions of all meetings of the committee, including recording the names of those present and in attendance.

6.2 Draft minutes of committee meetings shall be agreed with the committee chairman and then circulated promptly to all members of the committee, unless it would be inappropriate to do so in the opinion of the committee chairman.

7 Annual general meeting

The committee chairman should attend the annual general meeting to answer shareholder questions.[34]

8 Duties

The committee should have oversight of the group as a whole and, unless required otherwise by regulation, carry out the duties below for the parent company, major subsidiary undertakings and the group as a whole.[35]

33 Copies of the agendas, papers and minutes may be circulated or made available to the other non-executive directors and to attendees as appropriate and as agreed.
34 Code provision E.2.3. and FRC Guidance, paragraph 85
35 This drafting assumes that these Terms of Reference are adopted by a parent company of a group. FRC Guidance, paragraph 7

Terms of reference for the audit committee

8.1 Financial reporting

8.1.1 The committee shall monitor the integrity of the financial statements of the company, including its annual and half-yearly reports, interim management statements, preliminary announcements and any other formal statements relating to its financial performance, and review and report to the board on significant financial reporting issues and judgements which those statements contain having regard to matters communicated to it by the auditor.[36]

8.1.2 In particular, the committee shall review and challenge where necessary:[37]

8.1.2.1 the application of significant accounting policies and any changes to them;

8.1.2.2 the methods used to account for significant or unusual transactions where different approaches are possible;

8.1.2.3 whether the company has adopted appropriate accounting policies and made appropriate estimates and judgements, taking into account the external auditor's views on the financial statements; and

8.1.2.4 all material information presented with the financial statements, including the strategic report and the corporate governance statements relating to the audit and to risk management.

8.1.3 The committee shall review any other statements requiring board approval which contain financial information first, where to carry out a review prior to board approval would be practicable and consistent with any prompt reporting requirements under any law or regulation including the Listing Rules or Disclosure Guidance and Transparency Rules sourcebook.

8.1.4 Where the committee is not satisfied with any aspect of the proposed financial reporting by the company, it shall report its views to the board.

36 Code provision C.3.2. and FRC Guidance, paragraph 32. See also FRC Guidance, paragraph 83 which clarifies that the audit committee would not be expected to disclose information that would be prejudicial to the interests of the company.
37 FRC Guidance, paragraphs 32 to 38

Terms of reference for the audit committee

8.2 Narrative reporting

Where requested by the board, the committee should review the content of the annual report and accounts and advise the board on whether, taken as a whole, it is fair, balanced and understandable and provides the information necessary for shareholders to assess the company's performance, business model and strategy[38] and whether it informs the board's statement in the annual report on these matters that is required under the Code.[39]

8.3 Internal controls and risk management systems[40]

The committee shall:

8.3.1 keep under review the company's internal financial controls systems that identify, assess, manage and monitor financial risks, and other internal control and risk management systems;[41] and

8.3.2 review and approve the statements to be included in the annual report concerning internal control, risk management and the viability statement.[42]

8.4 Compliance, whistleblowing and fraud[43]

The committee shall:

8.4.1 review the adequacy and security of the company's arrangements for its employees and contractors to raise concerns, in confidence, about possible wrongdoing in financial reporting or other matters. The committee shall ensure that these arrangements allow proportionate and independent investigation of such matters and appropriate follow up action;[44]

8.4.2 review the company's procedures for detecting fraud;

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38 Code provision C.3.4. and FRC Guidance, paragraph 37
39 Code provision C.1.1.
40 If the board has a separate board risk committee composed of independent directors with responsibility for the review of internal controls and risk management systems, or the board itself has this responsibility under the matters reserved for the decision of the board, the audit committee's responsibilities would be confined to internal financial controls: Code provision C.3.2. See also FRC Guidance, paragraph 41
41 Code provision C.3.2. and FRC Guidance, paragraph 40
42 unless this is carried out by the board or risk committee. FRC Guidance, paragraph 44
43 If the board has a separate risk committee the duties of that committee could include whistleblowing, fraud, the prevention of bribery, and procedures for compliance with the Modern Slavery Act 2015. Where the company is required by regulation to have in place a designated non-executive director as 'whistleblower's champion', the interaction of their responsibility with the committee's will need to be considered and suitable arrangements put in place.
44 Code provision C.3.5.

8.4.3 review the company's systems and controls for the prevention of bribery and receive reports on non-compliance;

8.4.4 [review regular reports from the Money Laundering Reporting Officer and the adequacy and effectiveness of the company's anti-money laundering systems and controls]; and

8.4.5 [review regular reports from the Compliance Officer and keep under review the adequacy and effectiveness of the company's compliance function].

8.5 Internal audit[45]

The committee shall:

8.5.1 approve the appointment or termination of appointment of the head of internal audit;[46]

8.5.2 review and approve the role and mandate of internal audit, monitor and review the effectiveness of its work, and annually approve the internal audit charter ensuring it is appropriate for the current needs of the organisation;[47]

8.5.3 review and approve the annual internal audit plan to ensure it is aligned to the key risks of the business,[48] and receive regular reports on work carried out;

8.5.4 ensure internal audit has unrestricted scope, the necessary resources and access to information to enable it to fulfil its mandate, ensure there is open communication between different functions and that the internal audit function evaluates the effectiveness of these functions as part of its internal audit plan, and ensure that the internal audit function is equipped to perform in accordance with appropriate professional standards for internal auditors;[49]

45 If the company does not have an internal audit function, the committee should consider annually whether there should be one and make a recommendation to the board accordingly; the absence of such a function should be explained in the annual report: Code provision C.3.6. and FRC Guidance, paragraph 46. See also FRC Guidance, paragraphs 45, 47 and 56.
46 FRC Guidance, paragraph 52
47 Code provision C.3.6. and FRC Guidance, paragraph 48
48 FRC Guidance, paragraph 49
49 FRC Guidance, paragraphs 50 and 51. Guidance about the standards can be found in the Chartered Institute of Internal Auditors' Code of Ethics and International Standards for the Professional Practice of Internal Auditing.

Terms of reference for the audit committee

8.5.5 ensure the internal auditor has direct access to the board chairman and to the committee chairman, providing independence from the executive and accountability to the committee;[50]

8.5.6 carry out an annual assessment of the effectiveness of the internal audit function;[51] and as part of this assessment:

8.5.6.1 meet with the head of internal audit without the presence of management to discuss the effectiveness of the function;

8.5.6.2 review and assess the annual internal audit work plan;

8.5.6.3 receive a report on the results of the internal auditor's work;[52]

8.5.6.4 determine whether it is satisfied that the quality, experience and expertise of internal audit is appropriate for the business;[53] and

8.5.6.5 review the actions taken by management to implement the recommendations of internal audit and to support the effective working of the internal audit function;[54]

8.5.7 monitor and assess the role and effectiveness of the internal audit function in the overall context of the company's risk management system and the work of compliance, finance and the external auditor;[55] and

8.5.8 consider whether an independent, third party review of processes is appropriate.[56]

50 FRC Guidance, paragraph 52
51 Code provision C.3.2. and FRC Guidance, paragraph 53
52 FRC Guidance, paragraph 54
53 FRC Guidance, paragraph 53
54 FRC Guidance, paragraph 53
55 FRC Guidance, paragraph 49. If the board has a separate risk committee, the duties of that committee could include review of the company's internal control and risk management systems.
56 FRC Guidance, paragraph 55

Terms of reference for the audit committee

8.6 External audit

The committee shall:

8.6.1 consider and make recommendations to the board, to be put to shareholders for approval at the annual general meeting, in relation to the appointment, re-appointment and removal of the company's external auditor;[57]

8.6.2 develop and oversee the selection procedure for the appointment of the audit firm, ensuring that all tendering firms have access to all necessary information and individuals during the tendering process;[58]

8.6.3 if an external auditor resigns, investigate the issues leading to this and decide whether any action is required;[59]

8.6.4 oversee the relationship with the external auditor. In this context the committee shall:

8.6.4.1 approve their remuneration, including both fees for audit and non-audit services, and ensure that the level of fees is appropriate to enable an effective and high-quality audit to be conducted;[60] and

8.6.4.2 approve their terms of engagement, including any engagement letter issued at the start of each audit and the scope of the audit;[61]

8.6.5 assess annually the external auditor's independence and objectivity taking into account relevant UK law, regulation, the Ethical Standard[62] and other professional requirements and the group's relationship with the auditor as a whole, including any threats to the auditor's independence and the safeguards applied to mitigate those threats[63] including the provision of any non-audit services;

57 Code provision C.3.7. and FRC Guidance, paragraphs 58 and 60
58 FRC Guidance, paragraph 59. For large companies see also Part 5 of the Competition and Markets Authority: The Statutory Audit Services for Large Companies Market Investigation (Mandatory Use of Competitive Tender Process and Audit Committee Responsibilities) Order 2014.
59 FRC Guidance, paragraph 61
60 FRC Guidance, paragraphs 63 and 65
61 FRC Guidance, paragraphs 63 and 64
62 FRC Ethical Standard June 2016
63 FRC Guidance, paragraph 66

Terms of reference for the audit committee

8.6.6 satisfy itself that there are no relationships between the auditor and the company (other than in the ordinary course of business) which could adversely affect the auditor's independence and objectivity;[64]

8.6.7 agree with the board a policy on the employment of former employees of the company's auditor, taking into account the Ethical Standard[65] and legal requirements, and monitor the application of this policy;[66]

8.6.8 monitor the auditor's processes for maintaining independence, its compliance with relevant UK law, regulation, other professional requirements and the Ethical Standard,[67] including the guidance on the rotation of audit partner and staff;[68]

8.6.9 monitor the level of fees paid by the company to the external auditor compared to the overall fee income of the firm, office and partner and assess these in the context of relevant legal, professional and regulatory requirements, guidance and the Ethical Standard;[69]

8.6.10 assess annually the qualifications, expertise and resources, and independence of the external auditor and the effectiveness of the external audit process, which shall include a report from the external auditor on their own internal quality procedures;[70]

8.6.11 seek to ensure coordination of the external audit with the activities of the internal audit function;

8.6.12 evaluate the risks to the quality and effectiveness of the financial reporting process in the light of the external auditor's communications with the committee;[71]

8.6.13 develop and recommend to the board the company's formal policy on the provision of non-audit services by the auditor, including approval of non-audit services by the committee and specifying the types of non-audit service to be pre-approved, and assessment of whether non-audit services have a direct or material effect on the audited financial statements.[72] The policy should include consideration of the following matters:

64 FRC Guidance, paragraph 66
65 FRC Ethical Standard June 2016, section 2
66 FRC Guidance, paragraph 69
67 FRC Ethical Standard June 2016
68 FRC Guidance, paragraphs 66, 67, 68 and 70
69 FRC Guidance, paragraph 67
See also FRC Ethical Standard June 2016, section 4.
70 FRC Guidance, paragraph 60
71 FRC Guidance, paragraph 62
72 FRC Guidance, paragraphs 71, 73 and 74

8.6.13.1 threats to the independence and objectivity of the external auditor and any safeguards in place;

8.6.13.2 the nature of the non-audit services;

8.6.13.3 whether the external audit firm is the most suitable supplier of the non-audit service;

8.6.13.4 the fees for the non-audit services, both individually and in aggregate, relative to the audit fee; and

8.6.13.5 the criteria governing compensation;[73]

8.6.14 meet regularly with the external auditor (including once at the planning stage before the audit and once after the audit at the reporting stage) and, at least once a year, meet with the external auditor without management being present, to discuss the auditor's remit and any issues arising from the audit;[74]

8.6.15 discuss with the external auditor the factors that could affect audit quality and review and approve the annual audit plan, ensuring it is consistent with the scope of the audit engagement, having regard to the seniority, expertise and experience of the audit team;[75]

8.6.16 review the findings of the audit with the external auditor. This shall include but not be limited to, the following:

8.6.16.1 a discussion of any major issues which arose during the audit;

8.6.16.2 the auditor's explanation of how the risks to audit quality were addressed;

8.6.16.3 key accounting and audit judgements;

8.6.16.4 the auditor's view of their interactions with senior management; and

8.6.16.5 levels of errors identified during the audit;[76]

73 FRC Guidance, paragraph 72
74 FRC Guidance, paragraph 21
75 FRC Guidance, paragraph 75
76 FRC Guidance, paragraph 76

8.6.17 review any representation letter(s) requested by the external auditor before they are signed by management;[77]

8.6.18 review the management letter and management's response to the auditor's findings and recommendations;[78] and

8.6.19 review the effectiveness of the audit process, including an assessment of the quality of the audit, the handling of key judgements by the auditor, and the auditor's response to questions from the committee.[79]

9 Reporting responsibilities

9.1 The committee chairman shall report formally to the board on its proceedings after each meeting on all matters within its duties and responsibilities and shall also formally report to the board on how it has discharged its responsibilities. This report shall include:

9.1.1 the significant issues that it considered in relation to the financial statements (required under paragraph 8.1.1) and how these were addressed;

9.1.2 its assessment of the effectiveness of the external audit process (required under paragraph 8.6.10), the approach taken to the appointment or reappointment of the external auditor, length of tenure of audit firm, when a tender was last conducted and advance notice of any retendering plans; and

9.1.3 any other issues on which the board has requested the committee's opinion.[80]

9.2 The committee shall make whatever recommendations to the board it deems appropriate on any area within its remit where action or improvement is needed.

77 FRC Guidance, paragraph 77
78 FRC Guidance, paragraph 77
79 FRC Guidance, paragraphs 78 and 79
80 FRC Guidance, paragraph 29 and Code provision C.3.8.

Terms of reference for the audit committee

9.3 The committee shall compile a report on its activities to be included in the company's annual report. The report should include an explanation of how the committee has addressed the effectiveness of the external audit process; the significant issues that the committee considered in relation to the financial statements and how these issues were addressed, having regard to matters communicated to it by the auditor; and all other information requirements set out in the Code.

9.4 In compiling the reports referred to in 9.1 and 9.3, the committee should exercise judgement in deciding which of the issues it considers in relation to the financial statements are significant, but should include at least those matters that have informed the board's assessment of whether the company is a going concern and the inputs to the board's viability statement.[81] The report to shareholders need not repeat information disclosed elsewhere in the annual report and accounts, but could provide cross-references to that information.[82]

10 Other matters

The committee shall:

10.1 have access to sufficient resources in order to carry out its duties, including access to the company secretariat for assistance as required;[83]

10.2 be provided with appropriate and timely training, both in the form of an induction programme for new members and on an ongoing basis for all members;[84]

10.3 give due consideration to relevant laws and regulations, the provisions of the Code and the requirements of the Listing Rules, Prospectus Rules and Disclosure Guidance and Transparency Rules sourcebook and any other applicable rules, as appropriate;

10.4 be responsible for coordination of the internal and external auditors;[85]

10.5 oversee any investigation of activities which are within its terms of reference;

81 FRC Guidance, paragraphs 82 and 44
82 FRC Guidance, paragraph 84
83 Code provision B.5.2. and FRC Guidance, paragraph 23
84 Code supporting principles B.4 and Code provisions B.4.1. and B.4.2. and FRC Guidance, paragraphs 16 and 17
85 FRC Guidance, paragraph 49

Terms of reference for the audit committee

10.6 work and liaise as necessary with all other board committees, taking particular account of the impact of risk management and internal controls being delegated to different committees;[86] and

10.7 arrange for periodic reviews of its own performance and, at least annually, review its constitution and terms of reference to ensure it is operating at maximum effectiveness and recommend any changes it considers necessary to the board.[87]

11 Authority

The committee is authorised to:

11.1 seek any information it requires from any employee of the company in order to perform its duties;

11.2 obtain, at the company's expense, independent legal, accounting or other professional advice on any matter it believes it necessary to do so;[88]

11.3 call any employee to be questioned at a meeting of the committee as and when required; and

11.4 have the right to publish in the company's annual report, details of any issues that cannot be resolved between the committee and the board.[89]

86 FRC Guidance, paragraph 43
87 Code Main Principle B.6. See also FRC Guidance, paragraph 81.
88 Code provision B.5.1. and FRC guidance, paragraph 26
89 FRC Guidance, paragraph 30

The Governance Institute

ICSA: The Governance Institute is the professional body for governance. We have members in all sectors and are required by our Royal Charter to lead 'effective governance and efficient administration of commerce, industry and public affairs'. With over 125 years' experience, we work with regulators and policy makers to champion high standards of governance and provide qualifications, training and guidance.

We seek to develop the skills, effectiveness and profile of people working in governance roles at all levels and in all sectors through:

- A portfolio of respected qualifications
- Authoritative publications and technical guidance
- Breakfast briefings, training courses and national conferences
- CPD and networking events
- Research and advice
- Board evaluation services

Guidance notes are prepared by the ICSA policy team to support the work of company secretaries and other governance professionals working in the corporate and not-for-profit sectors, and in NHS trusts.

Guidance notes offer authoritative advice, interpretation and sample materials for the many issues involved in the management and support of boards. As such, they are invaluable for those helping their organisations to build trust through good governance.

There are over 100 guidance notes available to ICSA members at **www.icsa.org.uk/guidance**

ICSA: The Governance Institute
Saffron House, 6–10 Kirby Street
London EC1N 8TS

March 2017

Institute of Chartered Secretaries and Administrators

APPENDIX 17

County FA Board Nomination and Appointment Committee Chair – Role Profile – Template

Role Title	Nomination and Appointment Committee Chair
Reports to	Chair of the Board of Directors

Role Purpose
To be responsible for chairing the Nomination and Appointment Committee in accordance with this Committee Terms or Reference.

Location	Include office address and other options or requirements such as homeworking or additional travel to other locations or overnight stays.
Estimated time commitment to fulfil the role	Keep this as flexible as possible to maximise inclusivity. The post requires a commitment to attend *[ ]* Board meetings a year. Meetings are normally held on *[day/date]* at *[where]* and normally last in the region of *[ ]* hours.
Expenses	County FA Expenses will be paid in line with the current Expense Policy of *[insert County FA name]*. Travel and accommodation to FA events where The FA has agreed to reimburse County FA Expenses will be paid in line with the current County FA Expense Policy issued by The FA.

Responsibilities
• Chair the Nomination and Appointment Committee to evaluate the Board's current capability against the agreed skills matrix, and, considering this evaluation, agree a description of the role and capabilities required for an appointment. • Chair the Nomination and Appointment Committee in leading the process of recruitment for Board and senior executive appointments.

Person Specification	
Qualifications	
Essential	**Desirable** • HR qualification
Skills	
Essential • Committee Chairing skills. • Recruitment and interviewing skills. • Knowledge of Safer Recruitment best practice. • Decision-making skills. The appropriate use of knowledge and experience to make informed decisions to the benefit of the organisation. • The ability to debate, discuss and challenge in a constructive manner. • Excellent interpersonal skills. The ability to form strong, productive relationships both internally and externally to the benefit of the Association. • Access to and ability to use, email and the internet.	**Desirable**
Knowledge	
Essential • An understanding of and a commitment to equality, diversity and inclusion in action including the impact of unconscious bias in the recruitment process. • Knowledge of the County FA Code of Governance. • Knowledge of current UK employment legislation in relation to recruitment practice. • Knowledge, understanding and interest in grassroots sport, particularly football, and other related activities.	**Desirable** • Knowledge of effective recruitment advertisement channels including social media.
Enhanced DBS Check required?	YES/NO ***[delete as applicable]***
Check Companies House Disqualified Directors Register?	YES

Clean full driving licence?	YES/NO *[delete as applicable]*

The Role Holder will be expected to understand and work in accordance with the values and behaviours described below

The values below are those of The FA. If the County FA has a variation of these values, they should be inserted below.

FA Value	Behaviours
PROGRESSIVE	**Embraces new thinking in pursuit of continuous improvement** • Identifies the need for, and actions change in direction, practice, policy or procedure. • Questions the way things are done and takes informed risks. • Continuously seeks to improve efficiency and performance.
RESPECTFUL	**Sets the standards for respectful behaviour across the game** • Maintains people's self-esteem when interacting with them. • Avoids pre-judgement when listening to suggestions from others. • Seizes the opportunity to apply FA standards at all times.
INCLUSIVE	**Champions and ensures that football is, and will remain, a game for everyone** • Openly collaborates with colleagues and partners in the game. • Provides equal opportunity to people of different backgrounds, experience and perspective. • Seeks out and embraces new ways of thinking and working.
DETERMINED	**Tenacious and accountable. Serving the whole game and doing the right thing** • Works relentlessly to overcome roadblocks or obstacles to achieve the goal. • Remains focused on seeing agreed goals through to completion taking pride in their work • Maintains motivation for their team and themselves.

EXCELLENT	**The very best outcome achieved by sustained excellence in performance** • Seeks to achieve the highest levels of performance at all times. • Can be persistent to achieve a standard that others consider impossible. • Challenges others to go further and achieve more.

Role Profile agreed by the Board of *[insert County FA name]* and signed on behalf of the Board by the Chairperson:	**Name**	**Signature**
Date Role Profile agreed by the Board:	*[insert date]*	
Role Profile signed by role holder:	**Name**	**Signature**
Date Role Profile signed by role holder:	*[insert date]*	

APPENDIX 18

Inclusion Advisory Groups (IAGs): What You Need To Know

This Appendix reproduces an existing FA-produced guidance document.



Inclusion Advisory Groups (IAGs)
What You Need To Know

The FA

FOR ALL

CONTENTS

FOREWORD

WHAT IS AN IAG AND HOW TO SET ONE UP

MANAGEMENT

RECRUITMENT

INDUCTION

PRIORITIES

TERMS OF REFERENCE

CONTACTS

WHAT IS AN IAG AND HOW TO SET ONE UP?

WHAT IS AN IAG?

An IAG is a committee of your County FA and the purpose of an IAG is to support County FAs with embedding inclusion into their everyday business and county plans.

An effective IAG will guide you towards ensuring your policies and practices are inclusive. An IAG should be populated by people who understand the needs and barriers (real or perceived) faced by those who have traditionally found it difficult to access football.

An effective IAG will also provide guidance on ways in which to reach people who may feel excluded or find it difficult to access football, whether it be because of their age, gender, gender reassignment, sexual orientation, marital status or civil partnership, race, nationality, ethnic origin, colour, religion or belief, ability or disability, pregnancy and maternity. Clearly every County is different, so your IAG will focus on your specific demographics, priorities and communities.

WHAT ARE THE FIRST STEPS TO ESTABLISH AN IAG?

There are four key steps when preparing to run an effective IAG:

1. Obtain agreement from your Board, Council and County FA staff. The CEO should visibly drive the work of IAGs with support from the CFA Board.

2. Ensure diverse recruitment of members to IAGs where possible, and ensure recruits have the skill sets and competencies to support County FAs with their planning. IAG membership should fully support your objectives.

3. Embed IAG work into all areas of CFA work so that they are used as a consultation mechanism prior to finalising Plans, and play a key part in monitoring and evaluating your interventions to grow the game within all communities.

4. Embed IAG work into County Business Plans and make sure IAGs are part of the process to produce them.

MANAGEMENT

INDUCTION

An induction will make clear from the outset the role of the IAG enabling members to fully understand their role and be most effective. It should be compiled and run by a nominated IAG Co-ordinator in partnership with all staff.

Materials and support should include:

- A full briefing and information pack provided when they join the IAG, including Terms of Reference, Codes of Conduct and the structure of the County FA
- Informal and formal induction to the IAG and the County FA, using and amending the existing County FA induction process and information
- Harnessing members' skills – people want to be involved if they know they can make a difference, so you should let each member know what you feel they can contribute from their own expertise and experience.
- Ongoing guidance and support from the County FA's IAG Co-ordinator – inside and outside IAG meetings
- Training and development in particular skills of operating in meetings, e.g. challenging and scrutiny
- Operational details, e.g. payment of expenses

MANAGEMENT

An IAG is managed and owned by the County FA in the same way as any other committees, but having an independent group chair who is not part of the county is a preferable model and the norm.

Management includes recruitment, producing terms of reference, frequency of meetings, codes of conduct for IAG members, setting objectives and targets, and the reconstitution of the Group, if necessary.

RECRUITMENT

The diagram below shows the recommended stages to follow to recruit IAG members. The list is not exhaustive, so make the best use of local networks and stakeholders.

Many of the organisations listed as stakeholders will equally be able to provide potential IAG members who have experience with wider inclusion issues.

Please bear in mind that your IAG members are volunteers, and a benefits package to support their involvement as well as their expected level of commitment should be explained at the outset. Some of the benefits are:

- A unique opportunity to influence the way football is delivered across the county
- Secondments/co-options onto to County FA Board, Council and committees
- Training and development
- Travel expenses when attending meetings

RECRUITMENT PART 2

KEY PARTNERS TO ADVERTISE THROUGH			
• Local Authorities	• Show Racism The Red Card	• Police	• Grassroots Clubs & Leagues
• Kick It Out	• Sporting Equals	• County Leagues & Clubs	• Grassroots Coaches & Referees
• Voluntary Sector Councils	• Volunteer Bureaus	• Gay Football Supporters Network	• Age Concern
• County Sports Partnerships	• Race Equality Councils	• Womens Sport & Fitness Foundation	• Community Stakeholders (Churches,Temples, Mosques, Synagogues etc.)

RECRUITMENT STAGES		
PROCESS	RECRUITMENT	RECRUIT
• Raise awareness of IAG	• Shortlist candidates according to criteria	• Repeat process quarterly until group is properly formed
• Advertise as widely as possible	• Sift face-to-face or over the telephone against the terms of reference (Webex)	• Edit your for to make it easy for you to re-recruit in future
• Recruit by application form, criteria & person specification	• Interview & score applicants according to the role description	
• Use local intelligence to target people with the right skill sets		

INDUCTION		
DEVELOP AN INDUCTION PROGRAMME THAT INCLUDES		
• CFA structure and operations	• County planning process	• Monitoring and evaluation of county programmes
• The FA Inclusion Plan	• County equality aims and objectives	• Training needs analysis
• National Game Strategy	• Meeting all staff	• Media Communications & code of conduct training

PRINCIPLES

Try to adopt the following principles when recruiting members:

- Explain why the IAG is being set up and what members will do (in details)
- Develop a clear role profile and person specification for both IAG chair and members, and stick to them.
- Include the skills, knowledge and experience the group should have
- Outline the commitment to being a volunteer at a County FA, the group Terms of reference and a code of conduct
- Details of who to contact to find out more
- Application process
- The selection process
- Timescales

SKILLS AND EXPERIENCE

Decide early on whether strategic and/or practitioner would be best suited.

Seek out people who can advise across a broad range of issues e.g. race, sex, gender reassignment, disability, religion or faith, age, sexual orientation and inclusion (low income, rural deprivation, social mobility and other local issues).

Look for members who think in a strategic way. The key roles of an IAG are to:

Provide support and advice on the County operational Plan and the likely impact it may have on specific under-represented communities within the county, e.g. ethnic minority communities, women and girls or people with impairments.

- Review performance and data to pro-actively deliver equality of opportunity in all areas.
- Advise on specific interventions to increase participation by all communities to both address gaps in provision and grow the game.
- Be a vehicle for increased representation of traditionally under-represented groups in football, including County FA Board, Council and committees.
- Monitoring and reviewing the impact of the County FA's work in relation to equality through County Plans and working towards achieving the next level of the Equality Standard for Sport.

REMEMBER:

IAGs are not delivery agents. Instead, they shape the way football is provided in an inclusive way; however, members of IAG may act as ambassadors for the game and help promote inclusion within County FAs.

PRIORITIES

Once set up, the immediate focus should be threefold:

- Increasing participation in playing, coaching and refereeing, and representation on county boards, councils and committees.
- Supporting processes for dealing with abuse and discrimination within the grassroots game.
- Ensuring that inclusion is embedded into the process of everything the County FA does.

One way of working through these actions above is to use the steps below:

- Commit to renewing at your current level of the Equality Standard or achieving the next level.
- Look at one or two special interventions to promote inclusion and grow the game. These may include:
    - Diverse representation on your Football Panel.
    - Measures to second/co-opt from your IAG onto Council.
    - Addressing unaffiliated football.
- The FA Group strategy Time for Change identifies six game changers of which 'A game free from discrimination' was one. This is reflected across the different FA strategies in relation to increasing participation and the positive environment people enjoy in football. Our strategies are:
    - Grassroots Strategy: Survive. Revive. Thrive.
    - EDI Strategy: A Game for All.
    - Women's and Girls' strategy: Inspiring Positive Change.
    - Disability Strategy: Football Your Way.
    - Football Leadership Diversity Code (Grassroots).
- Promoting transparency within your recruitment processes.
- Promoting your processes for reporting abuse and discrimination.

TERMS OF REFERENCE

In summary, Terms of Reference are a number of over-arching roles and responsibilities the IAG should work towards. These could include the IAG's remit to:

- Maintain a strategic overview of County FA work from an inclusion perspective.
- Support the County FA in their design, planning and consultation of County Plans and development plans.
- Review, monitor and scrutinise all County FA programmes from an inclusion perspective.
- Receive and comment on inclusion assessments of key aspects of County FA work.
- Provide advice and support, in particular about:
    - Community engagement
    - Proactive interventions to address gaps in equality and inclusion
    - Embedding inclusion into the county planning process
    - Enhancing development programmes for inclusion
    - Supporting the County FA with the continuous recruitment to Local Football Anti-Discrimination Panels
- Abide by the County FA Codes of Conduct
- Attend and represent IAGs on committees and at Board via the IAG Chair.
- Provide advice and support where relevant on fine-tuning disciplinary procedures to support good practice on handling allegations of discrimination.

Support the County FA in the development of specific campaign work with targeted communities

NOTE:

It is important that Terms of Reference and Codes of Conduct are reviewed either six-monthly or annually. This could be a standing item at one of the meetings during the year.

CONTACTS

FOR FURTHER INFORMATION, PLEASE CONTACT:

Dal Darroch, Head of Diversity & Inclusion Strategic Programmes
E: Dal.Darroch@TheFA.com

ONLINE IAG COMMUNITY GROUP

The FA has an online group where IAG members and County FA staff can discuss their IAGs and view and download relevant documents. This group can be found via this link: community.TheFA.com

The Football Association
Wembley Stadium
London HA9 0WS
T: +44 (0)800 169 1863
F: +44 (0)800 169 1864
W: TheFA.com

APPENDIX 19

Recruitment Pack for Appointment of County FA Independent Chair of Inclusion Advisory Group/Board/Network

Dear Applicant,

In October 2021, we published our new three-year equality, diversity and inclusion strategy, entitled A Game For All. This new strategy forms an integral part of our long-term commitment to use our influence across English football to create a game free from discrimination.

A Game for All outlines three strategic commitments – Lead the Change, Be the Change, and Inspire the Change – which will ensure tackling discrimination remains a core priority for English football for years to come. It follows the success of our previous equality, diversity and inclusion strategy, In Pursuit of Progress, by continuing to focus on tangible action and working collaboratively across the game to ensure it is a safe and enjoyable environment for all.

Click here to read more about **A Game For All**.

[Insert name of County FA] County FA is developing an Inclusion Inclusion Advisory Group (IAG)/Inclusion Advisory Board (IAB)/Inclusion Advisory Network (IAN) *(delete as applicable)* to provide advice and guidance on:

- All equality, diversity and inclusion (EDI) and anti-discrimination matters; and
- To provide strategic oversight of the delivery of its operations plan in a county-wide inclusive way which includes all sections of all communities.

We would like our members to consist of passionate individuals from a variety of backgrounds, experiences and perspectives to help guide and drive our work for everyone.

We are currently looking to recruit an Independent Chair who will lead the IAG to support our organisation. The successful person will have significant knowledge and experience of operating at a strategic level in either the Public or Private Sector and equally bring a breadth and depth of knowledge or experience in equality matters.

You will need to be able to think strategically and have the capacity to guide the implementation of local inclusion provisions. You will need to be an advocate of the role of football within EDI and anti-discrimination with a proven ability to work collaboratively and challenge constructively.

It is an exciting, but challenging opportunity with the incentive of shaping our County FA's inclusion work and positively impacting the landscape of football at every level.

The pack includes the following:

1. The role advertisement
2. A potential IAG Terms of Reference
3. The role profile
4. How to apply – the application form
5. County FA Equality and Diversity Form

The pack provides all the necessary information that you require to submit an application. Should you have any questions about the role, or require clarity on the recruitment pack, you can contact ***[insert name of CEO of your County FA and contact details you wish to share]***

Inclusion Advisory Group Independent Chair Application

Voluntary/Expenses

We are looking for a dynamic, self-motivated and proactive individual who wants to make a positive contribution to the governance of grassroots football in Countyshire.

The Chair will use their experience to lead and steer the group to promote Inclusion and Diversity throughout the organisation, ensure the group is focused and provide advice and guidance in relation to the challenges that we face in local football.

The Inclusion Advisory Group will report directly to the Board on all issues relating to Inclusion, Equality and Diversity.

There will be a minimum of four IAG meetings each season (although this could change according to need) as well as communication between meetings to support the County in delivering the National Game Strategy and its contract with The FA. There will also be a requirement to attend Board meetings when required and attend the National County FA Inclusion Day annually.

The Inclusion Advisory Group (IAG) will embed inclusion into the County FA, through support and advice on all issues of diversity and equality within the strategic and operational workings of County FA.

The successful applicant must also be able to demonstrate excellent communication and influencing skills.

What can we offer?

- An exciting opportunity to be part of a forward thinking, progressive business.
- To work with key stakeholders within the grassroots and game.
- A commitment to empowered and supportive personal development.
- Travel expenses when attending meetings

How to apply:

Applications will be accepted upon the completion of the application form contained in this recruitment pack. It is essential that applicants clearly demonstrate their ability to meet the requirements of the role, explaining how their experience and technical skills will assist them.

Recruitment for the voluntary role will be based on both the technical ability to fulfil the role and also the following key behavioural competencies, as defined in the County Football Association Competency Model:

- Honesty
- Efficiency
- Respect
- Teamwork
- Trust

We would appreciate if you could complete The FA's Diversity Monitoring form along with your application. Completion of this form is entirely optional however it does on a generalised level provide the Association with the opportunity to track the breadth and depth of the applications from different parts of the community. This form should be filled out anonymously and sent to us separately to your application form, using the pre-paid postage envelope attached. This data will then be collected and collated anonymously.

The interview process:

The date for applications to close will be at 5pm on ***[insert date]***.

Applications will be shortlisted and we will invite some candidates for an interview.

The interviews will take place week commencing ***[insert date]*** and will be held at County FA Headquarters. We can be flexible with interview times where required.

A formal induction process will take place once we have appointed an IAG Chair.

This process will be adapted for anyone who has a disability or any other accessibility requirements.

Inclusion Advisory Group Terms of Reference

Purpose

The Inclusion Advisory Group will embed inclusion into County FA, through support and advice on all issues of diversity and inclusion within the strategic and operational workings of the organisation.

Membership

The membership will go through an application process. Members should where possible represent the diversity of County FA and cover the range of protected characteristics, but as if not more important is diversity of experience, knowledge and thought. All members will be volunteers and will be paid reasonable travel expenses.

The IAG Chair will have a seat/observer role on the County FA Council/Board and the IAG will report directly to the Board via ***[insert email]***.

Role

The role of the Inclusion Advisory Group is to:

1. Provide support and advice on the County Plan and the likely impact it may have on under-represented communities within County FA, e.g. diverse ethnic communities, women and girls, people with impairments, LGBT and faith communities and people of all ages.
2. Advise on specific interventions to increase participation by the whole community to address gaps in provision and grow the game.
3. Foster good relationships with the local community, so that football can be used to create positive sporting opportunities, bring diverse people together and increase participation for all.
4. Monitor and review the impact of the County FA's work in relation to equality through the County plans and working towards achieving the next level of the Equality Standard.

Means

In supporting the role as defined above, the Inclusion Advisory Group may:

1. Analyse data to provide intelligence and support recommendations for County FA.
2. Consult on and support the county planning process, including the setting of business objectives and targets which ensure that the needs of all communities are considered, catered for and met where possible. This will include being responsible for the development and implementation of a new Inclusion Action Plan for County FA.
3. Provide support to County FA's community engagement, consultation, development programme and disciplinary procedures.
4. Act as Ambassadors as appropriate for County FA.
5. Bring a diverse and inclusive perspective, mindset and culture to County FA.
6. Identify key equality issues and support the identification and delivery of solutions.
7. Advocate the benefits of addressing equality issues.
8. Assess and advise on equality impacts arising out of county plans.
9. Coordinate consultation sessions with the wider community in relation to annual county plans and general football inclusion issues.
10. Identify key issues and trends that may promote the growth of the game through inclusion and diversity interventions.
11. Promote inclusion and diversity in football.
12. Devise, monitor and evaluate County FA secondary Key Performance Indicators for inclusion and diversity.
13. Meet four times a year (as a minimum) in an appropriate format for the members of the group.

These Terms of Reference will be reviewed once the group is formally set up and on an annual basis.

Independent Chair of Inclusion Advisory Group – Role Profile

See **Appendix 21** for a complete template for this role profile.

Role Title:	Independent Chair of Inclusion Advisory Group
Role Purpose	
• To lead and support an effective, constructive and cohesive Inclusion Advisory Group. • To assist the IAG Members and all County FA staff to plan, lead and develop a strategic vision for inclusion in football within Countyshire. • To report and feedback effectively on the delivery of Inclusion to County FA Council and Board.	
Principal Accountabilities/Responsibilities	
Governance • To represent the IAG on the County FA Board and/or Council. • To attend any national or regional FA inclusion events (where possible and relevant). • To attend County FA Meetings as and when required and when reasonable . **Agendas, Papers/packs and Presentations** • To support the recruitment of and inspire the very best and talented IAG team possible. • To ensure the performance of the IAG is measured and accountable where possible. • To prepare the Agenda for IAG meetings. • To work closely with the County FA CEO, CDM and all County FA staff where relevant to ensure resources are effectively prioritised for inclusion and that inclusion is embedded across all County FA work and staff. • To ensure that IAG action points are documented and actioned. **Strategy & Vision** • To support work around maintaining the current and/or progressing to the next level of the Equality Standard for Sport, including the creation of a robust Equality Action Plan to sit alongside, compliment and be part of County FAs wider operations plan. • To liaise with staff members and the IAG Working Group to ensure IAG work supports the attainment of FA and Internal KPIs.	

Knowledge/Experience/Technical Skills	
Essential • Have a working knowledge of the key legislation around inclusion and diversity. • Promote inclusion and diversity as part of a group. • Identify key issues and trends that may help to promote the game through inclusion and diversity interventions. • Ability to meet and work outside of normal working hours. • Successfully network with key staff and contacts within County FA and the areas in which County FA operates. • Be able to plan, drive and Chair meetings. • Ability to communicate effectively and confidently, both in written form and verbally. • Positive attitude to the requirements of the role. • Capacity to handle confidential information sensitively. • Work as part of a team. • Ability to work in a professional manner as a representative of County FA.	**Desirable** • A degree of experience of the sports/football industry. • Have existing positive contacts within the sports/football industry and the wider community. • Have existing contacts within local community groups. • Have knowledge of existing equality groups in the local area. • Ability to review and analyse data to assist in making informed decisions. • Ability to work strategically to engage under represented communities. • Experience of strategy planning/consultation. • Good presentation skills.

Application Form

Personal Details

Surname:		**Forename:**	
Address:			
Postcode:			
Home Telephone No:		**Daytime No:**	
Mobile No:			
Email Address:			

Please tell us how you meet the IAG Chair role profile as shown above.

Please tell us your reasons for wanting to be on this Inclusion Advisory Group.

Please give details of any other skills (professional/life skills), interests or experience you have that may be beneficial to you undertaking this role with County FA.

Please complete and return this form via email to ***[insert email address]*** or alternatively post your application to ***[insert postal address]***.

Closing date for applications: ***[insert date]***

Applicants will be invited to interviews w/c ***[insert date]***

APPENDIX 20

How to be a More Inclusive County FA



HOW TO BE A MORE INCLUSIVE COUNTY FA

Version: 1.0
Published: FEBRUARY 2020

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LET'S WORK TOGETHER TO MAKE FOOTBALL EVEN MORE INCLUSIVE

At The FA and across the football family, making the game a sport ***For All*** should be embedded within all that we do. The FA's Inclusion Advisory Board is a body that independently reflects on whether that is happening and advises on how we can do it better.

In parallel, County FAs are the heartbeat of English football and constantly at the coal face, you are the eyes and ears of the game. Making sure that County FAs are operating as inclusively as our vision hopes is vitally important and that's why resources such as this guide can hold such importance.

In the past few years since I started my tenure with the governing body, many things have changed for the better but as always we still have a long way to go if we are to truly call this the beautiful game. With the advent of our second FA wide inclusion plan, 'In Pursuit of Progress', we are now starting to reap the rewards of making ***For All*** a priority for the whole association and with your help and hard work that trajectory of progress can keep on rising.

It is with this that I wish you the very best of luck in making your County FA's ever more inclusive and diverse organisations underpinned by The FA's support in travelling on that journey together.

Yours in sport,

Paul Elliott
Chair of The FA Inclusion Advisory Board



'FOR ALL' IS ALWAYS FRONT AND CENTRE

Football is a game ***For All*** and with the positive power of our County FA network, this ethos is front and centre of everything we all do.

Collectively, The FA and County FAs provide a framework for more than 20,000 leagues, 100,000 teams and over two million players. Our joint goal is to create the most enjoyable, safest and inclusive experience of the game.

While we have all come a long way towards this vision, there is still much to do to turn this into a consistent reality.

This guide and other initiatives contained in our wider 'In Pursuit of Progress' inclusion plan are all component parts of that cultural change.

We need every football stakeholder to play their part in this movement – and County FAs are among the most important of them.

We're with you every step of the way on that journey and it's in that spirit that this guide has been brought to you.

James Kendall
Head of Grassroots Football, The FA



INTRODUCTION

Football is the world's game. It's by far the biggest and most popular team sport on the planet. Fifty percent of the global population are thought to be football fans and more than a quarter of the world's population is said to have played the game at some point.

The global popularity of football is mirrored in England. Of the top ten sports in England by numbers of people playing, football occupies the first, third and seventh places. Men's football is at number one, Women's football is at number three and and disability football comes in at number seven.

Given this, football is a very important medium for people to interact, socialise, become fitter and release stress in ever-more complex times.

For all these reasons, football should reflect wider society, especially when it comes to diversity and inclusion. By diversity we mean the spectrum of people and backgrounds that exist in 21st century England. By inclusion, we mean the way we ensure there are no barriers to taking part in football for any individuals or communities.

This commitment to diversity and inclusion applies at every level of the game. Of those levels, the grassroots game is the bedrock of football. It is where all professionals and internationals started – but also where most people play, participate, aspire and dream. Over 100,000 teams, 20,000 clubs and 1,000 leagues affiliate to County FAs and The FA every year. If we are truly to make the game ***For All***, the composition of these numbers needs to be as diverse as the country.

County FAs clearly play a pivotal role in this vital work. With this in mind, this guide gives some tips and case studies on making football in the area your County FA oversees as inclusive and welcoming as possible.

In the last two decades the growth, scope and reach of County FAs has changed exponentially. In a rapidly-changing country of 55+ million people, keeping pace with change can be difficult. In turn, this makes inclusivity even more important for organisations aiming to be ***For All*** and in simply being effective, relevant businesses.

Although inclusiveness is a mindset that should run through everything we all do, for the purposes of making this guide as easy to digest as possible, we have split it into sections for your various operational areas. We hope you find it useful and thought-provoking.

This guide is written for all County Football Associations.





1. FACILITIES

County FA facilities, whether it be their offices, pitches or educational areas are often the starting point for some of their activities. They are the first thing many partners and communities will see of your organisation. Additionally, facilities and physical surroundings have a significant impact on your staff and other stakeholders' attitude towards you.

Therefore, facilities which encourage inclusivity are a great building block towards your future inclusive vision.

PLAYING FACILITIES AND COUNTY FA OFFICES

The vast majority of your customers will only interact with the County FA through the use of your playing facilities. Therefore, making them as inclusive as possible and offering a positive experience is crucial for bringing people into the game and retaining them, as well as projecting a positive and inclusive image of the organisation.

Like almost all the sections in this guide, using Equality Impact Assessments can be really useful for making sure your organisation is operating in an inclusive way, relevant to your local communities' needs. Remember, the building and design of facilities is a complex, expensive and strategic process, and all the suggestions below will not necessarily be appropriate or practical for your organisation. The emphasis of this guide is that you factor some of the suggestions into your thinking and be more aware of how inclusion can play more of a part in your plans.

County FA offices are the place your workforce spend most of their time, they can create or suppress both inclusion and creativity within your staff, volunteers or visitors so it's worthwhile spending some time thinking through the design of your HQ.





Here's a checklist of some things you could implement in your workplace, playing or educational facilities to help create a more inclusive environment:

Suggestions: e.g. Have you considered...	Tick
A multi-faith prayer and spiritual room?	☐
A diversity date calendar on your office wall or within staff online calendars?	☐
Placing images of diverse football role models around your offices?	☐
Office signage in braille and other languages (relevant to local communities)?	☐
Putting an agreement in place with a local signer or interpreters, in case this is ever needed?	☐
Gender-neutral and/or trans-friendly toilets and changing facilities?	☐
Offering preferential rates to local diverse groups who are not currently represented in the game or are from more deprived wards?	☐
Specially-labelled food storage spaces and cutlery for cultural or belief-based diets (i.e. Halal, Kosher, Vegetarian and Vegan)?	☐
Disabled, as well as parent and child parking spaces?	☐
Opening and working times that are relevant to your customers?	☐
A crèche, baby-changing and baby-feeding area?	☐
Consulting your IAG on the accessibility/inclusiveness of your offices?	☐
Printed guidance available to inform staff of different cultural food needs?	☐

CASE STUDY – MIDDLESEX FA

HQ MOVE

In 2018 Middlesex FA moved from a converted residential house to a new, purpose-built County FA HQ in the Borough of Ealing. The site has 4G pitches, floodlights, parking, coach education and conference facilities. Such a major logistical move presents any County FA with opportunities for creating an inclusive environment.

Here are some of the actions and impacts Middlesex FA has experienced:

Actions	Impacts
New coach education rooms	Bookings from diverse groups such as MENCAP, walking football sessions, TEFL courses for Refugees, Girls PDC and the YMCA
Site-use capacity increase	Of the 40,000 unique users of the site over 7,000 are female, ages range from five to 67 and the diverse make-up of Ealing is reflected in users
Diverse usage	Seven of the top ten most popular users surnames of the centre are Patel, Khan, Ahmed, Shah, Ali, Bhatti and Mohammed
Community-informed front of house	Front-of-house staff were younger, more diverse and more knowledgeable about local communities, making them more relatable to users







2. WORKFORCE

Whatever your County FA structure, we all know the secret to the success of any organisation is always its people. The quality, skills, structure and ways in which your staff work will be crucial to your ongoing success in being a more inclusive organisation delivering football ***For All***.

RECRUITMENT

How you recruit your staff will set the scene for everything you do. Getting the right balance of diverse people, skills and experience at this point can be a game-changer for County FAs.

As part of your recruitment processes, ask yourself if have you cast your network as far and wide as possible? Is the job advert written in a way that will encourage more diverse candidates?

Here are some tips to help you make your recruitment process as inclusive as possible:

Suggestions: e.g. Have you...	Tick
Used a Gender Bias Decoder for the advert wording? (Here is a non-FA linked example: **gender-decoder.katmatfield.com**)	☐
Advertised the roles through diverse partners and websites? E.g. Kick It Out, Sporting Equals, UK Sport, Sport England	☐
Embedded inclusion into all job adverts and role descriptions? For example: Make it compulsory for all new role descriptions to contain the phrase: 'have an understanding and commitment to equality, diversity and inclusion'; or in all job adverts state you 'are an equal opportunities employer and would actively encourage people from diverse backgrounds to apply'.	☐
Used your IAG members to help make sure job opportunities are being cascaded into local diverse communities?	☐
Implemented an equality Impact Assessment of recruitment policies?	☐
Published details of your IAG?	☐

MAKING YOUR WORKFORCE MORE INCLUSIVE

Once staff are part of your County FA family, supporting and developing them to deliver their roles in a more inclusive manner is the responsibility of the Board and leadership team.

Changing your workforce's mindset can help to embed inclusion into the way everyone works. This will also mean less reliance on succession planning and responsibility for inclusion being with a handful of individuals.

Suggestions: e.g. Have you...	Tick
Embedded inclusion into all staff PDRs? For example: Make sure KPIs are inclusive where relevant (such as the number of BAME referees and Referee Development Officer (RDO) recruits). You can also make sure that any CPD staff members commit to/undertake has an equality education element to it.	☐
Carried out a diversity audit of your workforce? (Either standalone or as part of the Equality Standard or The FA's 'State of Play')	☐
Created a more comprehensive and inclusive induction programme for your staff, board and volunteers?	☐
Established and published inclusive workforce policies such as those which apply to pregnancy/maternity, faith days, etc.?	☐
Marked or celebrated key diversity dates such as Black History Month, key faith dates, LGBT History Month, International Women's Day, etc.?	☐
Inserted key diversity dates into a wider workplace calendar?	☐
Explored setting up 'Employee Resource Groups'? (Employee Resource Groups are voluntary, employee-led groups that are usually aligned with protected characteristics like a BAME, Women's or Disability Network. These kind of groups can help development future leaders, increase employee engagement or expand market reach).	☐
Built equality training and CPD into all staff work programmes?	☐



CASE STUDY – SURREY FA

WORKFORCE WELLBEING

In 2018, Surrey FA joined the ***Time to Change*** movement, alongside many other organisations striving to bring change and support its employees.

Joining ***Time to Change*** meant making a pledge to ensure Surrey FA's own staff had better mental wellbeing and awareness, as well as creating a more inclusive working environment. After signing the pledge, Surrey FA worked with their IAG (Inclusion Advisory Group) to create an Action Plan, which the ***Time to Change*** charity reviewed and approved. The plan aimed to implement and achieve good mental health and wellbeing across the entire business.

Surrey recruited two Mental Health Employee Champions to lead on this work. Both champions completed a two-day Mental Health First Aid course. After publicly signing the pledge officially, staff were consulted on how they thought they could improve their own workplace wellbeing. Suggestions were put into action, such as subsidised lunchtime yoga and tai chi sessions. The Surrey FA has also run monthly 'Breakfast Gatherings' each with a theme, e.g. Suicide Prevention Day (September), Stress Awareness Month (November) and World Bipolar Day (March). Quizzes have also been held to create mental health awareness and other activities have been tested for their effectiveness.

In addition, Surrey FA has put up a Mental Wellbeing noticeboard in the communal kitchen. Engagement has been high with 20 out of 25 staff members trying out yoga. The overall action plan is reviewed annually in consultation with staff. More recently, a Mental Health and Wellbeing policy has been put in place, supported by senior management and the Board. Surrey has also recently joined the 'Surrey Time to Change Partnership', to develop cross-organisational links to support the campaign more widely across the county.

Centrally, The FA has partnered with ***Time to Change*** to produce two resources designed to help people set up and deliver football and mental health projects. Both can be downloaded from: **time-to-change.org.uk/resources/guides-toolkits**

Surrey FA's staff wellbeing noticeboard

3. LEADERSHIP

Organisations with clearly defined visions and values are more able to embed a positive and diverse culture, especially if they are demonstrated by their leaders.

Having a diverse (both physically and in terms of skills and experience) Board and senior leadership team sets the tone for the organisation and its staff, but getting to that point and maintaining it can be difficult. Leadership pipelines can be long and nuanced, making them notoriously difficult to break into, especially in sport. Sports governance has the unenviable reputation for being an 'Old Boys' Club'. Whether this is true or not, perception is often taken as reality.

To change the mindset and composition of your leaders, different ways of operating and thinking need to be adopted – but always with the common goal of more people playing more football for more enjoyment.

BOARD RECRUITMENT

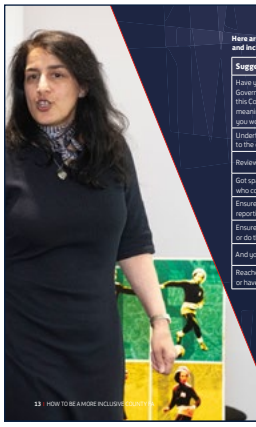
Company boards should have a mixture of skills, experience and people. The richer that mix, evidence[1] suggests it's more likely the organisation will make more bottom-line profit – whatever that type of profit is.

For example, football is a business like any other, but sometimes targets and outputs are not monetary. Nevertheless, the processes and pathways to success are paved with the same principles. To create the most efficient and immediate impact, you should look to the current make-up of your Board and its level of diversity.

By diversity, it's important to note we don't just mean physical diversity. The assumption that being of a different heritage automatically qualifies someone to be an expert on diversity isn't one that has proven to be correct or effective.

Whilst there is more likely to be an understanding of certain communities' experiences from people within them, having a broad knowledge and engagement with a wider range of diverse communities and the experience of delivering services to them is likely to have more impact.

[1]Delivering through Diversity, McKinsey, 2018
https://www.mckinsey.com/~/media/McKinsey/Business%20Functions/Organization/Our%20Insights/Delivering%20through%20diversity/Delivering-through-diversity_full-report.ashx



Here are a few suggestions on how you can work towards having a more diverse and inclusive leadership team at your County FA:

Suggestions: e.g. Have you...	Tick
Have you discussed the principles of good governance as laid out in 'The FA's Code of Governance for County FAs' and are you working towards meeting the requirements of this Code? The Code complies with and surpasses Sport England's Governance Code, meaning you would not only have achieved both of sport's flagship certifications, but you would also be eligible to apply for Sport England funding autonomously.	☐
Undertaken a skills and diversity audit of your current Board? And compared this to the diversity of your customer base?	☐
Reviewed how your Board is currently selected?	☐
Got space on your Board for Independent Non-Executive Directors (INEDs) who could apply without restriction?	☐
Ensured your IAG and/or Youth Council both have representation on or direct reporting into your Board?	☐
Ensured your Articles of Association allow for you to recruit external directors or do they compel you to recruit from special interest football groups?	☐
And your Board received Unconcious Bias training?	☐
Reached out and targeted skilled and diverse people? Especially on Boards, or have you waited for them to come to you?	☐

COUNTY FA CODE OF GOVERNANCE COMPLIANT

Dr Ifrahim Shah MBE DL JP FRCGP (Hon), Manchester FA Board Member and Chair of their IAG

CASE STUDY – BIRMINGHAM FA

BIRMINGHAM FA NON-EXECUTIVE DIRECTOR RECRUITMENT

In 2018 Birmingham FA were working to be only the second County FA to achieve the Intermediate Level of the Equality Standard.

Through the process of this standard, Birmingham FA 'Equality Impact Assessed' a cross-section of their policies and programmes. A key policy they analysed was their recruitment and selection policy. They found the policy needed to be updated to be able to recruit a skilled and diverse workforce – and to implement a fairer, more transparent process.

A lack of broad advertising channels, poor diversity data collection and possible unconscious bias within the process were all identified as issues holding back the desire to recruit more suitable people. Through analysis of the County FA's Articles of Association it was identified that the best way to test a new and more inclusive process was to use the option of recruiting more Independent Non-Executive Directors, or 'INEDs'. This new process involved a wider selection of advertising channels to improve the skills make-up of the Board as well as better data on applicants and the use of 'double-blind' short listing.

With new recruitment processes and procedures in place, it was found that a more diverse cross-section of people had applied for these roles, with a wider set of skills. Six Independent Non-Executive Directors (INEDs) were recruited, one of whom was an existing Board member. In addition, two new directors were co-opted, one female and one BAME person. The new directors met all the selection criteria for the roles but brought with them a new and diverse range of skills and life experiences. As a result of this, the new recruitment policy has now been adopted across the organisation.



FURTHER INFORMATION

Here are some other sources of information on this subject you might find useful:

A six step guide to improve Board diversity: **equalityhumanrights.com/en/advice-and-guidance/how-improve-board-diversity-six-step-guide-good-practice**

For information from Sport England on Diversity in Sports Governance, visit: **sportengland.org/news-and-features/news/2019/september/20/increasing-board-diversity-within-the-sports-sector**

4. MARKETING AND COMMUNICATIONS

The public face of any organisation is important in shaping your brand and your customers' opinion of you and that starts with good marketing and communications.

That's because the vast majority of your customers will never enter the County FAs' offices to meet you in person. Therefore, good marketing and communications (marcomms) are key engagement tools for County FAs. Both disciplines not only help deliver County FA development plans but also engage and attract non-customers to get involved in football.

Now that more County FAs have full-time Marcomms Officers, there is more capability to deliver marketing campaigns and manage social media on a local level. However, with this capability, County FAs require inclusive strategies and content to attract, engage, recruit and sustain diverse communities in the game.

Suggestions: e.g. Have you...	Tick
Consulted your IAG on your marcomms strategy and plans?	☐
Ensured your current marcomms plan has been Equality Impact Assessed?	☐
Checked that your marcomms strategy aligns with your Equality Action Plan?	☐
Ensured your marcomms channels and resources reach all areas of all communities?	☐
Checked that you regularly quote and communicate your wider diversity strategy?	☐
Partnered with diverse external partners and reflect this in your communications?	☐
Ensure that whoever is accountable for marcomms at your County FA regularly engages with and updates your IAG.	☐

This graphic highlights some of the partners with whom we work.

CASE STUDY – HERTFORDSHIRE FA

COMMUNICATIONS: LGBT HISTORY MONTH



As part of their work on the Equality Standard, Hertfordshire FA identified a need to carry out an equality audit of its inclusion work and the County FA's wider demographics. After completing both of these, it became clear that they had not meaningfully engaged with LGBT people or communities in Hertfordshire through football, especially young LGBT people.

Through outreach work and personal engagement with local LGBT organisations, the County FA's Equality Officer identified a cost-efficient and appropriate way to reach out to young people through social media. Working with the County FA Youth Council, relevant content and language was identified, as well as the best dates and times to engage. Over a period of two hours, during LGBT History Month, Hertfordshire FA gave control of its social media channels to their Youth Council in this ground-breaking project. As a result of the campaign, the County FA gained an increased number of social media 'followers' (or customers), as well as an increase in confidence and engagement with LGBT communities in Hertfordshire.

The impact of this strategy has been the increase in awareness of non-County FA customers at no cost to the County FA.

CASE STUDY – BIRMINGHAM FA

MARKETING: NON-CUSTOMER RESEARCH



Birmingham FA oversees football in one of the most diverse cities in England/Europe. It had identified a need to engage more with diverse communities who were not existing customers; 'non-customers' in effect. To achieve the two objectives of reaching out to and understanding more about these communities through football, Birmingham FA started from the position that the majority of people in Birmingham were non-customers.

The first step was to commission an expert local sports insight company to carry out the research, using a mixture of qualitative and quantitative methods with diverse communities not already involved in affiliated football.

To get the most value for money from this project, the work was put through a competitive tendering process, with three local firms pitching for the project. As a result of this process, the successful project became more accountable, and the project brief developed further through the conversations with the three research organisations. As part of the tendering process, the County FA also consulted with The FA's Insight Team to gain further expert advice in tendering for research projects and gaining the most value for money from them.

The researchers spoke to more than 50 people through focus groups and over 200 non-customers in person. The findings of the report were that most people had strong perceptions of football, whether positive or negative, but that these generally related to professional football. Respondents also said they were put off by the 11-a-side game and preferred more flexible formats of the game located within their own communities.

The research recommended a campaign to distinguish between local grassroots and professional football, helping people understand the actual experience they may have could be different to their perceived experience. The report also recommended encouraging girls to play, by marketing to their mothers, who, although they may not play the game themselves, would encourage their daughters to play.

5. COACHING

Coaching is one of the two main roles within football development over which County FAs have significant influence. The other is refereeing – see section 6.

In turn, coaches have a significant impact on the wider game. Research has revealed that one of the biggest influences on many people's early lives, outside their family, is their first sports coach.

With coaches being role models for many young people, having diversity across the coaching workforce is really important. Giving children the chance to look up to and learn from someone with whom they can identify is a key element of our collective goal to make the game For All.

Here are a few tips on how you can generate a more diverse coaching workforce within your County FA:

Suggestions: e.g. Have you...	Tick
Compared your County FA demographics with that of your local coaching workforce?	☐
Consulted with your IAG? Or your Youth Council? IAGs and Youth Councils can give you insight from ethnically diverse communities or young, disabled or LGBT people for example and can help you be more informed when you are trying to recruit and retain those coaches.	☐
Used your coach bursary funding to subsidise course fees for diverse coaches?	☐
Utilised your Coach Mentor workforce, especially the FA BAME Coach Mentor group?	☐
Used key dates such as Black History Month, Ramadan or LGBT History Month to target potential coaches from diverse communities?	☐
Profiled any of your current diverse coaches within social media or on your website?	☐
Considered diversity specific coaching courses?	☐

CASE STUDY – ESSEX FA

PARTNERSHIP WITH THE MUSLIMAH SPORTS ASSOCIATION

Essex and East London has a very large Asian and Muslim population that doesn't participate in affiliated football. Asian and Muslim females participate less than women from other communities and are the least active social group in society (according to Sport England research).

Recognising this fact, Essex FA worked with the Muslimah Sports Association, a local female- only sports club. Given the women's lack of experience in traditional football settings, it was arranged to run a Level 1 female-only coaching course in a local mosque where sessions were adapted to fit in with the mosque's/women's schedule. After a six-week programme 12 new coaches were qualified. After being assigned a female FA coach mentor the coaches are now coaching other women within their club and community.



6. REFEREEING

Refereeing is the backbone of the game. Every weekend up to 30,000 FA-registered referees take to the country's grassroots pitches to manage and govern matches and ensure they are enjoyed by everyone.

Several studies have found that the one thing more valued by grassroots players than anything else is having a qualified referee officiating their game.

In turn, having visibly diverse referees changes the perception of the game to players, parents and coaches. This level of diversity further enhances the game's 'For All' ethos

Refereeing can be very rewarding for those who take it up, but it can be difficult to recruit people. Given this, recruiting for referees, especially diverse ones, should be as informed and strategic as possible due to the number of barriers that can stop referees blowing the whistle over the long term.

Every County FA currently has BAME and female referee targets linked to their funding from The FA.

Here are a few tips that might help you when considering your next referee recruitment project:

Suggestions: e.g. Have you...	Tick
Broken down your current referee workforce by their diversity?	☐
Consulted with your IAG about this issue?	☐
Undertaken an Equality Impact Assessment?	☐
Spoken to The FA Referee Dept or Refereeing Officers at neighbouring County FAs? All County FAs will be working to deliver more inclusive refereeing. Comparing experiences can be very insightful and sometimes lead to joint working. The FA Referees' Dept is overseeing all 50 County FAs and may know of another County FA facing the same challenges as you.	☐
Spoken to any other sports? Or institutions such as the police, cadets or scouts? Other sports or local institutions may have diversity insight or access to local communities that could benefit you, so swapping notes and approaches can sometimes be rewarding.	☐
Spoken to any local religious institutions, as well as especially diverse schools or colleges where new referees could help regulate their own internal football?	☐

CASE STUDY – LANCASHIRE FA

REFEREE COURSE WITH LOCAL FAITH SCHOOL

Lancashire FA recognised the levels of diversity across the county weren't reflected within their referee workforce.

After analysing the data they realised that the biggest diversity group not represented across refereeing was Asian Muslims, and working through their current diverse referees they partnered with Tauheedul Boys school, a local Faith (Islamic) School.

After speaking to the school's head teacher, Lancashire FA arranged a referees' training course to form part of the school's curriculum. All 24 boys who took part passed the qualification. Mentoring and game practice was also built into school's hours, ensuring the boys were more likely to stay in refereeing.

The school is an all boys' school, and a counterpart course also took place at its all girls' 'sister' school.



7. INCLUSION ADVISORY GROUPS (IAGS)

The purpose of an IAG is to support County FAs with embedding inclusion into their everyday business and plans.

An effective IAG will guide you towards ensuring your policies and practices are inclusive. An IAG should be populated by people who understand the needs and barriers (real or perceived) faced by those who have traditionally found it difficult to access football.

An effective IAG will also provide guidance on ways in which to reach people who may feel excluded or find it difficult to access football, whether it be because of their age, gender, gender reassignment, sexual orientation, marital status or civil partnership, race, nationality, ethnic origin, colour, religion or belief, ability or disability, pregnancy and maternity. Clearly every County FA area is different, so your IAG will focus on your specific demographics, priorities and communities.

Central FA research has shown that there are five critical success factors of a good IAG which are:

No	Critical success factor	Score yourself 1-5 (1 = worst and 5 = best) *(circle as appropriate)*				
1	Having the right people on the group	1	2	3	4	5
2	Having a Chair driving change	1	2	3	4	5
3	Your IAG working well with your Board	1	2	3	4	5
4	Your IAG working well with your staff	1	2	3	4	5
5	An IAG involved in strategic planning	1	2	3	4	5

Using the above table will help you self-reflect on what's going well and what needs improvement within your IAG.

Here are a few other IAG related suggestions you could consider:

Suggestions: e.g. Have you...	Tick
An IAG page on your website that profiles your group members?	☐
Made sure your IAG are fully inducted and ready to make a difference from Day 1?	☐
Ensured your IAG is an essential part of your County FA Planning Process?	☐
Assessed whether your IAG Chair could automatically reverse into a place on your Board?	☐
Considered whether your Youth Council Chair could automatically take up a seat on your IAG or an observer or director role on your Board?	☐
Considered an IAG roadshow, travelling round the county to help you reach out and engage?	☐

CASE STUDY – MANCHESTER FA

ESTABLISHING AND RUNNING AN INCLUSION ADVISORY GROUP (IAG)

In 2018 Manchester FA reviewed and re-advertised for its IAG. It was previously run along the traditional model with local football stalwarts coming together to talk about their experience of the game.

Under the new Chair, Dr Robina Shah MBE, the IAG transformed into a dynamic and representative body which has influenced all parts of the County FA. Firstly, the IAG insisted on all Manchester FA staff having equality, diversity and inclusion embedded within all staff PDRs (Personal Development Reviews). The IAG Chair was also automatically made a member of the County FA board, embedding inclusion into wider County FA decision-making.

The group itself recruited from across different levels of football, bringing on board members with football and strategic experience of sitting on wider boards and committees. The group now comprise of key strategic partners rather than just football leagues and clubs.

The IAG was then made a standing committee of the main Board and regular communication started to happen between the IAG and the main board. This trickled down to – and empowered – County FA staff, who had already been made more accountable for inclusion within their PDRs.

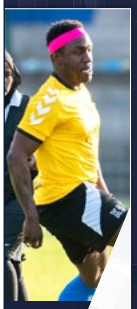
The IAG then built an action plan and also recognised that the County FA needed a dedicated resource to oversee and guide all of this work, in the form of a 'For All' Football Development Officer. The Action Plan is a plan for the IAG that aligns with and builds on the wider CFA Operations Plan, making sure the IAG looks into specific priority areas of inclusion as well as keeping an eye on wider equality matters. This role is now in place and the full-time officer now links together the County FA staff team, the IAG, the Board, inclusion activities and the wider operations plan. As a result, Manchester FA is now an organisation where inclusion is recognised across all departments and evidenced through its behaviours and values.



Manchester FA IAG Chair and Board member Robina Shah with Manchester FA staff team.



Inclusion Advisory G
What You Need To K



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8. REPORTING DISCRIMINATION

All County FAs consider any reports of alleged discrimination as a matter of fundamental importance and will investigate all reports. There is a clear, consistent and transparent process in place which allows for a fair regulatory procedure to be applied.

As a reminder, the following is a process adopted by all County FAs when an incident of discrimination is reported within football:

- Any incident of discrimination should be reported immediately to the authorities. If this occurs at a game the matter should be reported to the match referee but also directly to the County FA;
- The County FA on receipt will also report the matter directly to The Football Association who will also guide the County FA on the investigation;
- The County FA discipline team will seek further information from any witnesses, including the match officials, in order to determine the facts;
- The County FA reviews the information received and will make a recommendation to The FA on whether to raise a charge;
- When a charge is raised, the person charged has 14 days to respond;
- Depending on the response, the matter will then be determined by a Disciplinary Commission either as a Personal Hearing or as a Correspondence Hearing;
- The Commission is appointed centrally by The Football Association and will consist of fully trained members;
- At a Personal Hearing, all witnesses in support of the charge will be required to attend the hearing to give evidence;
- There are specific procedures adopted where participants under 18 years of age are involved;
- Following the hearing the result will be confirmed in writing and full written reasons will be produced;
- All cases are also subject to Appeal.

It is also important that all case information is recorded. This allows for collaboration across teams and external parties such as County FA Inclusion Advisory Groups. County FAs have a greater level of accountability on how disciplinary caseloads are managed due to the more impactful and sensitive nature of such cases.

A guide to setting up and running an effective County FA Inclusive Advisory Group is available from The FA.

Here are some further tips around how to improve the inclusiveness of reporting of discrimination and the disciplinary process:

Suggestions: e.g. Have you...	Tick
Improved visibility on how to report discrimination through creating digital assets and promotional materials? You could partner with Kick It Out for this.	☐
Created a County FA owned 'How To' reporting leaflet or PDF which includes an explanation of the process and push to all clubs, coaches and referees?	☐
Fully trained your staff disciplinary team around discrimination cases and do you publicly disclose annually, a summary of how all of those cases went? This allows for greater transparency and confidence.	☐
Made it County FA policy to always notify the alleged victim of the result of any case and give them a channel to feedback directly to County FA staff? Call them personally.	☐
Got a dedicated page on your website on reporting discrimination, with all your and The FA's resources and videos included?	☐
Linked your IAG into your reporting discrimination work and your discipline team for any strategic feedback?	☐

For more information on reporting discrimination in confidence, click **here**.



9. SUMMARY

This document was designed to help you reflect on just how inclusively your County FA operates. Maybe some of the suggestions and case studies it contains have provoked some positive actions.

To summarise, here are some principles we think will be of use:

Communicate more

County FAs have many excellent services to offer, but in the past have sometimes struggled to get across the breadth of their work to some local communities. Understanding how your market engages and designing your communications plan accordingly can yield excellent dividends.

Market yourself

Many diverse communities have no idea what County FAs do or how they can benefit from you. Having an evidence-based marketing plan will make a big difference to your diversity – and your bank balance!

Lead the way

Leading from the front through your Board and senior leadership team will bring the biggest changes and the quickest wins. Use the collective appetite for change to make it happen.

Reach out and engage

Over the years, diverse communities haven't had a close working relationship with most County FAs and it's up to us to get out there and change that. These communities love football as much as everyone else. They will be encouraged by the fact that you've made the effort and reached out.

Use the professionals

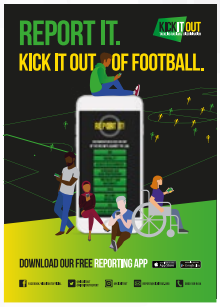
The professional game is the shop window of football. It is in your interests to work with them more. Every professional club has a Community Trust or Foundation and many of their objectives will be the same as yours. The power of their badge is something worth using to your advantage.

Campaign with others

Sometimes it makes more sense to partner with the experts and have a bigger joint impact. Campaigns like Kick It Out and Show Racism the Red Card will be more than happy to work with you to try and help make football a better place. Kick It Out is part-funded by the FA to do exactly that and has two grassroots officers whose roles focus on County FAs and grassroots football. For more info go to **KickItOut.org**

Report it

The foundation of much of your equality, diversity and inclusion work will start with making sure your anti-discrimination procedures are sound and in place. Ensure the process and channels to report discrimination are clear and well-publicised or this could undermine all your hard work.





FOR FURTHER INFORMATION

AT THE FA:

Simply email **Equality@TheFA.com** and the appropriate person will respond.

USEFUL DOWNLOADS ON THEFA.COM:

- Asian Inclusion: **TheFA.com/AsianInclusion**
- Faith and Football: **TheFA.com/football-rules-governance/inclusion-and-anti-discrimination/including-different-faith-backgrounds**
- Reporting discrimination: **TheFA.com/football-rules-governance/inclusion-and-anti-discrimination/anti-discrimination**
- LGBT: **TheFA.com/football-rules-governance/inclusion-and-anti-discrimination/tackling-homophobia**

Further information is also available from Kick It Out, English football's equality and inclusion organisation: **KickItOut.org**

WHEN WE SAY FOOTBALL IS FOR ALL... WE MEAN IT.

As England's national sport, with more than 30 million spectators, 11 million participants and 100,000 grassroots teams, football has incredible power to bring people together, pull down barriers and act as a force for good.

With this power comes responsibility. As the game's governing body in England, we consider this responsibility to be a day-to-day duty.

So much so that we've published our Equality, Diversity and Inclusion Plan for 2018-21, which is now in its second year. You can download a copy from the Inclusion and Anti-Discrimination section of **TheFA.com**.

It contains clear targets across four priority areas of work:

- The FA and its culture
- The England teams' support structure
- The game's grassroots workforce
- Inclusion programmes across the game

Our priority areas are also underpinned by our ongoing work to deliver a game free from discrimination.

All our targets are measurable. At the end of each completed year we publish a progress report. The latest one can also be downloaded from **TheFA.com**.

We're determined to ensure football is ***For All***.

The Football Association
Wembley Stadium
London HA9 0WS
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W: TheFA.com

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APPENDIX 21

County FA Independent Chair of Inclusion Advisory Group – Role Profile – Template

This role profile provides a foundation from which a County FA can build their IAG Chair role profile to suit their specific needs

Role Title	Independent Chair of Inclusion Advisory Group
Reports to	Chair of the Board of Directors

Role Purpose	
• To lead and support an effective, constructive and cohesive Inclusion Advisory Group. • To assist the IAG Members and all County FA staff to plan, lead and develop a strategic vision for inclusion in football within the County. • To report and feedback effectively on the delivery of Inclusion to County FA Council and Board.	
Direct Reports	Member of the Inclusion Advisory Group.

Location	Include office address and other options or requirements such as homeworking or additional travel to other locations or overnight stays.
Estimated time commitment to fulfil the role	Keep this as flexible as possible to maximise inclusivity.
Remuneration or Expenses	Please indicate whether any remuneration is attached to this role. If so a contract for service will be required. County FA Expenses will be paid in line with the current Expense Policy of ***[insert County FA name]***. Travel and accommodation to FA events where The FA has agreed to reimburse County FA Expenses will be paid in line with the current County FA Expense Policy issued by The FA.

Responsibilities
Governance • Represent the IAG on the County FA Board and/or Council. • Attend any national or regional FA inclusion events (where possible and relevant). • Attend County FA Meetings as and when required and when reasonable.

Agendas, Papers/packs and Presentations

- Support the recruitment of and inspire the very best and talented IAG team possible.
- Ensure the performance of the IAG is measured and accountable where possible.
- Prepare the Agenda for IAG meetings.
- Work closely with the County FA CEO and other key County FA staff to ensure resources are effectively prioritised for inclusion and that inclusion is embedded across all County FA work and staff.
- Ensure that IAG action points are documented and actioned.

Strategy & Vision

- Support work around maintaining the current and/or progressing to the next level of the Equality Standard for Sport, including the creation of a robust Equality Action Plan to sit alongside, compliment and be part of County FAs wider operations plan.
- Liaise with staff members and the IAG Working Group to ensure IAG work supports the attainment of FA and Internal KPIs.

Person Specification	
Skills and Knowledge	
Essential	**Desirable**
• Have a working knowledge of the key legislation around inclusion and diversity. • Promote inclusion and diversity as part of a group. • Identify key issues and trends that may help to promote the game through inclusion and diversity interventions. • Ability to meet and work outside of normal working hours. • Successfully network with key staff and contacts within the Association and the areas in which the Association operates. • Be able to plan, drive and Chair meetings. • Ability to communicate effectively and confidently, both in written form and verbally. • Positive attitude to the requirements of the role. • Capacity to handle confidential information sensitively. • Work as part of a team. • Ability to work in a professional manner as a representative of the Association.	• A degree of experience of the sports/football industry. • Have existing positive contacts within the sports/football industry and the wider community. • Have existing contacts within local community groups. • Have knowledge of existing equality groups in the local area. • Ability to review and analyse data to assist in making informed decisions. • Ability to work strategically to engage under represented communities. • Experience of strategy planning/consultation. • Good presentation skills.

Enhanced DBS Check required?	YES/NO *[delete as applicable]*
Check Companies House Disqualified Directors Register?	YES
Clean full driving licence?	YES/NO *[delete as applicable]*

The Role Holder will be expected to understand and work in accordance with the values and behaviours described below

The values below are those of The FA. If the County FA has a variation of these values, they should be inserted below.

FA Value	Behaviours
PROGRESSIVE	**Embraces new thinking in pursuit of continuous improvement** • Identifies the need for, and actions change in direction, practice, policy or procedure. • Questions the way things are done and takes informed risks. • Continuously seeks to improve efficiency and performance.
RESPECTFUL	**Sets the standards for respectful behaviour across the game** • Maintains people's self-esteem when interacting with them. • Avoids pre-judgement when listening to suggestions from others. • Seizes the opportunity to apply FA standards at all times.
INCLUSIVE	**Champions and ensures that football is, and will remain, a game for everyone** • Openly collaborates with colleagues and partners in the game. • Provides equal opportunity to people of different backgrounds, experience and perspective. • Seeks out and embraces new ways of thinking and working.
DETERMINED	**Tenacious and accountable. Serving the whole game and doing the right thing** • Works relentlessly to overcome roadblocks or obstacles to achieve the goal. • Remains focused on seeing agreed goals through to completion taking pride in their work. • Maintains motivation for their team and themselves.
EXCELLENT	**The very best outcome achieved by sustained excellence in performance** • Seeks to achieve the highest levels of performance at all times. • Can be persistent to achieve a standard that others consider impossible. • Challenges others to go further and achieve more.

Role Profile agreed by the Board of *[insert County FA name]* and signed on behalf of the Board by the Chairperson:	**Name**	**Signature**
Date Role Profile agreed by the Board:	*[insert date]*	
Role Profile signed by role holder:	**Name**	**Signature**
Date Role Profile signed by role holder:	*[insert date]*	

APPENDIX 22

County FA Remuneration Committee Terms of Reference – Template

1. Constitution and Membership

1.1 The Board has resolved to establish a committee of the Board to be the Remuneration Committee ("the Committee").

1.2 The Committee shall comprise at least 4 members, all of whom shall be non-executive Directors of the Board. Members of the Committee shall be appointed by the Board.

1.3 Only members of the Committee and the Chief Executive Officer (other than when the Committee is considering matters relating to the Chief Executive Officer) have the right to attend committee meetings. However, other individuals as the Committee shall determine and external advisers may be invited to attend for all or part of any meeting, as and when appropriate and necessary.

1.4 The Board shall appoint the Committee Chairman. In the absence of the Committee Chairman, the remaining members present shall elect one of themselves to chair the meeting.

2. Secretary

A nominated Director or his or her nominee shall act as the secretary of the Committee.

3. Quorum

The quorum necessary for the transaction of business shall be three. A duly convened meeting of the Committee at which a quorum is present shall be competent to exercise all or any of the authorities, powers and discretions vested in or exercisable by the Committee.

4. Frequency of Meetings

The Committee shall meet at such times as the Chairman of the Committee shall require.

5. Notice of meetings

Meetings of the Committee shall be called by the secretary of the Committee at the request of the Committee Chairman.

6. Minutes of meetings

6.1 The secretary shall minute the proceedings and resolutions of all Committee meetings.

6.2 Minutes of Committee meetings shall be circulated promptly to all members of the Committee.

7. Duties

The Committee shall:

7.1 Approve the remuneration policy, key operating Principles and structure applicable to the Chief Executive Officer, all County FA employees who report into the Chief Executive Officer within the management structure.

7.2 Approve as required, the salary, bonus and other terms and conditions of those employees covered by 7.1 above.

7.3 Approve as required, the level of remuneration and other terms and conditions of the Chairs and non-executive Directors of all County FA companies.

7.4 Approve terms relating to the termination of the contract of employment of any employee as provided for in 7.1 above and the Chairs and non-executive Directors of all County FA companies and any settlement or termination agreements.

7.5 Periodically review the reward policy and structure that applies to County FA employees below the level of those provided for in 7.1 above, to ensure that this is consistent with the overall aims and objectives of the County FA.

7.6 Be responsible for establishing the selection criteria, selecting, appointing and setting the terms of reference for any remuneration consultants who advise the Committee.

8. Reporting responsibilities

8.1 The Committee Chairman shall report to the Board on its proceedings after each meeting on all matters within its duties and responsibilities.

8.2 The Committee shall make whatever recommendations to the Board it deems appropriate on any area within its remit where action or improvement is needed.

9. Authority

9.1 The Committee is authorised to seek any information it requires from any employee of the Company in order to perform its duties.

9.2 The Committee is authorised to obtain, at the Company's expense, outside legal or other professional advice on any matters within its terms of reference.

APPENDIX 23

Risk Committee Terms of Reference – Template

1. Purpose

The Risk Committee is responsible for assisting the Board in its oversight of risk, reviewing the Group's risk appetite and risk profile in relation to capital, liquidity and franchise value, reviewing the effectiveness of the Group's risk management framework, reviewing the methodology used in determining the Group's capital requirements, stress testing, ensuring due diligence appraisals are carried out on strategic or significant transactions, working with the Remuneration Committee to ensure that risk management is properly considered in setting remuneration policy, and monitoring prudential regulatory requirements across the Group. Primary responsibility for setting the Group's conduct and financial crime risk appetites and overseeing the Group's profile against them; overseeing the brand and reputation of the Group and ensuring that the reputational risk is consistent with the risk appetite lies with the Board Governance Committee.

2. Membership

2.1 The members, including the Chairman of the Committee, shall be appointed by the Board on the recommendation of the Nomination Committee. Members shall be appointed in consultation with the Chairman of the Risk Committee.

2.2 The Committee shall consist of not less than three members and all members shall be independent non-executive Directors of the Company. Appointments to the Committee shall be for a period of up to three years, which may be extended by no more than two additional periods of up to three years, provided the Director still meets the criteria for membership of the Committee and subject to the articles of association of the Company and re-election by shareholders.

3. Quorum and meeting procedures

3.1 A quorum of the Committee shall be two members.

3.2 In the absence of the Committee Chairman, the remaining members present shall elect one of themselves to chair the meeting.

3.3 Directors may attend a Committee meeting in person or through the use of video or telephone conference.

3.4 The Group Company Secretary, or their nominee, shall be the secretary of the Committee.

4. Attendance at meetings

4.1 Only Committee members and other Board members have the right to attend Committee meetings. The Group Chief Executive Officer, the Chief Risk Officer, the Chief Financial Officer, the Chief Audit Officer and a senior representative of the external auditor will normally be invited to attend.

4.2 Members of Management and any advisers appointed by the Committee may attend any meeting of the Committee, by invitation.

4.3 At least once a year, and at any other time as the Committee shall see fit, it shall meet separately with each of the Chief Risk Officer, the Chief Audit Officer and the external auditor in the absence of other members of Management.

5. Frequency of Meetings

5.1 Meetings shall be held not less than four times each year and at such other times as required.

5.2 The Chairman of the Board, the Group Chief Executive Officer, the Chief Financial Officer, the Chief Risk Officer, the Chief Audit Officer, the External Auditor, the Chairman of the Committee or two members of the Committee may request a meeting if they consider that one is necessary.

6. Notice of Meetings

6.1 Meetings of the Committee shall be called by the secretary of the Committee at the request of the Committee Chairman.

6.2 Unless otherwise agreed, notice of each meeting confirming the venue, time and date together with an agenda of items to be discussed, shall be forwarded to each member of the Committee, any other person required to attend, no later than five working days before the meeting. Supporting papers shall be sent to Committee members and to other attendees as appropriate, at the same time.

7. Minutes of Meetings

7.1 The secretary of the Committee shall ensure that a formal record of Committee proceedings and resolutions is maintained.

7.2 Following approval of the minutes by the Chairman of the Committee they shall be circulated to all members of the Committee.

8. Authority

The Committee is authorised by the Board to:

8.1 Investigate, or cause to be investigated, any activity within its terms of reference;

8.2 Obtain at the Company's expense external legal or independent professional advice from such advisors as the Committee shall select, who may, at the invitation of the Committee, attend meetings as necessary;

8.3 Seek any information that it requires from any employee of the Group in order to perform its duties and require all employees to co-operate with any request made by the Committee;

8.4 Meet for despatch of its business, adjourn and otherwise regulate its business as it shall see fit, including approving items of business by the written resolution procedure set out in the Company's articles of association;

8.5 Delegate any of its duties as is appropriate to such persons or person as it thinks fit; and

8.6 Attend the meetings of the risk Committees of the Group's principal subsidiaries.

9. Duties

9.1 The duties of the Committee, which will be carried out in relation to the Company and the Group as a whole, as appropriate; shall be to:

9.2 **Risk**

9.2.1 Review and monitor the Group's future risk strategy and its risk appetite, in particular, in relation to capital, liquidity and operational risk (save for where such risk is the primary responsibility of the Board Governance Committee), and to make recommendations on risk appetite to the Board;

9.2.2 Work with the Governance Committee to ensure that the Group's Corporate Responsibility risk exposures are properly considered;

9.2.3 Review the methodology and assumptions used in the Group's model for determining its economic and regulatory capital requirements; satisfy itself that the assumptions and calibrations used reflect Aviva's forward-looking risk profile and that the potential impact of un-modelled and unquantifiable risks have been taken into consideration in determining economic and, where appropriate, regulatory capital; to receive independent internal and/or external reports on the methodologies and assumptions, and satisfy itself that the models are fit for purpose; to review the adequacy of the Group's processes and the effectiveness of controls over the determination of its economic and regulatory capital; and make recommendations to the Board.

9.2.4 Work with the Governance Committee to ensure the impact of material conduct, financial crime and reputational risks and events on the Group's capital and liquidity position are properly considered

9.2.5 Review the appropriateness of the Group's investment risk strategy including asset liability matching; review and approve the Group's credit limit framework; and review and approve individual counterparty exposures above the Group shareholder exposure limit;

9.2.6 Review and robustly assess the design, completeness and effectiveness of the risk management framework relative to the Group's activities including those that would threaten its business model, future performance, solvency or liquidity; to review the adequacy and quality of the risk management function; and to review the effectiveness of risk reporting (including timeliness and risk events);

9.2.7 Review and approve the risk policies and any material changes made to these; to review and recommend to the Board any relevant Group business standards which require Board ownership or which support the Board in meeting its responsibilities; and monitor compliance with these and Management's actions to remedy any breaches;

9.2.8 Review the scenarios (covering both economic and other future risk outlooks over the business planning horizon) and stress tests which the Group uses to assess the adequacy of its economic and regulatory capital and liquidity; and review and challenge the outcome of these tests and the proposed actions which might need to be taken in the light of the outcomes;

9.2.9 Satisfy itself that risks to the business plan and the capital implications are adequately identified and assessed as part of the business planning process through stress-testing and scenario analysis, and that appropriate mitigants, management actions and contingency plans are in place in relation to risks to the business plan, or arising as a result of the business plan and monitor the Company's medium-term capital management plan and recommend it to the Board for approval;

9.2.10 Satisfy itself that risk-based information (including own risk and solvency requirements, returns on economic capital, capital and liquidity reports, stress testing and contingency planning) is used effectively by Management and the Board, for instance for capital allocation and product pricing.

9.2.11 Ensure that a due diligence appraisal of strategic or significant transactions due to be proposed to the Board is undertaken before the Board takes a decision whether to proceed, focussing in particular on the implications on the capital and liquidity risk appetite and tolerance of the Group and ensuring that the implications of the transactions on the capital, liquidity, regulatory (prudential) and franchise value risk appetite in respect of current and future capital requirements are taken into account;

9.2.12 Work with the Remuneration Committee to ensure that risk management is properly considered in setting the overall remuneration policy for the Group and the remuneration of the executive Directors and other senior executives;

9.2.13 Recommend the appointment or dismissal of the Chief Risk Officer to the Board and to participate jointly with the Group Chief Executive Officer in the determination of the objectives of the Chief Risk Officer and the evaluation of his/her levels of achievement, and to help determine and approve his/her remuneration;

9.2.14 Review and recommend to the Board for approval any material regulatory filings including the methodology for the Own Risk Solvency Assessment.

9.3 **Regulate (prudential)**

9.3.1 Review relationships with the prudential regulatory authorities in the UK and, where appropriate, other jurisdictions where the Group has a significant presence; and review developments and prospective changes in the prudential regulatory environment, and the Group's plans to help influence future prudential regulatory policies;

9.3.2 Review significant breaches, or potential breaches, of prudential regulation and the steps taken to ensure that the underlying root causes of any regulatory control failures are being addressed;

9.3.3 Review the adequacy and quality of the Group's Compliance and Risk functions.

9.4 **Control environment**

9.4.1 Assist the Audit Committee in its review of the adequacy and effectiveness of the Group's system of internal controls, including financial reporting and financial controls;

9.4.2 Approve the standard template terms of reference for the risk Committees of the Group's principal subsidiaries, and any material deviations from it, receive and review a summary of material issues transacted at those Committees and receive and review reports on any other material matters referred by the Chairs of those Committees;

9.4.3 Note the appointment of members of Business Unit Risk Committees following endorsement by the Group Chief Executive Officer and Committee Chairman; and

9.4.4 Consider other topics, as referred to it from time to time by the Board.

10. Reporting Procedures

10.1 The Chairman of the Committee shall report to the Board at regular intervals on the matters it has reviewed, make recommendations when requested or when the Chairman of the Committee considers appropriate. The Group Company Secretary shall circulate the minutes of the meetings of the Committee to all members of the Board;

10.2 In addition to their day-to-day management reporting line, the Group Chief Risk Officer has a direct reporting line to the Chairman of the Committee on matters within the Committee's scope;

10.3 The Chief Risk Officer shall submit a report to the Committee on a regular basis concerning capital and liquidity, risk and other relevant issues within his/her remit;

10.4 The Chief Capital Officer shall submit a report to the Committee on a regular basis concerning capital and liquidity and other relevant issues within his/her remit;

10.5 The Committee members shall undertake a review of the Committee's performance and these terms of reference annually and, if necessary, make recommendations to the Board for approval;

10.6 The Committee shall produce an annual report of the Committee's duties and activities during the year, which will form part of the Company's Annual Report and Accounts;

10.7 The Chairman of the Committee shall attend the Annual General Meeting and shall answer questions, through the Chairman of the Board, on the Committee's activities and responsibilities.

APPENDIX 24

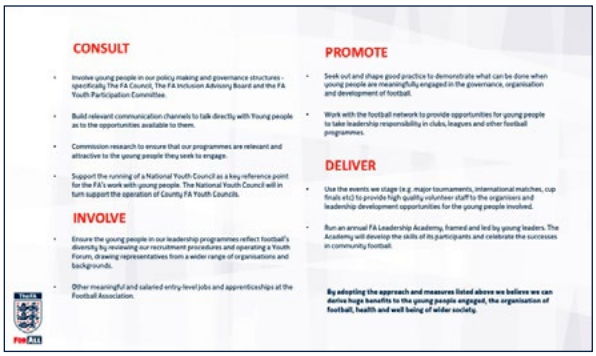
County FA Youth Council Guidance

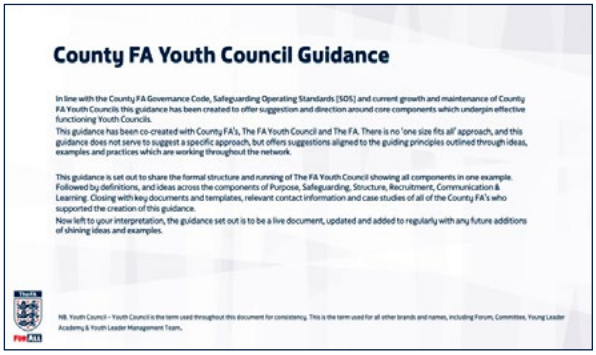
The following pages contain a FA-produced PowerPoint presentation covering the above topic.
It is editable to create a bespoke version for your County FA. You can download an editable version here.

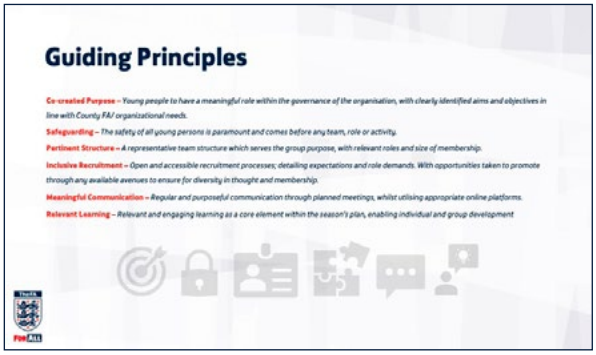












The FA National Youth Council - Vision

The FA National Youth Council's vision is: **"All young people have meaningful opportunities to develop themselves and positively impact the football community"**



The FA National Youth Council

RECRUITMENT

A two part approach in application involving a paper based application form and video to be submitted.

This application is similar for the Chairperson & Vice-Chairperson. Those roles are then followed up via an interview process.

Applications are assessed by FA Staff and the Chair & Vice-Chairs against a scoring matrix to determine successful/ unsuccessful applicants.

Applications promoted via:
FA Youth Leader network via partners, County FA's, Partners, Youth Leader Community and other Social Media platforms

COMMUNICATION

The FA Youth Council meet 6 times per season, spread bi-monthly across the season in 2 or 3 day weekend sessions.
Meetings are created and delivered by the Chair & Vice-Chairperson in collaboration with FA staff to ensure agendas cover key areas of work, FA priorities, team projects and personal development.

Meeting content where possible is planned at the start of the season, inline with known requirements and demands across specific times of the season.

Away from meetings, The FA Youth Council use a mix of platforms for differing needs of communication. Teams is the main platform for holding key documents, updates and discussions. WhatsApp is used for FA Youth Council members only, for quick answers and reminders. Email is used when necessary to share documents and queries with specific individuals where necessary.

LEARNING

The FA Youth Council staff team are in place to support individuals throughout the season both during and away from meetings.
During meetings, specific CPD and training is arranged and delivered for members around key needs and skills relevant for the roles fulfilled.

Where possible, members are paired up with FA or County FA staff to have a mentor for their time with the FA Youth Council to further support individual goals and development.
Internally, personal development plans have been created for individual members to track their progress within their role, in network, via partners

SAFEGUARDING

All FA Youth Council members have an in date DBS, and FA qualifications. An experienced and sizable staff team are involved throughout the season for wellbeing and safeguarding support. Risk assessments and a Code of Conduct is in place for all members, mirroring the Safeguarding protocols for County FAs and their Youth Councils.

The FA National Youth Council - Structure



The FA National Youth Council - Structure

The FA National Youth Council roles are based around the core role of the Youth Council in supporting the County FA Youth Council structure, and developing the leadership capabilities of young people in the game.

The Chairperson represents all children & young people within The FA's Governance structure, this as a full member of the FA Council and relevant committees. The Chairperson sets the strategic direction for the FA Youth Council.

The 2 Vice-Chairpersons are in place to manage and oversee the operations of The FA Youth Council. Developing and delivering meetings, leading communications and support to senior members and leading key programmes of work. One vice-chair will represent the youth council on the Inclusion Advisory Group also.

The FA National Youth Council - Structure

Community Engagement Leads– directly support County FA Youth Councils on a peer-peer level with developments and guidance. The Clubs and Leagues lead provides guidance and support to promote youth voice within clubs and leagues. Community Engagement Leads also oversee and engage with all FA Youth Council projects.

Research & Comms Team – This team is in place to effectively communication the impact of youth leadership internally and our wider online audience. This team ensures work is insight lead, thorough reports are produced and opportunities are signposted effectively.

Leadership & Development Leads – Supporting youth leaders through the 12 month FA leadership Academy learning & development programme and also coordinating and managing the FA Regional Youth Network. The EDI Lead also sits within the L&D team along with the FA Youth Mentoring Programme Lead

Co-created Purpose – *Young people to have a meaningful role within the governance of the organisation, with clearly identified aims and objectives in line with County FA/ organizational needs.*

A County FA Youth Council is an enabler. A dynamic resource to support the strategic objectives of the organisation whilst also training and developing the future football workforce – the Youth Council therefore creates enables a beginning for future careers.

As a by-product of the Safeguarding Operating Standards, the requirement to listen to the voice of young people is paramount. Through an effective Youth Council, this requirement can be met whilst giving ownership for young people to provide a voice within football across what they can control and influence. The role of young people is not limited to the pitch or meeting room. There is an increasing movement from County FA's to have young people represented within the governance structure using various methods and routes.

Young people offer a viewpoint of the game right now, innovation and an understanding of technology which is shown to be enhancing the football landscape, how it is engaged with and consumed. Engaging with young people at all levels, ensures that there is a diversity of thought, and that the current and major stakeholders are a part of decision making which impacts them.

The purpose and role of the Youth Council and its members should be co-created alongside the County FA. There are numerous programmes and potential roles which could be delivered and fulfilled through the Youth Council.
Common practices have seen Youth Councils:

- Leading the creation and delivery of Youth Leadership Development Programmes. Engaging with and supporting the wider network of young people, by providing relevant training and mentoring opportunities to support youth leaders.
- Devising strategies for youth engagement, ensuring that the youth voice is being heard within football support future programme development and delivery.
- Leading and supporting campaigns relevant to youth football and legacy programmes such as WEURO22 and "Let Girls Play"
- Measuring and supporting the impact of County FAs and their Youth Council's via the Maturity Matrix
- Engaging with the football community to gain insights and research to inform future decisions and programmes of work.
- Providing inclusive opportunities to youth leaders, and volunteer workforce
- Supporting County FA programmes and events. Playing vital roles in the delivery of events, community, county cups, The People's Cup and any other festival events.

Ownership

The FA Youth Council co-create their work programme alongside The FA through a VMOST. VMOST is a planning tool used to identity the **Vision, Mission, Objectives, Strategy & Tactics.**

The VMOST is an ever-present with individual ownership assigned, and specific project plans developed for each project showing designated actions and responsibilities of individuals.



ROGER HART'S LADDER OF PARTICIPATION

Different scenarios might require different levels of participation and engagement from young people within your club or league. The differing intention will inform the activities and opportunities which you wish to provide.

Using the descriptions (right) you will be able to consider where any of your current practices fit. Suggesting young people have an input into decision making or any genuine role within the club or league, but then not listening to them or utilising their experience would be a waste of time and could make young people feel unvalued, disillusioned and not want to help with any future opportunities.

The Ladder of Participation can be used as reference to guide you through developing your methods for engaging with young people which are relevant and aligned to your why.

8 – Youth initiated shared decisions with adults
Youth led activities, with youth and adults sharing decision making as equal partners.

7 – Youth initiated and directed
Youth led activities with little input from adults.

6 – Adult initiated shared decisions with youth
Adult-led activities in which decision making is shared with youth

5 – Consulted & Informed
Adult-led activities, youth consulted and informed about outcomes of adult decisions

4 – Assigned, but informed
Adult-led activities in which youth understand the purpose and decision-making process.

1, 2 & 3 – Manipulation, Decoration & Tokenism
Adult-led activities in which youth are directed without understanding or input with minimal opportunities for feedback

7

Youth in Governance

As noted within the County FA Governance code, it is encouraged for County FAs to consider and implement actions to allow young people to play a role within the governance of the association. This ensuring the youngest and largest stakeholder group are represented and listened to on matters which influence and impact them.

The options are vast in being able to evidence and meaningfully engage young people within the governance of the organisation, specifically around the Boardroom. Currently across the country, young people are being engaged through the following routes:

Youth on Board Activity

- Chairperson as a full Board member
- Co-opted representation on the Board
- Invited to Board meetings with observer status
- Invited to Board meetings to discuss points which are relevant

Youth in Decision Making

- Youth Council to be represented within the County FA Council
- Where there isn't a council, Youth Council to be represented within relevant County FA Committees
- Youth Council to be represented within County FA Inclusion Advisory Group
- To be consulted around County FA Operational Plans & activity



Any activity involving young people in football demands the highest safeguarding policies and structures to ensure all involved have relevant and appropriate qualifications, understanding and access to support when required. Following the introduction of the FA Safeguarding 365 Standard, clearly defined processes and procedures are already in place for County FA activity involving young people.

As a minimum, the Safeguarding 365 processes should be followed to ensure all activity from meetings to project delivery is risk assessed, with appropriate safeguards in place to minimize risk. Cascade training/ the safeguarding introduction should be deployed with all members being shown and taken through relevant training around risks, appropriate reporting measures and considerations around identifying and raising concerns. Through the cascade training/ safeguarding introduction, a Code of Conduct will be required to be signed by all members. Talking through the code and sharing the CFA Youth Council code of conduct would be helpful for all involved.

Relevant members and staff associated with the Youth Council should have an in-date Criminal Records Check, and where possible The FA's safeguarding children and FA Emergency Aid qualification. A register should be in place to sign members under the age of 18 in and out, with emergency contact details provided prior to any activity. Across the County FA Youth Council network, the following actions have been taken and are in place going above and beyond the operating standard.

Optional

- Meet with the County FA Safeguarding Lead/ Designated Safeguarding Officer
- Safeguarding Champion as a role within the Youth Council
- Safeguarding on every agenda, and tasks set by DSO (relevant to the voice of young people)
- Lead Development Officer to have completed the Welfare Officer Workshop
- Mental health training, Youth Package available through Time for Change

Wellbeing

Psychological safety is becoming a core factor in effective team and organisation functioning. Creating an environment built on trust, and safety enables individuals to be able to contribute and fulfil responsibilities.

Aside from Youth Council responsibilities, Youth Council members will all have other priorities and lifestyle demands.





Wellbeing

All Youth Council members should be treated and supported in the same way any colleague is, with access to support and networks which might be of benefit throughout the season. The simple matter is remembering everyone is human, and at any time individuals will have challenges to work through. These may include education, other volunteering roles, work and home life commitments.

Consideration for external factors impacting commitment and delivery should be considered from a matter of safeguarding and wellbeing. This could be incorporated within the safeguarding needs or be in addition to monitor and support the wellbeing of Youth Council members.

- Check in with members if they miss a meeting
- Do you provide refreshments during meetings?
- Have you considered a wellbeing champion within the group?
- Do you have a wellbeing survey for members?

Pertinent Structure – *A representative team structure which serves the group purpose, with relevant roles and size of membership.*

The purpose of a Youth Council should drive the requirement around a group structure and membership needs. Creating opportunities for individuals to be able to engage within project and development opportunities. A group small in size may have more responsibility, but also less support to spread a workload. A team with a large, could allow for social loafers and responsibility to be diluted. On average Youth Councils are holding between 8-12 active members, in some cases with additional members who are in advisory/ mentor roles.



Roles may be stable once the purpose and direction is co-created and agreed, which could allow for direct applications for roles. However, it has become an accepted route to have the Chair role as the only positional application, with all other applicants to become team members, and formal roles agreed at a later point either through internal applications or democratic votes.

Devising a group structure following the creation of a purpose and group direction, matches the operating of a County FA/ Organisation – in recruiting roles which enable key objectives to be met.

Additional roles around marketing to raise awareness and actively promote the Youth Council, and involvement of young people is an increasingly popular, alongside a lead role around inclusion. Ensuring that all work is inclusive, accessible and for all.

Succession planning should be considered, to ensure a continuous function of the Youth Council, ensuring projects and programmes are not dependent on the people but on the purpose. Term lengths over more than one year might be considered to ensure for longevity and flow from season to season. Specifically around succession planning for future Chairperson, and how they are trained and supported to lead the group in future years. Processes might be put in place to enable the Chairperson the opportunity to serve within the role for a minimum of two seasons to be able to understand and deliver within the role. This enabling for the recruitment of Vice-Chairpersons who can become 'Chair Ready' with relevant support.

Inclusive Recruitment – *Open and accessible recruitment processes; detailing expectations and role demands. With opportunities taken to promote through any available avenues to ensure for diversity in thought and membership.*





From a position of openness and transparency, all Youth Council recruitment should be accessible for all young people to apply and show an interest. Simple methods of application have been shown to produce a higher return on applicants, however this doesn't always produce diverse and representative teams.

Role expectations and time demands should be outlined within the application process, with information available around the group purpose. Identified are both target areas and tactics for accessing young people, alongside varying processes being undertaken to collate and assess applications.

Inclusive Recruitment – *Open and accessible recruitment processes; detailing expectations and role demands. With opportunities taken to promote through any available avenues to ensure for diversity in thought and membership.*

There are numerous options to reach young people who might be interested in the opportunity to join a County FA Youth Council, some which might access a network of young people previously untapped.

Youth Council Open Evenings	County FA Social Media & website.	Create a WGS view of all young people active within community football	Directly contacting clubs and leagues to recommend individuals	Youth Leaders currently within the County FA programmes and initiatives
	Beyond the direct nature of the grassroots football world, colleges and universities	Other youth-related organizations could be contacted, for example, scouts and guides	County Sports Partnership and School Games Organisers utilise leaders for events, who might be interested in developing their experience and leadership potential	Professional clubs and their community trusts

Inclusive Recruitment – *Open and accessible recruitment processes; detailing expectations and role demands. With opportunities taken to promote through any available avenues to ensure for diversity in thought and membership.*

What are you recruiting?		
Team Application or Specific roles	Separate Chair application	Term length, 1 or more years
What information is required, and how?		
VoxPopMe – video application	Use of Google Form/ Smartsheet for simple form	CV & Cover Letter
Then what?		
Open Evening for applicants	Informal/ Formal interview	Assessment process for decisions.



Meaningful Communication –
Regular and purposeful communication through planned meetings, whilst utilising appropriate online platforms.

Communication is key to ensuring time is invested wisely. This is both face to face communication during meetings, also away from and between meetings. The time available for face to face meetings is limited, agendas should be carefully crafted to ensure time is balanced between task and developmental needs.

With the growing use and expansion of social media and online platforms, there are more ways to communicate than ever. Appropriate channels should be created to allow for updates and discussions, which do not expose anybody to any safeguarding or welfare risks.

Ultimately people buy into what they help create. Meaningful communications enable members to feel their input and actions are valued and listened to. Active online platforms ensure action is being taken, and progress can be updated from the County FA and Youth Council members.





Teams: Safe and accessible online platforms can be created and used to maintain conversation, updates and key actions.

Trello/ Smartsheet: For sharing tools to map our project timelines and actions which can be accessed and edited by anyone linked to the group

Email: An ever present for direct formal contact with individuals or small groups. A safe method for County FAs sharing updates and arranging meetings

WhatsApp: Useful tool for quick updates and questions. The social media platform is increasingly popular for conversation and group chat.

More time will be spent and invested whilst away from the group through individual actions and experiences. Safe and accessible online platforms can be created and used to maintain conversation, updates and key actions.

Relevant Learning – *Relevant and engaging learning as a core element within the season's plan, enabling individual and group development*

The purpose of Youth Leadership and Engagement programmes has been described within two core parts, for young people to have an impact within the game across business objectives and to develop the future workforce. As a development programme, across the term of your Youth Council learning and development opportunities are encouraged to support the growth of members as leaders and people. The needs of the individuals and group should drive the learning content and opportunities created to ensure they are relevant and of value.

Across the Youth Council network there is seen to be several methods and practices in place, giving ownership to members to take a lead on their own learning supported by the County FA. Resource and time demand is apparent, considerations around outsourcing learning and development is coming more to the fore.



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APPENDIX 25

County FA Youth Council Constitution and Terms of Reference – Template

Notes when using this template:

- Areas in ***[bold]*** are to be edited by each County FA to meet the purpose, structure and function of The County FA Youth Council.
- Assumptions have been made in order to create this template as a guide for consideration.
- The term 'relevant committee/body' has been used throughout the document, referring to committees, Inclusion Advisory Group or working groups which are a part of the County FA governance structure involving Young People or representation of The County FA Youth Council.

County FA Youth Council Constitution:

1. Article 1: Structure of the Youth Council

1.1 The County FA Youth Council will have a lead County FA staff member ***[name of staff member]*** who will remain consistent throughout the Council until a time when they choose to retire from this position and should appoint a succeeding County FA official to relieve them.

1.2 The Council should be formed with a maximum of – but not limited to – 15 members representing the county demographic and age (16-25yrs) spread of youth football within the county approved by an open and transparent application process led by the County FA Youth Council lead.

1.3 The Council should have two staff representatives from The County FA. The Lead County FA Officer and one other County Official recommended to be the County FA Designated Safeguarding Officer.

1.4 The County FA Youth Council will meet face-to-face a maximum of ***[insert number of times per annum]***. Meetings will be coordinated by the County FA Youth Council Lead in consultation with the Youth Council. Additional meetings/discussions will take place via e-mail or other networking forums. (Additional meetings can be added if/when necessary).

1.5 All meeting notes and actions will be circulated within ***[ ]*** days of each meeting to all members of the County FA Youth Council, County FA Staff and County FA Board and ***[relevant delegated committee/body]***. These should be written in conjunction with The County FA's lead staff member

1.6 County FA full time staff members are eligible to represent The County FA Youth Council if they meet the further criteria, however this is discouraged.

2. Article 2: Conduct of the County FA Youth Council

2.1 The conduct of the Council is based on and designed to uphold and share a set of core values which are aligned to The County FA Values.

2.2 The Council will operate as a democracy.

2.3 The quorum of a minimum of ***[ ]*** members, inclusive of a County FA staff member shall be required for all meetings.

2.4 Uninvolved members or members who are acting in a manner detrimental to the core values of the game should be given the opportunity to explain their short comings. Action may be taken by the County FA Youth Council lead if approved by the Council to rectify this. Concerns of such a nature should be directed to the County FA Youth Council staff lead and to be resolved by the County FA Youth Council as a group.

2.5 A Code of Conduct which all Youth Council members must sign, provides clarity on the minimum expected standards for all members.

3. Article 3: Positions within the County FA Youth Council

The leadership positions within the Council will include ***[a Chairperson and three Senior Officers]***, with remaining members being aligned to support the senior positions as ***[project officers and area engagement officers]***.

3.1 The Chairperson is to be elected through an open application process which is to be determined by the County FA. The election process should include members of the Youth Council, where this isn't possible the decision is to be made by County FA Lead staff members.

3.2 The Chairperson is responsible for directing meetings of the Council towards a productive end. They hold no further influence than any other Council member other than in directing the agenda of a meeting and representing the Youth Council where appropriate within the County FA governance structure.

3.3 The Senior Officers are responsible for taking the notes of the meeting and drawing up an action list. They should liaise with the Chairperson before circulation of these to the Council members. This should be within *[ ]* days of any meeting.

3.4 These positions will be filled by a candidate standing for the position or a candidate being proposed. The Chairperson and the County FA Lead staff member will jointly elect members annually. This handover should take place at the last meeting of each season.

3.5 ***[In the event of two or more candidates, the candidates may propose their case for selection then must leave the room while this is being discussed. A secret ballot may be used when the candidates are present. Candidates may vote for themselves.]***

3.6 At any meeting a Chairperson and a Senior Officer must be present or a stand in assigned in their absence.

3.7 The position of Chairperson has a recommended duration of two seasons; advance notice of one meeting should be given if the position is to be retired from. With Council approval the candidate may remain in their position for an additional season, if this additional season were to take the Chairperson above the upper age limit then a new Chair is to be sought, with the former taking an advisory role.

3.8 If the Chairperson or any of the council members holding Senior positions are not fulfilling their roles this must be bought to the attention of the County FA Youth Council Lead.

4. Article 4: Membership Length

4.1 Membership length of the County FA Youth Council is recommended to last a minimum of *[ ]* season. Membership may be extended to *[ ]* seasons with council approval.

4.2 Membership maybe extended to a period of *[ ]* years if special circumstances exist and providing the member is still involved in Youth Football (16-25), still falls within this age bracket and is not preventing a new member with the appropriate skillset from joining. All applications must be made to The County FAs Youth Council Lead for review.

4.3 Resignation from the council at any point will require *[ ]* notice so that their position maybe filled with a suitable candidate.

4.4 Resigning members are not required to detail the reasons for their resignation.

4.5 New County FA Youth Council members should ideally be similar in demographic and age criteria of the member they replace to ensure a representative spread of the now missing member. New members will be selected through open recruitment and interviewed by the County FA Youth Council lead.

4.6 Integration of new members of the County FA Youth Council should be staggered to allow continuity of function of the Youth Council

5. Article 5: County FA Youth Council and County FA Projects

5.1 Involvement of any project by the County FA Youth Council will require proposal of the project and two thirds council vote to be carried with final approval by The County FA Youth Council Lead. This decision will be made on parameters including cost, benefit and a projection of how this will be achieved. (This is not an exhaustive list of criteria and details of any project should be provided by the member proposing that project).

5.2 ***[The elected Senior Officer/s]*** will oversee the project that they have been appointed to and is responsible for that project in collaboration with the Chairperson.

5.3 ***[The Senior Officer/s]*** must delegate organisation and tasks to his/her team members based upon their expertise and available time commitment.

5.4 The Youth Council will be responsible for running ***[insert desired area of work, if known]*** and other designated projects for young people as determined by the annual action plan.
(For guidance on compiling an action plan, see **page 251** onwards).

6. Article 6: Terms of Reference:

6.1 The terms of reference as follows in this document will be reviewed annually to ensure the objectives of the County FA Youth Council remain appropriate.

6.2 The terms of reference are designed to be loose in their guidance and to be used with a yearly action plan.

6.3 This action plan is a fluid document. This document can be updated at any time, one year's forward planning allows complex tasks to be considered thoroughly and time for adjustments. Aims should be outlined with proposed actions and evidence of completion recorded.

County FA Youth Council Terms of Reference:

(This document should be used in conjunction with the County FA Youth Council Constitution.)

The purpose of these Terms of Reference is to provide a framework for The County FA Youth Council to be the mechanism to feed the views of young people into the decision-making process of the County Board, ***[relevant committee/body]*** and County FA staff. This will provide The County Football Association with a dedicated and organised forum on Youth Development and Education to support the development of programmes by elected staff.

1. Authority:

The County FA Youth Council is authorised by the County FA Board via the appropriate ***[governance committee/body]*** to act in accordance with the Terms of Reference set out below. These Terms of Reference may be reviewed annually by the County FA Board, relevant delegated authority, The County FA Youth Council Lead staff and other selected County FA staff where applicable, and where appropriate, revised to accord with the changing requirements of the game within the county.

2. Membership:

The County FA Youth Council will consist of a maximum of ***[ ]*** young people, not including The County FA Lead staff member and other relevant County FA staff. The members shall be appointed through open recruitment, so that they represent all facets of football (including playing, coaching, refereeing, events, administration, leadership etc.) and the option to co-opt members with other expertise shall also be available subject to budget. The group may co-opt a person(s) onto The County FA Youth Council for meetings where they bring specific expertise to the group.

Membership positions

- ***[Chairperson]***
- ***[Senior Project Officer x 2]***
- ***[Project Officers x [ ]]***

The quorum of a minimum of ***[ ]*** members, inclusive of a County FA staff member shall be required for all meetings.

An average turnover of ***[ ]*** membership will be utilised to ensure structure of the County FA Youth Council remains.

3. Responsibilities:

The County FA Youth Council has a consultative responsibility, ultimately reporting to the County FA Board, the ***[relevant committee/body]***, County FA Youth Council Lead regarding the following aspects of Youth Development:

- ***[Encouraging and supporting young people in the national game and providing them with a voice]***
- ***[Supporting the development of a fully inclusive and representative game]***
- ***[Providing feedback on any youth football policies that may impact upon young people in the national game]***
- ***[Having input into the future of the youth game and the strategic direction of youth football in the national game]***
- ***[Advise on the development of resources, programmes and campaigns for young people in the national game]***
- ***[Linking and promoting communication between youth participants in the national game]***
- ***[To support the set-up of club Youth Councils/ Forums if deemed appropriate]***
- ***[To distribute regular notes, actions and regular information]***
- ***[To communicate regular and appropriate messages to young people through social media accounts to help raise the profile of the County FA's work with young people]***

4. Meetings:

The County FA Youth Council will meet ***[ ]***. Meetings will be coordinated by the County FA Youth Council Staff Lead in consultation with the County FA Youth Council Chair. Additional meetings/discussions will take place via e-mail or other networking forums. (Additional meetings if/when necessary can be called).

All meeting notes and actions will be circulated within ***[ ]*** days of each meeting to all members of the County FA Youth Council, County FA Board, relevant delegated committee/body and where appropriate across the organisation.

Youth Council Action Planning: Purpose and Templates

Action Planning & Group Purpose

In support of the County FA Youth Council Terms of Reference, enclosed are two action planning tools which can be used to support the planning and delivery of County FA Youth Council activity. The FA utilises the VMOST (Vision, Mission, Objectives, Strategy, Tactics) format to identify a clear structure ensuring that all work to be completed clearly supports the over-arching vision and mission. A VMOST would be helpful for Youth Councils to define their purpose and reason for existing, working into activities which can then be split across the team to take responsibility.

Vision

This should be an aspirational statement for what you want to work of the Youth Council to achieve in the longer term.

For example, this is The FA's vision for women's and girls' football: *Whether competitively or recreationally, to be the no.1 team sport of choice for every girl and woman in England.*

Everyone should feel they have a part to play in your vision. It should be clear, but ambitious.

Mission

This should describe the everyday work that, if you do it brilliantly, will achieve your vision:

For example, here's a mission statement from an overseas FA: *We develop, promote and protect football to ensure everyone can participate, compete and enjoy our national game, leading to strong club football and international success.*

A bit wordy, but it says what they exist to do.

Objective(s)

These should be tangible and accurately describe key areas of work which are part of your mission and will also help achieve the vision. They should adhere to the **SMART** Principle:

- **Specific** – a clear goal you want to achieve;
- **Measurable** – in a definitive or quantifiable method;
- **Achievable** – the objective must be achievable within the time-frame provided;
- **Responsibility-assigned** – identify the person responsible for managing the work needed to achieve the objective;
- **Time-bound** – has a target completion date.

And often an extra 'S' is added – for '**Stretching**'. i.e. objectives shouldn't be easy to achieve. They should be challenging.

Tip: Always start an objective with the word 'To .....'.

A good, simple example is: *To double commercial revenues by 2024.*

It's **S**pecific, **M**easurable and **T**ime-bound. You then need to decide if your objective(s) are **A**chievable and then assign **R**esponsibility in each case.

Strategy

There should be a separate strategy for each objective and describe how you will achieve it.

Tip: Always start each strategy point with the word 'By .....'.

For example, taking the objective above, you may have the following strategies:

- *By increasing all the values of our sponsorship agreements by 20% upon next renewal;*
- *By reviewing our current commercial agreements and creatively establishing new opportunities for revenue-generation;*
- *By appointing an external, commission-based sales team.*

Tip: Always start each strategy point with the word 'By .....'.

Tactics

These are the very detailed ways in which you will deliver each of your strategies. In effect, these become main elements in your Action Plan (see below).

For example, it's clear that several activities would need to take place to ensure each of the strategies above are enacted.

Tip: Football matches provide a great parallel when thinking about **objectives**, **strategy** and **tactics**:

- **Objective:** To win our match v. .....
- **Strategy:** By playing a 4-4-2 formation
- **Tactics:**
  - Flood the midfield in the first 20 minutes;
  - Encourage wing-backs to get forward as much as possible;
  - Cut off the supply to their main playmaker [insert name]

This also reveals a truth about **objectives**, **strategy** and **tactics**. **Objectives** don't change unless there's a really, really good reason, i.e. you're 2-0 down with 15 minutes left and you just want to try and salvage a draw.

But **strategy** and **tactics** can, and frequently do, change. For example, you may find your 4-4-2 formation is not working, so you need to switch to another one to combat the opposition. Similarly, such strategic changes will inevitably lead to tactical changes.

Exploring a VMOST will allow for clarity in thinking, and the ability to develop a wider purpose for the Youth Council, highlighting clear strategies and activities which will be delivered. Although this would be a VMOST for the Youth Council, the creation would allow for the opportunity to co-create with the County FA to ensure all work undertaken is aligned to County FA priorities.

Once strategies and tactics have been agreed, the County FA Youth Council – Action Plan Template (see next page) can be compiled to identify key actions and timelines for delivery.

The County FA Youth Council – Action Plan template can be transferred onto SmartSheet or Google Sheets for cross-collaboration and easy access for Youth Council members and staff when required.

As you'll see, the Youth Council – Action Plan Template on the next page is split into sections to identify:

Objective:

What are the key objectives of the Youth Council, as identified within the VMOST.

Youth Council Lead:

Who is responsible and the main point of contact for this project/area of work?

Tactics:

What are the actions that need to be completed to achieve the strategies in the VMOST?

Date of Completion:

When are these actions, and overall objectives intended to be completed?

Current Progress/Position:

What has been achieved/completed so far? What is the current position of the project/area of work including any updates?

[Insert County FA] Youth Council VMOST

Vision	*[Insert group vision]*				
Mission	*[Insert group mission]*				
Objectives	**1**	**2**	**3**	**4**	**5**
	To *[insert the objective]*	**To** *[insert the objective]*	**To** *[insert the objective]*	**To** *[insert the objective]*	**To** *[insert the objective]*
Strategies to achieve *[the above objective]*	By *[insert strategy]*	By *[insert strategy]*	By *[insert strategy]*	By *[insert strategy]*	By *[insert strategy]*
Tactics (actions needed to deliver the above strategies)	*[to be carried forward into Action Plan Template below]*	*[to be carried forward into Action Plan Template below]*	*[to be carried forward into Action Plan Template below]*	*[to be carried forward into Action Plan Template below]*	*[to be carried forward into Action Plan Template below]*

[Insert County FA] Youth Council – Action Plan Template

Objective: *[insert wording, i.e. To .....]*			
Youth Council Lead: *[insert name]*			
Strategy	**Tactics** (i.e actions needed to deliver the strategy)	**Date of completion**	**Current progress/ position**
[insert strategy from above chart]	*[insert Tactics from above chart]*		
[insert strategy from above chart]	*[insert Tactics from above chart]*		
[insert strategy from above chart]	*[insert Tactics from above chart]*		
[insert strategy from above chart]	*[insert Tactics from above chart]*		
[insert strategy from above chart]	*[insert Tactics from above chart]*		

APPENDIX 26

The *[insert name of County FA]* Youth Council Code of Conduct

1. Scope

This Code of Conduct applies to all Members of The *[insert name of County FA]* Youth Council.

The Code applies whenever a Member is:

(i) Conducting the business of The County Football Association ("the County FA");

(ii) Conducting the business of the office to which they have been elected or appointed; and

(iii) When they are acting as a representative or ambassador of the County FA.

2. Accountability

You are accountable to the County FA and must exercise your powers as a Youth Council Member in good faith and for the benefit of the County FA, its members, employees and the wider football family. You have important responsibilities as a Youth Council Member and as such you will be held accountable for your actions and your part in reaching decisions.

3. Safeguarding

All County FA Youth Council members over the age of 16 must have an in-date FA DBS Check, as well as an in-date FA Safeguarding Qualification. Any members under the age of 16 will be required to complete the online Introduction to Safeguarding module. As with the induction of any staff, the Youth Council will be expected to attend the FA Safeguarding Induction/ Cascade Training at the start of the season. Failure to attend this training will lead to suspension of role until such a time when the induction has been completed.

The FA Safeguarding Code of Conduct is to be signed by all members and adhered to at all times.

Further information on dealing with safeguarding concerns can be found at **TheFA.com/football-rules-governance/safeguarding/section-2-reporting-concerns**. You should also familiarise yourself with Guidance note 4 on **page 258**, which gives a template for a County FA Equality Policy.

4. Confidentiality

You must ensure that you handle confidential information in accordance with the law and with regard to the best interests and reputation of the County FA. You must not use confidential information for private purposes to harm the County FA or to maliciously damage the reputation of others or disclose confidential information to the media or any other third party. This obligation continues after you cease to be a Youth Council Member.

Confidential information is any information which comes into your possession as a result of your County FA role which you know or ought reasonably to know is confidential. This does not preclude members of Council from properly consulting with the bodies which appoint them about policy matters which come before Council or any Committee of Council.

5. Press and Media

You are not entitled to discuss any County FA business with the press or wider media on behalf of the County FA, unless it is explicitly part of your remit as a Youth Council Member.

You agree to abide by the Communications Protocol set out in Guidance notes 1 and the end of this Appendix. If you receive any enquiries from the press or wider media about the County FA which asks for the views of the County FA you agree not to comment and to pass on the relevant information as soon as reasonably practicable to the County FA members of staff supporting The Youth Council. If you are representing the views of another body as opposed to the County FA on a matter affecting the County FA, this must be made clear to the media.

6. Social Media

The County FA must ensure that confidentiality and its reputation are protected. It therefore requires employees using social networking and/or blogging websites to:

- Ensure that they do not conduct themselves in a way that is detrimental to the County FA including; sharing confidential or sensitive information; using abusive or vulgar language; re-posting or re-tweeting inappropriate content and use of derogatory language to County FA associates including players or match officials.
- Take due consideration not to allow their interaction on these websites to damage working relationships between members of staff and clients/stakeholders of the County FA.

For full guidance on social media see **Guidance note 2** at the end of this Appendix.

7. Conflicts of interest

Whilst you may properly be influenced by the views of others, including the body that has the right to appoint you as a Youth Council Member, it is your responsibility to objectively decide what view to take, and how to vote, on any question which the Council or committee has to decide. When taking such decisions, you agree to act in the best interests of the County FA and young people, you must fully declare all conflicts of interest in advance.

You may take part in the consideration of matters that come before Youth Council unless there is a conflict of interest between any personal or private interest (including those of connected persons) and the County FA's interest in the matter, in which case you should declare it and preclude yourself from participation. As well as avoiding actual impropriety, you should avoid any appearance of it.

Conflicts may arise not just around or in relevant meetings that you attend. A conflict of interest may exist through your external interests, appointments, employment or investments or those of members of your family or associated companies. You must ensure that you notify any actual or perceived conflicts of interest to the County FA member of staff supporting. If you are unsure of whether or not a conflict exists, you should raise this.

8. Diligence

You must be diligent in exercising your powers and carrying out your duties as a Youth Council Member, especially (but not limited to) preparing for and attending meetings. ***[Meeting dates are published well in advance and should, therefore take priority over other commitments]***. We recognise that there may occasionally be unforeseen circumstances (such as illness) that may result in missing a meeting. Members should contact the Chairperson and/or supporting member of staff in such instances. It is also expected that members remain on-site for all meetings unless prior agreed.

For full guidance on attendance see **Guidance note 5** at the end of this Appendix.

When representing The FA County FA Youth Council, you must ensure that you behave in a way that does not compromise the reputation of the group.

9. Expenses

All expenses must be approved by a supporting County FA member of staff BEFORE they are incurred. You must ensure that your expense claims are reasonable, accurate and honest and supported by appropriate documentation and that you do not use the County FA's resources for your own, your family or friends' gain.

10. Gifts and Hospitality

You should not accept gifts or hospitality that might reasonably be thought to influence, or be intended to influence, your judgement; or where to do so could bring discredit upon the County FA. You agree to abide by any Gifts and Hospitality Policy which may be adopted from time to time.

11. Leadership

You should promote and support the Principles set out in this Code by leadership and example, always acting in such a way as to preserve confidence in the County FA. You must not knowingly misrepresent the views or policies of the County FA.

12. Treatment of Others

You must treat others with respect and dignity (including but not limited to County FA staff) and must not bully, harass, victimise or discriminate against any person(s) or do anything which would cause you or the

County FA to breach any of the equality enactments. Members should always act in accordance with the County FA equality procedures set out in **Guidance note 4** at the end of this Appendix.

13. Stewardship

No Code of Conduct can be all-embracing and it is necessary to honour the spirit of the Code as well as its letter. Where questions arise which are not covered explicitly by this Code, your behaviour should be honest, ethical, impartial and considerate, and dedicated to the development and good management of football in England.

14. Betting

You are deemed to be a Participant under The FA Betting Related Integrity Rules and will comply in all respects with those Rules and any replacement of or amendment to them from time to time (see **Guidance note 3** at the end of this Appendix).

Breach

If you are accused of a breach this Code, the supporting County FA member of staff will lead a disciplinary process in accordance with standard County FA and FA procedures. Furthermore, all members of the County FA Youth Council are representatives of the County FA and stewards of the game. Action will be taken should any playing, or misconduct charges subsequently become proven. You will then abide by the result (subject to any right of appeal included in that process). You agree to voluntarily vacate your office as a Youth Council Member if so required.

I agree to abide by this Code of Conduct:

Signature: .....

Name: .....

Date: .....

FOR INTERNAL USE ONLY:

Effective date:	
Last reviewed:	
Reviewed by:	
Next review:	

Guidance note 1 – County FA Youth Council Communications Protocol

When making external public announcements the following Protocol must be followed:

- The press release or announcement should be approved by a supporting County FA member, preferably the CEO/or the Chairperson. When possible the expertise and support of the Marketing & Communications Officer/Lead should be used.
- The County FA is responsible for putting out the approved release via County FA official channels (e.g. County FA Websites and on Social Media platforms).
- The press release should be circulated as soon as reasonably practicable to the whole Youth Council and County FA Board members.
- No sub-committee of the Youth Council (whether individually or collectively) is to release a media statement without the matter being passed through this protocol.

Guidance note 2 – Social Media Policy

The County FA acknowledges that blogs and social networking sites provide individuals with a way of sharing their views, expressing their opinions and communicating in a global environment. When you choose to publish your opinions through a blog, social networking site or other openly accessible medium, you are legally responsible for those opinions. You should therefore be aware that you can be held personally responsible for any commentary that you post which may be deemed to be defamatory, obscene, discriminatory, libellous or proprietary (whether relating to the County FA, other individuals or any other organisation – including the County FA's customers and sponsors). In essence, what you publish or post on the Internet is at your own risk and other parties can pursue legal action against you personally for postings.

For these reasons, you should always take a cautious approach with regard to any material, remarks or characterisations that you post, ensuring that they are not defamatory, abusive, discriminatory, obscene, libellous or overtly derogatory or negative. You should also ensure that you have the right to use any copyright materials or any other intellectual property rights that you post.

Notwithstanding that you will be personally responsible for what you write or post, where the contents of what you post relates to your work (or work undertaken by others in the organisation), the County FA may also be vicariously liable for what you publish. You should therefore be aware that if you participate in certain activities (including outside of work) which the County FA considers inappropriate, given your role or position, you may be subject to disciplinary action, in accordance with the Disciplinary Policy. This includes posting inappropriate content on the Internet.

You may not post on the internet any photography or images of Wembley Stadium or St George's Park from areas not accessible by the general public and/or that would compromise security. You also must not post photographs or images which either as a result of your uniform, or location, identify you as a representative of the County FA. You should also ensure that you have the express consent to use any photographs of any employees and ex-employees of the County FA. This shall include current or ex Board and County FA Council members.

You may use photographs that are already in the public domain, to the extent that they or the use to which they are put does not bring the County FA into disrepute, and providing that such use is not in breach of any other part of this policy (including the above paragraph). For the safety of all those employed by the County FA, care must be taken in relation to the posting of personal data. Work based contact details must not be posted on sites used for non-work purposes. Permission must be sought from either the Legal, HR team or your Manager to post your own or colleagues work based contact details on the Internet.

Guidance note 3 – Betting & Gambling

Betting and gambling on the County FA premises is not allowed, including via the telephone or the Internet, except for occasional Sweepstake with the permission of your County FA staff member.

Additionally, you should not bet or gamble on any football related activity or issues where there may be, or may be reason to suspect, knowledge of confidential information due to your position at the County FA a potential conflict of interest.

We are sure you recognise that in some circumstances betting may result in unfavourable personal publicity, as well unfavourable publicity for the County FA and The FA. The passing of, or use of, confidential

information due to your position at the County FA is prohibited. Any betting on football-related activities or issues could lead to suspicion of the use of such information. Such activity therefore must be avoided.

Unless it is your role to do so, it is a breach of contract to provide statistical or forecasting data to third parties for any purpose, particularly for any purpose involving gambling or betting. A breach of these requirements could result in disciplinary action up to and including summary dismissal.

Guidance note 4 – Equality Policy

As the governing body of English Football in ***[shire]***, the County FA is responsible for setting standards and values to apply throughout the game at every level. Football belongs to, and should be enjoyed by, anyone who wants to participate in it.

The County FA's commitment is to confront and eliminate discrimination whether by reason of gender, age, sexual orientation, gender re-assignment, marital status, race, nationality, ethnic origin, colour, religion or belief, ability or disability. The County FA is also committed to promoting equality by treating people fairly and with respect, by recognising that inequalities may exist, by taking steps to address them and by providing access and opportunities for all members of the community.

The aim of this policy is to ensure that everyone is treated fairly and with respect and that the County FA is equally accessible to them all.

The County FA will not tolerate harassment, bullying, abuse or victimisation of an individual, which for the purposes of this policy and the actions and sanction applicable is regarded as discrimination. This includes sexual or racially based harassment or other discriminatory behaviour, whether physical or verbal. The County FA will work to ensure that such behaviour is met with appropriate action in whatever context it occurs.

The County FA is committed to taking positive action where inequalities exist, and to the development of a programme of ongoing training and awareness raising events and activities in order to promote the eradication of discrimination and promote equality within football.

The County FA is committed to a policy of equal treatment of all employees and requires all employees to abide and adhere to these policies and the requirements of The Equality Act 2010 as well as any amendments to this act and any new legislation.

The County FA commits itself to the immediate investigation of any claims, when it is brought to their attention, of unacceptable behaviour or discrimination on the above grounds and where such is found to be the case, a requirement that the practice stop, and sanctions imposed as appropriate.

Guidance note 5 – Attendance Policy

Policy Statement

The County Football Association has high expectations for all of its Youth Council members, and member attendance is closely linked to successful outcomes.

Attendance at all meetings, events and activities as organised by the County FA is considered critical in helping members achieve their full potential individually and collectively and for serving the local game effectively.

The County FA has a responsibility to know which members are attending and a duty of care for young adults when representing the County FA Youth Council.

The County FA also recognises the importance and positive impact that excellent attendance can have on a members' potential to develop, achieve and succeed.

It is therefore the responsibility of every member to attend all pre-organised dates as set out and communication at application stage and through any subsequent agreed amendments. Applying for the programme is considered a commitment by each member that they will participate fully in the scheduled programme.

Members should be punctual for all meetings and events and ready to contribute, demonstrating evidence of advance planning and self-management. The importance and expectations around attendance and punctuality will be communicated at induction stage (first meeting) and closely monitored.

Known (authorised) absence

The County FA recognises that in certain circumstances, some absences are unavoidable, and we endeavour to be caring and supportive towards individual cases.

Known absences may include;

- Illness
- Medical appointments which cannot be arranged outside of the scheduled programme
- A job interview
- Attendance at the funeral of a close relative
- Care responsibilities

The above is not an exhaustive list of known absences; the County FA reserves the right to decide what is and is not acceptable. In doing so, the County FA will consider what a reasonable employer would be prepared to accept.

Members may be asked on occasions to provide evidence for known absences.

Procedures for requesting absence

If members are unable to attend for any reason or need to miss any part of an arranged event, they must:

1. Contact the Chairperson in advance to request absence and where possible offer possible solutions.
2. Make any such requests at least two weeks in advance, wherever possible, to enable sufficient time for County FA staff to change plans, amend bookings and avoid unnecessary costs.
3. Propose the efforts to be made to catch up with missed involvement, at the time of request, and agree this with the Chairperson.

All members must recognise that, in signing this Code of Conduct, lateness and absenteeism will be challenged in a fair and appropriate manner.

Failure to attend without prior agreement will automatically result in the absence being considered as unauthorised and the Disciplinary Procedure may be used.

Programme Target

The minimum expectation for attendance will be *[%]* attendance from all pre-scheduled activities and events.

At quarterly intervals, attendance will form one of the Key Performance Indicators (KPIs) used as part of the quality monitoring and improvement process by managers.

Attendance which falls below the programme target will be discussed with individuals.

Monitoring, Review and Evaluation

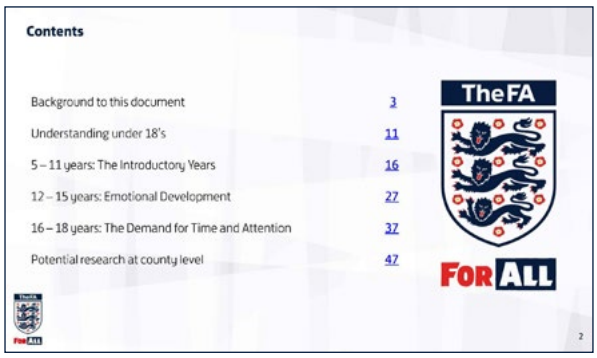
The County FA will review the Attendance Policy every two years or sooner to take account of any new guidance, member feedback or best practice documents.

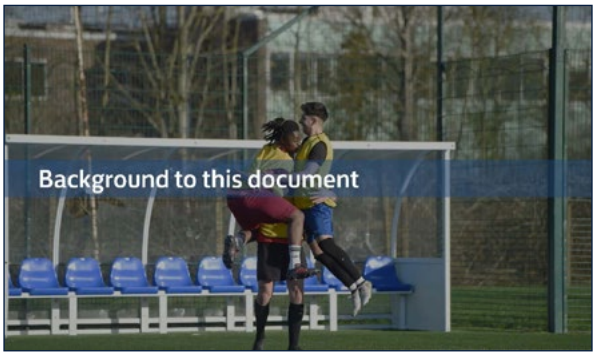
APPENDIX 27

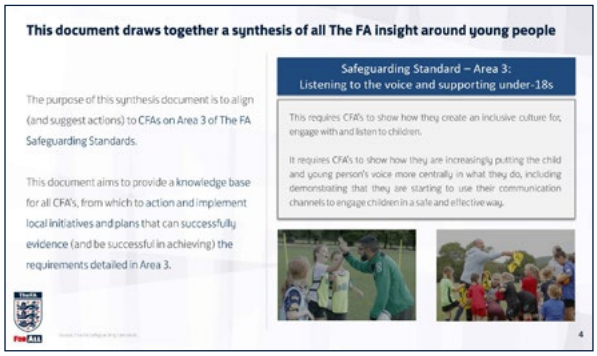
Understanding and Engaging with Under-18s

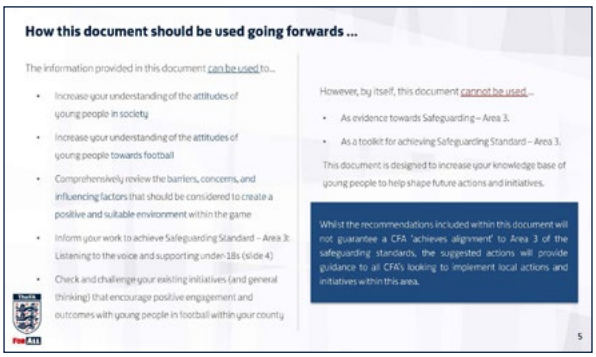
The following pages contain a FA-produced presentation covering the above topic. It is available as a standalone PowerPoint presentation. If you want to use it, or elements of it, to create something bespoke to your County FA, an editable PowerPoint presentation is available to download from: **http://bit.ly/VoaC18**.













All information provided is based on 'England-wide' primary and secondary research

Unless otherwise stated all information and data references provided within this document has been collected within nationally representative samples of the England population aged 5 – 18 years.

Whilst the synthesised insight is at a national scale, due to strong regional consistency of the youth population (both in terms of their behaviours and attitudes), the recommendations provided here can be planned and delivered at a local level.



7

Touchstone reports in England do not highlight regional difference in their youth insights

Across all of our secondary data sources, the typical digital, communication, and recreational behaviours and attitudes of the youth population in England display similar trends.

Both Sport England and Ofcom reports of children aged under 18 (in England) reported no significant regional differences in the sporting and media behaviours of the children sampled.

SPORT ENGLAND
Sport Participation in England Report

Ofcom
Children's Media Literacy Audit



8

Understanding subtleties within the data

Within the majority of primary and secondary data utilised for this document, sample subtleties including LGBTQ+ and BAME were not present, and could not be analysed further.

Whilst not explicitly included here, these subtleties should be recognised, and are factors to consider, in the wider application of thinking - particularly when considering future initiatives for implementation.



9

Understanding subtleties within the data

Urbanicity (classification of urban v rural regions of England) is also an important subtlety within our insights that must be recognised.

Approximately 17% of the population in England live in an area classified as 'rural'. Whilst only small deviations exist between urban and rural regions within the data reported , wider considerations should be kept in mind when executing all future initiatives.

- Access to sporting facilities
- Access to transport / extra requirements of transport
- Digital access and quality of coverage



10



This document examines and explores three child age groups in detail



5 - 11 years
Primary School
'The Introductory Years'



12 - 15 years
Secondary School
'Emotional Development'



16 - 18 years
Young Adults
'Demand of Time and Attention'

12

Insight across all three age groups are based on robust sample sets



5 - 11 years
A total of 1,646 respondents
across 6 research studies



12 - 15 years
A total of 3,870 respondents
across 7 research studies



16 - 18 years
A total of 971 respondents
across 5 research studies

This report collates the voice of young people, in some cases we have included the thoughts of their parents, however in these instances has provided further context to the insight already gathered from children – rather than in place of their feedback.

13

There is a common 'football evolution' that takes places across these age groups



5 - 11 years



12 - 15 years



16 - 18 years

	5 - 11 years	12 - 15 years	16 - 18 years
Early Ages (of age bracket)	With Dad and Siblings in Garden	After School Football	Continued Youth FC Football
	Within School as part of P.E	Within a School Team	
Late Ages (of age bracket)	After School Football	Within a Youth FC Team	Within Adult FC Team

Whilst the types of football participation are consistent between boys and girls, the trajectory of the evolution is often slower (i.e. new forms of football are introduced later) amongst girls

14

Wider cultural development is also taking place

It is not just a child's football participation and engagement that evolves over time, a wider cultural and social development is also taking place across a number of areas;

- The importance (and number) of wider activities and interests (aside from football)
- The role of digital and media in their lives
- Their communication in terms of devices, platforms, and channels utilised
- The role and importance of people in their lives

These wider areas of development are also covered within the subsequent sections of this document.



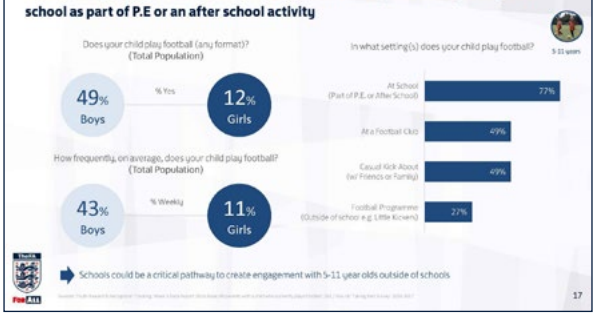
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5-11 years: The Introductory Years

Children are doing things for the first time, starting to develop their interests and hobbies. It's at this point that willingness and openness to try new things is at its highest.

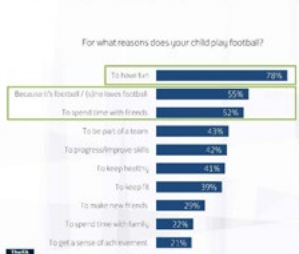
The majority of 5-11 year old players play football weekly, with many doing so at school as part of P.E or an after school activity



Schools could be a critical pathway to create engagement with 5-11 year olds outside of schools

17

Across boys and girls, the primary reason for playing football is to have fun



- Specific motivations for playing football vary across the age range and between boys and girls but for all, the perception of football is a key driver

"I play football because it's fun and exciting, it lets me spend time with my friends and make new ones"
Girl aged 5-7

- Spending time with friends and an established passion for football as a hobby from a young age are also important motivations for participation

"Football is my favourite sport and any chance I have to play it I will"
Boy aged 10-11

- Parents also see the wider benefits, with 41% likely to encourage their children to play due to the associated health and fitness benefits and personal development that comes with being involved in a team sport

18

Football has to be fun to compete with wider activities/interests of this age group

- Children aged 5-11 are most open to trying new activities, with parents, teachers, siblings and friends often introducing new pursuits to consider
- As a result, football is competing with a number of different activities which can vary across boys and girls
- Children's' awareness of their own preferences also develops as they grow older, with 10-11 year olds much more aware of their own preferences compared to their 5 year old self

Football needs to be fun first and foremost to engage this cohort but also be social, interactive and accessible to take advantage of the willingness of this group to try something new

It is also important to promote football and engage children before they reach 9/10 years so as not to miss this crucial opportunity



19

Evidence also suggests that engagement at this age can lead to wider engagement with the professional and international game



This further reinforces the importance of engaging the 5-11 cohort, not only to increase participation but to promote and increase engagement with the game overall

20

Barriers to participation are most significant amongst girls (rather than boys) in this particular age bracket

- Girls in this age bracket enjoy and want to play football however can be faced with a number of barriers to participation:
  - Gender stereotypes can be reason enough not to engage
  - Opportunities to play more formally are dominated by boys
  - Lack of awareness of girls' football clubs / offerings for girls
  - Perceived lack of skill to play 'properly' / lack of confidence
- Parents can also create barriers, despite supporting their daughter's interest and desire to play football:
  - Football is considered a very physical game
  - Football is more of a Dad and son thing
  - Playing football at a club is a serious commitment; parents can be reluctant to put too much pressure on their daughters at this age

Overcoming these barriers is of paramount importance to engaging girls of this age, and their parents. The SSE Wildcats programme is an example of how to overcome these barriers.

5-11 years

"It's just more of a boy's thing"
Girl aged 7-11

"I'm not ready yet, I need to be better at aiming"
Girl aged 7-11

"Girl footballers tend to be more of a bigger solid breed. My daughter would get blown over by a strong gust of wind!"
Parent of girl aged 7-11

"It would be good to challenge these stereotypes because football is good fun, its exercise, its outdoors, it's a team sport. Why shouldn't girls play?"
Parent of girl aged 7-11

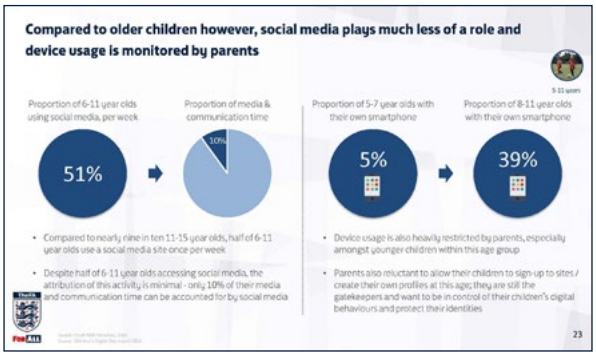
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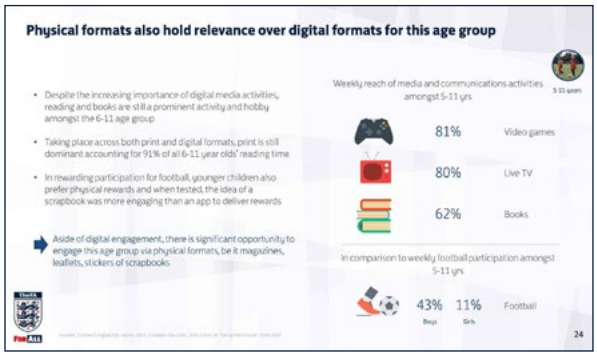
Digital and media consumption is becoming increasingly important for 5-11s

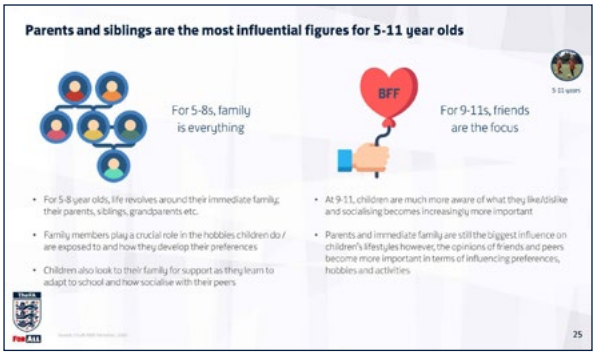


There is an opportunity to apply and harness this engagement to how this age group engage with football i.e. sharing / creating football YouTube clips, digital apps (such as The FA SuperKicks) to tap into and align with existing digital behaviours

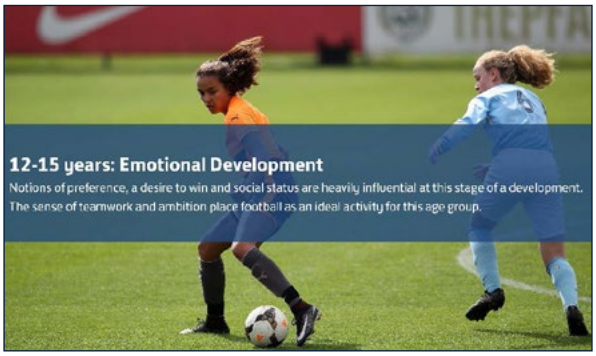
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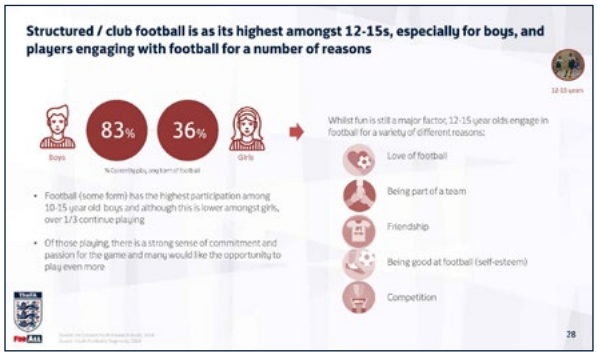

Compared to older children however, social media plays much less of a role and device usage is monitored by parents
5-11 years
Proportion of 6-11 year olds using social media, per week
Proportion of media & communication time
Proportion of 5-7 year olds with their own smartphone
Proportion of 8-11 year olds with their own smartphone
51%
10%
5%
39%
• Compared to nearly nine in ten 11-15 year olds, half of 6-11 year olds use a social media site once per week
• Despite half of 6-11 year olds accessing social media, the attribution of this activity is minimal - only 10% of their media and communication time can be accounted for by social media
• Device usage is also heavily restricted by parents, especially amongst younger children within this age group
• Parents also reluctant to allow their children to sign-up to sites / create their own profiles at this age; they are still the gatekeepers and want to be in control of their children's digital behaviours and protect their identities
23


Physical formats also hold relevance over digital formats for this age group
5-11 years
• Despite the increasing importance of digital media activities, reading and books are still a prominent activity and hobby amongst the 6-11 age group
• Taking place across both print and digital formats, print is still dominant accounting for 91% of all 6-11 year olds' reading time
• In rewarding participation for football, younger children also prefer physical rewards and when tested, the idea of a scrapbook was more engaging than an app to deliver rewards
Aside of digital engagement, there is significant opportunity to engage this age group via physical formats, be it magazines, leaflets, stickers of scrapbooks
Weekly reach of media and communications activities amongst 5-11 yrs
81% Video games
80% Live TV
62% Books
In comparison to weekly football participation amongst 5-11 yrs
43% 11% Football
Boys Girls
24


Parents and siblings are the most influential figures for 5-11 year olds
5-11 years
For 5-8s, family is everything
BFF
For 9-11s, friends are the focus
• For 5-8 year olds, life revolves around their immediate family; their parents, siblings, grandparents etc.
• Family members play a crucial role in the hobbies children do / are exposed to and how they develop their preferences
• Children also look to their family for support as they learn to adapt to school and how socialise with their peers
• At 9-11, children are much more aware of what they like/dislike and socialising becomes increasingly more important
• Parents and immediate family are still the biggest influence on children's lifestyles however, the opinions of friends and peers become more important in terms of influencing preferences, hobbies and activities
25

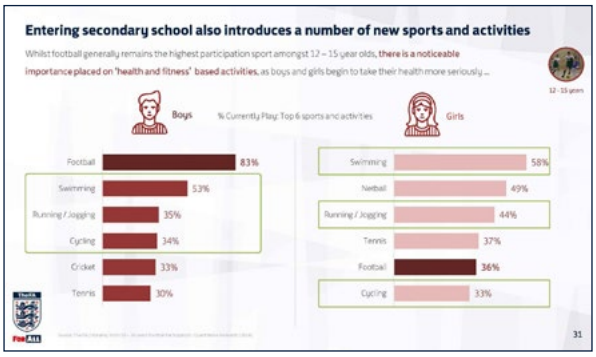

5-11 Years: Summary Checklist
Prior to engaging with 5-11 year olds, have you thought about...
• 5-11 year olds play football to have fun - in whatever format they engage, fun needs to be front and centre, reinforced by interaction and socialising
• Most 5-11 year olds are playing football in a school environment – connections and collaborations with schools could create critical pathways for driving participation
• There is a key window of opportunity to promote and drive participation between 5 and 9 years when children are most open and willing to try new activities
• Immediate family (parents, siblings, grandparents etc.) have the greatest influence at this age and can be effective champions of football
• Girls in this age group continue to face significant barriers to participation – consider how to overcome these barriers to get both girls and parents on board
• Digital and media are becoming increasingly important with high consumption of short online videos – is there anything you can do in this area and on YouTube specifically?
• Parents are the gatekeepers for digital engagement – where possible, utilise physical formats over and above digital to align with natural behaviours of the 5-11 cohort
26


12-15 years: Emotional Development
Notions of preference, a desire to win and social status are heavily influential at this stage of a development. The sense of teamwork and ambition place football as an ideal activity for this age group.

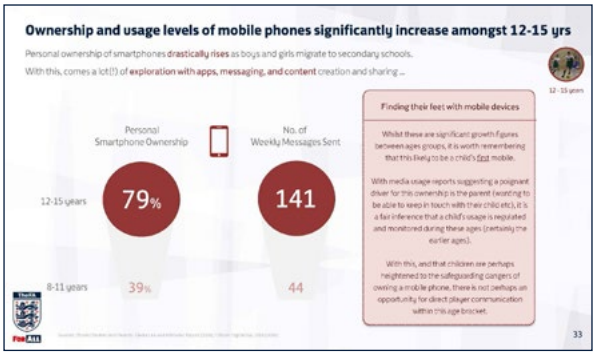

Structured / club football is as its highest amongst 12-15s, especially for boys, and players engaging with football for a number of reasons
12-15 years
83%
36%
Boys
Girls
% Currently play, any form of football
• Football (some form) has the highest participation among 10-15 year old boys and although this is lower amongst girls, over 1/3 continue playing
• Of those playing, there is a strong sense of commitment and passion for the game and many would like the opportunity to play even more
Whilst fun is still a major factor, 12-15 year olds engage in football for a variety of different reasons:
Love of football
Being part of a team
Friendship
Being good at football (self-esteem)
Competition
28


The social aspects of football and image become more important as children develop into their teenage years
12-15 years
As children become teenagers, image becomes increasingly important and can become entwined with reasons for playing football
Boys
• For 12-15 year old boys, playing football is way of keeping fit
• Much more than keeping fit, it's also a way for boys to look good in front of their friends
• Boys' focus on improving their football skills and performance on the pitch to portray the right image to their peers
Girls
• For 12-15 year old girls, playing football is considered a great way to get fit and healthy
• This is important as it helps build confidence and self esteem
• Girls' also enjoy that football create an opportunity to get fit whilst also socialising with friends
For both boys and girls, wearing the right kit and using the right equipment is also crucial in portraying the right image

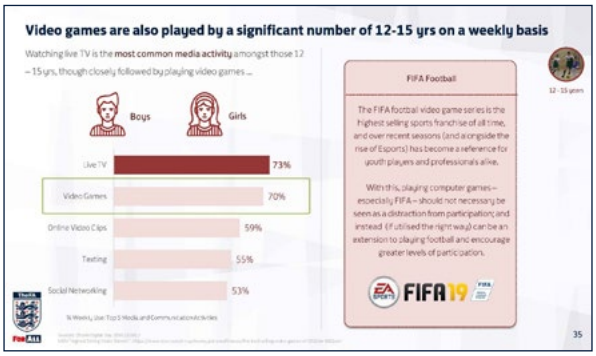

Despite high participation, 12-15 year old's face a number of significant barriers to participation, both on an emotional and practical level
12-15 years
Emotional barriers to playing football
• Dislike of football
• Preference for other activities or sports
• Perceived lack of skill / pressure to play well
• Disillusionment from not being picked enough, lack of progress
• Perception that football becomes too competitive / serious
• Perception that football becomes too physical / causes injury
• Increased pressure from parents to win / progress
• Desire to spend more time socialising with friends
Practical barriers to playing football
• Competing for time vs school work
• Competing for time vs other activities (esp. sports for girls)
• Convenience of location
• Bad weather (if playing outdoors)
• Poor condition of pitches
• Poor quality of coaching / management
• Slow / complicated sign-up processes / requirements
• Lack of awareness / online presence
12-15 year old's are looking for convenient and safe ways to play football, be that informally or formally, where they can progress and build self confidence and esteem
Compared with 5-11 year olds, the barriers facing 12-15 year olds are much more complex and if tackled, need to be considered both on an emotional and practical level to encourage participation

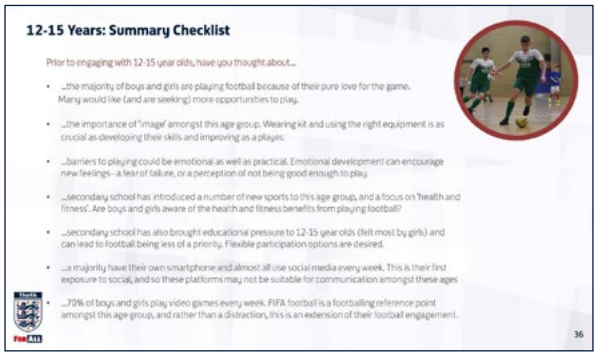

Entering secondary school also introduces a number of new sports and activities
Whilst football generally remains the highest participation sport amongst 12 – 15 year olds, there is a noticeable importance placed on 'health and fitness' based activities, as boys and girls begin to take their health more seriously ...
12 - 15 years
Boys
% Currently Play Top 6 sports and activities
Girls
Football 83%
Swimming 53%
Running / Jogging 35%
Cycling 34%
Cricket 33%
Tennis 30%
Swimming 58%
Netball 49%
Running / Jogging 44%
Tennis 37%
Football 36%
Cycling 33%
31


Educational pressure begins to increase for this age group too
Sport and activities aside, secondary also brings greater educational pressure especially for those at the older end of the 12 – 15 yrs age bracket ...
Within our qualitative discussion with current 12 – 15 year players (both girls and boys) girls are more likely to say they will stop playing when they take their GCSE's - suggesting girls are more conscientious when it comes to prioritising sport vs education, and more likely to demand flexibility from their other commitments (including football).
A recent, nationally representative, group of secondary school pupils were asked ...
How important are qualifications to you personally?
41% Boys
% Very Important
54% Girls
32

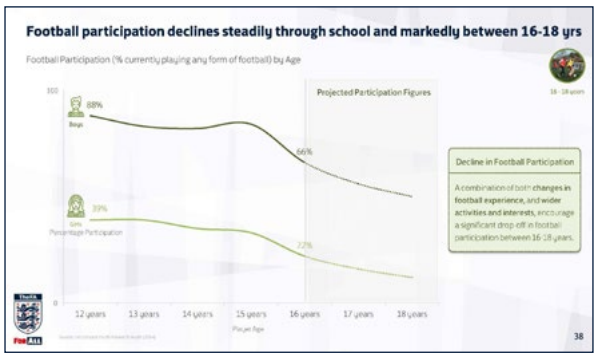

Ownership and usage levels of mobile phones significantly increase amongst 12-15 yrs
Personal ownership of smartphones drastically rises as boys and girls migrate to secondary schools.
With this, comes a lot(!) of exploration with apps, messaging, and content creation and sharing ...
12 - 15 years
Personal Smartphone Ownership
No. of Weekly Messages Sent
12-15 years
79%
141
8-11 years
39%
44
Finding their feet with mobile devices
Whilst these are significant growth figures between ages groups, it is worth remembering that this likely to be a child's first mobile.
With media usage reports suggesting a poignant driver for this ownership is the parent (wanting to be able to keep in touch with their child etc), it is a fair inference that a child's usage is regulated and monitored during these ages (certainly more earlier ages).
With this, and that children are perhaps heightened to the safeguarding dangers of owning a mobile phone, there is not perhaps an opportunity for direct player communication within this age bracket.
33


Boys and girls in this age group dedicate a lot of time online – more than watching live TV
With this age personally owning internet enabled devices for the first time, their (general) use of the internet spikes ...
Watching Live TV
14.5 hrs
Average Hours Per Week
20 hrs
Accessing the Internet
This increased internet usage is reflected in both boys' and girls' weekly use of social media too ..
12 - 15 years
88%
use social media at least once a week
At these ages, boys and girls will be entering the world of social media for the first time. And with this, there will likely be caution and apprehension as they navigate the platforms and create their pages.
This must be appreciated, and suggests that social media is not a suitable engagement platform to use in this first instance – certainly not until children are older and more savvy (and secure) with the social media usage.
34


Video games are also played by a significant number of 12-15 yrs on a weekly basis
Watching live TV is the most common media activity amongst those 12 – 15 yrs, though closely followed by playing video games ...
12 - 15 years
Boys
Girls
Live TV 73%
Video Games 70%
Online Video Clips 59%
Texting 55%
Social Networking 53%
% Weekly, Use Top 5 Media and Communications Activities
FIFA Football
The FIFA football video game series is the highest selling sports franchise of all time, and over recent seasons (and alongside the rise of Esports) has become a reference for youth players and professionals alike.
With this, playing computer games – especially FIFA – should not necessary be seen as a distraction from participation; and instead (if utilised the right way) can be an extension to playing football and encourage greater levels of participation.
FIFA 19
35


12-15 Years: Summary Checklist
Prior to engaging with 12-15 year olds, have you thought about...
...the majority of boys and girls are playing football because of their pure love for the game. Many would like (and are seeking) more opportunities to play.
...the importance of 'image' amongst this age group. Wearing kit and using the right equipment is as crucial as developing their skills and improving as a player.
...barriers to playing could be emotional as well as practical. Emotional development can encourage new feelings - a fear of failure, or a perception of not being good enough to play.
...secondary school has introduced a number of new sports to this age group, and a focus on 'health and fitness'. Are boys and girls aware of the health and fitness benefits from playing football?
...secondary school has also brought educational pressure to 12-15 year olds (felt most by girls) and can lead to football being less of a priority. Flexible participation options are desired.
...a majority have their own smartphone and almost all use social media every week. This is their first exposure to social, and so these platforms may not be suitable for communication amongst these ages
...70% of boys and girls play video games every week. FIFA football is a footballing reference point amongst this age group, and rather than a distraction, this is an extension of their football engagement.
36


16-18 years: The Demand for Time and Attention
The competition for time and attention is at its most fierce within this age group.
A polarisation typically occurs; now football either 'gets serious' or is 'walked away from'.


Football participation declines steadily through school and markedly between 16-18 yrs
Football Participation (% currently playing any form of football) by Age
16 - 18 years
Projected Participation Figures
88%
Boys
66%
39%
Girls
Percentage Participation
27%
0
12 years
13 years
14 years
15 years
16 years
17 years
18 years
Player Age
Decline in Football Participation
A combination of both changes in football experience, and wider activities and interests, encourage a significant drop off in football participation between 16-18 years.
38

Emotional growth means 'competition' overtakes 'fun' as the key motivation for playing



At these young adult ages, polarisation and differentiation based on ability and talent is evident. **Natural streamlining in these areas creates two player scenarios ...**

Unsuccessful Players / Teams High Potential to Lapse

- Still competing in leagues and competitions, but enjoyment and fun is compromised.
- As teams drop down the league, players lose interest and commitment.
- Vulnerable to lapsing as a lack of emotional rewards is noticed

Successful Players / Teams Low Potential to Lapse

- Their initial love for the game is sustained as their teams have success and progress.
- An anticipation and desire to play, within an adult FC team is naturally created
- Good managers and coaches play a valuable role throughout

The 11-a-side Aspiration

Small sided and school based football are typically seen as more **"informal"** formats, which naturally encourages a view of 11-a-side (League and Cup) football as the most **"proper"** and **"professional"**.

For players, 11-a-side competitive football becomes **the benchmark** – where there's kits, referees, assistant referees etc. It's the **aspirational format** players have been working towards from a young age.

However the 11-a-side format **exacerbates the two player / team scenarios** as football becomes less rewarding for all but the best and most committed.

16 - 18 years

39

At these ages, if football doesn't fulfil a player, there's plenty elsewhere to grab attention

Health, Fitness and Fun

With team sports demanding consistent commitment (and with a growing focus towards their health), 16-18 yrs often turn to solo sports such as golf, gym, and cycling, as they offer more relevant reward for less commitment and effort.

Education and Schooling

Entering their last schooling years before university, many 16-18 yrs begin to prioritise their school / college work over other commitments. Activities and interests must fit around their educational demands to be sustained.

Teenage Independence

By reaching their latter teenage years, many of the things 16-18 yrs used to play football for such as socialising and having fun with friends are now offered in other (more appealing) areas, that require less regular commitment.

Employment: Part & Full Time

With their lifestyles beginning to demand a small income, a number of 16-18 yrs will enter part-time (sometimes full-time) employment in order to support this – allowing less time for football and other activities and interests.

16 - 18 years

These 4 football participation barriers perhaps come together and contribute to the most common reason for this age group not playing football; **"lack of time"** ...

"[Playing football] just took all my time. It wasn't just the Sunday games it was the Wednesday and Saturday training. I had other things to do and no real time. If I'm honest, our team wasn't going anywhere as well..."

Male, Former Player, 16 years

40

Those who have recently stopped playing football do "miss it" in their lives

Within some of our most recent qualitative work amongst 16-18 years who had recently stopped playing football, **everyone we spoke to acknowledged that they miss playing football.**

Though when asked if they would ever start playing football again, common barriers were highlighted:

- Those who originally stopped playing due to a lack of enjoyment felt like they wouldn't be able to **"get back into the game and enjoy it"** due to having **"spent too much time out".**
- Those who circumstances had now changed (i.e. they had more time to commit) highlighted their biggest barrier as **"having an opportunity to play adult football".**

"I do miss it. It was fun and I wish I could go back to the times I was playing when I was younger I'm not sure if I'll ever play for a club again though..."

Male, Former Player, 17 years



16 - 18 years

41

There are retention considerations to appreciate amongst the 16-18 yrs age group

With this, key player retention considerations were highlighted (by both boys and girls) by those with low and high propensity to lapse ...

	Successful Players / Teams: Low Potential to Lapse	Unsuccessful Players / Teams: High Potential to Lapse
Boys	**Keep the competitiveness.** At these ages, boys are playing the most 'proper' football ever. Ensuring a professionally, execution at all times (including equipment, coaching, and officiating) will maintain the competitive nature desired. **Pathway into adult football.** Provide boys at this age a clear pathway into the next stage of their football career.	**Making football fun again.** 16-18 yrs often cite a compromised level of enjoyment - a core reason for starting to play. Creating an atmosphere that is light-hearted and relaxed could help bring the fun back. **Offering flexibility.** With their increasingly busy lives, a flexible (but still accessible) approach to sessions that do not require long-term sign-up can be an option.
Girls	**Equality to the boys.** Girls at this age want to emulate, and surpass, their male counterparts and an equal provision of resource (particularly coaching) can enable this. **Actively working with other teams and organisations** to make sure there is continued appetite for fixtures, leagues, and cups. **Pathway for continued play.** Provide girls at this age a clear pathway (and how they can successfully negotiate this pathway) to carry on playing football.	**Continuing to provide girls with an opportunity to play.** Ensuring there is dedicated, consistent, resource (coaching, referees etc) for girls only (not mixed) teams. **Encouraging a girls' desire to play with regular rewards** and incentives. Good performance either individually, or within their team, should be recognised regularly. **A suitable environment.** Including defining skill levels, thinking carefully about format, and fostering inclusivity at every stage.

16 - 18 years

42

Effective communication to 16-18yrs is fundamental to encouraging participation

It is at this young adult age, that boys and girls are using a social media platform "almost daily". By harnessing the most suitable platform for the communication need, **direct-to-player contact can be utilised with the player's and parent's consent.**

94% 16 – 18 yrs in England personally own a mobile phone

Snapchat is the most used platform, primarily to chat and share content with friends. It is a private platform, and so harnessing Snapchat for football communications may not be suitable.

Instagram is also frequented regularly to follow influencers and friends, as well as upload their own content. Used less as a communication tool and more as a news and content feed app.

Potential Communication Opportunity

WhatsApp and Facebook Messenger are commonly used platforms for messaging bigger groups, and (with the necessary player and parent permissions) represent an opportunity for football team communications.

Twitter used least amongst this age group, and typically as new source only when it is opened.

16 - 18 years

43

One of the most common social media activities is watching short form video content

Over half of those aged 16-18 years in England use social media to consume 'Short Online Clips' (the highest ranked activity).

Whether through YouTube or native media players within the Snapchat, Facebook, and Instagram platforms, boys and girls extend their engagement with their favourite interests by watching 0 – 5 minute videos.

The sharing or recommendation of football based video content should be considered to encourage more engagement with football amongst players – particularly those with high potential to lapse.





16 - 18 years

44

Whilst more independent, parents still play a 'facilitator' role within 16-18 yrs' lives

When discussing the footballing worlds in more detail, boys and girls players provided interesting insight into the roles of people in their lives ...

Coaches

"The Gatekeepers"

All expressed how important coaches were in their footballing world. A committed coach would encourage more commitment from them in return, and as a person who can shape their future football endeavours, coaches were held in high regard by all players.

Friends

"The Confidantes"

At this age, friends and friendships groups have become close over time. Friends now share many of the same passions and interests – including football – and so teams are frequently made up of 1-2 sets of friends. Friends are perhaps the most trusted people in a 16 – 18 yrs world.

Parents

"The Facilitators"

Whilst 16-18 yrs are quick to declare their independence(!), parents are not overlooked – especially in footballing terms. Boys and girls conceded that for the travel, cost, and equipment of their football; parents had a vital "facilitator" role – though on a more 'on demand' level than their earlier years.

16 - 18 years

45

16-18 Years: Summary Checklist



Prior to engaging with 16-18 year olds, have you thought about...

- ...football drop out rates are at their highest within this age group, due to a change in footballing experience and the appeal of wider activities.
- ...'competition' has overtaken 'fun' for many players. The most committed and skilled embrace this, those less skilled often take less enjoyment. Streamlining skill levels could be important at these ages.
- ...11-a-side football is the most aspirational format for many, though it can also compromise the enjoyment and overwhelm those less committed and less talented.
- ...with more happening in 16-18 year old's lives (e.g. school work, employment), a significant barrier to playing football becomes a 'lack of time'. Flexibility in terms of playing and commitment is desired.
- ...social media and instant messaging platforms (with player and parent permission) can be effective communication tools. Both boys and girls regularly use these platforms to message bigger groups.
- ...coaches are well respected, and are often seen as the gatekeepers to future opportunities. Whilst this group have more independence – parents still have an important facilitator role to play too.

46

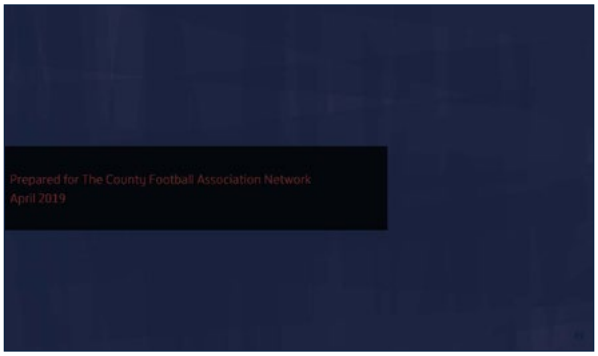


Further research could be carried out by an external agency or training for CFA staff would then allow research to be conducted "in house". Please discuss any potential next steps with Ross Antrobus and Phil Roughsedge in the FA central Insight team

Speaking to young people workshop	Discussion groups with young people	Online survey amongst young people
£7,895	£13,700 (£7,950 if moderated by CFAs*)	£5,085
• Training workshop for CFA staff on approaches for speaking to and interviewing young people for the purpose of research • Focus on appropriate methodologies, discussion guide writing, facilitation and moderation • To be run in plenary and break-out groups and to take place at Wembley or CFA office • Assumes attendance of upto 15 CFA representatives • Includes preparation, facilitation by 3 Sparkler moderators and provision of training materials	• 4 x 6-person 90-min groups within a CFA catchment area • Recruitment managed by the CFA with support from Sparkler i.e. drafting outbound comms / identifying recruitment criteria per group • CFAs to organise a centrally located venue with support from Sparkler i.e. defining key criteria for research design • Sparkler to write the discussion guide, propose stimulus (i.e. concepts, if needed) and moderate each group • Sparkler to analyse the data and produce a Word/PPT report for the CFA • Includes incentives and travel	• 10 minute online survey amongst young people within a CFA catchment area • Survey, content and online survey design managed by Sparkler (with CFA input) • Distribution of survey managed by the CFA with support from Sparkler i.e. drafting outbound comms • Sparkler to analyse the data and produce a Word/PPT report for the CFA as required

*Assumes Sparkler view the groups for analysis & reporting

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APPENDIX 28

Sporting Equals' Guidance Document: How to Increase Ethnic Diversity in Sports Leadership

This Appendix is reproduced by kind permission of Sporting Equals. As you'll see, it contains links to further online resources. These links are contained in the original document. Visit **sportingequals.org.uk** for further information.

We acknowledge that this external guidance document references the term BAME. The FA recognises that some people feel this term is now outdated. We intend to reduce our future usage of this term wherever possible so we are specific about the ethnicity group(s) to which we refer.

Sporting Equals

Promoting ethnic diversity in sport & physical activity

How to INCREASE ETHNIC DIVERSITY IN SPORTS LEADERSHIP

SELeaderBoard

1 Introduction

Achieving diversity is a perpetual challenge for the sport sector especially with current sports sector diversity audit results demonstrating an absence of ethnic diversity across both senior management and board positions. *[The Black Asian and Minority Ethnic (BAME) population in the UK is 14 per cent however, latest audit figures suggest that less than 4 per cent of board positions are taken up by BAME members. With only one CEO and one Chair from a BAME background which is relatively disappointing in light of the increasing trends in BAME participation.].*[1,2] To help increase numbers and develop a more thoughtful approach in organisations, it is important to have good systems in place for trustee/board recruitment, selection, induction and training to help engage a wider pool of talent with new skills to enhance the world of sports organisations.

Diversity encompasses a range of factors including race, age, gender, education and socio-economic background which all shape behaviour and identity allowing individuals to share their expertise and skills with organisations. However this resource specifically focuses on ethnic diversity in light of the growing diversity of the population within the UK and its under representation in sport administration.

- An ethnically diverse workforce will help make the sports sector more receptive to the needs of the communities they work with and encourage more people to engage with sport.
- Diversity should be linked closely with the overall business strategy of the organisation rather than just an add-on and should permeate through all aspects of the business.
- Increased BAME involvement in sport is likely to be influenced by visible involvement of BAME individuals at the highest levels.
- BAME involvement is likely to open up new network opportunities and markets for sport.

This resource has been developed to help support the sports sector to attract BAME candidates who are traditionally underrepresented and provide advice and guidance to help embed a culture of change within the sector.

The launch of this resource is timely in light of the recently launched code for sports governance which identifies that diversity in sports sector boardrooms is still an issue and requires sustainable change and sets out some key principles in relation to a commitment towards achieving greater diversity which is highlighted in section 8 of the toolkit resource.

> **'To harness the potential of an increasingly diverse market, the Boardroom must not only understand diversity, but reflect it. That means increasing boardroom diversity in the same ways we strive to do so across all business ranks, including development, awareness and inclusion programs'.**
>
> Umran Beba, CEO, PepsiCo

1. Data collected by Women In Sport in 2016 through on-line survey. 26 BAME board members out of 601 positions exclude BAME Chair and CEO. Audit completed by National Governing Bodies and other organisations funded by Sport England and UK Sport.
2. Sporting Equals Active People 9 Headlines, December 2015.

2

The Case for Diversity

Tackling ethnic diversity at the board level will help bring in new perspectives, voices, insight, knowledge and networks enabling the board to work together to find more diverse solutions and innovative ideas. For many sports boards and bodies the most compelling reason for diversifying is that a strategically diverse governing body has the power to serve beneficiaries more effectively.

It is often our natural tendency to recruit in our own image, to make assumptions about others' career aspirations, to put a team together based on who we know rather than looking more widely for talent. Those who are members of BAME groups are often quite different to the make-up of existing senior executives in sport and even though they have the capability they may have been missed or be unable to make progress. These are often the result of unconscious biases and actions, but they significantly contribute to preventing people from different backgrounds gaining entry to the sports sector.

National Governing Body (NGB) boards face special challenges when they recruit from certain groups. A lot of individuals from BAME backgrounds may hold preconceptions that they may not fit in. They do not have enough knowledge about the sports sector and the male dominated nature of sport can make sport an unwelcoming environment. Recruitment strategies, therefore, need to focus on the skills of the individual rather than on different ethnic backgrounds, using language which enables someone new to feel that they would fit in. Transition routes into leadership should consider mentoring and shadowing pathways which allow people to gain insight into sports development and board strategies before appointments are made.

We have made some progress on gender diversity but still have a lot to do to represent ethnic and cultural diversity. In this toolkit, we set out a series of recommendations, which we hope will provide a starting point to work towards a more inclusive sector and the ambitions highlighted in the new sports governance code.

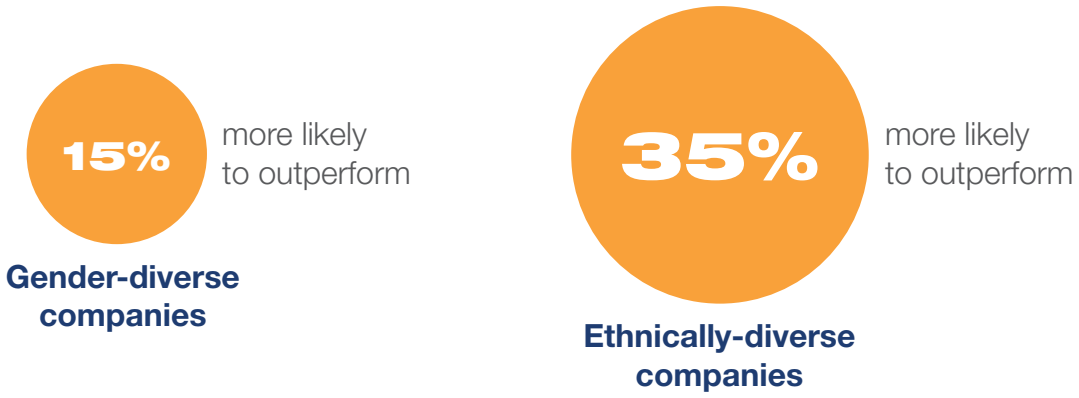
> **The problem is exacerbated by the fact that 81% of charities practise recruiting of trustees by word of mouth or personal recommendation.'[3]**
>
> The Charity Commission

> **'Leaders have the power to make decisions which affect a significant number of people: An inclusive society is where everyone has the opportunity to lead: leaders symbolise who belongs and who doesn't.'[4]**
>
> Maytree, 2007

3.Trustee Recruitment (Charity Commission)
4. Maytree, 2007

Diversity's dividend

What's the likelihood that companies in the top quartile for diversity financially outperform those in the bottom quartile?



Results show likelihood of financial performance above the national industry median. Analysis is based on composite data for all countries in the data set. Results vary by individual country.

Source: **McKinsey analysis 2015**

'Diversifying boards makes good business sense. Research shows they make for better decision making and are more profitable. Diversifying the top positions in sport will therefore be a win win, meaning a more diverse range of people will participate and sport will make a substantially greater financial contribution to our country.'

Densign White, Chairman of Sporting Equals, CEO of IMMAF

3

Planning for Change

Some NGB boards already accept the need for becoming more ethnically diverse and inclusive, based on their individual visions and values, whilst others require a more concerted effort to convince them of the necessity for change. To drive commitments and action, it is necessary to develop a plan that includes strategies, concrete goals, objectives, tasks, and a timeline. Boards are more likely to focus on an issue if an official goal or policy exists to help drive through change.

Overcoming barriers to achieving greater diversity on boards and developing inclusive capabilities will require many organisations to introduce change. This may affect how they recruit, develop and promote staff, as well as how they bid for (and undertake) client work. The changes needed will not only affect processes and procedures, but they will also have an impact on behaviour at work.

All of this needs to be owned and championed from the very top, by partners and leaders. You should;

- Ensure that all internal staff involved in the recruitment process, from senior management to line managers, have received training on diversity issues (especially around unconscious bias) and understand and support the commitment to diversity – so that your message/ brand is communicated consistently to the market.
- Ensure that you clearly communicate your commitment to diversity (including the business case for diversity) and interest in a rich, diverse pool of candidates to all internal key stakeholders as well as your recruitment partners.
- Ensure that diversity is an integral and important part of the briefing process to recruiting partners, and that departments are proactive in managing this process and relationship.
- Enter into an open, honest dialogue and partnership with your recruitment partner/agency to improve the calibre and diversity of the candidates provided.
- Monitor the diversity of candidates and actual recruitment on a regular basis.[5]
- Work closely with agencies with expertise on diversity for advice and support (e.g. Sporting Equals).

5. http://www.bitc.org.uk/sites/default/files/how_to_conduct_diverse_recruitment1.pdf

4

How Can You Increase Diversity?

There is no "right" answer on diversity that is appropriate for every organisation. Discussion is itself an important process through which an NGB board can consider in what ways diversity may be important in achieving its mission and in engaging with diverse communities. Here are some practical ideas to help organisations get a more diverse mix of senior leadership:

Diversify Recruitment Strategies – To achieve a different result, recruitment should cast a wide net and look at non-traditional forms of recruitment through ethnic media, online/social media, (app alerts, Facebook) and BAME voluntary/third sector.

Make use of specialist job boards targeted at local BAME communities and explore advertising on social media focusing on the type of person you'd like to attract. Contact Sporting Equals to help send out e-alerts, connect the sector with ethnic media alongside using the SE-Leaderboard interface and Sporting Equals website to advertise vacancies. This needs to be a long term commitment rather than a 'one off' advert.

Marketing – Actively flag that you are looking for people with diverse life experiences of any age, experience or ethnic background to encourage people who may otherwise not be attracted to the sports sector. Use diverse imagery. Explain what is in it for them, what experience/skills they will gain to help generate interest. Focus on the skills needed for the role rather than the sector. Promote benefits and opportunities through ethnic media.

Training & experience – Advertise for interest and offer training to enable potential candidates to gain skills through shadowing or mentoring which may help encourage them to apply. To better integrate new members, incorporate informal social time and training on diversity and inclusiveness into board meetings and promote the need for diversity champions.

Process – Recruitment processes need to be reviewed more often. Make the application process clear, avoid long forms and offer additional support for people who may have language or other difficulties (someone may not be good on paper but could bring a wealth of knowledge through their experiences).

Try and make provision of adjustments for health, religion and cultural needs and ensure people are made aware of this. Make it easy for individuals to find out more information through a single point of contact who can answer any questions and offer support to encourage individuals to apply. Sports Organisations should mandate unconscious bias training to those with interviewing and recruitment responsibilities.

Unconscious bias – Applies to how we perceive other people. We're all biased and becoming aware of our own biases will help us mitigate them in the workplace. Unconscious perceptions govern many of the most important decisions we make and have a profound effect on the lives of many people in many ways.

No matter how unbiased we think we are, we may have subconscious negative opinions about people who are outside our own group. But the more exposed we are to other groups of people, the less likely we are to feel prejudice against them. Research shows that interviews are poor predictors of job performance because we tend to hire people we think are similar to us rather than those who are objectively going to do a good job.

We need to realise that everyone does not see the world the way we do and they may talk, dress or behave in a different way. We need to challenge ourselves to be less discriminatory and challenge negative stereotypes.

Cultivate Interest – When you have identified promising candidates, find ways to connect with them and cultivate their interest. Discuss board member expectations and responsibilities and how their contribution will make a difference. Tell prospective members why they are wanted and needed, invite questions, elicit their interest and offer appropriate support. Alternatively draw up a list of people such as active community representatives, BAME third sector - call them to a meeting over lunch to help explain your goals, and reasons why you are seeking to diversify, being explicit about what you are looking for people to do (rather than be) and get them to consider a role or recommend people who may fit into the role.

Create a pool of candidates – It is recommended that the sports sector create a pool of diverse board member candidates as often the sector is likely to approach the "usual suspects" who travel in their same social circles resulting in a similar pool of candidates without much variation. With support, Sporting Equals can set up a sport sector member initiative to help match interview ready BAME professionals with potential board vacancies.

Set limits for Trustee and Directors terms – This is essential to ensure length of service is straightforward and that Trustees and Directors don't become entrenched or burnt out. In addition, setting in place standard procedures for Trustee and Director recruitment and induction can ensure that your organisation is consistently striving to increase diversity.

Policies – Have clear policies for expenses (such as travel), childcare and arrangements for translators/ interpreters, prayer facilities, understand fasting and other needs of diverse groups. Make sure venues for meetings are in locations which are accessible by public transport and ensure roles are flexible so people can fit meetings in around personal arrangements.

Ensure staff are trained in this area and set objectives to diversify recruitment targets – Ensure this is monitored regularly. Planning for change is just as important as recruitment to ensure an inclusive workplace which promotes equality of opportunity.

5 Positive Action

Positive action is one way of trying to counteract disadvantage by providing under-represented or disadvantaged groups with help to ensure they have as much of an equal chance as others. Any use of positive action is entirely voluntary. Positive action does not mean people will be employed or promoted simply because they share a protected characteristic. Positive action creates a level playing field ensuring that all applicants are treated in an equal way or treated differently, depending on their needs, to preserve equal treatment and recruitment based on merit.

In recruitment, the Equality Act 2010 allows positive action before or at the application stage. The steps could include encouraging particular groups to apply, or helping people who share particular protected characteristics to perform to the best of their ability (for example, by giving training or support not available to other applicants before the actual official application or recruitment phase). In contrast, positive discrimination is prohibited in employment. Positive discrimination is treating a person more favourably solely because they have a relevant protected characteristic or are from a particular equality group. Positive discrimination is unlawful in Great Britain, but there are some limited exceptions to this rule. For example, it is not unlawful for an employer to treat a disabled person more favourably in comparison with a non-disabled person (see section 13(3) of the Act).

Race is a particularly sensitive area and positive action initiatives related to race may be perceived differently to positive action in other areas, for example gender. Positive action means that it is not unlawful discrimination to take special measures aimed at alleviating disadvantage or under representation. This does not mean that your institution should not consider introducing them, but that you will need to consider how they are introduced and ensure:

- BAME staff and volunteers are involved in the development of any positive action initiatives.
- Your organisation considers the communication and implementation of positive action so a culture of change is embedded through the organisation, as well as the initiative itself.
- Additional support around positive action is available through Sporting Equals.

Positive action by the Football League[6]

The English Football League (EFL) has introduced a proposal to increase the number of BAME coaches. The new measures, which will take immediate effect, include the introduction of mandatory new recruitment practices for coaching positions in Academy football and a Voluntary Recruitment Code in first team football, which will be piloted by at least 10 clubs during 2016/17. EFL have agreed at least one suitably qualified BAME candidate will be interviewed for academy jobs, if they receive an application. A further 10 clubs have volunteered to extend the job position to first-team roles within the club.[7]

6. http://www.personneltoday.com/hr/how-employers-can-take-positive-action-to-increase-workforce-diversity/
7. http://www.efl.com/news/article/2016/efl-clubs-approve-bame-managers-and-coaches-proposals-3140386.aspx

6 Evaluation

Boards need a way to ensure their diversity efforts are working. A diversity strategy should be put in place which should include clearly defined criteria, which can be used to measure how successful a scheme has been and a schedule for review. Diversity measures should be set as part of this strategy and time set aside for a scheduled review to determine whether goals have been met; Has the board successfully changed its composition? What effect has this had on board policy, programmes and the organisation overall? The review should also capture the organisation's experiences so far, highlight what has been learnt and point out problems. The findings of this review should feed into service development plans, informing the criteria for greater diversification to other volunteer and staff roles within the sporting infrastructure.

Conduct exit interviews to further assess your progress and identify areas where you could improve. Administer board self-assessments which include questions related to diversity strategies and goals. Conduct a survey for staff, constituents, and stakeholders about their perceptions of the organisation's culture of inclusiveness.

An external review can be a good way to reflect on governance and help the board change practices. Boards should periodically carry out a board evaluation including skills of the board members. Meaningful change in board composition, dynamics, and culture will not occur overnight. It takes time and commitment. Creating a climate for change through ongoing communication and engagement of the board in the process will help sustain your efforts and overcome resistance along the way.

'Being able to draw upon a diverse set of competencies and knowledge is essential if boards are to successfully address the complex issues that companies face.'[9]

Russell Reynolds Associates, 2009

8. http://diversecitytoronto.ca/research-and-tools/business-case/benefits/

9. Why diversity matters in Boardrooms? Russell Reynolds Associates, 2009

7

Learning from other sectors

Harvard Business School indicates that the benefit of racial diversity alone, conducted correctly, pays off not just in a better company, but a more productive one. In new research that focuses specifically on racial diversity, they found measurable performance benefits when work groups chose to learn from members' different experiences rather than ignore or suppress them.

Comparing 450 bank branches of a single organisation, a large commercial bank in the northeast U.S. discovered that when work groups actively acknowledge and engage with their different members in a way that fostered learning, they performed better as well.[10]

The Parker Review[11] identifies clear business reasons for increasing diversity on UK boards, highlighting that understanding and responding to cultural and demographic change is a major commercial imperative. It examines the BAME representation in the boardrooms across the FTSE100 companies which are disproportionately low and makes the case for Boards to reflect the make-up of an increasingly diverse society.

The report identifies that successful companies will need to attract, retain and promote the best talent available, irrespective of nationality, gender, religion, ethnic background and any other perceived difference from the "mainstream". It is clear that in order to achieve this success, companies must reflect the values of their stakeholders and also project these values externally.

The report focuses on how important it is for Boards of all UK companies to focus on employee development and their executive pipeline with an enhanced focus on ensuring appropriate representation from BAME candidates, as well as other relevant diverse cohorts.

> **'Directors will need to become more culturally aware, more tuned in and more knowledgeable about human behaviours and relationships.'**
>
> The Parker Review, 2016

10. http://hbswk.hbs.edu/item/racial-diversity-pays-off
11. A Report into the Ethnic Diversity of UK Boards, Sir John Parker, The Parker Review Committee, 2 November 2016

McKinsey has been examining diversity in the workplace for several years. The latest report, Diversity Matters, examined proprietary data sets for 366 public companies across a range of industries in Canada, Latin America, the United Kingdom, and the United States. **He found that:**

- Companies in the top quartile for racial and ethnic diversity are 35 percent more likely to have financial returns above their respective national industry medians.
- Companies in the bottom quartile both for gender and for ethnicity/race are statistically less likely to achieve above-average financial returns than the average companies in the data set (that is, bottom-quartile companies are lagging rather than merely not leading).
- Racial and ethnic diversity has a stronger impact on financial performance in the United States than gender diversity, perhaps because earlier efforts to increase women's representation in the top levels of business have already yielded positive results.
- In the United Kingdom, greater gender diversity on the senior-executive team corresponded to the highest performance uplift in our data set: for every 10 percent increase in gender diversity, earnings before interest and tax (EBIT) rose by 3.5 percent.

The Race Equality Charter aims to improve the representation, progression and success of BAME staff and students within higher education. It's a framework through which institutions self-reflect on institutional and cultural barriers. Member institutions develop initiatives and solutions for action, and can apply for a Bronze or Silver REC award, depending on their level of progress.
The Charter principles identify:

1. Racial inequalities are a significant issue within higher education and racial inequalities manifest themselves in everyday situations, processes and behaviours.
2. UK higher education cannot reach its full potential until individuals from all ethnic backgrounds can benefit equally from the opportunities it affords.
3. In developing solutions to racial inequalities, it is important that they are aimed at achieving long-term institutional culture change.
4. People from different ethnic backgrounds have different experiences of, and outcomes from/within, higher education, and that complexity needs to be considered in analysing data and developing actions.
5. All individuals have multiple identities, and the intersection of those identities should be considered wherever possible.

8

A Code for Sports Governance

A Code for Sports Governance was launched by UK Sport and Sport England on the 31st October 2016 and requires that 'organisations seeking public funding for sport and physical activity must meet new gold standards of governance'. The Code will be mandatory from April 2017 and adopts a proportionate approach by creating three Tiers. Diversity in sports sector boardrooms is still an issue which requires sustainable change and improving this is one of the key themes in the Code, appearing in each Tier. The top Tier of the Code sets out requirements which highlight that organisations shall recruit and engage people with appropriate diversity, independence, skills, experience and knowledge to take effective decisions that further the organisation's goals.

The specific Tier 3 requirements on diversity state that each organisation shall:

(A) adopt a target of, and take all appropriate actions to encourage, a minimum of 30% of each gender on its Board; and (B) demonstrate a strong and public commitment to progressing towards achieving gender parity and greater diversity generally on its Board, including, but not limited to, Black, Asian, Minority Ethnic (BAME) diversity, and disability.

The reference to 'greater diversity' in the Code means not only the protected characteristics of the Equality Act 2010 (which are gender, age, disability, gender reassignment, race, sexual orientation, religion or belief, marriage and civil partnership and pregnancy and maternity) but also socio-economic background and diversity of thought.

'The new Governance Code is there to support organisations to develop through diversity of thought. We need to ensure we don't 'panic select' candidates. Many organisations may want to change overnight however, this process does take time. Organisational commitment and internal promotion of diversity is key.'

Arun Kang, CEO, Sporting Equals

Recommendations

- Diversity should be linked closely with the overall business strategy of the organisation rather than just seen as a Human Resources function, or tick box exercise.
- Strategies should be sustainable and developmental; seen as a continual work-in-progress with goals and a tailored action plan to monitor progress.
- The sector needs to move away from common practice around recruiting by word of mouth or personal recommendation.
- HR and recruitment teams should seek to identify potential qualified BAME candidates to be considered for Board appointments when vacancies occur.
- In light of the code for sports governance open commitments are required from existing chairs, boards and executives and change of policies to help attract, develop and retain the best talent, whatever their background or difference.
- There is a need to support mentoring and work shadow programmes to ensure a reflective diversity to assume senior managerial or executive positions internally, or non-executive Board positions externally and plan for the future.
- Sports organisations should encourage and support candidates drawn from diverse backgrounds, to take on Board roles internally where appropriate, as well as Board and trustee roles with external organisations (e.g, educational trusts, charities and other not-for-profit roles). These opportunities will give experience and develop leadership and management skills.
- There is a need to monitor and publish information (approved by the Board) about work to foster all aspects of diversity within its leadership and decision making, including an annual update on progress against actions. This will help publicise a wider commitment of the organisation to this agenda.
- There is a need to carry out board self evaluations to identify gaps and plan for the future.

'Currently, there are too few ethnic minorities in prominent leadership positions across the majority of sectors in this country',

The Parker Review, 2016 [12]

12. A Report into the Ethnic Diversity of UK Boards, Sir John Parker, The Parker Review Committee, Consultation Version 2, November 2016

Checklist

Anyone involved in an appointment panel should read this toolkit resource and develop a recruitment plan aligned to this checklist.

Action Plan

- ☐ Develop a plan to help increase diversity with specific goals and objectives

Recruitment

- ☐ Review recruitment policies
- ☐ Check recruitment process
- ☐ Ensure diversity on recruitment panel
- ☐ Review brief to recruitment agencies to ensure wider diversity
- ☐ Cast a wide net and look at non-traditional forms of recruitment
- ☐ Ensure job adverts are checked for bias and inclusivity
- ☐ Review job role to ensure it meets only the key criteria needed for the job role
- ☐ Check job specifications to ensure they are checked for exclusion of any groups
- ☐ Ensure a clear, simple job role
- ☐ Flag that you are looking for people with diverse life experiences
- ☐ Use diverse imagery
- ☐ Explain the skills and benefits they will gain
- ☐ Promote flexibility of role to fit in around personal arrangements e.g festivals
- ☐ Offer training to recruitment panel on unconscious bias

Marketing

- ☐ Marketing campaign to engage wider media e.g, ethnic media, Sporting Equals website
- ☐ Social Media
- ☐ Open Days
- ☐ Faith/Community Centres

Application Process

- ☐ Keep language simple
- ☐ Make the application process easy and avoid long forms
- ☐ Offer additional support for people who may have language literacy or other difficulties
- ☐ Make provision and adjustments for health, religion and cultural needs
- ☐ Have a single point of contact for further information
- ☐ Invite potential candidates to talk to someone or have an informal chat before they apply
- ☐ Have arrangements for translators, sign language interpreters, audio or large print version of documents
- ☐ Engage community and faith centres in the vicinity where the position will be based

Follow Up

- ☐ Discuss board member expectations and responsibilities and how their contribution will make a difference
- ☐ Create a pool of diverse board member candidates

Training & Experience

- ☐ Offer Shadowing/Mentoring to potential candidates
- ☐ Training Opportunities
- ☐ Training on diversity & inclusiveness at board meetings
- ☐ Recruitment panels should mandate unconscious bias training

Monitoring

- ☐ Have clear systems for review and track progress
- ☐ Set limits for trustee terms in line with new governance code

Further information and support in these areas is available through Sporting Equals

Summary

We believe that the support of Government and regulatory bodies is essential to achieving progress in all aspects of diversity and social mobility, including the diversity in decision-making and leadership roles in the sports sector. The new code for sports governance is a step in the right direction however it will take a concerted effort from everyone in the sector to use this as an opportunity and platform for long term vision and change.

Sporting Equals can help support organisations in these areas through its seleaderboard project and through supporting them with putting in place appropriate ethnic diversity strategies.

Acknowledgements

This toolkit was developed in partnership with the LeaderBoard National Steering Group members:

Sporting Equals
Sport England
UK Sport
University of Leicester
England Athletics
Amateur Swimming Association (ASA)
England Boxing
The Football Association (FA)

Further information

- Equality Act 2010 sets out your duties as a service provider and employer under the Equality Act 2010: www.lawsociety.org.uk/advice/practice-notes/equality-act-2010

Other useful links

- Celebrating trustee diversity
- Evaluating diversity success
- http://www.forbes.com/sites/ruchikatulshyan/2015/01/30/racially-diverse-companies-outperform-industry-norms-by-30/#7d71d1135742
- http://www.mckinsey.com/business-functions/organization/our-insights/why-diversity-matters
- http://hbswk.hbs.edu/item/racial-diversity-pays-off
- http://www.ecu.ac.uk/equality-charters/race-equality-charter/
- http://www.lawsociety.org.uk/support-services/practice-management/diversity-inclusion/diversity-inclusion-charter/
- http://www.sportandrecreation.org.uk/smart-sport/people/participants/equality
- http://www.sportandrecreation.org.uk/blog/rob-tate/05-03-2015/diversity-boardroom
- https://www.youthsporttrust.org/sites/yst/files/Equality%20%26%20Diversity%20Policy.pdf

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November 2016

For support in training, marketing or recruiting BAME candidates, please contact

Tel: 0121 777 1375
Email: info@sportingequals.org.uk

APPENDIX 29

County FA Equality Policy – Template

Foreword by the Chair

The County Football Association are fully committed to ensuring at everyone can take part of football across the County in an enjoyable, friendly, safe and inclusive environment. Both the Board of Directors and staff believe that everyone should have the opportunity to be part of the football family, regardless of difference and we are working hard to ensure that this is a reality.

Our Equality Policy below confirms our clear commitment to equality and that we will take firm action if required against anyone who behaves in a way that is discriminatory.

[Insert name]
Chair, ***[insert County FA name]***

[Insert month and year]

Policy Statement

[Insert name] County FA endorses the Principle of sports equality and will strive to ensure that everyone who wishes to be involved in football, whether as participants, team members, volunteers, coaches, referees, office-bearers or those within the County Football Association. We will ensure that everyone involved in football:

- Has a genuine and equal opportunity to participate to the full extent of their own ambitions and abilities, without regard to their age, sex, gender identity, disability, marital or civil partnership status, pregnancy or maternity, religion, race or ethnicity or sexual orientation;
- Can be assured of an environment in which their rights, dignity and individual worth are respected, and in particular that they are able to enjoy football without the threat of intimidation, victimisation, harassment or abuse.

Legal obligations

[Insert name] County FA is committed to avoiding and eliminating unfair discrimination of any kind in football, and will under no circumstances condone unlawful discriminatory practices. The organisation takes a zero tolerance approach to harassment. Examples of the relevant legislation and the behaviours in question are given in the Additional Notes at the end of this Appendix.

Positive action

The Principle of equality goes further than simply complying with legislation. It allows the ***[insert name]*** County FA to take positive steps to counteract the effects of physical or cultural barriers – whether real or perceived – that restrict the opportunity for all sections of the community to participate equally and fully in football should they chose to.

[Insert name] County FA will therefore seek to institute, support or contribute to appropriate measures or initiatives that enable access to football and participation in associated activities by people from any group that is under-represented in the sport or has difficulty accessing it.

Implementation

The following steps will be taken to publicise this policy and promote equality in football:

- A copy of this document will be published on our website.
- The ***[insert name]*** County FA Chair will take overall responsibility for ensuring that the policy is observed.
- The Board of ***[insert name]*** County FA will take full account of the policy in arriving at all decisions in relation to activities of the County FA.
- County FA will collaborate fully with any surveys or other initiatives designed to assess the level of participation of different sections of the community in football and will take account of the findings in developing measures to promote and enhance equality for all involved in football.
- ***[Insert name]*** County FA Board, staff and Council members will undertake equality training and keep up to date with equality legislation.
- It will be a condition of ***[insert name]*** County FA affiliation that member clubs:
  - Formally adopt this policy, or produce their own equality and diversity policy in terms that are consistent with it;
  - Take steps to ensure that their Committees, members, players, coaches and volunteers behave in accordance with the policy, including where appropriate taking disciplinary action under the Club's constitution;
  - Ensure that access to membership is open and inclusive;
  - Support such measures and initiatives that ***[insert name]*** County FA may institute or take part in to advance the aims of this policy.
- It will be a condition of ***[insert name]*** County FA affiliation that individuals and members:
  - Commit to act in accordance with this policy;
  - Support such measures and initiatives that ***[insert name]*** County FA may institute or take part in to advance the aims of this policy.

Responsibility, Monitoring and Evaluation

The Board will be responsible for ensuring the implementation of this policy.

The Board will review all ***[insert name]*** County FA activities and initiatives against the aims of the policy on an annual basis, and the Chair will report formally on this issue at the AGM.

The Board, or where appropriate a designated Equality Champion (who will be a Board member and representative of the Inclusion Advisory Group), will review any measures or initiatives that ***[insert name]*** County FA may institute or take part in to promote and equality in football across the County and will report their findings formally to the AGM annually.

The Board will review the policy annually (or more regularly due to changes in legislation) and will report with recommendations to the AGM.

Complaints and compliance

[Insert name] County FA regards all of the forms of discriminatory behaviour, including (but not limited to) behaviour described in the Appendix as unacceptable, and is concerned to ensure that individuals feel able to raise any bona fide grievance or complaint related to such behaviour without fear of being penalised for doing so.

Appropriate disciplinary action will be taken against any employee, Board or Council member, player, coach, referee or volunteer who breaches the County FA Equality Policy.

Any person who believes that he or she has been treated in a way that they consider to be in breach of this policy by a member club, individual, staff, Board or Council member should follow the County FA's complaints procedure. Anyone wishing to make a complaint should first complain to that person, organisation or club. If this does not resolve the matter, or in the case of allegations of discriminatory behaviour against ***[insert name]*** County FA staff, Board or Council members, the person may raise the matter by writing directly to the Chair. Please send all written correspondence to the office address.

The Chair will investigate the complaint personally or appoint a Board member to do so. The investigation will be conducted impartially, confidentially, and without avoidable delay. Any person or organisation against whom a complaint has been made will be informed of what is alleged and given the opportunity to present their side of the matter.

The outcome of the investigation will be notified to the parties in writing and reported to the ***[insert name]*** County FA Board. If the investigation reveals unacceptable discriminatory behaviour on the part of an individual or member club the Board may impose sanctions on that person or organisation in line with ***[insert name]*** County FA's Constitution. Sanctions may range from a written reminder concerning future conduct up to and including temporary or permanent suspension and expulsion from the County FA and any club or league that affiliates to it. In deciding what sanction is appropriate in a particular case the Board will consider the severity of the matter and take account of any mitigating circumstances.

Where the violation of the Equality Policy by way of harassment, victimisation or discrimination amount to a criminal offence, the Police or appropriate Authority will be informed.

In the event that an individual, club or league associated with ***[insert name]*** County FA is subject to allegations of unlawful discrimination in a court or tribunal, ***[insert name]*** County FA will co-operate fully with any investigation carried out by the relevant lawful authorities and, subject to the outcome, may consider taking further action in relation to the matter concerned.

[Insert name] County FA

[Insert month and year]

Additional Notes: Relevant legislation and forms of unacceptable discrimination

Legal rights

Discrimination has been legally defined through a series of legislative acts, including the Race Relations Act, the Sex Discrimination Act, the Disability Discrimination Act and the Equality Act 2006.

In April 2010, the Equality Act 2010 received Royal Assent. The Equality Act 2010 is a law which harmonises where possible, and in some cases extends, protection from discrimination. It applies throughout the UK and came into force in October 2010.

Discrimination refers to unfavourable treatment on the basis of particular characteristics, which are known as the 'protected characteristics'. Under the Equality Act 2010, the protected characteristics are defined as age, disability, gender reassignment, marital or civil partnership status, pregnancy and maternity, race, religion or belief, sex (gender) and sexual orientation.

Under the Equality Act 2010, individuals are protected from discrimination 'on grounds of' a protected characteristic. This means that individuals will be protected if they have a characteristic, are assumed to have it, associate with someone who has it or with someone who is assumed to have it.

Forms of discrimination and discriminatory behaviour include the following:

Direct discrimination

Direct discrimination can be described as less favourable treatment on the grounds of one of the protected characteristics.

Indirect discrimination

Indirect discrimination occurs when a provision, criterion or practice is applied to an individual or group that would put persons of a particular characteristic at a particular disadvantage compared with other persons.

Discrimination arising from disability

When a disabled person is treated unfavourably because of something connected with their disability and this unfavourable treatment cannot be justified, this is unlawful. This type of discrimination only relates to disability.

Harassment

Harassment is defined as unwanted conduct relating to a protected characteristic that has the purpose or effect of violating a person's dignity, or which creates an intimidating or hostile, degrading, humiliating or offensive environment for that person.

Victimisation

It is unlawful to treat a person less favourably because he or she has made allegations or brought proceedings under the anti-discrimination legislation, or because they have helped another person to do so. To do so would constitute victimisation.

Bullying

Bullying is defined as a form of personal harassment involving the misuse of power, influence or position to persistently criticise, humiliate or undermine an individual.

[1] The exception to this is pregnancy and maternity, which does not include protection by association or assumption – a woman is only protected from discrimination on grounds of her own pregnancy.

APPENDIX 30

County FA Diversity Inclusion Action Plan (DIAP)

A guide for County FAs

What is a DIAP?

A Diversity and Inclusion Action Plan (DIAP) is an organisations outline of what their vision is over a defined period of time in relation to Diversity and Inclusion.

Throughout a DIAP, an organisation will outline their key areas of focus, the actions needed, intended outcomes and who has responsibility and accountability.

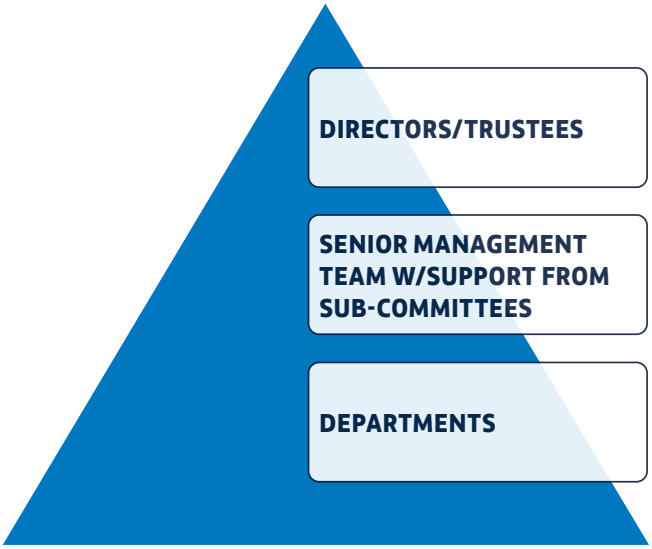
A DIAP is an important tool to help outline the organisations drive for diversity and inclusion, as well as a useful benchmarking tool for future stakeholders.

Why do we need a DIAP?

Within football, County FAs are working towards achieving compliance with The County FA Code of Governance. This is a proxy of the Sport England Code of Governance which aims to increase good governance across sport organisations.

What are the key areas of a Code of Governance that are impacted by the DIAP?





People

Code no.	Headline	Detail	Action
2.1	***Board Diversity***	Each association shall publish clear ambitions to ensure its leadership represents and reflects the diversity of the local community (as appropriate). These ambitions shall be centred on each organisation committing to achieving greater diversity in all its forms on its Board, committees and senior leadership team.	Clear commitment and targets for Board diversity e.g. 30% gender representation, historically underrepresented ethnic communities and by appointing a member of the IAG to the board in a minimum of Observer capacity.
1.23	***Permanent IAG***	The Board shall maintain a permanent committee of the Board to lead on equality, inclusion and diversity matters.	Appoint an IAG that is representative of your local demographics and utilised the skills, knowledge and lived experience of people in the communities you serve.
1.24	***Independent IAG Chair***	The Chair of the committee established under IAG 1.23 shall be appointed via an open, publicly advertised recruitment process.	Appoint the Chair of the IAG, ensuring they have gone through an open application process, that has been communicated at least across grassroots stakeholders.
2.2	***DIAP***	Each organisation shall create a Diversity and Inclusion Action Plan	Create a DIAP that is informed by internal and external stakeholders and that is communicated widely, linking the needs of communities served by your organisation with the operations that you undertake.
2.4	***Website Diversity***	The Board shall ensure that the Association prepares and publishes on its website information (approved by the Board) about its work to foster all aspects of diversity within its leadership and decision-making, including an annual update on progress against the actions identified in DIAP 2.2	Offer clarity and transparency on your diversity and inclusion activity via your website to both internal and external stakeholders.

Standards and Conduct

Code no.	Headline	Detail	Action
4.1	*Inclusion*	The Board shall set out, promote, and support the implementation of minimum good governance standards, including with respect to diversity and inclusion: a. throughout its organisation; and b. within its membership and/or associated organisations.	Kitemarks -Code of Governance compliance Equality Standard Preliminary Level Nujum Sports External Kitemarks- Football Leadership Diversity Code Kick It Out Equality Charter

How can I make my DIAP specific to my County FA?

DIAPs can take many forms (see slide 9) and may offer significant amounts of information about an organisation and their EDI position and aim.

To make this DIAP specific to your County FA, you should consider:

1. realistic priorities for my County FA to achieve around diversity and inclusion within the timeframe of the plan.
2. Imagery used should be of grassroots football within your County FA. The imagery should be diverse and cover many of the protected characteristics.
3. The plan should be formed in conjunction with your stakeholders to ensure they are valued contributors to the plan.

How could I structure my DIAP?

Introduction

Set the scene of your County FA
What has your EDI journey been like already?

Organisational structure & accountability

Provide an organogram
Link the responsibilities and accountability to key roles

Actions

What have you highlighted as priorities?
Think SMART – What, When, Who and How

How to get involved

Think about your audience. Could you encourage people to become involved in your IAG?

Examples

London FA – https://www.londonfa.com/about/rules-and-regulations/inclusion/racial-equality-action-plan

Norfolk FA – https://www.norfolkfa.com/about/inclusion

Dorset FA – https://www.thefa.com/-/media/cfa/dorsetfa/files/about/dcfa-eap-2021---website.ashx

Cornwall FA – https://www.cornwallfa.com/about/diversity-and-inclusion

Sport England – https://sportengland-production-files.s3.eu-west-2.amazonaws.com/s3fs-public/2021-07/Diversity%20and%20Inclusion%20Action%20Plan.pdf?VersionId=EPrN41egJM87mMGPRYbH9Wu_dNxB9CvR

Surrey County Council – https://www.surreycc.gov.uk/council-and-democracy/finance-and-performance/equality-and-diversity/equality-diversity-and-inclusion-action-plan

Balfour Beatty – https://www.balfourbeatty.com/media/318667/di-brochure-include-everyone.pdf

APPENDIX 31

Example of a County FA Equality and Diversity Action Plan

[Insert name] **County Football Association is committed to promoting equality and diversity throughout all areas of its work.** *[Insert name]* **has made a substantial commitment to ensuring equality is embedded into the organisations ethos and vision, providing a foundation for a robust business plan.**

Our Equality Action Plan will:

- Ensure all aspects relating to the everyday business of the Association is fair, accessible and equitable.
- Work towards eliminating all forms of discrimination, harassment and other conduct prohibited by the Equality Act 2010.
- Reach out to wider audiences to increase the associations business.

The Equality Action Plan is endorsed by the Chief Executive Officer, The Board, and the Inclusion Advisory Group.

The plan will be delivered by the professional staff of the association and will be monitored and reviewed by the Inclusion Advisory Group.

This is an example of a CFA Equality and Diversity Action Plan which can be amended to suit the organisation's strategic objectives and goals. This example plan acts as a guide only.

	Action (We will)	Responsibility	Timelines	Resources	Progress	RAG
Objective 1 – Widen football's talent pool through positive interventions						
Support the delivery of targeted interventions to encourage participation from diverse communities and particularly those from BAME/female/ disabled/older/LGBT/faith communities due to County FAs demographics	Support programmes such as the County FA Communities League, Just Play Centres	Lead – Recreational Football Team	July – July 2020	£2,500.00 (recreational football fund budget)	CCL – 10 teams Just Play Centres – 24 Rec Participants – 2113	
Implement disability football development fund plan	Support the implementation of the disability in football plan for the County	Lead – Disability Lead	July 2020	£31,249.00	78 Male Disability Teams 2 Female Disability Teams	
Women and Girls	Support the implementation of the Women and girls programme	Lead – Girls and Women's FDO	July 2020	£45,000.00 (Centre of excellence programme) £1,500.00 (youth female leagues)	203 youth female teams 86 adult female teams Currently working with the Central Girls Football League	

	Action (We will)	Responsibility	Timelines	Resources	Progress	RAG
Women and Girls *cont'd*				£2,000.00 (adult female leagues)	Women's Flexi league to start in the summer	
Homophobia & LGBT inclusion	Identify a suitable campaign to address homophobia in football		July 2020			
Asians in Football	Work with the FA to support addressing the inequality of Asian participation in football through their current national plan		July 2020	£2600.00 (external budget from the Football Association)	Asian star event to be held at County FA HQ 3 x Community Development Centres in Birmingham	
Objective 2 – Workforce development						
Increase the number of BAME coaches	Deliver targeted courses through community partners (2 x courses delivered). Support BAME bursary programmes such as the CSP Coach Bursary Schemes and the FA COACH programme	Lead – Coach Education Team Support – Equality Lead	June 2020	£5000.00	Plans to create a coach Development Hub at sports centre – Plans approved and this will start in July engaging 24 coaches.	
Increase the number of BAME coaches on the FA Licensed Coaches Programme	Deliver targeted clubs sessions to identify needs of coaches	Lead – Coach Education Team Support – Equality Team	June 2020	£1000.00	11.68% of all licensed coaches are from BAME backgrounds	

	Action (We will)	Responsibility	Timelines	Resources	Progress	RAG
Increase the number of BAME Referees	Deliver a targeted course in partnership with the Birmingham Communities League. Create a BAME Referee Academy	Lead – Referee Development Officer	June 2020 June 2020	£500.00 £3480.00	7.25% of referees from BAME backgrounds (467 referees have not filled out diversity questionnaire) Funding acquired through the FA Referee Diversity Fund of £1780.00.	
Create and support pathways for the progression of BAME Tutors	Attend the National BAME Tutor Working Group Meetings		June 2020			
Objective 3 – Governance						
Ensure all staff/Board and advisory group members are adequately trained in equality	Book in 2 x equality training courses for all staff/Board and Advisory Group Members	Lead – Equality Lead Support – Referee Manager	March 2020		County FA staff and Board training delivered in December 2018	
Review the membership of IAG to ensure key actions are delivered	Recruit members. Deliver an induction Book in 4 meetings per year	Lead – Equality Lead Support – Equality Team	June 2020			
Review discrimination disciplinary cases	Increase awareness of how to report via the FA video campaign – send links to League websites/promote through welfare association	Lead – REAG Support – Equality Team	July – Dec 2020		More targeted methods being used on digital platforms/web based media	

	Action (We will)	Responsibility	Timelines	Resources	Progress	RAG
Clarify anti-discrimination regulations	Share data on reported cases through a range of mediums such as LFADP's	Lead – Equality Lead/Discipline Manager Support – Welfare Officer	Nov 2019		Data is shared at all IAG meetings	
Objective 4 – Marketing/PR and communications						
	Create a centralised marketing and communications policy	Lead – Marketing Team Support – CEO	Dec 2020	Embedded into the overall marketing budget	This will be embedded into the County FA marketing strategy	
	Ensure a range of marketing resources are utilised to engage with diverse communities i.e. multi lingual PR, ethnic media	Lead – Marketing Team	Dec 2015	TBC	Working with Sporting Equals to diversify marketing and communication methods	
	Work with market leaders and experts such as sports structures and sporting equals to access diverse communities	Lead – Marketing team	Jan 2020	Officer and partner support	Working with Sports Structures to engage with diverse communities	
	Support the delivery of targeted campaigns to highlight awareness of programmes	Lead – Marketing team Support – Development Team	July – July 2020		BAME coaches and refereeing academy communications all reviewed and adjusted to engage with particular groups	
	Set up customer focus groups in diverse communities	Lead – Marketing team	March 2020			

	Action (We will)	Responsibility	Timelines	Resources	Progress	RAG
Objective 5 – Research						
Understand the current internal and external profile of the County FA	Conduct an equality audit of all staff (paid and unpaid), Coaches, Referees, Players and members	Lead – Equality Lead	Feb 2020		First audit completed during Equality Standard Process	
	Create an incentives programme for respondents completing the survey	Lead – Equality Lead	Feb 2020			
	Interrogate data to identify gaps in provision to inform county planning process	Lead – Equality Lead Support – IAG	Feb 2020			
	Link into focus groups delivered through partners to add value to existing data/ insight	Lead – Equality Lead Support – IAG	Feb 2020			
Objective 6 – Policy framework						
Review and collate policies for Equality Standard Portfolio	Systematically review HR Policies to ensure they are up to date with legislation	L – CE S – EL	Feb 2020		Equality Standard Preliminary Level achieved	

APPENDIX 32

Sport England: Diversity and Inclusion Action Plan 2021-24

This Appendix is reproduced by kind permission of Sport England.

As you'll see, it contains Appendices of its own – not to be confused with the numbering of Appendices of this overall FA-produced document.

You can download the Sport England Diversity and Inclusion Action Plan 2021-24 from this page.



SPORT ENGLAND

Diversity and Inclusion Action Plan

2021–2024

- **Creating lasting change**
- **Being part of the solution**

sportengland.org

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Chief executive's welcome



Tackling inequality is at the heart of our ten-year strategy, *Uniting the Movement*.

Our equality, diversity and inclusion work is intrinsically linked to this strategy – and the role leadership will play in delivering our ambition is therefore critical.

We are, through our words and our actions, creating the climate for change; we are both sponsors and role models for the future we want to build.

This Diversity and Inclusion Action Plan clearly sets out our ambitions as an organisation.

They represent our internal objectives for ensuring equality, diversity, and inclusion for the next four years and recognise the principles around these as set out in the Code for Sports Governance.

Our plan aims to be ambitious, in both changing behaviour and making progress.

The plan describes what this means in practice: creating a climate for change, and setting ourselves targets to be more representative of British society today. We'll achieve this by being more self-aware and crucially by attracting, progressing, and retaining diverse talent.

It's hugely important to me that all employees are treated fairly and with respect and can flourish and reach their full potential. This means ensuring we deliver on a wide range of workplace outcomes for staff, around recruitment, progression, and our decision-making processes in relation to roles and structure.

Inequality cannot be tackled by one-off disconnected initiatives – our action plan is therefore intended to translate actions into tangible impact and results.

We'll of course monitor and report on progress annually and remain focused on achieving our goals.

Notwithstanding our equality, diversity and inclusion journey to date, I hope that we've set out an agenda for real change in this new plan. It's a catalyst for change that needs to be understood at every level across the organisation.

These are our equality priorities and everyone in the organisation will play a critical role in achieving them. There's real power in us all working together to make progress: ensuring we 'create lasting change' so that everyone feels valued and can thrive at Sport England.

Tim Hollingsworth
Chief executive

Board champion statement



The publication of Sport England's Diversity and Inclusion Action Plan comes at a time of heightened awareness and intensified need to address the inequalities facing our society.

Sport and physical activity must be open and accessible to all and has a fundamental role to play in the nation's physical and mental health.

As well as being Sport England's Board Champion for equality, diversity and inclusion, I'm also a South Asian woman and guardian to my older, disabled brother.

This past year has magnified the disparities people from particular backgrounds face. Even as we return to play, too many people face continued barriers and exclusion from participation in sport and physical activity.

I'm proud to be part of a diverse Board that's committed to enabling long-term, systemic change that'll create more opportunities for more people. This is not just about more people being physically active; it's about creating a representative workforce, ensuring decision-making is driven by diversity of thought, and supporting people to develop and thrive.

If we're to realise the ambitions of Sport England's strategy 'Uniting the Movement', which places tackling inequalities at its core, we must lead by example. This plan is therefore critical to realising our wider ambitions.

Our organisation has made great progress since the publication of our last plan, and staff clearly recognise that inclusive practice is fundamental to organisational success.

But the pursuit of parity internally and externally in sport and physical activity must be constant and relentless. It must be driven at an organisational level and valued at an individual level.

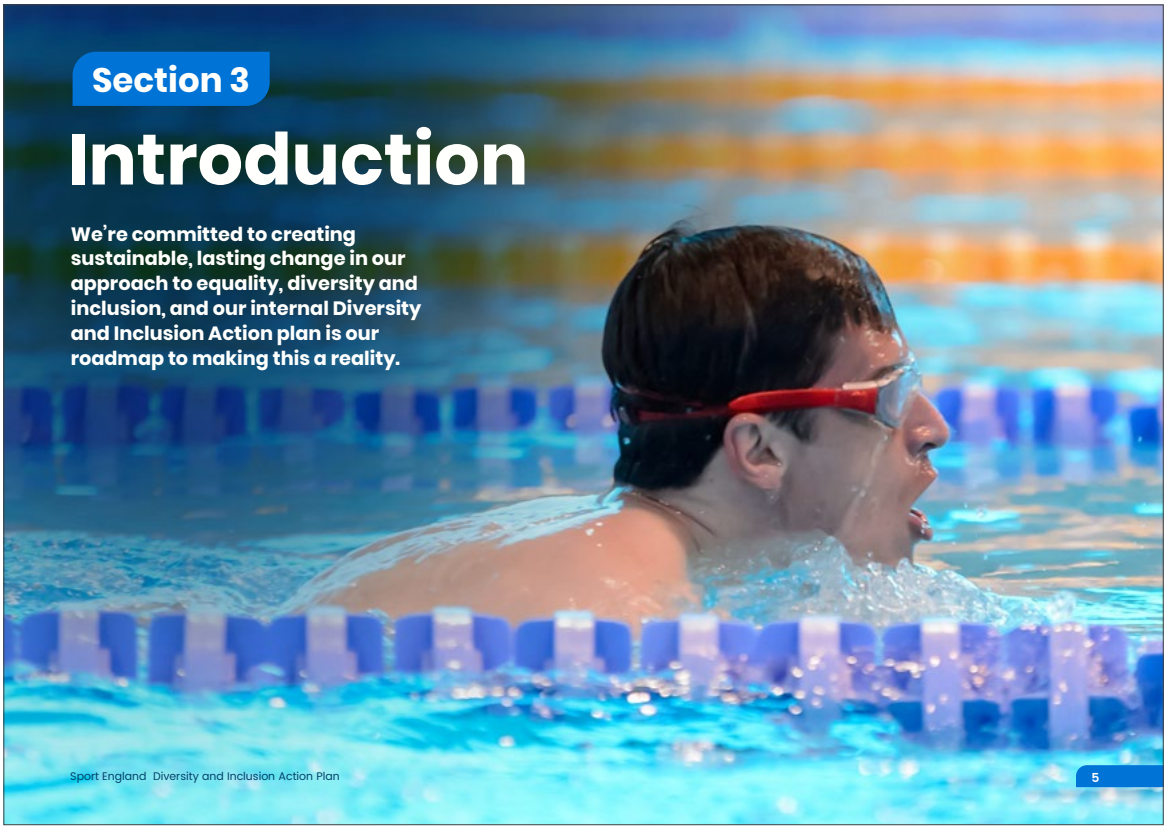
This plan is the culmination of broad consultation. In particular, our employee and equality networks have engaged in valuable discussion and debate.

The issues we face are complex and our approach will need to constantly evolve. Maintaining the checks and challenges of our approach within and outside the organisation are essential to achieving positive and sustainable change.

The challenges we face in sport and physical activity are deeply connected to wider inequalities which we cannot ignore. But we know that sport and physical activity play a powerful role in connecting communities and improving quality of life.

This is not just about fairness: there is an economic imperative to being relevant and representative of the communities we serve.

Rashmi Becker
Board champion for equality, diversity, and inclusion



Section 3

Introduction

We're committed to creating sustainable, lasting change in our approach to equality, diversity and inclusion, and our internal Diversity and Inclusion Action plan is our roadmap to making this a reality.

Our plan aims to:

- Be ambitious, in changing our behaviours and ensuring we make progress in advancing equality within Sport England
- Be inclusive in our daily interactions, and decisions, and act as the catalyst to create opportunities that support our employees' career development and progression
- Be measurable and regularly reviewed by our internal Equality, Diversity and Inclusion group, and our Board and Executive.

Working within the Code for Sports Governance and our own diversity pillars provides us with a framework for our equality, diversity and inclusion actions. This plan details the actions we're taking to further equality in our workplace. It also explains our public sector equality duties, set out in section 3.2.

3.1 Purpose

Our long-term strategy, Uniting the Movement, has a vision to imagine a nation of more equal, inclusive, and connected communities - a country where people live happier, healthier and more fulfilled lives. This vision translates into how we want our own employees to feel about their employment and will form the basis of our wider People Strategy (*currently under development*) which will place our values and equality, diversity and inclusion at its heart.

Our goal is to create an inclusive culture where everyone accepts and views as a strength the difference we all bring to Sport England. We want all our employees to thrive as they're our greatest resource and key to the successful implementation of our strategy.

We're setting ourselves ambitious targets around equality, diversity and inclusion as creating a diverse and inclusive workplace is an ongoing journey. We know that our workforce is not as diverse as we would like it to be and we recognise that wider societal issues will impact upon us as an employer.

Our Diversity and Inclusion Action Plan is our roadmap to delivering these ambitions and takes an internal perspective of our organisation whilst maintaining a critical awareness of our role in modeling inclusive behaviours across the sports and physical activity sector.

Although we've made progress in representation – this isn't enough. We've announced our ambition to attract new, progress and retain existing talent from Black, Asian and minority ethnic groups – we're agreeing specific targets, especially at more senior levels in the organisation for ethnic minority representation over the next five years. We aspire to be representative of British society today.

This is not our only goal as we also strive to meaningfully reflect the wider disabled and LGBTQ+ communities.

Our plan is not only about representation – the experience of our employees in the workplace is just as important and we want all our employees to feel included, progress and be supported at work. It's important to us that all voices are welcomed and heard, and we all have shared responsibility for making this a reality.

One of our four values is, *We Are… Inclusive*. This value is paramount in supporting our belief that everyone should have the right to benefit from sport and physical activity regardless of age, background or ability.

In terms of an inclusive culture, we know that by being more inclusive we will make better decisions, be better able to meet the needs of the breadth of audiences we serve and ultimately actively reduce the inequalities present in sport and physical activity.

Our inclusive value echoes what our employees have told us:

- we value diverse perspectives and treat everyone with dignity and respect
- we feel able to share our ideas, and we listen to the voices of others
- we respect each other, always mindful of the impact of our thoughts, words and behaviour.

Our Diversity and Inclusion Action Plan encourages our employees and teams to explore our Inclusive value and to understand how we will further support employees to develop the behaviours that are expected of them. Additionally, we expect regular discussion of all our values and this forms a cornerstone of our Coaching and Valuing Performance Framework.

This is not our first diversity action plan and our previous achievements can be found in Appendix 2.

3.2 Our public pledges

Not only does our long-term strategy have a strong commitment to equality, we've made public pledges on how we want to champion equality, diversity, and inclusion throughout our people practices as an employer. These pledges are enshrined through our commitments to:

- the Race at Work Charter
- the Disability Confident Employer Scheme
- the Mindful Employer scheme.

These pledges are more than just plaques on our walls – they provide us with strong frameworks to work within and the guidance to help us make sustained progress and lasting change.

Additionally, we're members of and engage with, a number of overall membership programmes and forums which aid our work in promoting inclusivity and our thinking in areas such as disability and LGBTQ+.

3.3 Our statutory duties

Not only is having equality, diversity and inclusion ambitions the right thing to do, it also complies with our statutory duties under the Equality Act 2010, our specific Equality Duties as a public body, and other legislation – such as annual Gender Pay Gap reporting and triennial Equal Pay Audits.

As a public body our equality duties mean we must:

- publish our equality objectives
- annually report our progress towards achieving our objectives
- work towards eliminating discrimination, harassment and victimisation
- advance equality of opportunity
- foster good relations between people who share a protected characteristic and people who do not share it.

Further details on our statutory obligations can be found in Appendix 4 and these will be built into our annual delivery plans.



3.4 How does the plan work?

Our Diversity and Inclusion Action Plan articulates our widest ambitions and commitments over a four year period.

It will be accompanied by practical annual plans highlighting specific equality objectives and goals – some of these objectives will be about maintaining our current position while others will be about where we need to make progress if we identity gaps between where we're now and where we want to be in the future.

Our plans will be developed by taking an evidence-based approach to understanding our position on an annual basis through analysing the various forms of data we collect and seeking intelligence on what we could do differently as we move forward.

Our analysis will not only review demographic data but also seek insight into our success in building an inclusive culture. It'll gain the views of the Equality, Diversity and Inclusion Group, our trade union and employee networking groups, as well as reviewing the results of our employee engagement surveys.

This in-depth analysis will also enable us to measure and therefore celebrate our success and hold ourselves to account and take remedial action If the pace of our progress slows.

Our plans will be published both internally and externally and we'll report on our progress annually. Communication and engagement with our employees will be key and each annual plan will be supported by a communications and engagement plan.

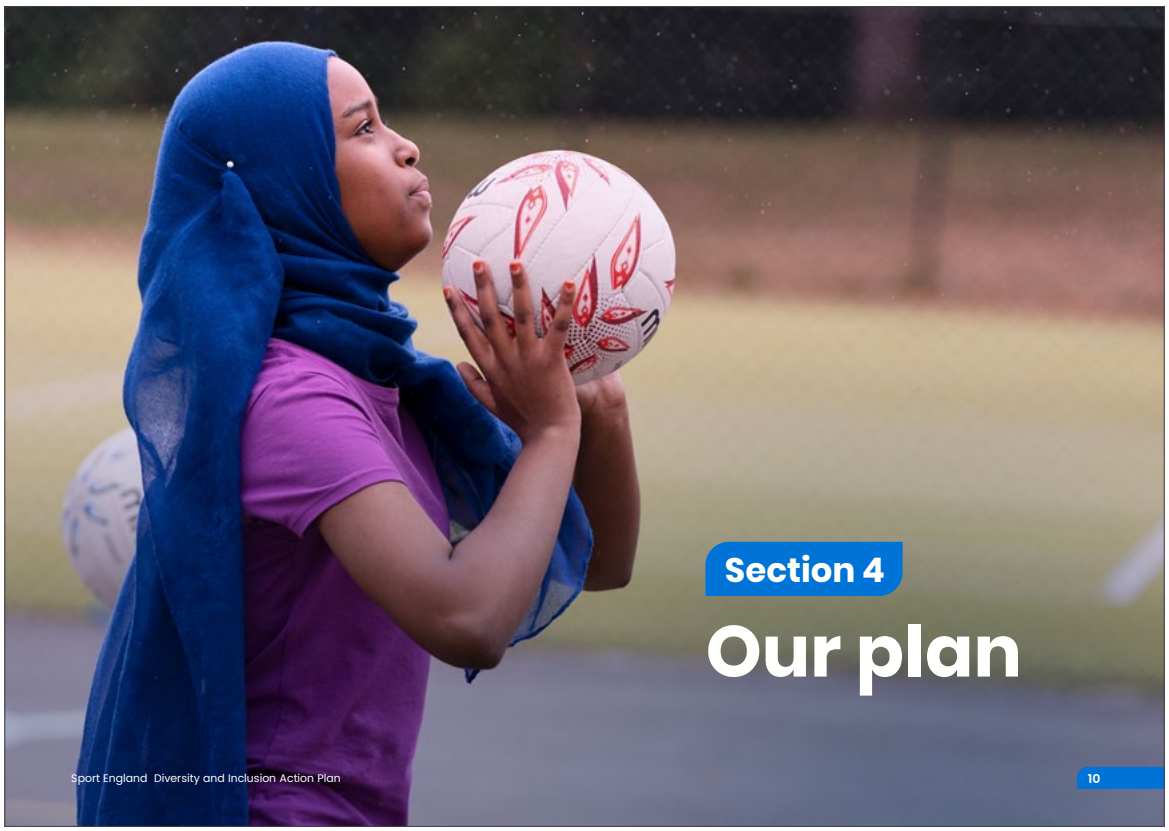
This is a focused action plan and work around agile working and wellbeing can be found in the relevant parts of the People Strategy. As part of the Race at Work Charter, zero tolerance of harassment and bullying is included - however most debate around this sits within our relationship with our trade union, PCS, and Whitley Council meetings.

Other documents that reflect our ongoing commitment to diversity but fall outside of this plan include our family friendly policies and other matters relating to individual grievances and contracts of employment that have regulatory underpinnings.

3.5 What are the key ambitions for the plan?

The plan is focused upon the delivery of three themes – our equality objectives we've identified as priorities over the next four years across protected characteristics and recognising intersectionality. While we've prioritised these themes, we continue to support areas of work being implemented within our wellbeing priorities, another key area of our People Strategy.

1. **Leadership, creating and sponsoring a climate for change**
2. **Attracting, progressing and retaining diverse talent**
3. **Wider change through employee engagement and learning**



Section 4
Our plan

4.1 Leadership, creating and sponsoring a climate for change

Why is leadership important?

Our leadership team has already strongly signalled a public commitment to equality, diversity and inclusion in employment through our external partnerships. Additionally, the integral role of equality within our strategy, Uniting the Movement, demonstrates the leadership team's determination to build and foster an organisation that is truly inclusive of all people and of all backgrounds.

Our team know that diverse organisations can be more effective and that building an environment where everyone, from any background can bring their authentic self to work is simply the right thing to do.

Our leaders understand leadership needs to be seen through the lens of inclusion and makes clear that supporting equality in the workplace is the responsibility of all leaders. Of course, leadership can be found in different parts of the organisation and we all have an immense role in fostering our inclusion efforts.

Finally, having diversity in leadership communicates to staff that there's a pathway to leadership and shows them a concrete example of what it looks like.

How will we support leaders over the next four years?

In our annual delivery plans we will highlight specific actions for the forthcoming 12-months and these actions will centre upon how leadership can get more involved in developing an inclusive culture. Typically, activity will encourage leaders to:

- demonstrate responsibility and sponsorship for diversity, equality and inclusion within their teams, and create local cultures that exhibit inclusion, fairness and respect
- engage with and listen to, the diverse voices within their teams
- engage in learning around the topics of diversity, inclusion and equality
- role model by fully embracing and supporting diversity and inclusion initiatives
- develop their own inclusion goals and support activities that drive the development of our employees to act as a local catalyst for change
- share progress with their teams and celebrate success
- hold team members to account on all equality, diversity and inclusion matters and our Inclusive value through our Coaching and Valuing Performance framework.



4.2 Attracting, progressing and retaining diverse talent

Why is attracting, progressing and retaining diverse talent important?

As previously stated, our strategy has an ambition to attract new and retain existing talent from the Black, Asian and ethnic minority groups. But this is not our only ambition – we want our workforce to reflect all sections of society as we know that this will have positive outcomes for us. To recap our inclusive value, we strongly believe that as a diverse employer we will better understand our sector and the communities we serve. We believe:

- our diverse teams will perform better and will be more able to harness innovation and;
- as a diverse organisation we are more likely to have an engaged workforce that attracts and retains talent.

Our activity in this area will be multifaceted to support both new recruitment and create an inclusive culture to retain and progress talent.

How will we achieve a more diverse talent pool?

In our annual delivery plans we'll highlight specific actions for the forthcoming 12 months and these actions will centre upon how we can attract and retain talent, both internally and externally from under-represented groups.

Positive recruitment practices will continue to be important. These help us to find the right people with the right skills and abilities for the right roles at the right time. Recruitment is a critical activity for Sport England and if we get it right this will drive diversity within our workforce. Typically, activity will include:

- setting targets or goals on an organisational and directorate level and reviewing these annually
- continuing to support and develop inclusive recruitment practices to remove any barriers from employment and encourage under-represented applicants through positive action
- exploring how we can diversify our candidate pool through apprenticeships, mentoring, paid internships and other training opportunities
- reviewing what positive action can be considered to progress and develop talent internally.

Ambitious goal

Having an ambitious goal to be more representative of our wider society will increasingly be important for us. Whereas previously we agreed to seek to improve the diversity of our workforce year-on-year, moving forward, through our plan, we wish to set a clearer, internally focused target for measurable change over a more defined period of time – specifically to ensure a continued focus on the issue of under-representation.

Our ambition:

- is realistic but stretching – given our profile, hiring and turnover trends
- has the visible support of leaders and the wider engagement of all colleagues
- is supported by action plans to deliver the targets and regularly monitored.

How will we retain diverse talent?

If we achieve our ambitions to attract more talent from under-represented groups, it's important that we do not develop a revolving door of talent. To prevent this, we need to focus upon building an inclusive culture and provide progression and developmental opportunities for under-represented groups. Of course, it's important that development is obtainable for all our employees as we want **all our employees** to thrive, grow and enjoy their roles and in so doing deliver our strategy, Uniting the Movement.

In our annual plans, we will focus upon developing an inclusive culture by:

- building a strong onboarding process
- rolling-out initiatives to root out, challenge and eliminate any inequalities in the employee lifecycle
- continuing to support our employee networking groups who help us to amplify diverse voices across our organisation
- through our staff engagement surveys and focus groups continuing to gather data about the culture within our organisation
- continuing to support positive action initiatives to support career development and progression for under-representative groups (such as BITCs Mentoring Circles, our internal Activate Programme and secondments)
- encouraging all our employees to fully reach their potential.



4.3 Wider change through employee engagement and learning

Why is engagement with our colleagues important?

The engagement of colleagues more widely remains important as achieving our goals around diversity and inclusion needs collective action, ownership, and accountability from across the organisation. This is of paramount importance in encouraging our employees to develop the behaviours championed in our value, *We are… Inclusive* and driving forward an inclusive culture.

Additionally, ensuring all our employees have opportunities to learn and grow supports our wider goals to have an engaged workforce which thrives and is happy. Engaged employees tend to be more motivated and productive and are likely to be greater advocates for Sport England and our strategy, Uniting the Movement.

How will we achieve greater engagement in our diversity ambitions?

In our annual delivery plans we'll highlight specific actions for the forthcoming 12-months. These actions will centre upon encouraging our employees to learn more about different topics in this field, use a perspective taking approach and utilise this learning in their everyday working lives. Typical areas of focus will be:

- initiatives to raise awareness of diverse cultures to support colleagues in their roles to deliver our long-term strategy and create a community of learning. Current examples include Be an Active Bystander, raising awareness of the Disability Confidence scheme and other areas
- an annual programme of learning and development opportunities (in-person, remote and via our internal learning and communication platforms)
- encouraging staff to talk about our *We are… Inclusive* value as part of our Coaching and Valuing Performance Framework.

Human Resources and Development Team
July 2021





4.4 How we all have a role to play

Our plan takes an ecosystem approach – this is crucial and involves us all. It's important that everyone in the organisation collaborates within our ecosystem and are committed to living our *We are... Inclusive* value by:

- listening to and welcoming diverse voices
- demonstrating inclusive behaviours and advancing equality and diversity
- championing respect, fairness, and dignity at work
- support learning for everyone enabling them to thrive at work
- valuing relationships with different groups and recognising the intersectionality, each of us have a myriad of identities that overlap and intersect in dynamic ways to gain a deeper understanding of different perspectives.

We believe that there's real power in us all working together making progress to effect change. However, some people have specific roles within our ecosystem.

4.5 The key roles in our inclusive ecosystem

Chief executive Provides strong purposeful leadership on all equality, diversity and inclusion matters	**Board champion equality, diversity and inclusion** Represents the views of the Equality, Diversity and Inclusion Group at Board level and conversely the views of the Board to the wider organisation	**Chief operating officer** Executive with responsibility for all internal equality, diversity and inclusion matters	**Strategic lead HR and development** Lead for all internal equality, diversity and inclusion matters related to our role as an employer
Diversity and inclusion manager Subject matter expert on equality, diversity and inclusion issues relating to our role as an employer	**Employee networks** Our networking groups amplify diverse voices and engage with colleagues within the ecosystem **Allies** Visible role models of everyday inclusion, helping to raise awareness, showing support and signposting	**Equality, diversity and inclusion in sport director** Lead Sport England's over-arching approach to tackling inequalities in sport and physical activity	**Executive sponsors – Equality networks and BITC race champion** Using their voices to advocate the work that needs to be done
The Equality, Diversity and Inclusion Group The Group has oversight of internal work that we undertake to ensure that it improves equality, diversity and inclusion within Sport England itself. The Group cascade information following each meeting to their directorates	**Senior leaders** Leaders set expectations, shape group dynamics and role model inclusive behaviours	**Line managers** Managing diverse teams ensuring fairness in decision making including recruitment decisions and career progression opportunities, project allocation, role modeling and challenging behaviours	**PCS (our union)** A valuable contributor and partner in achieving our equality, diversity and inclusion agenda

All staff
Employees play an important role in developing inclusive workplaces, for example, calling out exclusionary behaviour and treating colleagues with fairness and respect



Appendix 1 - Diversity and Inclusion Action Plan – Year One 2021/2022

Equality Ambition 1. Leadership					
Goal number	**Goal**	**Action point**	**By whom**	**By when**	**Measured by**
Leadership, creating and sponsoring a climate for change					
1.1	Ensure our leadership team understand their role in driving forward our equality, diversity and inclusion ambitions	Leaders and their teams able to articulate why equality, diversity and inclusion is important and are clear what they need to do in creating a climate for change	HR and working with specialists	Ongoing	Coaching and Valuing Performance Framework Inclusive Leadership Programme
1.2	As part of the Race at Work Charter individual executive directors to agree measurable inclusion goals	Individual inclusion goals to be agreed as part of the Coaching and Valuing Performance Framework	Chief executive	Jul '21	Coaching and Valuing Performance Framework Inclusive Leadership Programme

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Equality Ambition 1.
Leadership

Goal number	Goal	Action point	By whom	By when	Measured by
Leadership – Amplifying diverse voices					
1.3	Sport England and Network Executive Sponsors to continue to support the Equality Network Groups	Agree individual equality objectives with your Networks	Equality Network Groups	Ongoing	Equality Lead regular updates to the Equality, Diversity and Inclusion Group
1.4	Launch of a Reverse Mentoring scheme	Pilot scheme to be developed and rolled out	Diversity, inclusion and wellbeing manager	Sep '21	Evaluation of the pilot programme
1.5	Share insight about sponsorship across leadership	Discuss sponsorship at senior leadership team	Diversity, inclusion and wellbeing manager	Dec '21	Inclusive Leadership Programme evaluation
1.6	Define our internal communications approach for equality, diversity and inclusion	Communications plan to be agreed leading to regular updates across the business to include Chief executive, Board and Equality, Diversity and Inclusion Group work	Internal communications manager / diversity, inclusion and wellbeing manager	Dec '21	Staff engagement

Equality Ambition 1.
Leadership

Goal number	Goal	Action point	By whom	By when	Measured by
Leadership - Creating a culture of fairness and respect					
1.7	As part of the Race at Work Charter demonstrable commitment at Board level to zero tolerance of harassment and bullying	Statement and support for Dignity at Work initiatives to be incorporated into the Dignity at Work and Code of Conduct policies	Chair/Board Champion/ Strategic Lead, HRD	Aug '21	Staff Engagement Survey
1.8	Raised awareness of Dignity at Work within Sport England	Refreshed Dignity at Work Advisor programme	Diversity, inclusion and wellbeing manager/Dignity at Work advisors	From Apr '21	Feedback from Dignity at Work advisors
		Roll out of a Dignity at Work engagement programme (extension of previous initiatives) for line managers	Diversity, inclusion and wellbeing manager/Dignity at Work advisors	From Apr '21	Staff Engagement Survey Number of complaints
1.9	Gender Pay Gap Reporting	Leadership specific communications to help raise awareness and transparency of the report	Diversity, inclusion and wellbeing manager	Dec '21	Staff engagement

Equality Ambition 1.
Leadership

Goal number	Goal	Action point	By whom	By when	Measured by
1.10	As part of our Disability Confident Employer Scheme commitments and our work with the Business Disability Forum, to support our work against the key criteria of the scheme	Leadership specific communications to help raise awareness of our aims over the next 12 months	Briefing for the leadership team	From Jul '21	Staff engagement, increased awareness among line managers and all staff



Equality Ambition 2.
Attracting, Progression and Retaining Diverse Talent

Goal number	Goal	Action point	By whom	By when	Measured by
Attracting Diverse Talent					
2.1	Continued support for Sport England's inclusive recruitment practices launched in 2020	Regularly review the success of current practices in recruiting diverse talent	HR	Ongoing	Half yearly reporting to Equality, Diversity and Inclusion Group/Board
2.2	Review the attractiveness of our careers page and the inclusive messages conveyed	Focus group	HR	Sep '21	Number of diverse applicants
2.3	Ambitious goal - setting targets by ethnicity and disability over a five-year period	Specific targets agreed with each executive director	HR and directorates	Sep '21	HR dashboard and reported to Board

Equality Ambition 2.
Attracting, Progression and Retaining Diverse Talent

Goal number	Goal	Action point	By whom	By when	Measured by
Attracting Diverse Talent					
2.4	Explore non-traditional routes into Sport England	Explore the creation of an apprenticeship scheme	Strategic lead, HR and directorates	Jun '21	Approval of proposal
2.5	Greater transparency of equality data in recruitment	Creation of HR dashboard on recruitment and employee data	HR	Jul '21	Number of diverse applicants
Progression of diverse talent					
2.6	Positive action initiatives to develop existing employees and build a talented pipeline from within	External mentoring programmes, secondments, and internally activate programme and work shadowing opportunities	Diversity, inclusion and wellbeing manager	Ongoing	Evaluations

Equality Ambition 2.
Attracting, Progression and Retaining Diverse Talent

Goal number	Goal	Action point	By whom	By when	Measured by
Retaining Diverse Talent – Creating an inclusive culture					
2.7	Employee experience – we'll never lose sight of our employees' experiences and voice	Through our staff engagement surveys and focus groups we'll continue to gather data about the culture of working within Sport England	Diversity, inclusion and wellbeing manager	Yearly	Staff Engagement Report by directorate
2.8	Continued engagement with external partners to support us in becoming an inclusive employer	• BITC Race at Work Charter • Stonewall Workplace Equality Index • Disability Confident Scheme and a gap analysis/ assessment with the Business Disability Forum • Inclusive Employers	Diversity, inclusion and wellbeing manager	Ongoing	Annual review
2.9	Achieve the UK Equality Standard for Sport at an advanced level	Working group to be created	Working group and lead/ consultant	Sep '21	Actions
2.10	Equal pay	Triennial equal pay audit and annual gender and ethnicity pay gap reporting	HR	Aug '21	Progress report to Executive and Board

Equality Ambition 3.
Wider employee engagement and learning

Goal number	Goal	Action point	By whom	By when	Measured by
Increasing awareness of diverse cultures and backgrounds					
3.1	Continue with equality training for all staff to increase awareness, reduce bias and build inclusive skills	Ongoing rolling training programme promoted	Diversity, inclusion and wellbeing manager	Yearly	Evaluation forms Staff Engagement Survey
3.2	Duty to adjust and provide ongoing and anticipatory support Workplace adjustments and comprehensive support in providing an inclusive and barrier free workplace	Develop a 'This is Me 'passport' document for use at Induction and for existing staff (on launch) Line manager communications/ briefings	Diversity, inclusion and wellbeing manager	Dec '21	Staff satisfaction Line manager feedback Equality, Diversity and Inclusion Group feedback
3.3	Engagement with colleagues through continued support for employee networking groups and allies	Equality Leads quarterly meetings – engage on joint areas of work Allies programme to be provided to all allies	Diversity, inclusion and wellbeing manager	Ongoing Sep '21	Membership Evaluation of programme

Equality Ambition 3.
Wider employee engagement and learning

Goal number	Goal	Action point	By whom	By when	Measured by
Increasing awareness of diverse cultures and backgrounds					
3.4	A programme of engagement/seminars/ training on topics around protected characteristics in the workplace led by experts in this field, helping to raise awareness, empathy, change behaviours and support inclusion at Sport England	Existing equality and diversity schedule of training to be reviewed, asking colleagues for their input, and embedded within the wider learning and development schedule of training	Diversity, inclusion and wellbeing manager / learning and development manager	Updated half-yearly	Staff engagement Evaluations
3.5	On-line equality, diversity and inclusion training Training to be reviewed and benchmarked against new providers	A review sub-group to be set up	Diversity, inclusion and wellbeing manager	Dec '21	Recommendations to be brought to the Equality, Diversity and Inclusion Group
3.6	We aim to make educational materials available through SharePoint and encourage personal responsibility for developing knowledge and literacy in diverse topics	Materials to be uploaded in SharePoint in readiness for sharing more widely and increasing visibility. IT to enable permissions, provide support	Diversity, inclusion and wellbeing manager Head of IT	Dec '21	Staff engagement/ feedback
3.7	To increase awareness amongst managers on equality related topics	Briefings on recent cases to be added to SharePoint	HR Team	Dec '21	Line manager feedback

Appendix 2

Progress since 2017

The Diversity Action Plan 2017-2022 was approved by Executive and Board in December 2017. The plan was developed in line with the Sports Governance Code (a requirement of all Tier 3 Sports Partners) with three overarching objectives:

- **Recruitment** - how the organisation will attract an increasingly diverse range of candidates
- **Engagement** - ensuring that our organisation's commitment to diversity is communicated through internal practices and externally
- **Progressing Talent** - a focus on developing a strong internal pipeline of diverse talent.

Each objective had several priorities focussing on either the Board or the wider workforce. A summary of the key achievements is set out below.

Recruitment, how the organisation attracts an increasingly diverse range of candidates

Positive recruitment practices continue to be important. These help us to find the right people with the right skills and the right abilities for the right roles at the right time. Recruitment is a critical activity for Sport England and if we get it right this will drive diversity within our workforce. To attract diverse talent, we must ensure that we remove any barriers that prevent jobseekers viewing us as an attractive destination employer. We've taken many steps to improve our employer brand and attraction strategies – in addition to reviewing our recruitment guidance this included:

- improving our careers site and job packs - this includes clear messaging on what diversity and inclusion means to us
- encouraging recruiting managers to ensure that the wording of their job descriptions and adverts are inclusive, free from bias, approachable for candidates outside of sport and in plain English
- encouraging all recruiting managers, and anyone on an interview panel to undertake interview skills training course and ensure a high-quality candidate experience
- extending our advertising reach by advertising our opportunities to new audiences on specialist websites
- using positive action statement sentences as a part of our efforts to reflect a diverse community
- recruiting anonymously via a name-blind recruitment process.

Engagement ensuring our commitment to diversity is communicated through internal practices and externally

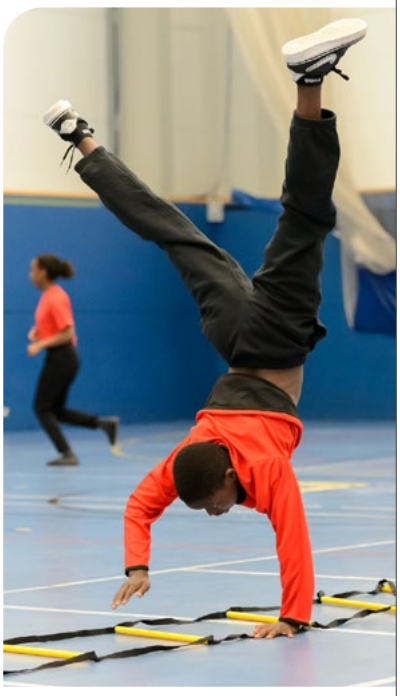
The engagement of colleagues more widely remains important as achieving our goals around diversity needs collective action, ownership, and accountability from across the organisation. All of what we do is developed in consultation with our network groups and the Equality, Diversity and Inclusion Group, and we have in place opportunities for colleagues to learn more about diversity in the workplace and how they can change their behaviour to support our goals. This included:

- Let's Talk about Race sessions run by the Business in the Community
- the incorporation of our values, including *We are.. Inclusive*, into our appraisal process
- our staff development plans included diversity training, working with specialists. The training is essential for creating an inclusive ethos and culture, thinking beyond discrimination in its extreme forms to identify and tackle the subtle things that take place in the organisation on a daily basis
- engaging specialists to run sessions on 'Be an Active Bystander' and Tackling Micro-Incivilities and Aggressions
- running raising awareness sessions on unconscious bias for all new employees. This training is part of a robust plan to implement actions and to measure progress.

As part of our wider engagement programmes we continue to demonstrate our commitment to encouraging colleagues to be open about mental health and wellbeing.

In 2019 we launched a Mental Health First Aider (MHFA) scheme. Additionally, members of the human resources team have been providing mental health awareness guidance sessions to line managers, a session to support having conversations in the workplace.

We continue to be a member of the Mindful Employer Charter and is a visible display of our commitment. Our focus on well-being has been particularly present due the coronavirus (Covid-19) crisis with a number of surveys and actions being put in place.



There have been a number of internal 'Lunch and Learn' sessions held over Teams for colleagues to hear from and learn about our internal networks. Recent events have been held by Culture Crew (our Black, Asian and minority ethnic group) our disability network STRIDE and our new Women's Network. All were extremely well attended, interactive and prompted good discussion.

We've taken several active steps to improve wider engagement:

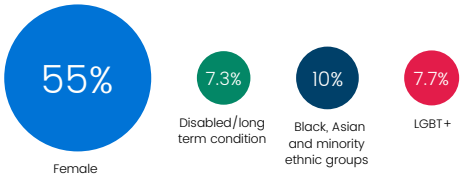
- We offer very generous maternity and shared parental leave pay and return to work coaching for employees returning from maternity leave or shared parental leave.
- We have a separate strand of work around the future flexibility of our workplace, but we do retain colleagues by offering part-time employment or other flexibilities such as career breaks and encouraging shared parental leave.
- To ensure that we have an engaged workforce that thrives it is important for us to eliminate bias in the employee lifecycle. We will be delivering an intervention targeted at strategic leads and above (our key decision makers) that promotes inclusivity and targets bias in employment – this is not solely about recruitment but selection for projects, progression and reward.
- We've a network of Dignity at Work Advisors, trained to provide confidential support to individuals who may be experiencing difficulties relating to harassment and/or bullying and have appointed a Race at Work Champion, a member of our Executive team.
- Mental Health First Aiders who provide additional support for mental health at work and help reduce the stigma that still exists. We appointed a Mental Health Champion, a member of our Executive Team.
- We've a strong public commitment to diversity in employment through our partnership with the BITC (Business in the Community) and our memberships of Stonewall, the Business Disability Forum for Employers and our Disability Confident Employer and Mindful Employer commitments.
- During the period we introduced a new Equality Policy, reviewed our Dignity at Work Policy and have in place Transgender Guidelines.
- Our Equality Committee meets quarterly and members are responsible for cascading information about discussions within their teams. Board receive half-yearly reports on our equality, diversity and inclusion work.

Progressing Talent - A focus on developing a strong internal pipeline of diverse talent

We've positive action initiatives to support career development such as mentoring circles through Business in The Community (BITC) and an extension to our Activate programme supporting career development for our more junior colleagues.

Appendix 3: Staff composition

We prioritise and collect good quality people data to assess the make-up of our workforce and our Board, assisting us to identify barriers and solutions. The data is at 28 February 2021. Our data focuses on four protected characteristics as defined in the Equality Act: race (referred to ethnic group), disability (referred to disabled/long term conditions), sex (referred to gender) and sexual orientation (referred to LGBT+).

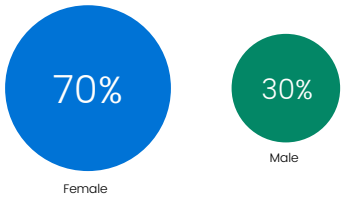


Our Executive Team

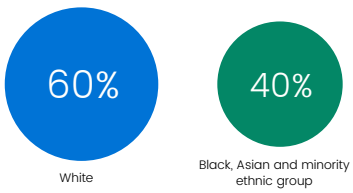
Our Executive Team comprises of eight members. As numbers are less than 10, Sport England is unable to report diversity breakdown due to General Data Protection Regulations (Information Commission Code of Practice).

Our Board

Gender

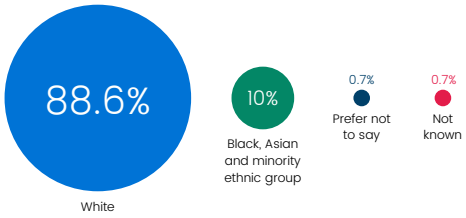


Ethnic group

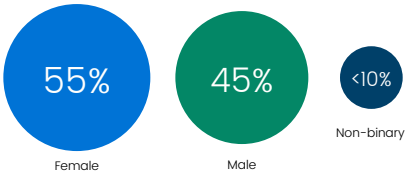


Employees

Ethnic group



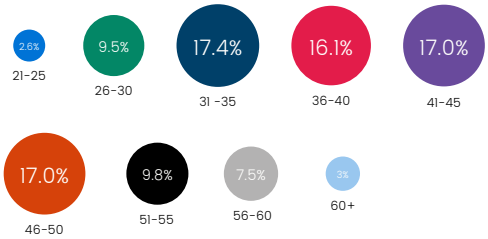
Gender*



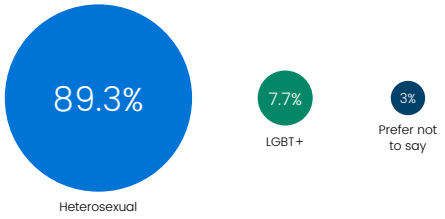
*GDPR rules applied

Age range

Two thirds of the organisation are aged between 31-50.

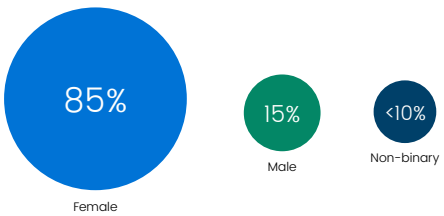


Sexual orientation



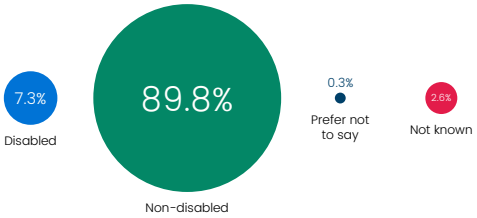
Part-time employees*

10.4% Of the organisation's staff are part-time



*GDPR rules applied

Disabled and long-term conditions



Appendix 4

Statutory responsibilities

Sport England has statutory responsibilities (Public Sector Equality Duties, Gender Pay Gap reporting, Equal Pay Audits, Equality Act and guidance from the Civil Service Commission).

Equality Act 2010

Sport England complies with equality law and implements good practice in all aspects of employment including recruitment, pay, working hours, managing staff and developing policies.
www.equalityhumanrights.com/en/advice-and-guidance/equality-act-guidance#h1

Public Sector Equality Duties

Sport England is a public sector organisation and has Public Sector Equality Duty responsibilities across all our functions giving due regard to:

- eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act
- advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it
- foster good relations between persons who share a relevant protected characteristic and persons who do not share it
- specific Equality Duties are met through the publication of this Diversity and Inclusion Action Plan and through our Annual Report.

Gender Pay Gap Reporting and Equal Pay

Sport England publish details of our approach to reward externally through our Equal Pay Audits and Gender Pay Gap reporting.
www.sportengland.org/corporate-information/equality-and-diversity
Our Equal Pay Audits take place every other year and the Gender Pay Gap Report is reported annually, based on a snapshot of 31st March of the preceding year.

Guidance from the Civil Service Commission

It is a requirement of the Constitutional Reform and Governance Act that selection for recruitment to the Civil Service must be on merit on the basis of fair and open competition https://civilservicecommission.independent.gov.uk/recruitment/

Appendix 5

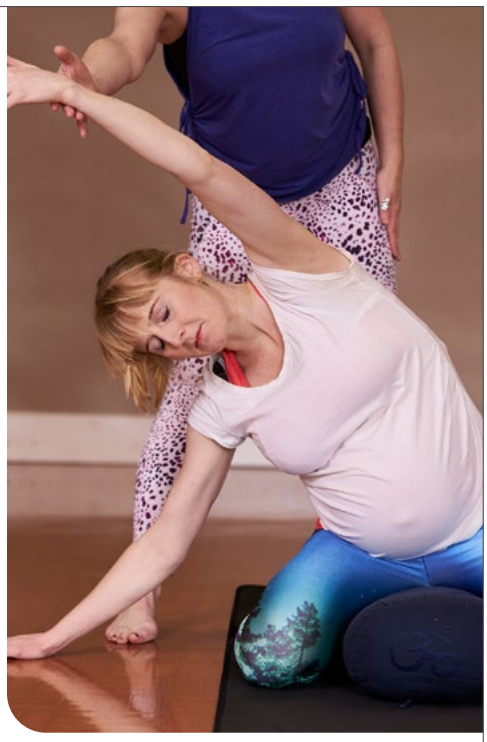
Our Accreditations

BUSINESS IN THE COMMUNITY
The Prince's Responsible Business Network

disability confident EMPLOYER

MINDFUL EMPLOYER

Stonewall DIVERSITY CHAMPION



Sport England
1st Floor
21 Bloomsbury Street
London WC1B 3HF

sportengland.org

July 2021

GUIDANCE DOCUMENT

DIVERSITY ACTION PLAN 2017

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Chapter 1: Introduction
- Purpose
- Objectives

Chapter 2: Diversity and Inclusion
Chapter 3: Completing the Diversity Action Plan
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- Organisation Overview
- Message from the Chair
- Diversity Action Plan (Main Section)
  - Strategic Areas
  - Setting an overall or strategic objective
  - Alignment with Code
  - Breaking it down

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Appendix 2
- Categories and Types of Diversity

Inclusive Boards

Foreword

In its *Sporting Future* strategy, the Government has set out an ambition to ensure that **everyone** can benefit from the power of sport. More needs to be done, not just to get more people taking part, but to harness sport's unique power to change people's lives for the better. Diversity should be at the heart of achieving this aim.

Greater diversity in sport means increasing organisational membership, creating larger talent pools for elite performance, greater social inclusion and improved health and wellbeing. Diversity is not only needed at a participant level, but also within the decision-making bodies of the sports sector. Like all good businesses, greater diversity provides a broader range of opinions to improve decision-making and create a better environment for constructive and open debate.

It has been recognised that sport still has a long way to go to achieve the diversity that will strengthen the sector. While many sporting organisations have made great progress to ensure that they have diverse boards, figures from the 2016 Women in Sport Leadership audit tell us that less than 30% of board members in total across all our funded sports are female and just 26 out of 601 board positions (4%) are filled with representatives from BAME communities. We also know that approximately 6% of board members are disabled, in contrast to statistics which suggest up to 20% of the population have a disability or life limiting illness. It is likely that the LGBTQ+ community is similarly under-represented within sport boards.

In response to the Government's *Sporting Future* strategy, Sport England and UK Sport are now working together to tackle this issue. The *Code for Sports Governance* sets out the levels of governance, transparency, and accountability required from those who receive funding from Sport England and UK Sport from April 2017. It outlines new gold standards in governance, which include increasing diversity within the leadership of sporting organisations.

Sport England and UK Sport understand the need for specific diversity provisions, outlined in Requirements 2.1 to 2.3 of the Code. Implemented together with the broader Code Requirements, these will bring about significant change, creating more open and diverse organisations.

Sport England and UK Sport, through the Diversity Working Group, commissioned Inclusive Boards, to develop a Diversity Action Plan template. This document sets out initial guidance to help funded organisations to think about, and create a first draft of, a diversity action plan. We recognise that more support is needed and we will be developing further tailored and specific support on diversity action plans, and on work around recruitment, engagement and the progression of talent from within, so that organisations develop and implement meaningful Diversity Action Plans that will have a positive long-lasting impact on sport.

Nick Bitel,
Chair,
Sport England

Katherine Grainger,
Chair,
UK Sport

Chapter 1: Introduction

Purpose

In April 2017, Sport England and UK Sport launched a new mandatory Code for Sport Governance ("the Code") for organisations in receipt of government funding for sports projects from either UK Sport or Sport England.

Sport England is the government body responsible for delivering the government's strategy for increasing participation in sport.

UK Sport is the body responsible for investing in Olympic and Paralympic Sport.

Requirements 2.1 to 2.3 of the Code set out provisions concerning diversity which all organisations funded at Tier 3 level (and some organisations funded at Tier 2 level) will need to comply with. These requirements, and their commentary, are reproduced in full in the Appendix to this guidance.

This document provides direction to your organisation about how to use and complete the accompanying template, Diversity Action Plan (DAP). The Diversity Action Plan is a clear plan that enables an organisation to create its own set of actions that will allow it to develop, action and implement a clear and strategic set of activities to support and/or maintain the diversity targets set out in Requirement 2.1 of the Code.

We are aware that some organisations have already put in place action plans around the diversity requirements of the Code. It is not mandatory to use the Diversity Action Plan template that accompanies this document, but we hope it will be helpful for those organisations who have yet to start this process.

Whatever form they take, Diversity Action Plans should be dynamic, iterative documents. It is appreciated that organisations may not be able to plan all the work they need to undertake in this area by 31 October 2017 (the deadline for Code compliance), and that their Diversity Action Plans may accordingly record some areas, particularly long term plans and actions, as work in progress. In such cases, we suggest that the Diversity Action Plan sets this out clearly, and gives some narrative about what will be undertaken by the organisation to formulate fully the issue / action in question.

This guidance document outlines what needs to be done to successfully fill out all sections of the Diversity Action Plan template to the required standard. Access to support from Inclusive Boards is also available.

Objectives

The long term objectives of the Diversity Action Plan process are:

- For each organisation to be able to develop a unique and ambitious Diversity Action Plan
- To ensure the completed plan has clear goals and actions that cover Requirements 2.1 to 2.3 of the Code
- To have clear lines of accountability for the delivery of each section of the Diversity Action Plan
- To have measurable progress for each element of this plan

This guidance will help you start this process and create a first draft of a Diversity Action Plan. Sport England and UK Sport intend to develop further guidance on improving board diversity in due course.

Chapter 2: Diversity and Inclusion

Diversity can be defined as having many people that are different from each other. Whilst there is currently no single definition of Board diversity, it can be understood as making a Board less homogenous by taking into consideration factors like age, ethnicity, gender, disability, sexual orientation, educational background and professional qualifications of the nominated directors and independent non-executive directors. Additional dynamics to take into account can include less tangible factors such as life experience and personal attitudes. The aim of a truly diverse Board is to cultivate a broad spectrum of demographic attributes and characteristics in the Boardroom. Measures to promote heterogeneity in the Boardroom can include having targets and implementing organisation-wide internal policies.

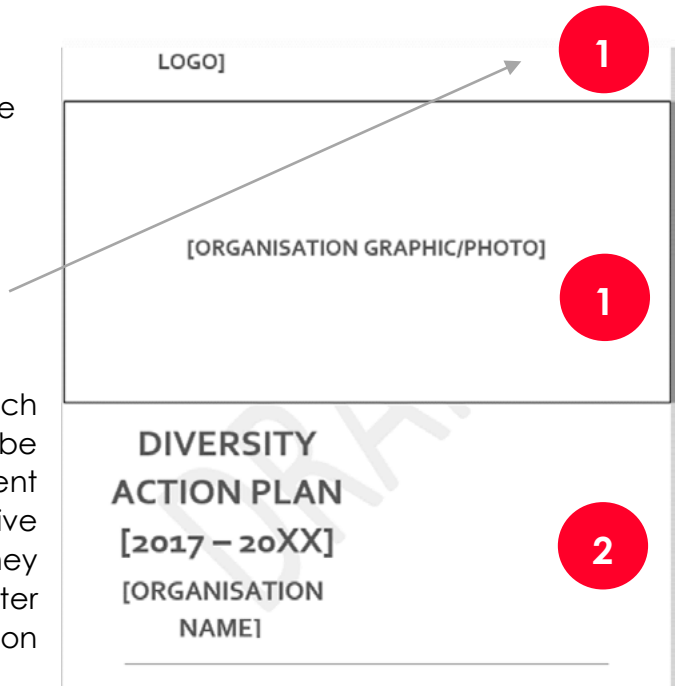
Every Board has a culture whether it is explicitly stated or not and this culture can be expressed in numerous ways including, but not limited to; how meetings are run, the process of recruitment, how members communicate with one another, the level of formality, and how the Board engages with staff, the council, and the community. Inclusivity is a critical component of Board culture which is often condensed to discussions of diversity. Equally important issues that should be noted include; appreciation of how cultural differences can enhance a Board's work and strengthens governance.

UK legislation sets legal requirements with respect to protected characteristics. However, an effective diversity and inclusion strategy builds on legal compliance and seeks to engage with staff, volunteers and membership more holistically. Appendix 2 describes categories and types of diversity, including some characteristics which are not part of the legally defined 'protected characteristics' but which should be taken into account in developing and embedding a diverse board.

Chapter 3: Completing the Diversity Action Plan

Cover Page

The cover page is in a standardised format. However, you should feel free to replace the page with an image/graphic more representative of your organisation/sport.



1. The organisation name and logo should remain prominent on the cover page.

2. It is also advisable to add the year from which the DAP will commence and when it will be next reviewed. Bear in mind that Requirement 2.3 of the Code requires organisations to give an annual update on the information they have published about their work to foster diversity within their leadership and decision making.

The overall author of the plan and the date of completion can also be added if appropriate. There will also be a need to account for a separate accessible version for visually impaired stakeholders or those with different access requirements.

THINGS TO THINK ABOUT

Requirement 2.3 of the Code requires organisations to publish on their websites information (approved by the Board) about their work to foster all aspects of diversity within their leadership and decision-making. You may want to take into consideration your stakeholders and the format that would be a best fit for them. You should also consider how easy the document will be to find on your website.

The Diversity Action Plan template will be made available in both MS Word and MS Excel

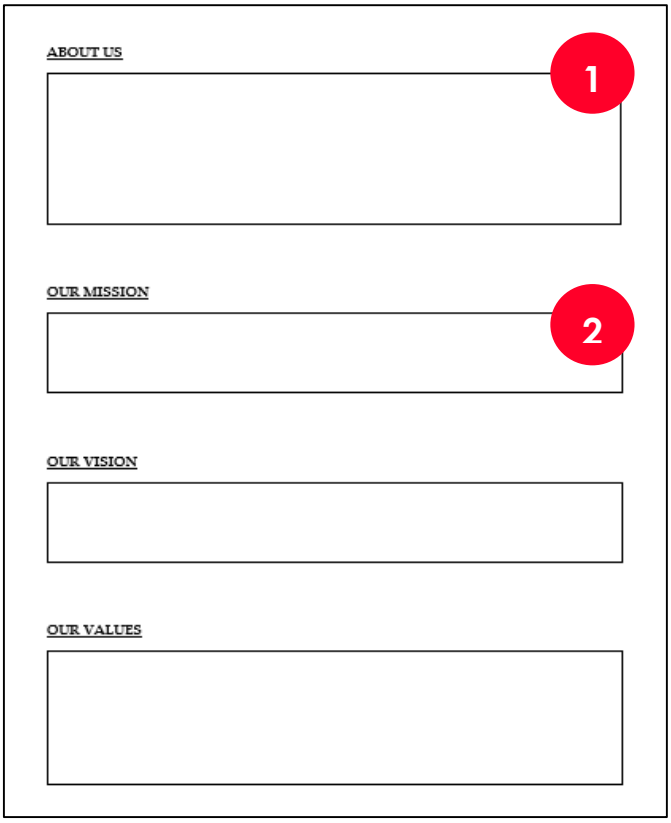
Graphics

It is advisable to customise the front cover as best as possible to suit your needs.

All strategic documents should have the same if not similar branding. Remember, this document will be published on your website. Is it in line with your organisation branding and or brand policy?

Organisation Overview

This section has been included to allow you to add context before designing the core elements of the Diversity Action Plan. Strategic documents are more likely to be successful if they are set within a wider framework. It is therefore important to begin with the bigger picture.



1. **About Us**: This section should be a brief summary of the organisation. Information can include:
- Organisation history (including when it was founded)
- Where the organisation's operational HQ is located
- Geographical reach
- Membership structure (if applicable)
- Cultural statement (f applicable)
- Any positive developments and aspirations that may provide a context to this plan and what level you are currently at on the Equality Standard Framework

2. The next section gives an insight into the organisation's strategic direction

Mission: The core purpose or overall goal of the organisation

Vision: What the organisation hopes to achieve in the future

Values: Commonly held beliefs that guide the perspective of the organisation as well as its actions.

THINGS TO THINK ABOUT

You may already have details for this section within other governance or strategic documents, however this exercise may give you an opportunity to review this information within the context of diversity.

As this might be a public document, you will need to consider:

- Have I provided enough information about our organisation or sport?
- Are the details provided aligned to other documents submitted to UK Sport, Sport England, and the public?
- Will the information help the public understand more about our organisation and what we do?

Message from the Chair

Successful plans need to have buy-in from stakeholders throughout the organisation. Communication from a senior representative, preferably the Chair, will send a clear message that diversity in governance is an important part of future plans for your sport/organisation. It is advisable to attach a signature to the bottom of the message.



1. This section should be a message from the Chair and/or relevant senior figure. Some of the themes this message can cover include:

- An endorsement of the plan
- Commitment to seeing progress
- Celebration of any achievements to date
- A personal connection to this agenda

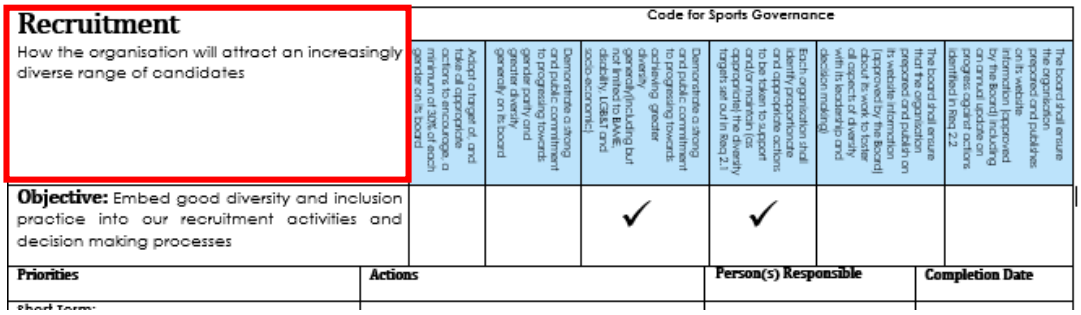
Diversity Action Plan (Main Section)

Strategic Areas:

The core of the Diversity Action Plan is splits into 3 strategic areas. The top left-hand side shows which of the 3 areas each part of the plan is focused on. The three areas are:

- **Recruitment:** This speaks to how the organisation will attract an increasingly diverse range of candidates for its Board.
- **Engagement:** Ensuring that your organisation's commitment to diversity is communicated through internal practices and externally
- **Progressing talent from Within:** This area focuses on developing a strong pipeline of diverse talent, recognising that many sports national governing bodies are membership bodies, some with members in the tens of thousands, and often with subsidiary governance structures (such as committees or regional boards) which can be used to develop the directors of the futures. Activities can include the use of committees, mentoring, and leadership programmes for example.

Strategic areas

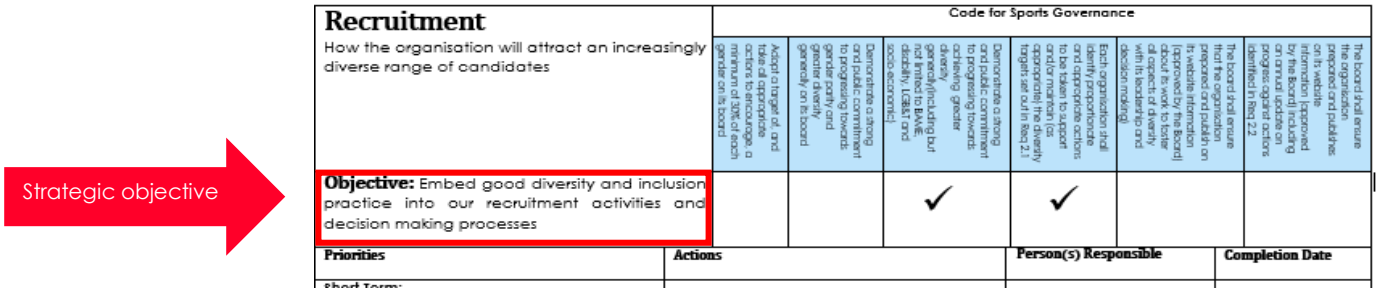


Recruitment How the organisation will attract an increasingly diverse range of candidates	Code for Sports Governance					
	Adopt a target of, and take all appropriate actions to encourage, a minimum of 30% of each gender on its board	Demonstrate a strong and public commitment to progressing towards gender parity and greater diversity generally on its board	Demonstrate a strong and public commitment to progressing towards achieving greater diversity generally(including but not limited to BAME, disability, LGB&T and socio-economic)	Each organisation shall identify proportionate and appropriate actions to be taken to support and/or maintain (as appropriate) the diversity targets set out in Req 2.1	The board shall ensure that the organisation prepared and publish on its website information (approved by the Board) about its work to foster all aspects of diversity with its leadership and decision making)	The board shall ensure the organisation prepared and publishes on its website information (approved by the Board) including an annual update on progress against actions identified in Req 2.2
Objective: Embed good diversity and inclusion practice into our recruitment activities and decision making processes			✓	✓		
Priorities	**Actions**			**Person(s) Responsible**		**Completion Date**
Short Term:						

Setting an overall or strategic objective:

In this section you will need to set an overall objective for the strategic area. It should be outcome focused, and where possible, with a specific time frame

Strategic objective

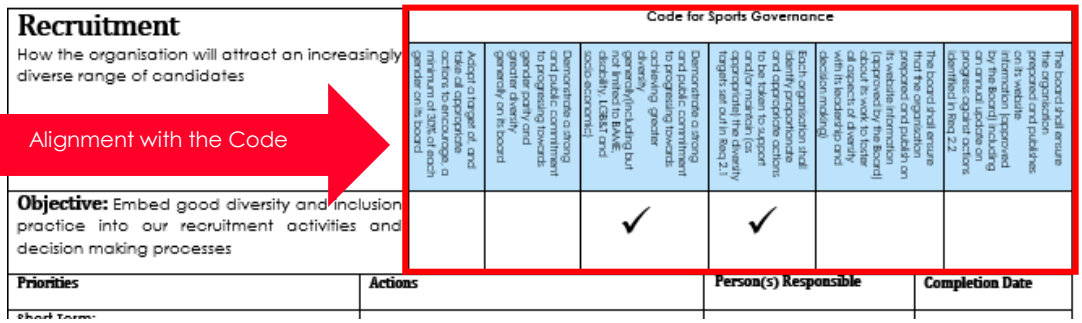


Recruitment How the organisation will attract an increasingly diverse range of candidates	Code for Sports Governance					
	Adopt a target of, and take all appropriate actions to encourage, a minimum of 30% of each gender on its board	Demonstrate a strong and public commitment to progressing towards gender parity and greater diversity generally on its board	Demonstrate a strong and public commitment to progressing towards achieving greater diversity generally(including but not limited to BAME, disability, LGB&T and socio-economic)	Each organisation shall identify proportionate and appropriate actions to be taken to support and/or maintain (as appropriate) the diversity targets set out in Req 2.1	The board shall ensure that the organisation prepared and publish on its website information (approved by the Board) about its work to foster all aspects of diversity with its leadership and decision making)	The board shall ensure the organisation prepared and publishes on its website information (approved by the Board) including an annual update on progress against actions identified in Req 2.2
Objective: Embed good diversity and inclusion practice into our recruitment activities and decision making processes			✓	✓		
Priorities	**Actions**			**Person(s) Responsible**		**Completion Date**
Short Term:						

Alignment with Code:

On the top right you will see a breakdown of Requirements 2.1 to 2.3 of the Code. You will need to tick which of the requirements is being met by the strategic objective. The objective is to have met each of the elements of the requirements at least once by the time the Diversity Action Plan has been completed.

Alignment with the Code



Recruitment How the organisation will attract an increasingly diverse range of candidates	Code for Sports Governance					
	Adopt a target of, and take all appropriate actions to encourage, a minimum of 30% of each gender on its board	Demonstrate a strong and public commitment to progressing towards gender parity and greater diversity generally on its board	Demonstrate a strong and public commitment to progressing towards achieving greater diversity generally(including but not limited to BAME, disability, LGB&T and socio-economic)	Each organisation shall identify proportionate and appropriate actions to be taken to support and/or maintain (as appropriate) the diversity targets set out in Req 2.1	The board shall ensure that the organisation prepared and publish on its website information (approved by the Board) about its work to foster all aspects of diversity with its leadership and decision making)	The board shall ensure the organisation prepared and publishes on its website information (approved by the Board) including an annual update on progress against actions identified in Req 2.2
Objective: Embed good diversity and inclusion practice into our recruitment activities and decision making processes			✓	✓		
Priorities	**Actions**			**Person(s) Responsible**		**Completion Date**
Short Term:						

Breaking it down:

1. **Priorities:** You will need to break down your overall objective into a series of priorities. We would expect 3 to 5 overall priorities spread over the short, medium and long term for each strategic area. There may be a need for more priorities depending on where the organisation is at on its journey. You may find it easier to add extra rows so that each priority is on a separate line.

   - **Short Term:** Within the next 12 to 24 months
   - **Medium Term:** between 24 and 36 months
   - **Long Term:** Within 3 to 5 years

2. **Action:** steps, changes or specific efforts that will be made to reach the priority.

3. **Persons Responsible:** Each priority should have at least one person explicitly responsible for the delivery of the set actions. Whilst completing the DAP, you may find the same person(s) could be responsible for different actions.

4. **Completion Date:** A realistic completion date for each action.

Recruitment How the organisation will attract an increasingly diverse range of candidates	Code for Sports Governance					
	Adopt a target of, and take all appropriate actions to encourage, a minimum of 30% of each gender on its board	Demonstrate a strong and public commitment to progressing towards gender parity and greater diversity generally on its board	Demonstrate a strong and public commitment to progressing towards achieving greater diversity generally(including but not limited to BAME, disability, LGBT and socio-economic)	Each organisation shall identify proportionate and appropriate actions to be taken to support and/or maintain (as appropriate) the diversity targets set out in Req 2.1	The board shall ensure that the organisation prepared and publish on its website information (approved by the Board) about its work to foster all aspects of diversity with its leadership and decision making)	The board shall ensure the organisation prepared and publishes on its website information (approved by the Board) including an annual update on progress against actions identified in Req 2.2
Objective: Embed good diversity and inclusion practice into our recruitment activities and decision making processes			✓	✓		

Priorities	**Actions**	**Person(s) Responsible**	**Completion Date**
1 **rm:** and formulate existing equality and y recruitment policies Create Board approved recruitment policies for nominated and independent non-executive directors. Implement and communicate externally and internally Develop a checklist for recruiting consultants to measure against to ensure they will support diversity requirements	2	3	4
Medium Term: Use equality and diversity data to inform Board recruitment Recruit and retain excellent and diverse Board members			

Chapter 4: Key Questions

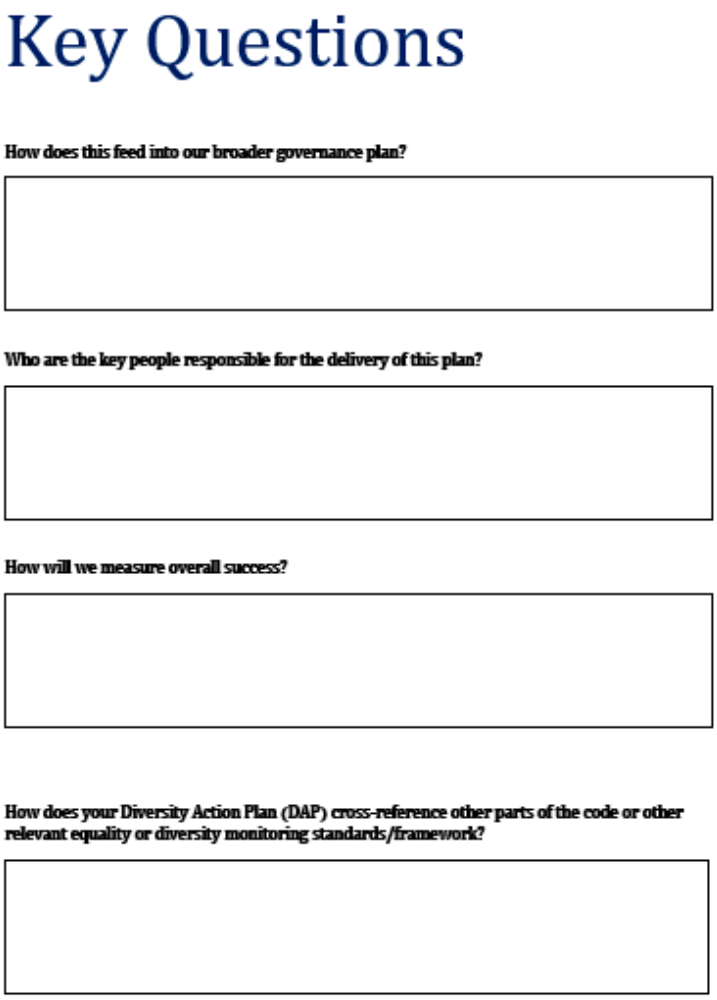
We have added 4 key questions at the end of the document we feel will be important to answer. These will help to bring the whole document together and fill any gaps that may still be outstanding following the development of the strategic areas.

Question 1: This plan will be assigned alongside the wider governance strategy and therefore it will be important to explicitly and briefly make the link

Question 2: For this plan to be successful there is a need to once again identify the overall person or people responsible for ensuring it is a document that is actioned.

Question 3: It is very important to have SMART (**S**pecific **M**easurable, **A**ctionable, **R**ealistic & **T**ime bound) goals in place that can be reviewed in order to measure distance travelled.

Question 4: The Diversity Action Plan (DAP) should not be completed in isolation but must be linked to other parts of the Code and equality standard framework. This is an opportunity to reflect on how you have liked other parts of the Code to the completed DAP.



Key Questions

How does this feed into our broader governance plan?

Who are the key people responsible for the delivery of this plan?

How will we measure overall success?

How does your Diversity Action Plan (DAP) cross-reference other parts of the code or other relevant equality or diversity monitoring standards/framework?

Appendix 1

Requirements 2.1 to 2.3 of A Code for Sports Governance

Principle 2: People

Organisations shall recruit and engage people with appropriate diversity, independence, skills, experience and knowledge to take effective decisions that further the organisation's goals.

Why is this important?

Diverse, skilled and experienced decision making bodies which contain independent voice and engage in constructive, open debate enable good decision-making.

Diversity (Requirements 2.1–2.3)

2.1 Each organisation shall:

(A) Adopt a target of, and take all appropriate actions to encourage, a minimum of 30% of each gender on its Board; and

(B) Demonstrate a strong and public commitment to progressing towards achieving gender parity and greater diversity generally on its Board, including, but not limited to, Black, Asian, minority ethnic (BAME) diversity, and disability.

2.2 Each organisation shall identify proportionate and appropriate actions to be taken to support and/or maintain (as appropriate) the diversity targets set out in Requirement 2.1.

2.3 The Board shall ensure that the organisation prepares and publishes on its website information (approved by the Board) about its work to foster all aspects of diversity within its leadership and decision making, including an annual update on progress against the actions identified in Requirement 2.2

Commentary on Requirements 2.1 to 2.3

It is recognised that decision-making is improved when a Board is able to draw on, and harness, a diverse range of opinions. An overwhelming majority of those who responded to the online consultation on this Code agreed that Boards should demonstrate how they attract a diverse range of candidates and also recognised a need to increase diversity within their organisation.

Gender is an important aspect of diversity and an organisation will be expected to work towards achieving at least 30% of each gender on its Board, while also demonstrating publicly its commitment to achieving gender parity and greater diversity generally on its Board. It should demonstrate the actions it is taking to meet these targets.

If 30% is not a whole number, then this should normally be rounded up for the purposes of calculating the required number of male/female directors (unless otherwise agreed with UK Sport/Sport England).

The targets referred to in Requirement 2.1 are explicitly targets, and not fixed quotas. The obligation on funded organisations is to demonstrably commit to working towards achieving them, and to take all appropriate actions in order to do so. Nevertheless, in order to drive real change in the sector (in accordance with the feedback received in the consultation) UK Sport and Sport England expect this commitment and the actions taken to be meaningful.

Requirement 2.1(B) references Black, Asian, and minority ethnic and disability diversity expressly within the context of greater diversity generally. Data from the sector shows that representation from these groups on Boards remains low and that organisations need to do more to increase it, and to be able to demonstrate the actions they are taking to do so.

It is also important to think about what 'greater diversity' means. Here the Code is referring not only to the protected characteristics of the Equality Act 2010 (which are gender, age, disability, gender reassignment, race, sexual orientation, religion or belief, marriage and civil partnership and pregnancy and maternity) but also socio-economic background and diversity of thought. Organisations should seek to recruit to their Boards people who think in different ways as well as those who have different backgrounds. For example, organisations may wish to consider the possibility of addressing the diversity of formal structures other than the Board, in order to build internal capacity for succession planning.

In order to drive greater diversity, funded organisations need to consider their practices in both Board recruitment and capacity building. Attention is drawn to the Requirement in the Government's sports strategy, Sporting Future, for 'public bodies in receipt of public funding to use tools such as Women in Sport's Checklist for Change to make changes within their organisation to improve diversity in leadership at all levels'.

Any member or related organisation or body (e.g. a Council) which has the right to appoint directors of the funded organisation should do so in a way that encourages a diverse range of candidates, e.g. by use of a structured process which allows for the consideration of candidates from a range of backgrounds. Where diversity is being driven exclusively or primarily from independent, non-executive directors, Sport England/UK Sport may wish to challenge whether organisations really are taking all appropriate actions to drive diversity.

It will be for an organisation to decide how it identifies and agrees the actions that should be taken to support and/or maintain the diversity targets set out in Requirement 2.1. However, the Board should have a role in this process and should monitor progress against the actions, in particular discussing the annual progress update and the plan for the following year before this information is published.

UK Sport/Sport England will be giving further consideration to how they can support organisations to meet these diversity Requirements.

Requirements 2.1 to 2.3 do not override or replace any obligations placed on funded organisations by the terms of the funding agreements of Sport England and UK Sport regarding equality, e.g. to comply with the Equality Standard, a Framework for Sport (published by UK Sport, Sport England and the other Home Nations Sports Councils).

Appendix 2

Categories and Types of Diversity

Category	Type of Diversity
Protected Characteristics	Race/Ethnicity Gender/ Gender Reassignment Age Religion Disability Sexual Orientation Marriage and civil partnership Pregnancy and Maternity
Differences in knowledge and skills	Education Functional Knowledge Information or expertise Training Experience Abilities
Differences in Values or Beliefs	Cultural Background Ideological or Religious beliefs Cognitive style
Personality Differences	Motivational factors
Organisational/community status differences	Tenure or length of service Title (work function, seniority, discipline, etc)
Differences in social and network ties	Socio-Economic Background Work-related ties Friendship ties Community ties In-group memberships
Adapted from: Mannix and Neale, 2005	

Inclusive Boards

Inclusive Boards is an agency set up specifically to support organisations in efforts to develop more diverse Boards and stronger governance structures. We have been working closely with UK Sport and Sport England to put together what we believe is a document that embodies the mandatory requirements of the Code for Sports Governance. The Diversity Action Plan (DAP) template takes a complete overview of all the items you will be submitting to UK Sport and Sport England; showing the interdependency of all the requirements of the Code and the Equality Standard Framework where applicable.

We are here to offer strategic support as you complete the DAP. We recognise that no two sports organisations are the same, and our job is to help you to create a plan that is unique to your organisation. The DAP is an easy to use template that integrates milestones and encourages best practice in the short, medium, and long term. Within the core elements of the DAP you will find 3 strategic areas: Recruitment, Engagement, and Progressing Talent from Within. We believe these areas can also be viewed in chronological order to some extent, with the most immediate need being to review your recruitment practices. You are then expected to review how you are engaging with the topic of diversity in governance (both internally and externally), before ensuring a legacy of progressing talent from within

This guidance document has a lot of direction that encourages critical thought and commitment to achieving objectives. The document is intended to be used as a guide without prescribing actions. We have also shown where you can customise the DAP to fit your journey and priorities. We would encourage you to get in contact should you have any questions or need support on any specific areas.

We are very proud to have been given the opportunity to work with sports organisations at what is a significant moment for sport in England. We believe that the world of sport will take note of this collective commitment and hopefully borrow from the good work that comes as a result.

APPENDIX 33

Documents to consider including in Governance Section of County FA Website

Non-Policy documents

- Articles of Association
- Standing Orders
- Board terms of reference
- Schedule of reserved matters
- Corporate Governance structure (Board, Council, Standing Committees)
- Governance Statement
- Full Annual Directors Report and Accounts (Financial Statements)
- Annual Report
- Equality Policy
- Equality and Diversity Action Plan
- Board Biographies and designation (Nominated by, Independent etc.)
- Board Declarations of Interest
- Board Handbook
- Board Summary Minutes
- Committee Membership
- Committee Terms of Reference
- Committee Summary Minutes
- List of committee members
- Organogram
- List of staff and contact details*
- Business Strategy
- Board Code of Conduct
- Chairman, Director, Senior Independent Director and CEO role description

Board Policies

- Board Expenses Policy
- Board Remuneration Policy
- Board Induction Policy and Procedures
- Board and Committee Evaluation Policy and Procedures
- Board Training Policy
- Board Stakeholder Engagement Policy
- Board Recruitment Policy and Procedure
- Complaints procedure
- Gifts and Hospitality Register
- Internet, Email and Social Media Policy
- Equality Policy
- Conflicts of Interest Policy
- Financial Procedures
- Grievance Policy
- Risk Assessment Form
- Policy for Safeguarding Children, Young People and Adults at Risk
- Data Protection Policy
- Anti-Fraud and Anti-Corruption Policy
- Health and Safety Policy
- Risk Management Policy
- Bribery Prevention, Gifts and Hospitality Policy
- Information Technology Policy
- Whistleblowing Policy
- Customer Charter
- Human Resources Policy

* Where staff do not wish to have their details made public, there should be the option to withhold.

APPENDIX 34

County FA Generic Board Director Role Profile – Template

Role Title	Board Director
Reports to	Chair of the Board of Directors

Role Purpose
Collectively, the Board of Directors of *[ ]* Ltd are required to direct the business affairs of the Association and to determine the vision and strategy, plans, policies and financial investment required to achieve the Association's aims. As such, individually and collectively, the Directors are accountable to the Membership.

Location	Include office address and other options or requirements such as homeworking or additional travel to other locations or overnight stays.
Estimated time commitment to fulfil the role	Keep this as flexible as possible to maximise inclusivity. The post requires a commitment to attend *[ ]* Board meetings a year. Meetings are normally held on ***[day/date]*** at ***[where]*** and normally last in the region of *[ ]* hours.
Remuneration or Expenses	Please indicate whether any remuneration is attached to this role. If so a contract for service will be required. County FA Expenses will be paid in line with the current Expense Policy of ***[insert County FA name]***. Travel and accommodation to FA events where The FA has agreed to reimburse County FA Expenses will be paid in line with the current County FA Expense Policy issued by The FA.

Responsibilities
• Serve as a Director of the Company and to actively participate in its strategic management. • Execute the responsibilities of a Company Director in accordance with the Companies Act (2006) and other relevant legislation. • Safeguard the interests of the Membership and stakeholders of the Association. • Establish clear objectives to deliver the agreed strategy and business plan and regularly review performance against those objectives. • Ensure the effective implementation of Board decisions by the CEO and staff, holding the CEO to account for the effective management and delivery of the Association's strategic aims and objectives. • Set challenging objectives for continuously improved performance. • Oversee the management of risk to the Association, including matters of Health and Safety. • Develop and maintain an effective corporate governance structure.

- Monitor the financial affairs of the Association through reports provided by the Finance Director and to ensure the effective use of financial and other resources.
- Contribute to constructive debate on all Board matters.
- Promote equality of opportunity throughout the Association.
- Fully participate in Board induction, training or development and performance monitoring.
- Perform other responsibilities as assigned by the Board.

Person Specification	
Qualifications	
Essential Adapt this section according to the Board skills matrix to meet the needs required for the Board to function effectively. Consider: • Academic level of qualification required – is an academic level essential? • Professional level of qualification required – is there a relevant qualification – is it a must have or only desirable?	**Desirable**
Skills	
Essential • Strategic leadership and management skills. The ability to develop and monitor organisational strategy. • Decision-making skills. The appropriate use of knowledge and experience to make informed decisions to the benefit of the organisation. • The ability to debate, discuss and challenge in a constructive manner. • Excellent interpersonal skills. The ability to form strong, productive relationships both internally and externally to the benefit of the Association. • An ability to understand financial accounts, management accounts and budgeting. • Access to and ability to use, email and the internet.	**Desirable**

Knowledge	
Essential • A sound understanding of the volunteer/ professional relationship and how this can best work to support the work of the Association. • An understanding of and a commitment to equality in action. • Thorough knowledge and understanding of the Safeguarding Requirements for the Association. Knowledge, understanding and interest in grassroots sport, particularly football, and other related activities.	**Desirable** • An understanding of The FA Grassroots Football Strategy and how this affects the work of the County Football Associations.
Enhanced DBS Check required?	YES/NO *[delete as applicable]*
Check Companies House Disqualified Directors' Register?	YES
Clean full driving licence?	YES/NO *[delete as applicable]*

The Role Holder will be expected to understand and work in accordance with the values and behaviours described below **The values below are those of The FA. If the County FA has a variation of these values, they should be inserted below.**	
FA Value	**Behaviours**
PROGRESSIVE	**Embraces new thinking in pursuit of continuous improvement** • Identifies the need for, and actions change in direction, practice, policy or procedure. • Questions the way things are done and takes informed risks. • Continuously seeks to improve efficiency and performance.
RESPECTFUL	**Sets the standards for respectful behaviour across the game** • Maintains people's self-esteem when interacting with them. • Avoids pre-judgement when listening to suggestions from others. • Seizes the opportunity to apply FA standards at all times.
INCLUSIVE	**Champions and ensures that football is, and will remain, a game for everyone** • Openly collaborates with colleagues and partners in the game. • Provides equal opportunity to people of different backgrounds, experience and perspective. • Seeks out and embraces new ways of thinking and working.

DETERMINED	**Tenacious and accountable. Serving the whole game and doing the right thing** • Works relentlessly to overcome roadblocks or obstacles to achieve the goal. • Remains focused on seeing agreed goals through to completion taking pride in their work. • Maintains motivation for their team and themselves.
EXCELLENT	**The very best outcome achieved by sustained excellence in performance** • Seeks to achieve the highest levels of performance at all times. • Can be persistent to achieve a standard that others consider impossible. • Challenges others to go further and achieve more.

Role Profile agreed by the Board of *[insert County FA name]* and signed on behalf of the Board by the Chairperson:	**Name**	**Signature**
Date Role Profile agreed by the Board:	*[insert date]*	
Role Profile signed by role holder:	**Name**	**Signature**
Date Role Profile signed by role holder:	*[insert date]*	

APPENDIX 35

County FA Director Application Pack

The purpose of this document is to assist with the writing of a County FA and role specific application pack to provide potential applicants for Board positions with thorough and transparent information about the role they intend to apply for, the organisation and the application process.

Contents

1. The Role
2. About *[insert County FA name]*
3. Volunteering as a Board Director
4. Role Description
5. How to apply
6. Selection Process

1. The Role

Include a short narrative piece (approximately 200 words) in this section which 'sells' the role, explains what the County is looking for and what the role involves in a broad sense. There is no need to go into detail here as this will be included in the Role Description. You should also include here what you have to offer.

Ensure that the description of the role is gender-neutral (i.e. Chair or Chairperson rather than Chairman).

Example:

[ ] County FA is inviting applications to join the Board of Directors at *[insert name]*. We are looking for individuals with skills and experience in *[insert – e.g. finance, commercial development]* who have a passion for developing grassroots football in *[County]*.

Include a short piece outlining your current vision for the County and current priorities.

e.g. These are exciting times for County FA as we have recently opened/achieved x and we are planning to do x in the next 12 months. The successful candidate for this role will be instrumental in helping the County to deliver this.

This is a volunteer role in which you will be expected to attend Board meetings x times per year and to collaborate with Board Directors and other stakeholders in the strategic development of the organisation.

You will be accountable for *[insert brief description here]*.

What can we offer?[1]

- An exciting opportunity to be part of a forward-thinking progressing business.
- To work with key stakeholders within grassroots and the professional game.
- Access and commitment to personal development and training opportunities.

2. About *[insert County FA name]*

Include a short piece (approximately 2 paragraphs) outlining what the County FA is and its purpose.

3. Volunteering as a Board Director

This section could include:

- a succinct explanation of the Board's overall remit within the County.
- a link to sources of more detailed information about the Board's work on your website.
- practical information about what, where and when the role holder will be volunteering and who they will be working with.
- You could include a narrative description of what the experience of being a Board Director at your County FA is like. This could be personalised by including an actual description and photos or a short video by a Board member explaining what a typical month involves.

Include information such as the following:

- Board meetings are usually held at *[location]*.
- For more information about our Board and Staff please visit our website *[insert link]*.
- Current County FA Expenses Policy.

[1] Manchester FA: Independent Chair of Inclusion Advisory Board – Recruitment Pack (2017)

4. Role Description

Use the Role Description template provided to build the Role required by your Board. Standard templates for typical Board roles are provided but these can be customised if required.

5. How to apply

Provide clear instructions on how to apply here.

6. Selection Process

Explain what the application process will include. Below is an example.

- Complete the application form here and submit to ***[insert address]*** no later than 5pm on ***[date]***. Please note that no applications will be accepted after this time.
- Provide the Equality and Diversity Monitoring Form and invite the applicant to complete this and return it to you on a voluntary basis.
- Shortlisted applicants will be contacted by ***[date]*** to arrange a mutually convenient interview time.
- Interviews will be held on ***[date]*** and ***[date]***. Try to be accommodating with interview dates where possible as restricting dates may narrow the pool of candidates or deter applicants.
- If required, second interviews may be held in order to determine the most suitable candidate for the role.

Board Director Application Form – Template

Completing and returning the Application Form

Please complete the Application Form and return to ***[insert name, position]*** by email at ***[insert email]*** by ***[insert time]*** on ***[insert date]***. Applications received after this time will only be considered in exceptional circumstances.

The decision to progress your application to the next stage of the selection process will be based only on the information you provide on this form.

Position applied for:

Personal details

First Name(s)			
Last Name			
Preferred title		**Pronoun**	
Postal address			
Postcode			
Email address			
What is your preferred contact method? (phone, email, text other)			
What is the best number to contact you on?			
What is the most convenient day and time to contact you?			
Do you have an in-date FA DBS Check?			

If you do not hold an in-date DBS Check there may be a requirement (dependent on the role) for this to be completed before appointment.

Employment and volunteering history

Starting with your present or most recent job or voluntary position, please complete the table below.

Start date	End date	Employer/ organisation name and address	Job/role title	Brief Description of duties

Please insert additional rows in the table above if required

Education and qualifications

Please provide details of your education and qualifications achieved which are relevant to the role in the table below (please note that you may be asked to provide evidence of any qualifications achieved which are directly relevant to this role).

For GCSEs or equivalent there is no need to include each subject on a separate line (see example below).

Dates	School/College/University/ Training Provider Name	Qualification and subject	Grade achieved
e.g. 1991	*e.g. High School Name*	*e.g. 6 GCSEs including Maths and English*	*e.g. 4 x As and 2 x Bs*

Please insert additional rows in the table above if required

How do you meet the requirements of the role as outlined in the Role Description?

Please outline your skills, knowledge and experience which are relevant to the role you are applying for, including examples from either paid or unpaid/voluntary work. You can format this as bullet points but please ensure that you directly reference the skills and knowledge outlined in the Role Description.

How do you demonstrate the values of *[insert County FA name]*?

*The way we work at **[insert CFA name]** is built on the values outlined in the Role Description.*
Please provide examples of how you have demonstrated these values in your work or everyday life.

Accessibility

[Insert CFA name] is committed to ensuring that all applicants can access the application and selection process for this role. Please details in the box below any adjustments you will require to be made to the selection process (including interviews) should your application be progressed to the next stage.

References

Any offer of a role will be subject to receipt of two satisfactory references. Please provide the details of two referees. Your first referee must be your current or most recent employer. Your second referee should be a different employer, representative of an organisation in which you volunteer or have volunteered or a representative of an educational establishment. Personal references should only be given where there is no previous employer, voluntary organisation or educational establishment to which reference can be made.

	First Referee	Second Referee
Name		
Email address		
Telephone		
Postal address		
Relationship to you		
Permission to contact prior to appointment if offered a position? (yes/no)		

Declaration

I give my consent to the storage of personal data contained within this form for the purposes only of this application process.

I can confirm and declare that the information provided on the form, to the best of my knowledge is complete, accurate and not misleading.

Signature	
Date	

APPENDIX 36

Director Appointment Letter – Template

To be sent on receipt of signed statement of good character, satisfactory DBS Check and references.

[County FA name and address]

[Insert recipient name and full address/postcode]

[Insert date of sending]

Confirmation of appointment for the post of *[insert role title]* at *[insert County FA name]*

Dear ***[name]***,

I write to confirm your appointment as Director of ***[insert County FA name]*** with effect from ***[date]***. Subject to the relevant Articles, you shall serve for a maximum of three terms of three years.

At the expiry of your first term in ***[ ]*** and subject to Board approval and your continued eligibility, you shall be eligible for reappointment for a further three-year term if you offer yourself for reappointment on or before 1 January ***[ ]***. If reappointed, at the expiry of your second term in ***[ ]*** and subject to Board approval and your continued eligibility, you shall be eligible for reappointment for a further three-year term if you offer yourself for reappointment on or before 1 January ***[ ]***.

I have set out below a number of matters which should be brought to your attention.

1. During the period of your appointment, you will be obliged to comply with the ***[County FA name]*** Code of Conduct, a copy of which is enclosed. Please let me know if you require any clarification on any of the provisions of the Code. Could you please sign and return this to me.
2. One of the provisions of the Code of Conduct is a requirement to declare any actual or perceived interest(s) which will or may come into conflict with those of ***[County FA name]***. ***[County FA name]*** has an annual declaration of interests process but you should notify me of any relevant interest(s) as and when they arise. Could you please complete and return the enclosed declaration of interests form.
3. You shall exercise such powers and perform such duties as are appropriate to your role as a Director of ***[County FA name]*** as specified within the Articles and the Companies Act 2006.
4. You will be expected to devote such time as is necessary for the proper performance of your duties as a Director. ***[County FA name]*** holds ***[ ]*** Board meetings per season which usually commence at ***[time]*** at ***[location address]***.
   Additional meetings may be held if circumstances require and you should make every effort to attend. A copy of the agenda and reports for Board meetings will be sent to you approximately 7 days before the meeting. The schedule of meetings for the current year is: ***[insert details of meetings]***
5. ***[County FA name]*** has taken out Directors' and officers' liability insurance which will provide cover in respect of certain liabilities which may arise from your role as a Director. In addition, ***[County FA name]*** provides an indemnity to its Directors to the extent permitted by law.
6. You may be required to serve on one or more committees of the Board. You will be provided with the relevant terms of reference on your appointment to such a committee.
7. ***[County FA name]*** maintains a profile of the collective skills, knowledge and experience of its Directors. Could you please complete and return the enclosed skills matrix questionnaire.
8. An induction session will be arranged at ***[County FA location]***. This will provide the opportunity for you to meet with the members of Board and staff of ***[County FA name]*** who will provide an overview of the business. I will contact you to discuss the proposed induction to make sure that it is tailored towards your particular requirements.

If you are willing to accept these terms of appointment, please confirm your acceptance by signing and returning to me the enclosed copy of this letter. All documents can be returned by post to:

[Name and address]

Alternatively, scanned versions may be e-mailed to ***[email address]***.

By signing this letter you consent to ***[County FA name]*** holding and processing information about you for legal, personnel, administrative and management purposes and in particular to the processing of any sensitive personal data (as defined in the Data Protection Act 1998).

Yours sincerely,

[Name]

Company Secretary

For and on behalf of ***[County FA name]***

Enclosures:

- The ***[ ]*** Annual Report and Financial Statements;
- Board minutes from the previous 3 meetings;
- Declarations of interest form – please complete and return;
- Code of Conduct – please sign and return;
- Skills Matrix Questionnaire – please complete and return.

I confirm and agree to the terms of my appointment as a Director of ***[County FA name]*** as set out in this letter.

.....

Name

.....

Signature

APPENDIX 37

Equality and Diversity Monitoring Form

[insert County FA name] aims to promotes equality, diversity and inclusion across the organisation in alignment to the Equality Act 2010. Your assistance in helping the County FA understand its demographics is important. However the information you supply is on a voluntary basis only and any data supplied will only be used anonymously for the purposes of ensuring equality of opportunity. The data you supply is not linked to any recruitment processes.

Gender (*Please tick the appropriate box)*

Man	Woman	Intersex	Non-binary	Prefer not to say
☐	☐	☐	☐	☐

If you prefer to use your own term, please specify here .....

Are you married or in a civil partnership? (*Please tick the appropriate box)*

Yes ☐ No ☐ Prefer not to say ☐

Age (*Please tick the appropriate box)*

16-24	25-29	30-34	35-39	40-44	45-49
☐	☐	☐	☐	☐	☐

50-54	55-59	60-64	65+	Prefer not to say
☐	☐	☐	☐	☐

What is your ethnicity?

Ethnic origin is not about nationality, place of birth or citizenship. It is about the group to which you perceive you belong. Please tick the appropriate box

White

English ☐ Welsh ☐ Scottish ☐ Northern Irish ☐ Irish ☐

British ☐ Gypsy or Irish Traveller ☐ Prefer not to say ☐

Any other white background, please write in.....

Mixed/multiple ethnic groups

White and Black Caribbean ☐ White and Black African ☐ White and Asian ☐

Prefer not to say ☐

Any other mixed background, please write in.....

Asian/Asian British

Indian ☐ Pakistani ☐ Bangladeshi ☐ Chinese ☐ Prefer not to say ☐

Any other Asian background, please write in.....

Black/African/Caribbean/Black British

African ☐ Caribbean ☐ Prefer not to say ☐

Any other Black/African/Caribbean background, please write in.....

Other ethnic group

Arab ☐ Prefer not to say ☐

Any other ethnic group, please write in.....

Do you consider yourself to have a disability or health condition? (*Please tick the appropriate box)*

Yes ☐ No ☐ Prefer not to say ☐

What is the effect or impact of your disability or health condition on your ability to give your best at work?

Please write in here.....

The information in this form is for monitoring purposes only. If you believe you need a 'reasonable adjustment', then please discuss this with your manager, or the manager running the recruitment process if you are a job applicant.

What is your sexual orientation? (*Please tick the appropriate box)*

Heterosexual ☐ Gay ☐ Lesbian ☐ Bisexual ☐ Prefer not to say ☐

If you prefer to use your own term, please specify here.....

What is your religion or belief? (*Please tick the appropriate box)*

No religion or belief ☐ Buddhist ☐ Christian ☐ Hindu ☐ Jewish ☐

Muslim ☐ Sikh ☐ Prefer not to say ☐

If other religion or belief, please write in.....

What is your current working pattern? (*Please tick the appropriate box)*

Full-time ☐ Part-time ☐ Prefer not to say ☐

What is your flexible working arrangement? (*Please tick the appropriate box)*

None ☐ Flexi-time ☐ Staggered hours ☐ Term-time hours ☐

Annualised hours ☐ Job-share ☐ Flexible shifts ☐ Compressed hours ☐

Homeworking ☐ Prefer not to say ☐

If other, please write in .....

Do you have caring responsibilities? (*Please tick all that apply)*

None ☐

Primary carer of a child/ children (under 18) ☐

Primary carer of disabled child/children ☐

Primary carer of disabled adult (18 and over) ☐

Primary carer of older person ☐

Secondary carer (another person carries out the main caring role) ☐

Prefer not to say ☐

APPENDIX 38

Example of Article for County FAs to Co-opt Directors

The FA has been approached by a number of County FAs which have been considering how they could complement the skill set of their current Board Directors with specific areas of expertise which may not be available within their Council membership. One such mechanism is to enable a Board to co-opt Directors. Some County FAs already provide for this within their Articles. Where this is not the case, a generic Article has been drafted which will enable a County FA to co-opt additional Directors onto the Board to meet any identified gap in skills, knowledge or experience. This is:

"Directors may co-opt, by a majority vote, additional Directors for specific areas of expertise. A co-opted Director may participate fully in and vote at all Board meetings at which he or she is in attendance. Directors co-opted onto the Board pursuant to this article may also be removed by a majority vote of the Directors."

As with all proposed changes to the Articles, County FAs are advised to seek guidance from an appointed solicitor to ensure that this generic Article works in a local context or is varied as may be appropriate.

APPENDIX 39

County FA Succession Planning Guidance

Requirement 2.7 of the Code of Governance (see **page 62**) states that the Board shall have in place succession plans for orderly appointments to the Board and to key positions within senior management.

This template is designed to record the County FA succession plan for the Board, CEO and key senior management posts.

BOARD DIRECTORS AND CEO

1. Dates of terms of Board Directors

The table below sets out the terms of each Director on the Board of *[insert County FA name]*

Director Name	Type (Chair, Nominee, Independent)	Appointed date	End of term date	Current term

2. Timing of expected vacancies and skills gaps

The table below is intended to assist the Nomination and Appointment Committee (or Board) to identify in good time where vacancies arise and to note potential skills gaps that will result informed by the skills audit process.

When the term of an individual with key knowledge about the County FA is due to come to an end, a plan should be put in place for information sharing and handover.

The table may also be of use if there is an unforeseen change to the Board.

Board member	Date vacancy will arise	Date for recruitment and handover planning to begin	Possible reappointment or extension? (Y/N) Add comments	Potential skills gaps arising from exit	Committee roles held

3. Emergency action plan for departure of Chair or CEO (or extended absence)

The table below provides examples of the actions which may be included in a typical process which can be edited as required.

Immediate Action	Responsibility	Timescale
Agree on who will be the spokesperson for the County FA and liaison with The FA	Chair for CEO; Board for Chair	Week 1
Agree a communication plan for key funders and stakeholders, including staff and contractors	Board (supported by CEO and senior management)	Week 1
Identify interim cover for the Chair or CEO with support from the Senior Regional Manager	Board	Week 2/3
Define the interim Chair or CEO's responsibilities authority and decision-making limitations	Board	Week 2/3
Identify Board support for and supervision of the interim Chair or CEO	Board	Week 2/3
Start recruitment process (where applicable) for new Chair or CEO	Board	Week 2/3
Confirm whether the Chair or CEO will return to their post	Board	Week 4

4. Emergency action plan for departure (or extended absence) of a Director with specific responsibility which risks the Board breaching the provisions of the Articles (e.g. number of Nominated Directors).

The table below provides examples of the actions which may be included in a typical process which can be edited as required.

Immediate Action	Responsibility	Timescale
Agree on the legal position in relation to articles of Association or Terms of Reference	Chair with legal advice	Week 1
Agree a communication plan for key funders and stakeholders, including staff and contractors	Board (supported by CEO and senior management)	Week 1
Identify interim cover	Board	Week 2/3
Define the interim Director's responsibilities authority and decision-making limitations	Board	Week 2/3
Identify Board support for and supervision of the interim Director	Board	Week 2/3

Immediate Action	Responsibility	Timescale
Start recruitment process (where applicable) for new Board Director	Board	Week 2/3
Communicate plan more widely	Board	Week 4

5. Development priorities of the Board based on succession needs

Edit the table as required with reference to the Board Skills Matrix

Area of expertise	Date when skills gap may arise due to departure of Board Director	Agreed action
Code of Governance		Induction training for new Directors
Board Safeguarding Champion Role		FA training course
HR		Recruit an addition Board Director

SENIOR MANAGEMENT

In addition to Succession planning for the Board and CEO, it is a requirement of the Code of Governance that succession plans are in place for key posts within the senior management. Unlike Board Directors the timing can be less predictable.

6. Senior Management

The table below can be used to identify potential risks should key posts become vacant and plan to mitigate those risks through development planning via the PDR process.

Post	Current postholder	Potential successor(s) who currently possess the relevant skills and knowledge	Potential skills gap(s) arising from exit of current post holder	Plan to mitigate (including training and development of other staff members)

7. Budget Commitment

The following budget was been allocated for succession planning, including recruitment costs and training.

(In addition to training costs, this may include advertising and interview panel expenses)

8. Approval and Review

This succession plan has been considered and approved by the Board of ***[insert County FA name]***.

Signed by the Chair

Signature		**Name**	
Position		**Date**	

Date for next review

APPENDIX 40

Director's Declaration of Good Character

Introduction

Requirement 2.10 of the Code (see **page 65**) provides that:

> *"No individual shall be appointed as a Director until he or she has provided to the association a declaration of good character".*

The commentary to this requirement states:

> *"Operating with integrity and transparency is a key element in this Code and asking individuals to complete a declaration of good character provides the Board with additional information concerning the individual's conduct which enables them to determine if the candidate would be a suitable appointment.*
>
> *Some Associations already require Directors to complete a similar declaration before appointment, and this is considered good practice. We will consider current sector practice and issue further guidance on the recommended content of the declarations."*

The purpose of this note is to set out the further guidance referred to in the commentary.

Director's declaration

Attached to this note is a template Director's declaration.

It has been drafted with the objective of the requirement, namely that County Football Associations should operate with integrity, firmly in mind. It therefore asks factual questions intended to demonstrate the integrity of the individual.

The Code does not require Associations to undertake extensive checks or verification of the individuals' declarations. Likewise, the Code does not require that answers in the negative should bar an individual from becoming a Director. In this situation, it is recommended that the Association should consider the responses and if appropriate seek further information in order to make an informed decision about whether the individual is suitable to be a Director.

[INSERT COUNTY FA NAME]

(THE "COMPANY")

DECLARATION OF GOOD CHARACTER

I,....., declare that:

1. I am/am not* subject to a sanction, suspension, ban or other form of disqualification from, or in connection with, my involvement in: (i) the administration of sport; (ii) sport as a participant; and/or (iii) work as a sports agent/intermediary/other representative, in each case by any sports governing body (or similar body);
2. I am/am not* subject to a sanction, suspension or ban or other form of disqualification or striking-off by a professional body (including, but not limited to, the Solicitor's Regulation Authority, Bar Council, the Institute of Chartered Accountants or equivalent bodies in other jurisdictions);
3. I do/do not* have an unspent conviction by a court of competent jurisdiction anywhere in the world in respect of any offence involving fraud, dishonesty, corruption, perverting the course of justice or which constitutes a serious breach of the Companies Act 1985 or Companies Act 2006;
4. I am/am not* required to notify the police of personal information in accordance with the Sex Offenders Act 2003 or equivalent legislation in any other jurisdiction nor have I been included on the Violent and Sex Offender Register or equivalent register in any other jurisdiction;
5. I am/am not* subject to a disqualification order as a Director of a company and there are no other circumstances which could result in me being prohibited by law from being a Director of a company; and
6. I am/am not* subject to a bankruptcy order, an individual voluntary arrangement, debt relief order, Bankruptcy Restriction Order, Interim Bankruptcy Restriction Order, administration or enforcement restriction order or any arrangement in any other jurisdiction that has substantially similar effect
7. I am/am not* subject to any pending or threatened investigation, legal proceedings or actions conducted by the police, government agency or body, professional body, sports governing body or other competent authority in respect of any matters set out in this declaration.

I declare that the contents of this declaration and any other information I have given or will give in connection with any of the above declarations, are (and when given, will be) true, complete and accurate to the best of my knowledge, information and belief.

I understand my obligation to notify the Company in the event that any of the above information proves to be or becomes inaccurate or misleading.

*delete as appropriate

Signed:.....

Name:..... Date:.....

APPENDIX 41

Example of Induction Checklist for Directors

County FAs are advised to utilise The FA County FA Code of Governance toolkit resources to assist in creating an induction pack for new Directors and existing Directors where they have not been inducted

Welcome and introduction

Activity	With Whom	When
Welcome and introduction to the Board	Chair	At appointment
Complete Declaration of Good Character template	Chair	At appointment
Tour of site	Chair	At appointment

Governance

Activity	With Whom	When
Provide Articles of Association	Chair	Post-appointment
Provide Standing Orders	Chair	Post-appointment
Provide Corporate Governance structure (Board, Council and Committees) and explain roles, responsibilities, hierarchy and decision-making procedures	Chair	Post-appointment
Provide Organogram and explain departmental structure and hierarchy	Chair/Chief Executive Officer	Post-appointment
Explanation of function and services: • History of organisation • Vision and mission • Ethics, values, and philosophy • Terminology, jargon and glossary of company-specific terms	Chair/Chief Executive Officer	Post-appointment

Role and responsibilities

Activity	With Whom	When
Role description	Chair	Pre-appointment
Explain role of the Chair, Vice Chair and Senior non-executive Director	Chair	Post-appointment
Companies Act 2006 Duties of a Director	Chair/Regional Manager	Post-appointment
Safeguarding Operating Standard Commitment Statement and associated training requirements and dates	Chair/Chief Executive Officer	Post-appointment
Board Handbook	Chair/Chief Executive Officer	Post-appointment
Committees (if expected to sit on any Committees)	Chair/Chief Executive Officer	Post-appointment
Initial discussion regarding contribution	Chair/Chief Executive Officer	Post-appointment
Outline of appraisal/review process	Chair/Chief Executive Officer	Post-appointment
Director skills diagnostic	Chair/Chief Executive Officer	Post-appointment
Training opportunities	Chair/Chief Executive Officer	Post-appointment

Internal relationships

Activity	With Whom	When
Outline of each functional area of the company	Chief Executive Officer	Post-appointment
Introduction to senior staff	Chief Executive Officer	Post-appointment
Senior Management Team meeting	Chief Executive Officer	Post-appointment
Pen portraits, photos and contact details of Board and Committee members	Chair	Post-appointment

Strategic Planning and delivery

Activity	With Whom	When
Provide Business Strategy	Chair/Chief Executive Officer	Post-appointment
Provide annual Operational Plan	Chair/Chief Executive Officer	Post-appointment
Provide Annual Report	Chair/Chief Executive Officer	Post-appointment
Provide Balanced Scorecard and review performance against objectives	Chair/Chief Executive Officer	Post-appointment

Policies and procedures

Activity	With Whom	When
Provide policies and procedures (as appropriate), e.g.: • Expenses • Conflict of interest • Code of conduct • Safeguarding • Whistleblowing • Finance and audit • Board and Committee Evaluation • Board Training • Board Stakeholder Engagement Policy • Board Recruitment • Complaints procedure • Gifts and Hospitality Register • Bribery Prevention, Gifts and Hospitality • Internet, Email and Social Media • Equality Policy • Grievance Policy • Data Protection Policy • Anti-Fraud and Anti-Corruption • Health and Safety • Risk Management • Information Technology • Customer Charter • Human Resource	Chief Executive Officer	Post-appointment

Meetings and Communications:

Activity	With Whom	When
List of dates of forthcoming Board meetings	Chair/Chief Executive Officer	Post-appointment
List of dates of forthcoming Committee meetings	Chair/Chief Executive Officer	Post-appointment
Face-to-face meetings with key stakeholders: • A long serving Director • A relatively new Director • Chair of Committee(s) that the Director will be represented on • Senior Management Team • Knowledgeable volunteer, i.e. Key club, league and volunteer stakeholders • The FA Regional Manager	Chair/Chief Executive Officer	Post-appointment
Overview of The FA	The FA Regional Manager	
Programme of meetings with key stakeholders including clubs, leagues and volunteers	Chair/Chief Executive Officer	Post-appointment
Provide Communications Plan and overview website content and social media channels	Chair/Chief Executive Officer	Post-appointment

Financial management:

Activity	With Whom	When
Provide copy of: • Profit and Loss as per Management Accounts (Actual v Budget) • Latest Balance Sheet as per Management Accounts • Date these accounts cover (i.e. as at 30 September) • Copy of the Budget Profit & Loss for this current financial year. • Confirm current Cash At Bank figure, as detailed in the latest Management accounts and liabilities	Finance Director and Finance officer	Post-appointment

APPENDIX 42

County FA Board Director Appraisal – Template

[add relevant season as required]

Name	Role title
Start date in role	**Appraiser Name**

Board Director Appraisals

It is a requirement of the Code of Governance (see **Requirement 4.1**) that the Board, led by the Chair, carries out an annual evaluation of the performance of individual Directors. This template is designed to assist with the appraisal process for Directors.

1. Attendance

Total Board meetings held this season	Actual number of Board meetings attended

2. Committees and other areas of work

List any County FA committees or specific areas of responsibility you have held this season
What, in your view, has gone well?

Outline any areas of concern

3. Skills, knowledge and qualifications

In the table below, list any skills, knowledge or qualifications you have acquired this season. (This information will be used to update the Board skills matrix and succession plan.)

Skills	Knowledge	Qualifications

4. Wellbeing and time commitment

In order to ensure that you are able to contribute effectively in your role as a Director, you should discuss any concerns you have regarding your time commitments and any changes to your circumstances which limit your capacity to carry out your duties.

Are there any changes to your circumstances which affect your time commitment to your role as a Director on the Board?

State any concerns you have about your capacity to carry out your duties as a Director in the coming season?

5. Personal Development Plan

The Chair and Director should discuss, agree and record the Director's development plan for the season ahead. This should address individual learning needs but should also be aligned to the Board succession plan and strategic requirements of the business.

Development area	Agreed solution	Completion date

6. Summary of Performance

The Director and Chair should each provide a brief evaluation summary of the Director's performance over the season and any actions required to improve performance.

Director's summary
Chair's summary

Director's signature	Chair's signature
Date	**Date**

APPENDIX 43

ICSA Guidance Note: Specimen Conflict of Interest Policy, Declaration Form and Register of Interests for Charity Trustees

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icsa
Trust through governance

Guidance note

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

Contents:

Introduction
Overall purpose
Specimen conflicts of interest policy

Institute of Chartered Secretaries and Administrators

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

Introduction

This guidance note covers registered charities in England and Wales. Whilst principles of good governance transcends national borders, it is important to bear in mind the specific differences in charity legislation for those charities operating in Scotland, Northern Ireland, and elsewhere.

This guidance note has been drafted to reflect the findings of the Charity Commission and ICSA's review project into the governance arrangements in newly registered charities.[1] The information in this document expands upon, and consolidates, the principles highlighted in *Good governance: A code for the voluntary and community sector*.[2]

For the purpose of this guidance note, it is assumed that the charity employs staff including a charity secretary, or other governance and compliance professional, who is not the chief executive officer.[3]

1 Please see the ICSA website
2 This can be downloaded from www.governancecode.org/
3 Further details on the role of the charity secretary can be found in an ICSA guidance note of the same title.

If you have any feedback on the content of these resources, or additional questions that you'd like to discuss, please contact the ICSA information centre: **020 7612 7035 | informationcentre@icsa.org.uk**

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The information given in this guidance note is provided in good faith with the intention of furthering the understanding of the subject matter. While we believe the information to be accurate at the time of publication, ICSA and its staff cannot, however, accept any liability for any loss or damage occasioned by any person or organisation acting or refraining from action as a result of any views expressed therein. If the reader has any specific doubts or concerns about the subject matter they are advised to seek legal advice based on the circumstances of their own situation.

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

Overall purpose

Benefits of being a trustee

Whilst the role of trustee is a serious duty, there are various positive aspects to the role that can help an individual on a personal and professional basis:

- the knowledge that you are contributing to a worthwhile cause
- building self-confidence and experience of committee work
- acquiring new skills – personal and professional – through training and information and sharing
- the enjoyment to be had from working with a group of individuals from different backgrounds who share a similar passion for a particular cause.

The role of charity trustee is one that can offer considerable satisfaction, challenges and experiences, but it should not be forgotten that the position can be quite onerous and require a significant time commitment.

The aim of this guidance note is to provide charities with guidance on how to recognise and manage perceived and real conflicts of interest amongst members of the trustee board. It offers a generic model document that can be amended to suit the needs of individual organisations, whilst addressing the fundamental issues that arise from real and perceived conflicts of interest.

It should be noted that the benefit derived by those trustees who are users of the charity's services should not be over and above that received by any other user or beneficiary of the charity.

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

What is a conflict of interest?

Trustees have a duty under common law to act in the best interests of the charities they serve. Trustees, generally, should not benefit from the charity and should not be influenced by their wider interests when making decisions affecting the charity. For charitable companies, trustees have a legal duty to avoid conflicts of interest under s175 of the Companies Act 2006.

A conflict of interest can be defined as:

> "…any situation in which a trustee's personal interests or responsibilities they owe to another body, may, or may appear to influence the trustee's decision making."[4]

Conflicts of interest arise when the interests of trustees, or "connected persons",[5] are incompatible or in competition with the interests of the charity. Such situations present a risk that trustees will make decisions based on these external influences, rather than the best interests of the charity.

The most common types of conflict include:

- direct financial interest - when a trustee obtains a direct financial benefit via:
  - the payment of a salary to a trustee by the charity
  - the award of a contract to a company with which a trustee is involved
  - the sale of property at below market value to a trustee
- indirect financial interest - this arises when a close relative of a trustee benefits from the charity:
  - the awarding of an employment contract to a trustee's spouse; and
  - making a grant to a trustee's dependent child

4 Page 8,*Charitable Museums and Galleries: A guide to conflicts of interest policies, trustee benefits and transactions between trustees and charities*, a joint publication of the Department of Culture, Media and Sport and the Charity Commission, 2008.

5 s.188 Charities Act 2011 defines a "connected" person as:
a) a child, parent, grandchild, grandparent, brother or sister of a trustee;
b) spouse or civil partner of trustee, or of (a) above;
c) business partner of trustee or (a) or (b);
d) institution controlled i) by trustee or (a), (b), or (c) above or ii) by two or more persons falling within i) when taken together ;
e) a body corporate which i) the trustee or connected person in (a) to (c) has a substantial interest or, ii) two or more persons falling within i) when taken together have a substantial interest.
Trustees seeking to sell land or other property belonging to the charity should refer to s.118 of the Charities Act 2011 for a further definition of 'connected persons' in relation to these transactions. For trustees of charitable companies the definition of 'connected persons' is slightly different and readers should refer to s.252 of the Companies Act 2006.

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

- non-financial or personal conflicts – occur where trustees receive no financial benefit, but are influenced by external factors:
  - influencing board decisions on service provision to their own advantage, perhaps because they use the charity's service themselves or care for someone who does
  - to gain some other intangible benefit or kudos
  - awarding contracts to friends
- conflicts of loyalties - trustees may have competing loyalties between the charity to which they owe a primary duty and some other person or entity.

It is, therefore, essential that all trustees are fully aware of their duties and responsibilities and that when acting as a trustee they must act in the best interests of the charity alone.

The interests of the beneficiaries and those of the charity will - for the most part - be consistent or complementary, but on the occasions where a conflict does arise, the responsibility of all the trustees is to the charity. This includes any access that all trustees may gain to confidential or privileged information by virtue of their trusteeship. All trustees should remain alert to the fact that whatever information they acquire in their role should remain confidential and not be used to the advantage of themselves, an external individual, or entity.

Occasionally there may be cases where an apparent conflict is actually in the organisation's best interests. While the trustees may well act with integrity, the mere appearance of a conflict can be damaging to both the charity and the trustees, so conflicts need to be managed effectively.

Where a charity operates a code of conduct for trustees, it is essential that the document is consistent with and supports the conflicts of interest policy and vice versa.

Identifying potential conflicts of interest

A key means of preventing conflicts of interest from affecting decision-making is to identify potential conflicts in advance. This gives trustees time to consider the implications and to respond appropriately. To ensure that trustees remain in an optimal position to manage any real or perceived conflict, it should be standard practice to ask for any such declarations at the start of each trustee meeting.

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

By asking trustees to declare their interests and keeping a register of such interests, organisations can monitor potential conflicts of interests on a continuous basis. A policy on the management of conflicts of interest will inform trustees how any conflict will be dealt with and provide a framework for the board when conflicts arise.

Managing conflicts

The majority of trustees have a multiplicity of interests, personal, domestic and professional that may, on occasion, compete with those of the charity. It is almost impossible to avoid conflicts altogether, particularly in the context of charities seeking to appoint trustees with skills and experience of the wider economic community.

If conflicts cannot be avoided, they need to be managed effectively. Organisations should consider developing a policy relating to conflicts of interest and implementing it consistently and transparently.

Declaration of interests

Potential and new trustees should be informed that they will be expected to declare their interests on appointment and subsequently, when they arise. They should also be provided with a copy of the conflicts of interest policy, preferably before appointment. If the potential trustee is concerned about a possible conflict of interest, they should view the policy and discuss the matter with the charity secretary before agreeing to take up the position.

On appointment, trustees should be asked to complete a declaration of interests. New trustees may be uncertain as to what comes under this heading (in which case they should consult the charity secretary), but as they gain more experience on the board, their understanding of exactly what constitutes a potential conflict will develop. The declaration of interests needs to be updated when material changes occur, and reviewed on a regular basis – at least annually.

When asking trustees to complete a declaration of interests, the following areas should be considered:

- employment
- any previous employment in which the trustee still has a financial, or other, interest

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

- any other appointments (voluntary or otherwise) e.g. trusteeships, directorships, local authority membership, tribunals
- professional and organisational membership
- membership of any special interest groups
- investments in unlisted companies, partnerships and other forms of business
- major shareholdings (charities may set a figure here, e.g. more than 1% or 5% of issued capital) and beneficial interests
- gifts or hospitality offered to the trustee by external bodies and whether this was declined or accepted
- family connections where relevant, such as the trustee's spouse/partner working for a similar organisation or funder
- using, or caring for a user of, the organisation's services
- any contractual relationship between the trustee or a connected person and the charity or its subsidiary.

The level of detail required in the register may depend on:

- the size and culture of the organisation
- the likelihood of a conflict arising
- the potential damage that could be caused by a conflict.

All charities and not-for-profit organisations are accountable to a range of stakeholders and should consider conflicts of interest carefully. Those working in sensitive areas, involved with large sums of money, or subject to a high level of scrutiny, may need to be extra vigilant. Organisations will need to find a balance between accountability and unwarranted intrusion into the affairs of their trustees.

Register of interests

The completed declarations should be returned to the charity secretary, who will be responsible for keeping the register of interests up to date. A model register can be found below.

Charities will need to consider whether the register of interests is kept as a confidential document, to be maintained and monitored by the charity secretary and accessible

only to the chairman of the trustees and chief executive; or whether to allow greater access. Public access to the register would further the interests of accountability and transparency, as well as demonstrating that the charity is following best practice in relation to managing conflicts of interest.

There may be sections of the declaration, or levels of detail within certain sections, which trustees may want and decide to keep confidential. For example, trustees of a women's' refuge may wish to keep their home or business addresses confidential. The requirement that the whole register be publicly available may serve as a disincentive to trustees joining the board, or declaring their full range of interests. Possible compromises include:

- arranging for some sections of the register to be publicly available, whilst maintaining the confidentiality of other sections
- making sections of the register accessible to the organisation's membership, again maintaining the confidentiality of the remaining sections
- making the complete register available to all trustees.

When a conflict of interest does arise, it is the responsibility of the trustee in question to declare such a conflict to the board. If he or she fails to do so, the chairman of the trustees or charity secretary should declare the conflict. It is advisable at the start of board and committee meetings to request the declaration of any interests in relation to any item covered on the meeting agenda, ensuring that appropriate action can be taken and formal records made.

Dangers of conflicts of interest

If trustees allow factors such as other external interests to influence their decision-making, they may make decisions that are not in the charity's best interest. This could be costly to them and damage the work and reputation of the charity. The most common dangers arising out of a conflict of interest are:

- poor decision-making
- legal challenge
- loss of trust within the boardroom
- reputational damage, including a reduction in donations, volunteers and public support.

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

Trustees acting outside the terms of their governing document, without permission from the courts or the Charity Commission, will be in breach of trust. Relief from such breaches, however, may be available to those where such a breach occurs even though the trustees have acted as reasonable and 'prudent men of business', seeking and following appropriate professional advice.[6]

A breach of trust will occur if a trustee knowingly accepts a benefit from the charity without proper authority. Such authority may come from legislation, the Charity Commission, the courts, or the charity's governing document. If the transaction is challenged (e.g. by the Charity Commission, or another interested party) and found to be invalid, the trustee could be required to pay back any benefit received, or become liable for any loss incurred by the charity.

Governance

Within the board itself, poorly managed conflicts of interest will harm working relationships, adversely affecting free discussion. Where a trustee is known to have an interest in a decision, the remaining trustees may feel under pressure, whether express, implied or simply imagined, to decide in the interests of their fellow trustee. Alternatively they may resent the interest of the other trustee and vote against it, even when following the trustee's interest may be the best course of action for the charity. In both cases, the trustees' primary consideration has been a trustee's interest, not that of the charity. Developing and applying a conflicts of interest policy is therefore key to managing such conflicts in an open and transparent manner.

Even where the governing board is able to make decisions free of these emotional influences, they may feel uncomfortable speaking against the trustee's interests in a trustee meeting, or lose confidence in the ability of the trustee in question to make decisions free of external influence. Such problems may undermine the trustee board's ability to function effectively as a decision-making group.

Where the trustee board is presented with a conflict of interest, the interest should be declared, the trustee(s) involved should remove themselves from the discussion.[7] The conflict and action taken to manage it should be recorded in the minutes. Where the

6 S191 Charities Act 2011 provides the Charity Commission with the power to relieve trustees of a personal liability resulting from a breach of trust where the trustee "…has acted honestly, and reasonably and ought fairly to be excused…".

7 Except where a charitable company has an authorisation clause within its governing document permitting the trustees to authorise certain conflicts.

trustee has withdrawn from the meeting, steps should be taken to ensure that any details of the discussion relating to the conflict of interest are not divulged. This could be done via the use of printing sensitive items on separate, different coloured paper[8] and circulated to those trustees free from the conflict. This should enable the conflicted trustee to continue to exercise their responsibility in all other aspects of the trustees' duties by receiving minutes of meetings, without gaining access to information relating to the conflict.

Adverse publicity

Even where trustees have acted in the best interests of the charity, those outside the trustee board may gain an impression, or mere suspicion, that the trustees acted in their own interest. Accurate or otherwise, such an impression could damage the reputation of the charity and trustees.

Such publicity may be so adverse that it demands a response from the charity, for example because of interest from the media, a funder or regulator. The charity will then need to invest time and energy in justifying its actions and defending its reputation, deflecting resources and attention from its objectives.

Company law requirements

Director/trustees[9] of charitable companies, or of a charity's subsidiary company, will be subject to the provisions of the Companies Act 2006 in relation to conflicts of interest and how they are managed.[10] Specifically, directors have a duty to:

- exercise independent judgment[11]
- avoid conflicts of interest[12]
- not to accept benefits from third parties[13]

8 For electronic versions, the minutes relating to the conflict of interest should be emailed under a separate cover to those trustees not affected by the conflict, as a discrete document in its own right, or saved in an area where it can only be accessed by those entitled to see it.

9 Those responsible for the governance of a charitable company have dual responsibilities under companies and charities legislation. To emphasise the dual nature, this guide will use the term 'director/trustee'. Further information on directors' duties can be found in ICSA guidance note on the *Role and Duties of Trustees*, and *Directors' Duties for Charitable Companies*, and the ICSA *Solutions guide to companies limited by guarantee*.

10 For charitable companies wanting to authorise a conflict of interest of a trustee/director, an appropriate clause in the company's articles of association will be required. Wording for such a clause can be found in the Charity Commission's model articles of association for a charitable company – GD1.

11 s. 173 Companies Act 2006.

12 s. 175, Companies Act 2006. This however, is modified for charitable companies by s.181 of the same Act.

13 s. 176, Companies Act 2006.

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

- declare any interest in a proposed transaction or arrangement[14]
- declare any interest in an existing transaction or arrangement.[15]

s. 175 Companies Act 2006 provides directors with the power to authorise certain conflicts of interests by provisions in the articles of association. Any charitable company wishing to take advantage of such a power will need to give due regard to what types of conflict it should cover. Any amendment to the articles that permits the directors, members or connected persons to benefit from the charity is a 'regulated alteration' and would require the prior approval of the Charity Commission.[16]

If the board of a charitable company exceeds its constitutional powers in entering into a transaction with a director/trustee (or someone connected to a director/trustee), the transaction may be declared void. Where a director fails to declare an interest in a proposed transaction, the director may be liable to a fine. The directors/trustees involved in the transaction, including those who authorised it, may be required to return any gains to the company or to make good any losses incurred.[17]

Company legislation imposes limitations and prohibitions on certain conflicts of interest. ss. 190 to 196 of the Companies Act 2006 limit substantial property transactions between companies and their directors and people connected with the directors:[18]

- if the value is greater than £5000 or 10% of the company's net assets; or
- the total value of the property is greater than £100,000 the transaction requires the prior approval of the membership by a resolution in a general meeting

14 s. 177, Companies Act 2006.
15 s. 182, Companies Act 2006.
16 s. 198 Charities Act 2011.
17 s.41 of the Companies Act 2006.
18 A "connected person" to a director is defined in s252(2) of the Companies Act 2006 as:
   a) members of the directors' family (s253 defines these as – spouse or civil partner; any other person with whom the director lives as a partner in an enduring family relationship, and that partners' children or step-children under 18 years of age; children or step-children of the director and their partner or spouse; directors' parents);
   b) a body corporate with which the director is connected;
   c) a person acting in his capacity as a trustee of a trust – i) the beneficiaries of which include the director or a person who by virtue of (a) or (b) is connected with him, or ii) the terms of which confer a power on the trustees that may be exercised for the benefit of the director or any such person, other than a trust for the purposes of an employees' share scheme or pension scheme;
   d) a person acting in his capacity as a partner – i) of the director, or ii) of a person who by virtue of (a) to (c) is connected with that director;
   e) a firm that is a legal person under the law by which it is governed and in which - i) the director is a partner, ii) a partner is a person who by virtue of (a) to (c) is connected with the director, or iii) a partner is a firm in which the director is a partner or in which there is a partner who by virtue of (a), (b) or (c) is connected with the director.

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

Under ss. 197 – 223 of the Companies Act 2006, companies are prohibited from:

- making loans or giving similar financial assistance to directors; and
- giving guarantees or other forms of security in order to enable a director to obtain a loan.

The prohibition does not apply to advance payment of reasonable out-of-pocket expenses that directors/trustees incur in the course of their work on behalf of the charity. This provision could impact on charitable companies that provide 'social loans' or venture capital to new businesses where the organisation's users are board members. There is however, a special exemption for loans made by 'money-lending' companies in the ordinary course of their business.

Statement of Recommended Practice (Charities) 2005[19]

Under paragraph 226 of the Charities SORP, trustees (and connected persons) receiving any benefit or remuneration are required to regard such payment as material and must disclose it in the charity's annual report and accounts. Furthermore, paragraph 230(d) states that where trustees have not received any remuneration this should be disclosed too, as a means to promoting transparency in the governance of the charity.

A similar approach to declaring the reimbursement of all reasonable out-of-pocket expenses for trustees would also represent best practice and support the promotion of transparency within the charity.

Developing a policy on conflicts of interest

Conflicts of interest cannot be avoided altogether, so organisations should develop a policy to manage them effectively, when they arise. The existence and application of a conflicts of interest policy will serve as a means of demonstrating good practice and governance under external scrutiny. A well-written and properly implemented policy will support trustees in establishing that they have acted in the charity's best interest.

19 More commonly referred to as the 'Charities SORP' or 'SORP 2005'.

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

A conflict of interest policy should address the most likely areas of conflict:

- how conflicts will be identified and managed
- the payment of trustees
- conflicts of loyalties.

Other elements of the policy will be determined by the nature of the organisation and its governance structure. The policy should be appropriate for the work of the organisation.

In drafting and implementing a conflict of interest policy, it may be beneficial to develop other policies on matters peripheral to managing such conflicts. For instance, a formal expenses policy and statement on the giving and receiving of corporate hospitality and gifts would provide clear and transparent guidance to trustees, staff and other interested parties of the steps to be taken in these situations that would reinforce the principles of avoiding conflicts of interest and the policy on managing them when they occur.[20]

Data protection

The information held on a voluntary register of interests is subject to the provisions of the Data Protection Act 1998. Certain conditions must be met in order to establish that personal data has been processed fairly and lawfully. These conditions should not prove too onerous providing the trustees are told:

- who is controlling the data
- why the information is being processed
- how often records will be updated

and:

- the individual has consented to the processing and that the processing is necessary for the performance of a contract with the individual
- it is necessary to carry out public functions or to pursue the legitimate interests of the data controller without prejudice to the interests of the individual.

20 Such model documents can be found on the ICSA website.

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

Sensitive personal data, such as trade union membership, political opinions and religious beliefs, may be processed but is subject to stricter criteria. In the case of the register of interests, such information may be included with the explicit consent of the individual, but organisations should consider carefully the level of detail they actually need in terms of trustees' interests.[21]

Data should be accurate and kept up to date. Data controllers are expected to take appropriate security measures to ensure that data is not unlawfully processed, lost or damaged.

All organisations should make themselves aware of their responsibilities under data protection legislation. Further information is available at www.ico.gov.uk.

It should be made clear to trustees why a register of interests is being developed and how it will be used. This should include explanations as to what kind of information will be recorded and whether any, or no part, of that information will be available to interested members of the public, including stakeholders, members and other trustees.

21 There may be some occasions for certain charities undertaking specific activities, e.g. think-tanks, to note the membership of political parties. Further professional guidance is recommended in such circumstances to ascertain the level of disclosure required and that it does not impinge on the rights and privacy of the trustee concerned.

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

Specimen conflicts of interest policy for charities (England & Wales)

Please adapt the following model policy to suit the needs of your organisation.

This policy applies to [*trustees*] [*trustees and directors*] [*trustees and senior staff*] [*trustees and all staff*].

Why we have a policy

Trustees have a legal obligation to act in the best interests of [*name of the charity*], and in accordance with [*the charity's*] governing document, and to avoid situations where there may be a potential conflict of interest. [*Staff and volunteers have similar obligations*].

Conflicts of interests may arise where an individual's personal or family interests and/or loyalties conflict with those of [*the charity*]. Such conflicts may create problems; they can:

- inhibit free discussion
- result in decisions or actions that are not in the interests of [*the charity*]
- risk the impression that [*the charity*] has acted improperly.

The aim of this policy is to protect both the organisation and the individuals involved from any appearance of impropriety.

The declaration of interests

Accordingly, we are asking [*trustees*] [*trustees and senior staff*] [*trustees and all staff*] to declare their interests, and any gifts or hospitality offered and received in connection with their role in [*the charity*]. A declaration of interests form is provided for this purpose, listing the types of interest you should declare.

To be effective, the declaration of interests needs to be updated at least annually, and when any material changes occur.

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

If you are not sure what to declare, or whether/when your declaration needs to be updated, please err on the side of caution. If you would like to discuss this issue, please contact the charity secretary [*or……*] for confidential guidance.

This register of interests shall be used to record all gifts of a value over [*£xx*] and hospitality over [*£xx*]received by the trustees and staff.

Interests and gifts will be recorded on the charity's register of interests, which will be maintained by [*the charity secretary*]. The register will be accessible by [*level of access, noting any statutory requirements applicable*].

Data protection

The information provided will be processed in accordance with data protection principles as set out in the Data Protection Act 1998. Data will be processed only to ensure that [*trustees*][*trustees and senior staff*][*trustees and all staff*] act in the best interests of [*the charity*]. The information provided will not be used for any other purpose.

What to do if you face a conflict of interest

If you believe you have a perceived or real conflict of interest you should:

- declare the interest at the earliest opportunity
- withdraw from discussions and decisions relating to the conflict.

The charity secretary should take special care to ensure that minutes or other documents relating to the item presenting a conflict are appropriately redacted for the person facing the conflict. A balance needs to be made to ensure that the person still receives sufficient information about the activities of the charity generally without disclosing such sensitive information that could place the individual in an untenable position.

If you are user of [*the charity's*] services, or the carer of someone who uses [*the charity's*] services, you should not be involved in decisions that directly affect the service that you, or the person you care for, receive(s). You should declare your interest at the earliest opportunity and withdraw from any subsequent discussion, unless expressly invited to remain in order to

provide information. In this case you may not participate in, or influence, the decision or any vote on the matter. You will not be counted in the quorum for that part of the meeting and must withdraw from the meeting during any vote on the conflicted item.

There are situations where you may participate in discussions from which you could indirectly benefit, for example where the benefits are universal to all users, or where your benefit is minimal. This action will be agreed by the chair and minuted accordingly.[22]

If you fail to declare an interest that is known to [*the charity secretary*] and/or [*the chair of the board*,] the [*charity secretary*] or [*chair*] will declare that interest.

Decisions taken where a trustee or member of staff has an interest

In the event of the board having to decide upon a question in which a trustee or member of staff has an interest, all decisions will be made by vote, with a [*simple majority*][*two thirds majority*][….] required. A quorum must be present for the discussion and decision; interested parties will not be counted when deciding whether the meeting is quorate. Interested board members may not vote on matters affecting their own interests

All decisions under a conflict of interest will be recorded by [*the charity secretary*] and reported in the minutes of the meeting. The report will record:

- the nature and extent of the conflict
- an outline of the discussion
- the actions taken to manage the conflict.

Where a trustee benefits from the decision, this will be reported in the annual report and accounts in accordance with the current Charities SORP.

All payments or benefits in kind to trustees will be reported in the charity's accounts and annual report, with amounts for each trustee listed for the year in question.[23]

Where a member of [*the charity's*] staff are connected to a party involved in the supply of a service or product to the charity, this information will be fully disclosed in the annual report and accounts.

22 This option is only available to those charities which have an express power to authorise situational conflicts in their governing document.
23 The Charities SORP 2005 requires the full disclosure of all 'related party' transactions with any third party that may inhibit the charity being able to pursue its separate interests. The Charity Commission strongly recommends that all trustee payments should be disclosed in an appropriate manner, see CC11 Trustee payments and expenses

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

Independent external moderation will be used where conflicts cannot be resolved through the usual procedures.

(Organisations should add any further requirements that relate to the nature of the organisation's work)

Managing contracts

If you have a conflict of interest, you must not be involved in managing or monitoring a contract in which you have an interest. Monitoring arrangements for such contracts will include provisions for an independent challenge of bills and invoices, and termination of the contract if the relationship is unsatisfactory.

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

Specimen charity trustee declaration of interests form (England & Wales)

I …… as employee/trustee* [**delete as appropriate*] of …… [*name of organisation*] have set out below my interests in accordance with the organisation's conflicts of interest policy.

Category	**Please give details of the interest and whether it applies to yourself or, where appropriate, a member of your immediate family, connected persons or some other close personal connection**
Current employment and any previous employment in which you continue to have a financial interest.	
Appointments (voluntary or otherwise) e.g. trusteeships, directorships, local authority membership, tribunals etc.	
Membership of any professional bodies, special interest groups or mutual support organisations.	
Investments in unlisted companies, partnerships and other forms of business, major shareholdings [charities may set a figure here, e.g. more than 1% or 5% of issued capital] and beneficial interests.	
Gifts or hospitality offered to you by external bodies and whether this was declined or accepted in the last twelve months.	
Do you use, or care for a user of the organisation's services?	
Any contractual relationship with the charity or its subsidiary.	
Any other conflicts that are not covered by the above.	

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

To the best of my knowledge, the above information is complete and correct. I undertake to update as necessary the information provided, and to review the accuracy of the information on an annual basis. I give my consent for it to be used for the purposes described in the conflicts of interest policy and for no other purpose.

Signed:

Position:

Date:

Specimen conflict of interest policy, declaration form and register of interests for charity trustees

Specimen register of interests for charity trustees (England & Wales)

Name of trustee	Description of interest	Does the interest relate to the trustee or a person closely connected to the trustee (describe)?	Is the interest current?
Mr. T. Smith	Joint owner of catering company Member of the local authority	Trustee, other joint owner is the trustee's daughter. Trustee	Current Current
Mrs. A Jones	Employee of ABC charity with similar aims and objectives working in the same area	Trustee	No, trustee resigned post in 1999
Mr. A. Wright	Trustee of xyz charity	Trustee	Current
Miss. R. Clifford	Was bought lunch to value of £40 by representative of a photocopying machine supplier	Trustee	Current

Trust through governance

ICSA is the chartered membership and qualifying body for professionals working in governance, risk and compliance, including company secretaries.

We seek to develop the skills, effectiveness and profile of people working in governance roles at all levels and in all sectors through:

- A portfolio of respected qualifications.
- Authoritative publications and technical guidance.
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- Research and advice.
- Board evaluation services
- Market-leading entity management and board portal software.

Guidance notes are prepared by the ICSA policy team to support the work of company secretaries and other governance professionals working in the business and not-for-profit sectors, and in NHS trusts.

Guidance notes offer authoritative advice, interpretation and sample materials for the many issues involved in the management and support of boards. As such, they are invaluable for those helping their organisations to build trust through good governance.

There are over 100 guidance notes available to ICSA members at **www.icsa.org.uk/guidance**

The Institute of Chartered Secretaries and Administrators
Saffron House, 6–10 Kirby Street
London EC1N 8TS

April 2014

Institute of Chartered Secretaries and Administrators

APPENDIX 44

Declaration of Interests Form – Template

Category of Interest	Please provide below details of any interest which either is in conflict or may come into conflict with the interests of the County FA	Please state below if the interest applies to yourself or a person connected to you
Current employment and any previous employment in which you continue to have a financial interest (e.g. pension)		
Appointments (voluntary or otherwise) e.g. trusteeships, directorships, local authority membership, schools organisations etc.		
Membership of any professional bodies, football related interest groups or organisations		
Investments in unlisted companies, partnerships and other forms of business, major shareholdings and beneficial interests		
Any contractual relationship with the County FA or one or more of its subsidiary companies		
Any other conflict of interest that is not covered by the above.		

To the best of my knowledge, the above information is complete and correct. I undertake to update as necessary the information provided, and to review the accuracy of the information on an annual basis. I hereby consent to the County FA holding and processing this data for its corporate governance purposes. The County FA shall process such data in accordance with the Data Protection Act 2018.

Signed ..... Print Name .....

Date .....

APPENDIX 45

Guidance on the use of Risk Registers and Safeguarding Risks

The Guidance on use of Risk Registers and Safeguarding Risks is provided as an advice document and can be applied by County FAs to all to help assess and manage all business risks. Safeguarding Risks are provided as an exemplar.

County FAs are advised to utilise a risk register and The FA understands that all County FAs are using some form of risk register template. Risk registers identify potential risks, the likelihood of the risk occurring, the likely impact if the risks did occur and a range of mitigating factors to minimise the risk or minimise the impact of crystallised risks.

This guidance outlines different categories of risk, provides some examples of safeguarding risks and roles and responsibilities, outlines some definitions and a process flow, including reviewing risks.

County FAs will need to consider the safeguarding risks that should feature on their risk registers. For the avoidance of doubt, the safeguarding risks listed below are non-exhaustive and County FAs should consider whether each of the risks listed below is relevant for its risk register and whether any additional risks which are not listed below are relevant.

1. Types of Risk

Risk management must be owned by all. Risks can be categorised in different ways for example, strategic and project risks.

Strategic Risks – Major concerns such as reputational risk, a risk that the organisation will fail to deliver on one (or several) of its strategic objectives and KPIs, or risks which pose a significant financial threat to the organisation. These are likely to be external issues with a high impact, which will likely require a response plan to mitigate the risk, should it occur, as controlling the occurrence is not within the County FA's sphere of influence. These risks should be tracked on an organisations Risk Register and reviewed on a monthly basis.

Project Risks – Risks which relate to the day-to-day management of projects and the County FA's core activities. These risks should be reviewed with project leads, who are expected to understand the risks and how they are managed and mitigated. If these risks become more severe, and threaten to impact reputation or strategic objectives, or pose a substantial financial risk to the organisation, then they should be elevated to Strategic Risks. This may happen during ongoing monitoring of the risks, or during monthly reviews with the project leads.

Examples of Safeguarding Risks:

Safeguarding risks may be strategic or project-based. All staff have a responsibility to identify safeguarding risks. These are expressed in a short-form style as one would expect in a risk register.

Safeguarding risk	Impact	Mitigation
High volume of abuse and/or poor practice referrals to the County FA	DSO role overwhelmed, affecting confidence and capacity to function effectively.	Regular 1:1 meetings to discuss workload and wellbeing – how the staff member is feeling and what will help them. Allocate additional resource to support the short-term rise in referrals and regularly monitor the impact of this.
Allegation against a member of staff relating to an offence against a child or adult at risk	Impact on: • Child or adult at risk; • Staff against whom the allegation has been made; • Any wider staff who are aware. Communications • Potential media interest.	Support needed for: • Child or adult at risk; • Staff against whom the allegation has been made; • Any wider staff who are aware. Investigation: • Familiar with Policy for managing allegations; • Pre-existing contact with the Local Authority Designated Officer (LADO). Communications: • Internal comms plan; • External reactive media statement; • Recruitment, induction, training; • Staff recruited via safer recruitment practices. Staff safeguarding trained and briefed on their conduct and the expectations re behaviours; guidance on working with under-18s/adults at risk. Regular supervision. Line managers familiar with procedures for managing allegations.
DSO leaving the County FA	Short-term gap while recruitment is undertaken.	• Business continuity planning; • Capable deputy to stand-in temporarily – how deputy's 'normal' role could be backfilled; • Arrangements with neighbouring County FAs to cover in emergencies.
Safeguarding incident at a County FA-endorsed event	Risk and impact to under-18s or adults at risk. Questions about current safeguarding practice and the County FA's capability to oversee safe practice. Adverse media coverage – reputational damage.	Risk assessments underpin all events, so risk mitigation in place. Safeguarding Policy, Procedures and Guidelines always followed. Everyone briefed on processes to follow when there are incidents. CEO, Board and Comms have a protocol for managing such incidents with the media in line with FA comms.
County FA fails to meet the KPI of achieving the Safeguarding 365 Standard	Are children safe in football in the County FA? Low staff morale. Greater scrutiny of governance, leadership and operations. If County FA holds charitable status consideration of referral to the Charity Commission.	Regular oversight of progress against safeguarding measures and areas of standard – not just in relation to the independent assessment visit. Internal scrutiny via Board, Senior Management Team and relevant project groups, with early identification of any gaps in delivery. Contingency plans and delivery of actions identified in Independent Assessors reports.

2. Roles and Responsibilities

The Board and Senior Management Team should have responsibility for designing, implementing and maintaining an effective risk management system. However, all employees should consider, manage and report risk in the course of their day-to-day activities.

Board

The primary role of a Board is to maintain effective governance and oversight of the organisation. As such the Board are responsible for setting the broad policies and objectives which are applied by the Senior Management Team. This applies to risk management, where the Board must satisfy themselves that the processes and framework implemented by the Senior Management Team for managing risk are fit for purpose.

Senior Management Team

The Senior Management Team has responsibility for:

- The day-to-day operation of risk management across the organisation and ensuring that appropriate conversations take place to consider and manage risk;
- Ensuring that the risk management process is effectively linked with business planning and strategic objectives;
- Reporting to the Board on risk management;
- Ensuring that everyone understands the significance of risk management and is provided with the necessary tools in order to manage risk effectively in their day-to-day activities.

Specifically, the Senior Management Team is responsible for considering the:

- Nature and extent of the risks facing the organisation;
- Appetite for risk-taking;
- Extent and categories of risk which it regards as acceptable for the organisation to bear;
- Likelihood of the risks concerned crystallising the organisation's ability to reduce the incidence and impact on the business of risks that do crystallise;
- Cost of mitigating actions relative to the benefit thereby obtained in managing the related risks.

Risk owners

A risk owner is the individual who is best positioned to co-ordinate the management of a particular risk. As such they are responsible for determining and regularly re-assessing the gross impact and likelihood scores and identifying the most relevant mitigating actions. Risk owners will be supported by other relevant employees. In many cases, this group are the individuals who will initially identify the risks.

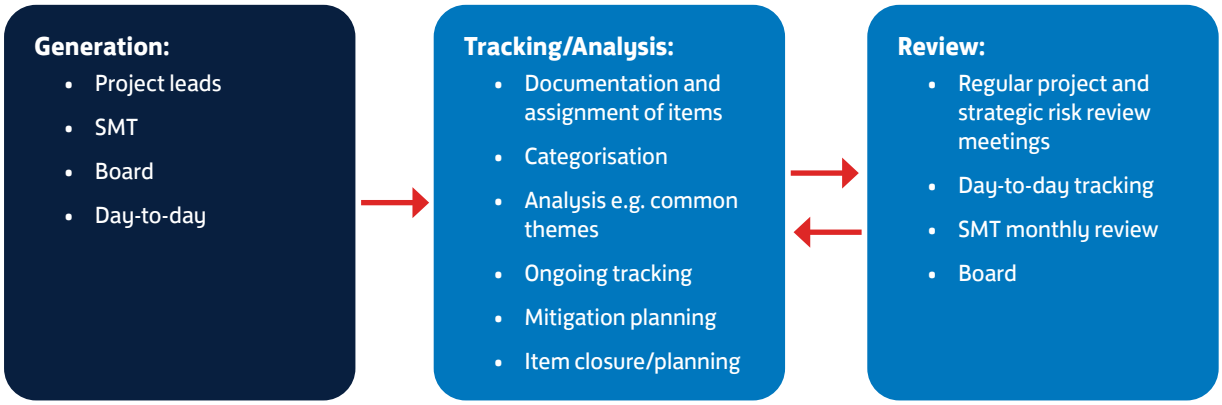
All employees

All individuals have responsibility for effectively managing any risk which their behaviour and actions may impact. Where appropriate they will be expected to input into the formal risk management processes set out within this document. All employees should proactively consider risk in the course of carrying out their day-to-day duties. All employees should escalate matters or concerns if they do not feel that risk is being appropriately considered or mitigated.

3. Definitions

Term	Definition
Risk	The effect of uncertainty on a situation i.e. a situation that may occur in the future and will have a negative impact on the project/organisation or failure to maximise an opportunity.
Risk crystallisation	The occurrence of a risk.
Risk impact	A direct outcome of the risk crystallising. Outcomes can impact a range of factors including financial, operational and reputational objectives.
Risk likelihood	The probability of the risk crystallising.
Mitigating action	A process or activity which helps to prevent a risk from crystallising.
Key Risk Indicator (KRI)	A quantifiable statistic which can be used to assess the likelihood of the risk crystallising.
Risk owner	The individual with responsibility for co-ordinating the management of the risk. Risk owners receive the support of other individuals to achieve this.
Issue	A situation that is currently being faced and is resulting in a negative impact on the project/organisation. This may be due to a risk crystallising or may be an independent situation that has arisen.
Item	A new addition to register that can take the form of a Risk or Issue.

4. Process Overview



The risk management process can be grouped into three stages:

To keep the risk management process live and relevant, the risks should be reviewed on a monthly basis with the project leads, updating items and generating new items where required. SmartSheet is an excellent tool to assist with this process.

4.1 Tracking and Management of Items

The register covers standard information such as title, owner, mitigating actions etc. Ensuring that everyone is working to the same understand of how to group and filter risks is important to maintain the consistency of approach.

There is also an element of analysis and mitigation planning that features in this stage where the Senior Management Team analyse for themes/dependencies etc. This is carried out on an ongoing basis.

The management of the risk process is the responsibility of the CEO, supported by the Senior Management Team and there should be a clear process for analysis and sign off for risk registers.

4.2 Risk-Scoring

Risks are measured by (a) impact and (b) likelihood, to create an overall risk/RAG rating. A risk may have several different potential impacts with different levels of perceived severity. Where that is the case, the risk register should note the highest level of risk. For example, if the reputational impact of a risk is rated as '3', but the financial and operational impact of the risk is rated as '2', the impact recorded in the risk register should be '3'.

The likelihood of each risk should be scored in accordance with the scale below.

Scale	Description	Likelihood of occurrence
5	Certain	This risk is inevitable
4	Highly likely	This risk is highly likely to occur
3	Possible	This risk is moderately likely to occur
2	Unlikely	This risk is unlikely to occur
1	Rare	This risk is very unlikely to occur

Items should then be rated according to the interrelationship of Impact and Probability/Likelihood on the risk register template that a County FA chooses to use. These ratings are colour-coded based against the below scores, with the relevant actions being required. The risk rating should be calculated by reference to both impact and likelihood scores.

Risk Rating	
L 0-3	Low Risk: manage by routine procedures
M 4-7	Moderate Risk: management responsibility must be specified
H 8-12	High Risk: senior management attention needed to monitor monthly
S 13-25	Significant Risk: immediate action required

4.3. Review

The register should be regularly reviewed by the Senior Management Team, and by the project leads. The outputs from these discussions should be looped back into the tracking/analysis stage.

APPENDIX 46

Safeguarding Risk Assessment Tool – Template

The Safeguarding Risk Assessment Tool Template is provided as an exemplar document and can be adapted by County FAs to act as a tool to assess all business risks.

This Safeguarding Risk Assessment Tool Template resource is to be used in conjunction with The FA Guidance Notes 7.2: Safeguarding Deaf and Disabled Children. These are available at **TheFA.com/football-rules-governance/safeguarding/section-7-children-and-young-people-under-18s**

Introduction

This risk assessment tool template has been developed in line with CPSU (Child Protection in Sport Unit) guidance.

It is intended to support County FAs making safeguarding risk assessments where they are providing or commissioning activities for children and young people and adults at risk and/or where facilities are being hired by outside organisations.

It is intended to help County FAs ensure that the safety and welfare of children and young people is the paramount consideration within the planning and delivery of activities specifically for under-18s or adults in disability football.

Guidance on carrying out Risk Assessments is available via The Training Ground Safeguarding Risk Assessment Training module, which includes a bespoke Safeguarding Risk Assessment Template for County FAs. To access the Risk Assessment training and editable CFA template click **here**.

Ownership

Where activities are run directly by the County FA, the County FA should take the lead in ensuring that the risk assessment is completed and reviewed.

Where facilities are being hired or delivery partners are being used the risk assessment should be jointly owned with safeguarding responsibilities being identified as part of any contract of hire or Service Level Agreement (SLA).

It is good practice to review risk assessments after events/activities to learn from experience and adapt accordingly

For the avoidance of doubt, a County FA (or third party) should consider all relevant factors when carrying out a risk assessment and the factors listed below are non-exhaustive and will not apply to every situation in which a risk assessment is required.

A County FA or third party should therefore consider whether each of the factors listed below is relevant in any given situation and whether any additional factors which are not listed in the template are relevant.

1. General information

Date of Assessment	
Date of event	
Venue Location	Name of Venue: Address:
Lead Delivery/Event Organisation	Name: Address:
Lead Organisation contact	Name: Email address: Telephone number:
Venue point of contact Safeguarding/Access/Contract (for example)	Name: Contact information: How information to be displayed at event:
County FA DSO Contact (include name, email and contact number)	Name: Contact information:
Location (GPS co-ordinates)	

Defibrillator location NB: Information on this can be found via **heartsafe.org.uk**	Location: Code: Battery Replacement Date:
Identify location of any access barrier keys	
Emergency vehicle access	
Air Ambulance landing location	
Where unaffiliated/outside agencies such as schools, colleges and uniformed organisations are hiring facilities which organisation's safeguarding policy and procedures will be followed in the event of a concern arising	Name: Contact information:
In the event of under- and over-18s disabled players participating in an event there must be clear reference to both safeguarding children and safeguarding adult policies and procedures.	Policies attached: Yes
Where there is a contract for services or SLA in place does this specify or reference the necessary/minimum safeguarding arrangements	Name: Contact information:
Distribution list	

Policies to be referenced		
Safeguarding – young people. May not be applicable to the participants but may be needed for spectators etc.		
Safeguarding – Adults at Risk. May not be applicable to the participants but may be needed for spectators etc.		
Social media/photography		
Anti-bullying		
Any additional reporting policy e.g. education provider or if discriminatory reference to Kick It Out		
Documents to be completed		
Codes of Conduct		
Contract Agreement		
Medical Emergency Action Plan (MEAP)		
Is Parent/Carer consent required?	**Person under 18**	**Adult with a disability** (Assume adults can self-consent, unless you have reason to believe they cannot)
To attend event		
For child/children/person to be filmed and photographed		
Consent to be contacted via social media/to access information via social media/be visible via social media		
For child/children/person to stay away in overnight accommodation as part of a football event/activity		
For child/children/person to travel overseas as part of a football event/activity (if applicable)		

2. Consent

Generally, consent will be required from parents/carers of under-18s. County FAs may decide after conducting a risk assessment that certain activities can be self-consenting for 16/17-year-olds.

Area of concern or areas to consider	Risk to young people and/or adults with a disability	Risk RAG Rating	Solution/mitigation	Solution/ Mitigation RAG Rating	Review post-activity and by whom
Consent to attend the event			Pre: During:		
Photography/film consent for child/children/ person to be filmed and photographed			Pre: During:		
Social media Consent to be contacted via social media/to access information via social media/be visible via social media			Pre: During:		
Consent re: overnight accommodation for child/children/person to stay away in overnight accommodation as part of a football event/activity			Pre: During:		
Consent for overseas travel for child/children/person to travel overseas as part of a football event/activity (if applicable)			Pre: During:		

3. Suitability of staff and volunteers

Area of concern or areas to consider	Risk to young people and/or adults with a disability	Risk RAG Rating	Solution/mitigation	Solution/ Mitigation RAG Rating	Review post-activity and by whom
Signed Code of Conduct for staff and volunteers (Consider making Code of Conduct available in different formats e.g. Braille, large print)					
Suitability of staff: • DBS • Safeguarding education (children) • Safeguarding education (adults at risk) • Any additional safeguarding training • Disability awareness • Other training, e.g. relevant cultural awareness					
Staffing ratios					
Under-18 referees appointed					
Young Leaders/Youth Council involvement			Pre: During:		

Area of concern or areas to consider	Risk to young people and/or adults with a disability	Risk RAG Rating	Solution/mitigation	Solution/ Mitigation RAG Rating	Review post-activity and by whom
Areas which may need additional planning/ safeguards (a) Deaf teams Signers/ fire alarms (b) Blind team safe access (c) Wheelchair access (d) Pan-disability (case by case depending on those attending). Consider enhanced safeguards e.g. safety of venue, ratio of helpers, accessible toilets (e) Communication challenges if English is not spoken by participants; no interpreter			Pre: During:		

4. Site

Area of concern or areas to consider	Risk to young people and/or adults with a disability	Risk RAG Rating	Solution/mitigation	Solution/ Mitigation RAG Rating	Review post-activity and by whom
Travel arrangements Bus stops, trams, trains etc.			Pre: During:		
Drop off and pick up points			Pre: During:		
Information provided to participants on nearby public transport links			Pre: During:		
Car parking Disability parking bays			Pre: During:		
Changing rooms and showers			Pre: During:		

Area of concern or areas to consider	Risk to young people and/or adults with a disability	Risk RAG Rating	Solution/mitigation	Solution/ Mitigation RAG Rating	Review post-activity and by whom
Toilet facilities including access and location			Pre: During:		
Wi-Fi access			Pre: During:		
Other considerations: Venue/site boundaries General site patrol			Pre: During:		
Overnight accommodation			Pre: During:		
Playing area (Goal posts, surface, pitch markings, RESPECT barriers)			Pre: During:		

Area of concern or areas to consider	Risk to young people and/or adults with a disability	Risk RAG Rating	Solution/mitigation	Solution/ Mitigation RAG Rating	Review post-activity and by whom
Playing area (Suitability for disability format e.g. Powerchair access and evacuation)			Pre: During:		
Facilities • Classroom • Electrical equipment • Wi-Fi access • General site patrol			Pre: During:		
Spectator areas Appropriate space for wheelchairs and mobility aids			Pre: During:		
Public accessibility • Wheelchair access • Car parking • Disabled parking • Clear access and exit routes on paths • Open park access			Pre: During:		

5. Reporting Incidents

Area of concern or areas to consider	Risk to young people and/or adults with a disability	Risk RAG Rating	Solution/mitigation	Solution/ Mitigation RAG Rating	Review post-activity and by whom
Arrangements for referral of concerns and managing allegations			Pre: During:		

6. Medical

Please refer to medical training and note that if a current Medical Emergency Action Plan (MEAP) has been written for the event or venue this section of the safeguarding risk assessment tool may not be necessary. If this is the case, you may choose to record this.

Area of concern or areas to consider	Risk to young people and/or adults with a disability	Risk RAG Rating	Solution/mitigation	Solution/ Mitigation RAG Rating	Review post-activity and by whom
Management of allergies Nuts/bees/anaphylactic shock			Pre: During:		
Relevant medical information in respect of participants including storage and access Adults with a disability should be encouraged to provide relevant information			Pre: During:		
Relevant emergency contact information for participant			Pre: During:		
First aid and medical Information • Qualified First Aiders • Treatment Room • Closest A&E to the venue • Local medical centres/ First Aid arrangements			Pre: During:		

Area of concern or areas to consider	Risk to young people and/or adults with a disability	Risk RAG Rating	Solution/mitigation	Solution/ Mitigation RAG Rating	Review post-activity and by whom
Severe weather provision			Pre: During:		
Emergency evacuation procedures • Fire evacuation plan • Contingency plan other emergencies			Pre: During:		
Dietary Information e.g. allergies/cultural issues			Pre: During:		

7. Other

Area of concern or areas to consider	Risk to young people and/or adults with a disability	Risk RAG Rating	Solution/mitigation	Solution/ Mitigation RAG Rating	Review post-activity and by whom
Relevant insurance is in place • Public liability cover • Personal accident cover **Car insurance** **Travel insurance** **Other as required**			Pre: During:		
Supplementary communication E.g. BSL signers **Provision for non-English speakers**			Pre: During:		
Other			Pre: During:		

8. Risk Assessment approved

Risk Assessment Sign Off	Full Name	Signature	Date
Risk Assessment completed by:			
Designated Safeguarding Officer/Senior Safeguarding Lead			

9. List of events/activities approved to take place at the venue

Event/Activity	**Date of event/ activity**	**Lead LFA Contact**	**Event/Activity safeguarding lead**	**Lead delivery organisation** (County FA, FA, club, league, private hire, etc.)	**Delivery organisation's lead contact(s)** (if not County FA)
		Name: **Contact information:**	**Name:** **Contact information:**		**Name:** **Contact information:**
		Name: **Contact information:**	**Name:** **Contact information:**		**Name:** **Contact information:**
		Name: **Contact information:**	**Name:** **Contact information:**		**Name:** **Contact information:**
		Name: **Contact information:**	**Name:** **Contact information:**		**Name:** **Contact information:**
		Name: **Contact information:**	**Name:** **Contact information:**		**Name:** **Contact information:**
		Name: **Contact information:**	**Name:** **Contact information:**		**Name:** **Contact information:**

10. Review

It is good practice to review risk assessments after events/activities to learn from experience and adapt accordingly

Month/ Year	Review Type	Review	Further Action Required
Date	**On-site review**		
Date	**Feedback from venue** **Venue Contact name:** **Venue Contact details:**		
Date	**Feedback from venue** **Venue Contact name:** **Venue Contact details:**		
Date	**Feedback from venue** **Venue Contact name:** **Venue Contact details:**		

ADDITIONAL COMMENTS

APPENDIX 47

Sport England:
Risk Policy for a Small Association
(adapted for County FAs)

Risk management procedures

Owner	Chief Executive Officer		
Board approved			
Supersedes	N/A		
Version number	1.1		
Date of issue	*[insert date]*	**Review body**	Audit & Risk Committee
Next review date	*[insert date]*	**Original date of issue**	N/A

Version	Date	Author	Status	Comment
1	*[insert date]*	Company Secretary	Draft	Shared with SMT on *[insert date]*
2	*[insert date]*	As above	Draft	Recommended for adoption by the Board on *[insert date]*

1. Introduction

The purpose of this document and of the following risk management procedures is to ensure there is a consistent and effective approach to the process of identification and management of risks across the Association. Some level of risk is inevitable, but the aim of these procedures alongside the approved risk management policy is to ensure that every effort is made to manage risk appropriately by minimising any adverse effects and maximising potential opportunities.

2. Identifying risk to the Association

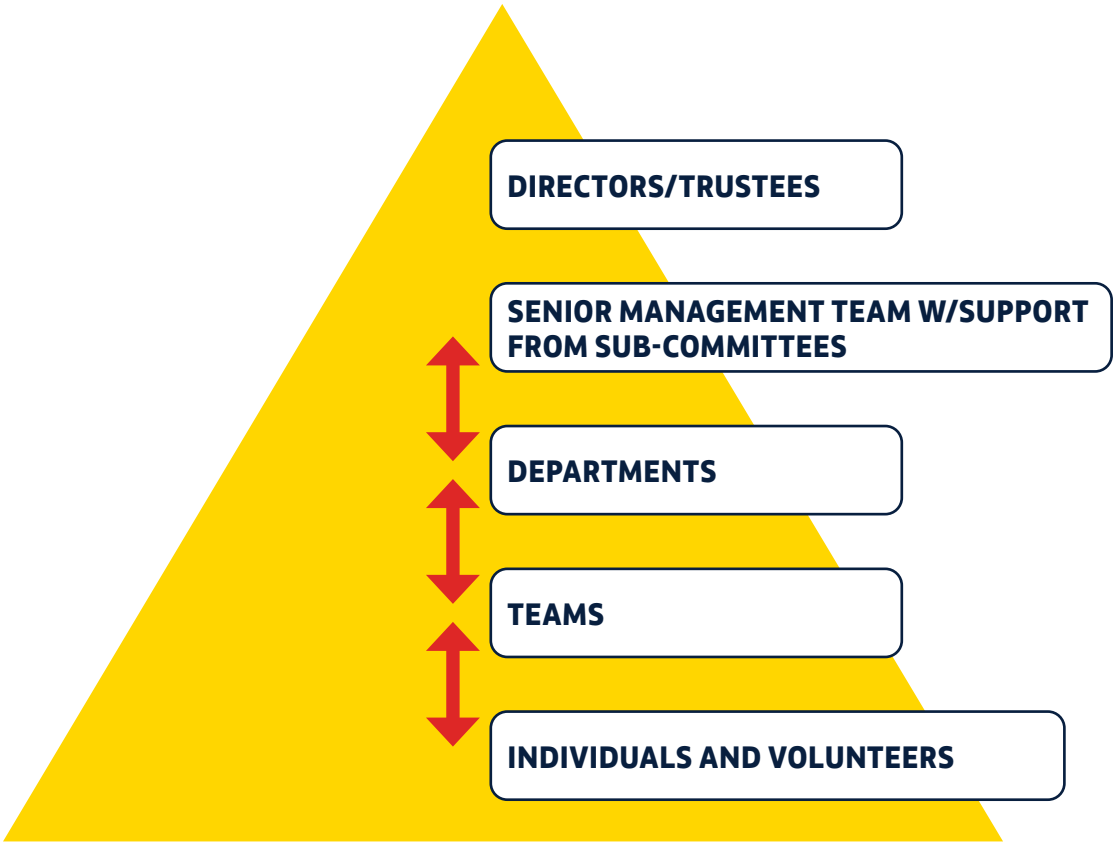
There are many different types of risks that an organisation may face including damage to the organisation's reputation, poor governance, physical risks to people, breaches of regulations and poor management of resources.

There are a number of different risk categories related to our organisation's operations and structure. These are listed below with accompanying examples of the types of risks within these categories (these are not exhaustive):

Students	• Any harm or potential harm to our students whilst in our care • Safeguarding issues, abuse or neglect of a vulnerable student.
Contracts	• Failure of partner or partners to deliver • Failure to adhere to monitoring arrangements
Management	• Loss of key staff, recruitment & retention issues. • Failure to deliver strategic or business plans.
Assets	• Misuse or loss of our assets • Damage, loss, impact on our Property – land, buildings & equipment either owned or leased by the Association • Information – security, retention, timeliness, accuracy, intellectual property rights.
Political	• Change in government priorities which lead to adverse impact on Association • Misalignment with government strategy/funding
Financial	• Loss of/reduction in funding • Fraud or other criminal financial loss • Ineffective or inefficient controls in place
Governance	• Lack of or failure of decision-making
Regulatory	• Failure to meet regulatory/statutory deadlines
Reputation	• Negative publicity either locally or nationally about the Association or one of our staff, students or volunteers • Damage to credibility

Escalation of risk

The escalation of risk within an organisation is a key mechanism for ensuring that risk is managed at the appropriate level by the appropriate individuals. Relating this to Association's risk governance framework, the escalation channels are illustrated below:



Escalation of the risk should occur in the following circumstances:

- If the risk is exceeding the risk appetite set by the Directors/Trustees for that type of risk and there are no further actions available to reduce it;
- If the current risk owner does not have the delegated authority to manage the risk; and,
- If the risk is shared with other departments/business units, or with external organisations, and agreement is not being reached on how to manage it effectively.

Risks are escalated to the next accountable body i.e. a risk deemed to be too great for the risk owner at a business unit/head of level will then be escalated and considered for inclusion on the department risk register.

3. How to escalate risk

It is important to note that risk does not just increase or materialise once a quarter, and Association's procedures need to be agile in responding to emerging risks.

These should occur in 1:1 meetings with line managers, at team meetings and at department meetings. Where timely, these should be captured in the regular review of the department registers and of the Association registers. Where this is not possible, a risk escalation form should be completed and shared with the respective Director.

In the case of any potential new or increased risk which needs to be escalated to the Corporate Risk Register, the Head of Corporate Governance/Company Secretary should be informed as soon as practically possible so this can be recorded.

4. Reviewing and reporting risk within the organisation

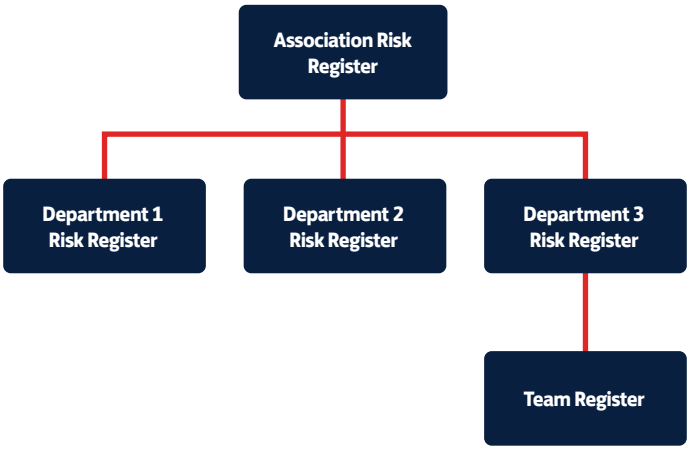
Risks are rated at three different levels; red, amber, green, depending on their likelihood and impact, and the management attention and resource committed to mitigating each of these categories of risk should also be allocated proportionately.

The table below outlines an approach for this for the Association Wide Register:

Residual Risk Level and Score	Frequency of Risk Reviews
RED **12+**	These are significant risks which may have a serious impact on the achievement of objectives if not managed. Immediate management actions need to be taken to reduce the level of residual risk. All red residual risks, at strategic and business unit level, should be reported to the Executive. **As a minimum review monthly at an SMT level until the risk is reduced. This review should include the cumulative/progressing impact of the mitigating actions.** **Decision will need to be taken on whether these risks should also be reported from the Audit & Risk Committee to the Director/Trustee Board.**
AMBER **6–10**	These risks may require some additional mitigation to reduce the likelihood of their occurrence, if this can be done cost effectively. Reassess to ensure conditions remain the same and existing actions are operating effectively. **As a minimum review quarterly at an SMT level.**
GREEN **1-5**	These risks are being effectively managed and any further action to reduce the risk would be inefficient in terms of time and resources. Ensure conditions remain the same and existing actions are operating effectively. **As a minimum review six-monthly – risks may reduce further and fall from the Association Risk Register**

At a department level or business function level, Directors and Heads of may also wish to replicate this process for reviewing risks within their own areas, then using the escalation process when necessary (as stipulated).

5. How the Association register and sub-registers fit together



Sitting underneath the Corporate Risk Register are a number of functional risk registers owned by each respective team. On a monthly basis, the owner of each functional risk register is prompted to report any necessary escalations to the main corporate risk register, and on a quarterly basis, present to the respective sub-committee, where appropriate.

6. Using the Post-Incident Review process to manage risk

As a tool for managing ongoing risk and mitigating future materialisation of risk, the Association operates a *Post-Incident Review (PIR) process*, part of which records and logs corrective actions and learnings from each 'incident' occurrence in order for the organisation to rectify any outstanding issues before they crystallise.

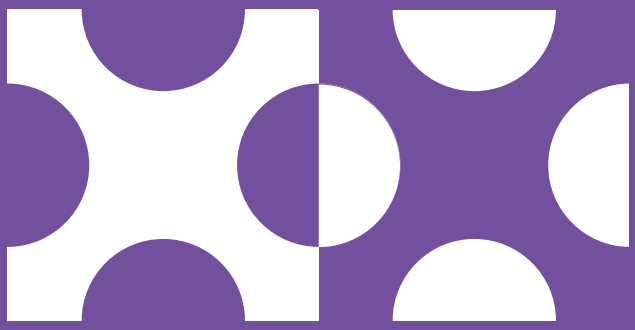
Any incident reported or referred to the Regulator or an external supervisory body, must be taken through a post-incident review process. The number of open PIRs, and the number of complete and incomplete corrective actions will be reported to the Audit & Risk Committee on a quarterly basis.

APPENDIX 48

The UK Equality Standard – A Framework for Sport

This Appendix is reproduced by kind permission of Sport England.

As you'll see, it contains Appendices of its own – not to be confused with the numbering of Appendices of this overall FA-produced document.



The Equality Standard
A Framework for Sport

The Equality Standard
A Framework for Sport

Foreword
by the Chair of each Home Country Sports Councils and UK Sport

1 Introduction

2 Role of the Equality Standard
- 2.1 Rationale
- 2.2 What the Standard covers
- 2.3 The benefits of the Standard

3 The Equality Standard
- 3.1 The Standard explained
- 3.2 Organisational engagement
- 3.3 Verification of achievements
- 3.4 Evaluation of the Standard
- 3.5 Accreditation

4 Using the Equality Standard
- 4.1 Foundation level
- 4.2 Preliminary level
- 4.3 Intermediate level
- 4.4 Advanced level

5 Appendices
- 5.1 Glossary of terms
- 5.2 Points of contact for further information

Foreword

Sport England



I am pleased to support and endorse *The Equality Standard: A Framework for Sport*. Equality is fundamental to Sport England, and it underpins all aspects of our operations. Over the years, Sport England has championed the implementation of the Race Standard, developed by Sporting Equals, which has facilitated significant progress in racial equality within Sport England and by our partners.

It is therefore, a welcome development to have the Equality Standard, which is a progression and extension of the work achieved through the Race Standard, to cover other areas of equality as well. The new Standard provides a framework for Sport England and its partners to move the equality agenda to new levels. I have little doubt that the Standard will have an impact on the delivery of sport and leisure services in England.

I would like to congratulate the four Home Country Sports Councils, UK Sport and the other partners involved in developing and producing the Standard.

Now, let's deliver!



Patrick Carter Chair, Sport England

sportscotland



The celebration of diversity in sport is one of the key targets for **sport**scotland and *The Equality Standard: A Framework for Sport* is crucial to that aim. Equality in sport means the practice of fairness and the application of social justice to all situations and decision making processes. It is vital that we ensure that all individuals are respected, have equal opportunities and have their rights protected. Some may question why we need a document like this in the first place – we would hope and expect that these values already prevail in our sports clubs and organisations. However, as *The Equality Standard: A Framework for Sport* points out, research has shown that this perception is not wholly accurate. Supportive noises are not enough on their own and that is why it was recognised that the production of this Standard was necessary.

I am particularly pleased that the Standard is a collaborative effort involving the four Sports Councils, UK Sport and the partner organisations. When a document has such wide-ranging support from the key organisations involved in the delivery and running of sport in the UK, it confirms its importance, and crucially, a willingness from all involved to make it succeed.

I believe that the production of this national Standard, providing a framework for sports and community organisations, will help to achieve an increased participation in sport from individuals and groups who are currently under-represented. I commend this document to everybody involved in sport throughout Scotland and the UK.



Alastair Dempster Chairman, **sport**scotland

Sports Council for Wales



Sport is both an inseparable part of any country's cultural identity and a vital element in promoting health, individual fulfilment and social interaction. It also provides the opportunity to bring people together. It is inclusive and can provide accessibility to all sections of the community – young and old, those with disabilities and people of different ethnic origins.

The Sports Council for Wales is working with the Welsh Assembly Government to improve health, social inclusion, equal opportunities and sustainable development.

We all have a role to play in levelling the playing field and improving the pathways into sport for those that remain socially excluded from sport. The Sports Council for Wales accepts that challenge.

I would like to thank all those involved in producing this blueprint for the future and I am confident that *The Equality Standard: A Framework for Sport* will help us, and our partners, to redress the balance.

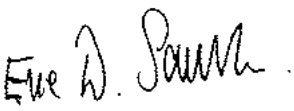


Philip Carling Chair, Sports Council for Wales

The Sports Council for Northern Ireland



The Sports Council for Northern Ireland is committed to ensuring that equality of opportunity is central to all Sports Council activities, including programme development as well as the Equity Training Course. We are delighted to support *The Equality Standard: A Framework for Sport* and it is certainly fair to say that this document is the culmination of many months of hard work. Not only does the Standard provide a framework to ensure that organisations work to actively promote equity in sport in Northern Ireland, but it also forms a crucial step in moving sport forward for the benefit of all of us.



Prof Eric Saunders OBE Chair,
The Sports Council for Northern Ireland

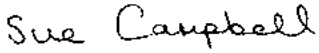
UK Sport



UK Sport set out its commitment to equality in our *Equality and Diversity Strategy* which was published in January 2004. In the Strategy we recognise that some groups in society remain disadvantaged in sport and accept our responsibility to address this lack of access through ethically fair investment and positive action.

It is now well known that equitable sporting opportunities positively effect the health of the nation, improve community cohesion, can raise standards in schools and increase a nation's medal tally. In addition, the demographic make up of the UK population will change radically in the next 10 years and sports organisations need to seek out those groups who traditionally participate less to ensure a stable participation base from which our future medallists can be drawn. Women, black and ethnic minority groups and disabled people all having the right to sporting opportunities and those with the talent and desire should be encouraged to strive for the highest levels of performance.

The Equality Standard: A Framework for Sport will provide the framework and thrust for UK Sport and our partners to engage, involve, promote and develop people from all sectors in society as athletes, coaches, officials, administrators and leaders in sport. The Standard will assist sports organisations in meeting their legislative obligations and drive them to demonstrate not just good practice in equality, but in all aspects of governance. Equality is central to the Modernisation process and sports organisations that are dynamic, visionary and progressive will set equality and the Equality Standard for Sport, as a priority in the coming years.



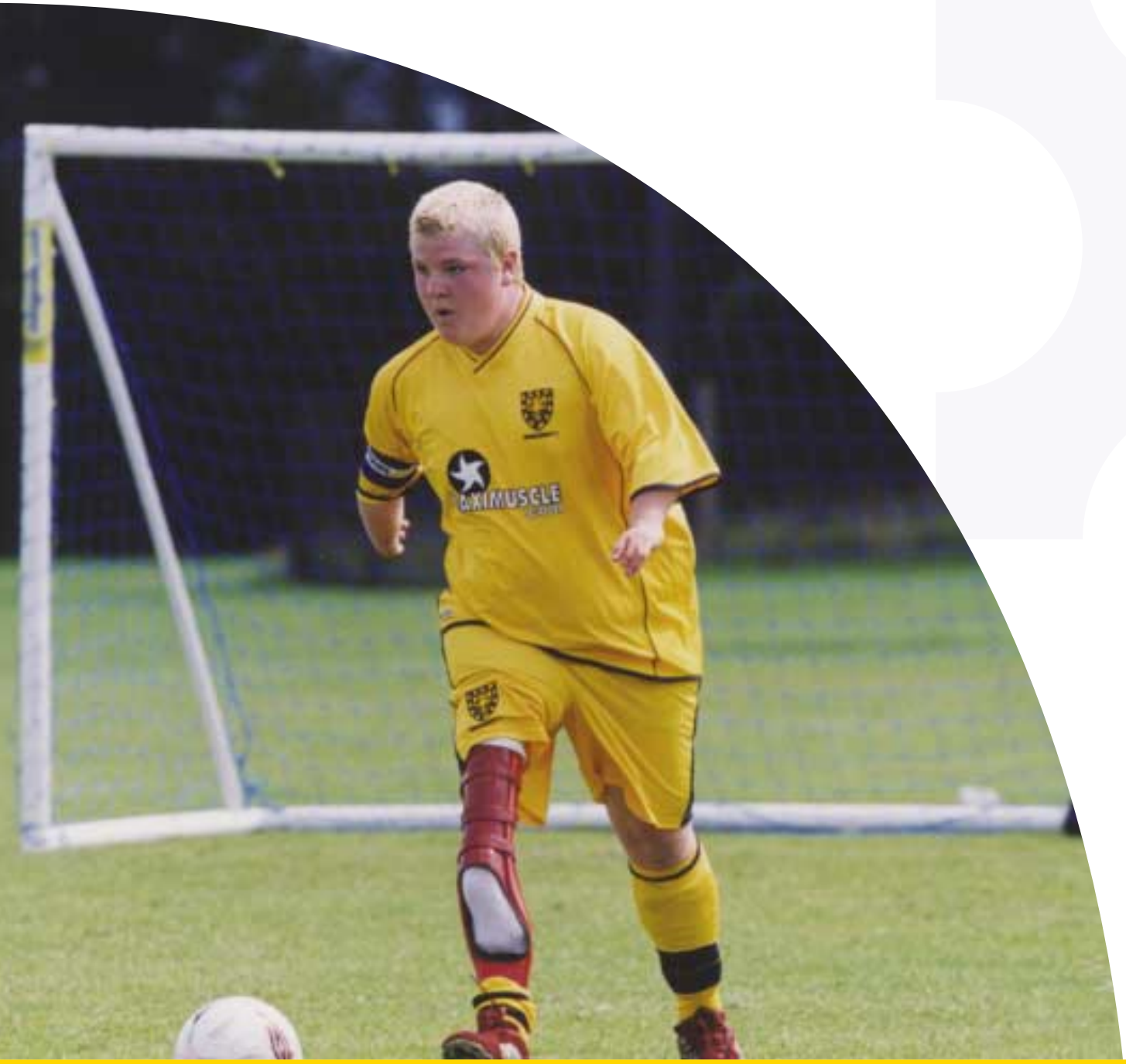
Sue Campbell CBE Chair, UK Sport

1 Introduction

The Equality Standard (the Standard) is a framework to guide sports and community organisations towards achieving equality. It will assist organisations in developing structures and processes, assessing performance and ensuring continuous improvement in equality.

The Standard draws on lessons from *Achieving Racial Equality: A Standard for Sport*, published by Sporting Equals in December 2000.

The Standard is a collaboration of the four Home Country Sports Councils and UK Sport, and is supported by the CCPR, the Women's Sports Foundation, the English Federation of Disability Sport and Sporting Equals.



2 Role of the Equality Standard

2.1 Rationale

Although many sports organisations maintain that they have an 'open door' policy, this has not necessarily changed the traditional levels of participation and involvement in sport. Research shows that many sports have low participation levels by women and girls, ethnic minority groups, disabled people and, in some cases, young people, and these groups are therefore under-represented.

2.2 What the Standard covers

It is recognised that the equality areas that need to be addressed for any organisation will depend on the sport, the role and environment. However, it is also recognised that all organisations are bound by specific equality legislation.



2.3 The benefits of the Standard

Applying the Standard will enable your organisation to:

- Provide a framework for achieving equality in sport.
- Ensure democracy and the sound governance of the sport.
- Increase the number of participants, members, coaches, officials, spectators and volunteers by reaching new audiences.
- Help meet legal duties thereby reducing the likelihood of litigation.
- Enhance the skills and knowledge base of your staff and volunteers.
- Increase active involvement in equality at every level.
- Improve equality practices through monitoring, evaluation and review methods.
- Improve your chances of accessing funding and sponsorship.

And, for those organisations that have started to address equality issues, to:

- Build on existing good practice in equality.
- Assess and review current equality policy.
- Assess and review equality performance and achievements.





3 The Equality Standard

3.1 The Standard explained

The Standard is based on two broad areas of activity and four levels of achievement. All four levels must be supported by relevant evidence, which will be verified through the evaluation process.

In defining the equality needs for sports organisations, the Standard has identified two areas of activity:

- **Developing Your Organisation** – what your organisation is. This will be a reflection of the culture, policies, leadership and people.
- **Developing Your Services** – what your organisation does. This is reflected in the impact that policies, leadership and people have on your organisation's programmes, communications and customer service.

Each level has been developed to take account of the different starting points of different sports organisations. The outcomes from each level are as follows:

FOUNDATION

- Your organisation is committed to equality.
- Your organisation has an equality policy that has been communicated and is understood by staff and key volunteers.
- Your organisation is aware of its current profile in terms of equality.

PRELIMINARY

- Your organisation understands the issues and barriers faced by under-represented groups in sport.
- Your organisation has a robust equality action plan which all staff, volunteers and key stakeholders understand.
- All staff and volunteers within your organisation understand the principles of equality and their role in delivering against your action plan.
- Partner organisations and new audiences are aware of, and are engaged in, the delivery of your action plan.

INTERMEDIATE

- Your organisation has increased the diversity of its leadership, staff, board and senior volunteers.
- All internal policies pay due regard to diversity.
- You have a staff/volunteer team with a strong understanding and commitment to equality at head office, regional, county and club membership levels.
- You have increased the diversity of people participating in and using your services.
- People inside and outside your organisation are aware of your success and achievements in working towards equality.

ADVANCED

- Leadership and staff are reflective of the community your organisation serves.
- Equality is central to the way your organisation carries out all of its work.
- All of your programmes and investment pay due regard to the diverse groups you serve.
- Participants, coaches and officials are reflective of the community.
- All affiliated organisations and clubs are able to engage and develop participants, coaches, officials and administrators from under-represented groups.
- There is an increase in the number of athletes from under-represented groups in performance and elite sport.

The Advanced level is equal to category two of the Modernisation Programme 'Investing in Change'* models of good governance. Governing bodies that reflect category one of the 'Investing in Change' models would be expected to achieve the Advanced level of the Equality Standard and to demonstrate that they have both maintained and 'excelled' at this Advanced level for a further year. Additional evidence would be required to verify that this work has been maintained for this period, confirming that equality issues are part of the mainstream work of the governing body.

*'Investing in Change' clarifies what the Modernisation process means, identifies the strengths and weaknesses of governing bodies, and offers practical advice on the systems, structures and process that they can use in order to operate more effectively and more efficiently.

The national governing bodies of sport (NGB) *Investing in Change Success Criteria/Model Framework* forms the basis of the development model produced for NGBs – and is an essential element of the NGBs Modernisation Programme. Further information is available from the UK Sport website www.uksport.gov.uk or telephone 020 7211 5100.



3.2 Organisational engagement

In the first instance the chief executive and/or the board should make a positive statement reflecting your organisation's commitment to achieving the Equality Standard. Signing up to the Standard can be done in a number of ways:

- A feature article, written by your chief executive or the chair of your board, published in your sport's magazine, website, newsletter or via a press release.
- Announcement of your commitment to the Equality Standard at a public event, such as a national competition, annual general meeting or conference.

3.3 Verification of achievements

In order to make progress through the Equality Standard framework, organisations will have to establish their current position and provide evidence of their achievements. Organisations, which have achieved the Preliminary level of the Racial Equality Standard in sport, can use this as part of the evidence needed for the Equality Standard. Monitoring is essential to enable organisations to measure change and improvement.

On completion of a level, your organisation will forward a portfolio to the relevant Sports Council, to convene the panel responsible for assessing and verifying the evidence.

If your organisation is unsuccessful in meeting the Standard, the panel will give their reasons in writing and you will have an opportunity to respond. You can re-submit your portfolio for the panel to reconsider its decision.

An appeals process is available.

3.4 Evaluation of the Equality Standard

The validation and evaluation of the Equality Standard will be carried out in different ways for the different levels.

3.5 Accreditation

As a minimum the independent panel will consist of two Sports Council representatives, a representative from a sports organisation and an equality specialist.



4 Using the Equality Standard

4.1 Foundation level

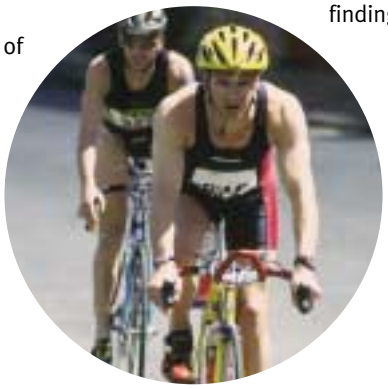
Principle: your organisation is committed to equality





A. Developing Your Organisation

OUTCOME	SUGGESTED KEY TASKS	SUGGESTED EVIDENCE
1 Your organisation is committed to equality.	Set accountability for equality at the highest level in the organisation both in terms of officers and committee members. Commit staff time/budget to equality generally and the process of achieving the Equality Standard specifically. Ensure that all those involved in your organisation are aware of this commitment.	Named person or group accountable for equality. Specified budget and staff or volunteer time recorded in meeting minutes, person specification, and individual action plan. Written communication, website pages, internal communication.
2 Your organisation has a policy for equality that has been communicated and is understood by staff and key volunteers.	Draft a policy for equality. Develop briefing sessions/training for senior staff and committee members on equality and its relevance to your sport. Ensure all staff and key volunteers have an opportunity to contribute to its development. Disseminate and communicate the policy for equality throughout your organisation.	A copy of the policy that addresses equality. Training session notes, list of attendees and evaluations. Presentation papers, list of attendees, publications or promotional materials, staff handbook, members' handbook, recruitment literature, induction training, minutes of meetings, advertisements, recruitment materials, policies and procedures, staff training, members' information.
3 Your organisation is aware of its current profile and position in terms of equality.	Conduct an audit of: • the equality profile of staff, volunteers, board, coaches and officials • human resources policies • marketing and communications • profile of members, participants, service users • profile of elite performers. Analyse the findings in terms of trends and equality impact. Present the information in a format that enables the information to be easily used in the development of an equality action plan (see Preliminary level).	Statistical data that demonstrate the demographic profile of the organisation to include staff, all volunteers, coaches, officials and participants, in terms of gender, ethnicity, age, disability and sexual orientation (staff only). Report and presentation of the findings.

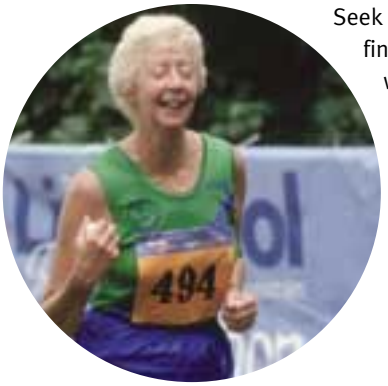


4.2 Preliminary level

Principle: your organisation is clear about what it needs to do to achieve equality

A. Developing Your Organisation

OUTCOME	SUGGESTED KEY TASKS	SUGGESTED EVIDENCE
1 Your organisation understands the issues and barriers faced by under-represented groups.	Seek guidance on the findings of the audit which demonstrate under-representation from particular groups.	Notes of meetings, training and briefing sessions with relevant experts. Research report or data that investigates the relevant issues and barriers and underlines rationale. Attendance at relevant conferences, seminars and workshops. Internal study or survey on the equality issues facing the organisation's staff and/or volunteers.
2 Your organisation has a robust action plan for equality which all staff, volunteers and key stakeholders understand.	Review policies, procedures and programmes for their equality impact. Draft an action plan for equality. The action plan should take account of all areas of your organisation's activities including: sports development work, administration, personnel and human resources, publicity and marketing, representation and committee structures and elite elements of the sport. Identification of pathways for under-represented groups. Develop a consultation process both within the sport and with external stakeholders including equality target groups and equality organisations. Integrate systems for monitoring and review into the action plan. Communicate and promote the organisation's policy and action plan internally.	Copies of old and new policies, correspondence that demonstrate a review has taken place. Correspondence and communication from staff and senior volunteers that contribute to the development of the equality action plan including memos, meeting minutes, briefing papers. Details of communication with under-represented groups, eg consultation meetings, focus groups, written responses or direct contributions to the action plan. Copy of the equality action plan which details objectives, tasks, accountability, timescales and resources. Copies of monitoring procedures, including a plan of how they are to be resourced, reports and minutes of meetings. Briefing and literature, staff handbook, code of conduct, members' handbook, website, inclusion in annual report, marketing plan, club materials.



OUTCOME	SUGGESTED KEY TASKS	SUGGESTED EVIDENCE
3 All staff and volunteers within your organisation understand the principles of equality and their role in delivering against the action plan.	Undertake a training needs analysis for staff, managers and senior volunteers. Establish relevant training and staff development initiatives which support the equality action plan and organisation's objectives. Identify the roles of individuals in delivering elements or sections of the action plan. Review all human resource policies, procedures and practices, for example: • Clear and relevant selection criteria for staff and senior volunteers. • Equality training staff involved in recruitment and selection. • Format and content of application materials to include information on equality. • Seek alternative media to reach under-represented groups. • Ensure grievance, disciplinary and complaints procedures are in place.	Organisation's training programme, demonstrating how equality is addressed. Training, seminar and workshop materials. Key staff and leading volunteers have specific responsibilities detailed in the action plan. Review framework, report of human resources review, minutes of meetings, new or amended policy documents. Selection criteria, application packs, recruitment literature, internal and external communications, recruitment and selection training programme, list of attendees on training.



B. Developing Your Services

1 Partner organisations and new audiences are aware and engaged in the delivery of the action plan.	Promote the action plan to, and through, equality organisations. The organisation has an agreement with equality organisations, and a means of communicating with key stakeholders, on the implementation of the equality action plan.	Joint articles, press releases, features and media list. Correspondence with equality organisations. Surveys of stakeholders including those from under-represented groups. Use of new media forms including sporting and non-sporting media whose audience is primarily from under-represented groups.

4.3 Intermediate level

Principle: your organisation is increasing opportunities for a diverse range of people

A. Developing Your Organisation

OUTCOME	SUGGESTED KEY TASKS	SUGGESTED EVIDENCE
1 Your organisation has increased the diversity of your leadership, staff, board and senior volunteers.	Establish positive action schemes to increase the diversity of staff and board, including: • Set targets for representation on staff team, committees and boards. • Run positive advertising campaigns. • Develop succession programmes and mentoring for key positions. • Co-opt or second individuals from under-represented groups. Support the process with specific gender, disability and racial equality training to include elements on sexual orientation, age and religion. Positively promote positions within the organisation to increase applications from target groups.	Information on positive action schemes developed to increase the diversity of staff and board including: • advertisements • promotional materials • person specification • evidence of media used. Ongoing reporting of profile of staff and board. Training courses or modules that include specific equality elements, course evaluations. Advertisements placed with diverse publications, websites or targeting specific groups.





OUTCOME

2

All of your organisation's internal policies and procedures pay due regard to diversity.

SUGGESTED KEY TASKS

Carry out impact assessments and review of all policies.

Communicate these to staff and board.

Amend existing policies and procedures or develop new policies and procedures that establish good practice in human resource management.

Implement appraisal and objective setting in equality for senior staff.

Allocate performance targets to key staff and senior volunteers.

SUGGESTED EVIDENCE

Impact assessment process and results.

Documented annual policy review which takes account of legislative obligations, results of monitoring against targets and performance indicators.

Evidence of good practice in:

- human resource policies and management
- grievance and disciplinary policies
- selection and recruitment procedures
- education programmes and strategies.

Examples of appraisal and performance targets.





B. Developing Your Services

OUTCOME	SUGGESTED KEY TASKS	SUGGESTED EVIDENCE
1 Your organisation has increased the diversity of people participating/using its services.	Identify and promote examples of good practice in sport relating to equality. Establish pilot programmes to increase participation by under-represented groups. Contribute to national or international projects that address participation by under-represented groups. Programmes might include: • sports development initiatives • partnership links with schools, local authorities, sports action zones, regional sports boards • social inclusion partnership projects • evaluate the project.	Reports, minutes, monitoring and review papers, service user surveys, project evaluations. Pilot specification, aims and action plan. Correspondence or publicity materials for pilot programmes. Evaluation report. Audit data that demonstrate an increase in service users and/or participants.
2 People inside and outside your organisation are aware of your success and achievements in working towards equality.	Positively promote the organisation's commitment, equality action plan and achievements in equality: • Equality proofed publicity and promotional materials on the website, in newsletters or magazines. • Regular communication with non-traditional media which highlights your organisation's success against performance targets. • Use champions, figure heads or well-known figures to help publicise successes. • Organise a community event to congratulate volunteers who contributed to the success. • Celebrate successes through seminars, workshops or awards ceremonies.	Written examples of good practice and case studies. Information on organisation's website and intranet. Acknowledgement at board meetings. Lead speaker or workshop at a major conference. Equality section in sport newspaper/ newsletter. Journalist comment in local, regional or national newspaper. Slot on local, regional, national or specialised radio programme. Publicity materials, website promotion, communication with partner organisations and non-traditional media. Communication with partner agencies, including other sports bodies that promote the organisation's successes and shares good practice.



4.4 Advanced level

Principle: your organisation offers fair and equal opportunities to its staff and the communities it serves

A. Developing Your Organisation

OUTCOME	SUGGESTED KEY TASKS	SUGGESTED EVIDENCE
1 Leadership, and staff are reflective of the community you serve.	Gather statistical data that demonstrate an increase in the diversity of boards, advisory groups and staff.	Audit report. Reports to committee and/or management teams, which highlight the increase in the organisation's profile to reflect the community at large.
2 Equality is mainstreamed through the organisation's operations, functions and service delivery.	Ensure key policies and strategies in all areas of activity include a visible equality dimension. Named staff and board members are identified as being responsible for equality in their area of operation. Actively seek representation on boards and committees of previously under-represented groups through positive action. Ensure there is an equality manager or senior member of staff with capacity to develop the equality programme. Ensure equality training is included in induction, performance review and appraisals for staff and volunteers. Take appropriate action in the event of non-compliance with the organisation's equality policies and requirements by individuals, affiliated bodies or contractors.	All policies to have an equality focus that is highlighted. Equality priorities highlighted in staff and board members' individual objectives. Audit report that demonstrates representation appropriate to your organisation's community with positive trends in areas of previous under-representation. Staff and resources for equality in place and accounted in your organisation's staff structure. Induction and training programmes, review and appraisal templates. Organisational procurement and grant award policies, records of complaints, monitoring reports and action taken at national, regional and local level.





B. Developing Your Services

OUTCOME

1

Participants, coaches, officials, volunteers and administrators are generally reflective of the community.

SUGGESTED KEY TASKS

Collect and/or analyse demographic data of your organisation's community, eg national, regional or local populations.

Develop and deliver specific initiatives that will encourage more people from under-represented groups to take up your sport. These could be your own or you could participate in a wider project. (These might be a result of a pilot project implemented at the Intermediate level).

Gather information and formulate a report that demonstrates the organisation's success at achieving a diverse participant base reflecting your organisation's community.

Review the impact of the initiatives developed and delivered at the Intermediate level.

Establish development targets for clubs and key competitions to reflect their communities and the need to address under-representation in sport.

SUGGESTED EVIDENCE

Demographic report, evidence sources or relevant surveys.

Rationale and evidence base for target setting. Targets with timescales integrated into development plans.

Project development plans, evaluation and monitoring reports.

Completed report, participant surveys or evaluations.



OUTCOME	SUGGESTED KEY TASKS	SUGGESTED EVIDENCE
2 All of your organisation's programmes and investment pay due regard to the diverse groups it serves.	Your organisation seeks to demonstrate that it has: • Established and reviewed targets for equality. • Monitored participation and development initiatives. • Worked effectively in partnership. • Established discrete budgets for equality. • Assessed budgets for the impact of equality. • Developed equality impact assessment for their sport. • Used statistical information to demonstrate how under-represented groups have benefited from resource and funding decisions. • Integrated equality into all communications and key products associated with your organisation.	Report or evaluation of impact of programmes that target under-represented groups. Target groups' consultation and correspondence. 
3 All affiliated organisations and clubs are able to engage and develop participants, coaches, officials and administrators from under-represented groups.	Clubs establish links to local initiatives and networks to increase participation and membership levels. Promote or establish club and affiliation schemes, such as Sport England Clubmark, that integrates equality into the sound governance and performance management of clubs. Schemes to include guidance and support for clubs to target and engage under-represented groups in all capacities: • participants • coaches • administrators • officials. Provide guidance and information on funding streams that target local club development and/or social inclusion.	Information and promotional materials for club accreditation scheme. Correspondence and communication with affiliated bodies and clubs. Correspondence with schools, local authorities and local networks. Guidance and support materials developed specifically for clubs. Monitoring reports of clubs applying for, and achieving, club accreditation. Funding information secured, or developed, and circulated to clubs. Monitoring reports of funding applications submitted and the number that are successful.



OUTCOME

4

There is an increase in the number of athletes from under-represented groups at performance and excellence levels of sport (governing bodies only).

SUGGESTED KEY TASKS

Audit of the profile of athletes at performance and excellence levels.

Assess the specific needs of different groups in developing talent and accessing performance pathways.

Analyse current performance pathways and develop specific programmes to ensure equitable investment and provision. This might include:

- Education and training for coaches, managers and selectors.
- Information and training for parents and carers.
- Revised strategic and competition planning, including investment strategies.
- Youth development programmes that target under-represented groups.
- Revised training camp structures.

SUGGESTED EVIDENCE

Audit data of athletes at all representative levels, including youth programmes, Start and Potential, Elite Cymru, World Class Performance programme and Talented athletes.

Analysis report of issues and barriers for under-represented groups.

Surveys of service users including coaches, parents, carers and athletes.

Project plans, targets, training plans, course attendees, correspondence with service users and publicity materials.



5 Appendices

5.1 Glossary of terms

Community
A group of people with shared interests, locally and/or nationally.

Disability
Defined under the Disability Discrimination Act 1995 as 'a physical or mental impairment that has a substantial and long-term adverse effect on a person's ability to carry out normal day-to-day activities'.

Disability – Social Model
Disability is a condition imposed on disabled people by society and is created by prejudice, fear, myths and ignorance. It limits opportunities for education, employment, financial independence and full social interaction.

Disadvantage
An unfavourable circumstance or the disproportionate deprivation of some or all resources without reason.

Discrimination
The action that people take on the basis of their prejudices, which results in unfair and unjust treatment.

Direct discrimination
Treating one person less favourably than another in similar circumstances. Direct discrimination on the basis of sex often shows itself in traditional stereotypes about the roles of men and women and what might be considered 'men's jobs' and 'women's jobs'. Women are frequently the target of discriminatory practices.

Indirect discrimination
Imposing requirements or conditions, which on the face of it, apply equally to all but which, in practice, can be met only by certain sections of the population. Such requirements or conditions are lawful only if they can be objectively justified.

Diversity
Respecting and celebrating individual and community differences.

Equal opportunities
Within the employment context, treating people as individuals and providing them with opportunities on the basis of their skills, talents and qualifications so that they are neither disadvantaged nor denied access on the grounds of their age, disability, ethnicity, race, sex or sexual orientation.

Equality
The state of being equal – treating individuals equally, which is not necessarily the same as treating them the same. In some cases the need for equality may require unequal effort to ensure that the principle of equality is achieved.

Equity
In its simplest sense, 'fairness'; the process of allocating (or reallocating) resources and entitlements, including power, fairly and without discrimination. It includes fairness in opportunity and the upholding of individual human rights through social justice.

Empowerment
A learning organisation is one that provides the skills, competencies and information to enable individuals to learn and develop their potential that will benefit both the individual and the sport.

Ethics
The systematic application of moral rules, principles, values and norms.

Ethnic minority communities
This term is often used to distinguish between white people and black and other ethnic minority communities.

Harassment
A form of discrimination that may lead to a breach of statute as it constitutes an activity that can be detrimental to members of one particular race or sex. Harassment can be defined as an action or comment that causes persistent offence to a person or group. An example of racial harassment would be racially motivated behaviour that causes distress or discomfort to people from ethnic minority communities.

Mainstreaming
The systematic integration of gender equality into all systems and structures; policies, programmes, processes and projects; into cultures and their organisations, into ways of seeing and doing.

Positive action
A range of measures or initiatives intended to redress the effects of past discrimination. For example, positive action measures are frequently used to encourage applications from an under-represented group in an organisation or to introduce training where there is under-representation of a particular group in the organisation. Positive action can be taken to redress a balance only within the bounds of the appropriate legislation.

Prejudice
Negative, irrational feelings, attitudes and opinions that people have about other people. It suggests prejudging or forming an opinion about other people without any prior knowledge of them.

Racism
The total effect of racial disadvantage and discrimination, caused deliberately or inadvertently by individuals, groups or organisations.

Sexism
The systematic discrimination against one sex (usually by the other).

Sexual orientation
An awareness of expressions, actions, declarations, attitudes or behaviours linked to an awareness of own or others sexual identity. These identities include lesbians and gay men, bisexual women and men, heterosexual men and women, and transsexual people.

Social inclusion
A process of tackling needs, generally for communities who are or who have been excluded from services and opportunities that the majority of the community has access to. Social inclusion is often used to describe places where there are excluded communities and where there is a need for actions that bring opportunities to these excluded people. It is often used in the context of opportunities in education, housing, economic prosperity, health, employment and in community safety and crime reduction and in community facilities (arts, sport, culture and community venues and services) and transport.

Stereotyping
The process of labelling people because they are members of a particular visible group or developing a standardised image of a person or group, whereby it is assumed that they must also share particular traits that are considered characteristic of that group.

5.2 Points of contact for further information

SPORTS COUNCILS

UK Sport
40 Bernard Street
London WC1N 1ST
Tel: 020 7211 5100
Fax: 020 7211 5246
Email: info@uksport.gov.uk
Website: www.uksport.gov.uk

Sport England
Third Floor Victoria House
Bloomsbury Square
London WC1B 4SE
Tel: 08458 508 508
Fax: 020 7383 5740
Email: info@sportengland.org
Website: www.sportengland.org

sportscotland
Caledonia House
South Gyle
Edinburgh EH12 9DQ
Tel: 0131 317 7200
Fax: 0131 317 7202
Email: library@sportscotland.org.uk
Website: www.sportscotland.org.uk

Sports Council for Wales
Welsh Institute of Sport
Sophia Gardens
Cardiff CF11 9SW
Tel: 029 2030 0500
Fax: 029 2030 0600
Email: scw@scw.co.uk
Website: www.sports-council-wales.co.uk

Sports Council for Northern Ireland
House of Sport
Upper Malone Road
Belfast BT9 5LA
Tel: 028 90 381222
Fax: 028 90 682757
Email: info@sportni.net
Website: www.sportni.net

SPORTS ORGANISATION

CCPR
Francis House
Francis Street
London SW1P 1DE
Tel: 020 7854 8500
Fax: 020 7854 8501
Email: info@ccpr.org.uk
Website: www.ccpr.org.uk

EQUALITY ORGANISATIONS

Women's Sports Foundation
Third Floor Victoria House
Bloomsbury Square
London WC1B 4SE
Tel: 020 7273 1740
Fax: 020 7273 1981
Email: info@wsf.org.uk
Website: www.wsf.org.uk

Phab NI Inclusion Matters
Jennymount Business Park
North Derby Street
Belfast BT15 3HN
Tel: 028 90 746 555
Website: www.phabni.org

Special Olympics Ulster
Unit 7
Silversprings
Market Street
Ballymoney BT53 6EA
Tel: 028 2766 6959
Website: www.specialolympics.ie

Sporting Equals
Commission for Racial Equality
3rd Floor, Lancaster House
67 Newhall Street
Birmingham B3 1NA
Tel: 0121 710 3014
Fax: 0121 710 3022
Email: sportequal@cre.gov.uk
Website: www.cre.gov.uk/speqs

English Federation of Disability Sport
Alsager Campus
Manchester Metropolitan University
Hassall Road
Alsager ST7 2HL
Tel: 0161 247 5294
Fax: 0161 247 6895
Email: federation@efds.co.uk
Website: www.efds.co.uk

Scottish Disability Sport
Scottish Disability Sport
Fife Sports Institute
Viewfield Road
Glenrothes KY6 2RB
Tel: 01592 415700
Fax: 01592 415710
Email: ssadsds@aol.com
Website: www.scottishdisabilitysport.com

Federation of Disability Sport Wales
Welsh Institute of Sport
Sophia Gardens
Cardiff CF11 9SW
Tel: 029 2030 0526
Email: office@fsadwales.org

Disability Sports Northern Ireland
Unit 10
Ormeau Business Park
8 Cromac Avenue
Belfast BT7 2JA
Tel: 028 9050 8255
Fax: 028 9050 8256
Email: email@dsni.co.uk
Website: www.dsni.co.uk

Stonewall (Lesbian and Gay Rights)
16 Clerkenwell Close
London E1
Tel: 020 7881 9440
Website: www.stonewall.org

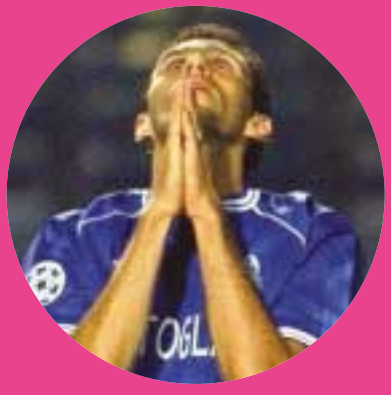
EQUALITY COMMISSIONS

Equal Opportunities Commission
Overseas House
Quay Street
Manchester M3 3HN
Tel: 0161 833 9244
Website: www.eoc.gov.uk

Commission for Racial Equality
St Dunstan's House
201–211 Borough High Street
London SE1 1GZ
Tel: 020 7939 0000
Fax: 020 7939 0001
Website: www.cre.gov.uk

Disability Rights Commission
Freepost MID 02164
Stratford upon Avon CV37 9BR
Tel: 08457 622 633
Website: www.drc-gb.org

Equality Commission of Northern Ireland
Equality House
7–9 Shaftesbury Square
Belfast BT2 7DP
Tel: 028 9050 0600
Fax: 028 9024 8687
Textphone: 028 9050 0589
Email: information@equalityni.org
Website: www.equalityni.org



Endorsement

The CCPR, Women's Sports Foundation, English Federation of Disability Sport and Sporting Equals are delighted to support and endorse The Equality Standard.

The Equality Standard is a significant step towards making provision of sport in the United Kingdom fair, just and equal. We, the partners, have contributed to the Standard and will work with our colleagues at each Home Country Sports Council and UK Sport to provide the impetus to ensure it is translated into practice.

This publication can be made available in alternative formats or languages. For further information contact Sport England Marketing on 08458 508 508.

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APPENDIX 49

The UK Equality Standard – Resource Pack

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UK Equality Standard

Resource Pack

The Equality Standard
A Framework for Sport



Requirements and Forms

Produced May 2012
Updated February 2014
by the Sports Council Equality Group













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5. Further Information

1. Introduction

The Equality Standard: A Framework for Sport (the Standard) was launched by the UK sports councils in November 2004 to help address the inequalities that exist within the sports sector. It is a framework to guide sports organisations, including: governing bodies of sport, county sports partnerships (CSPs), sports councils and national sports organisations towards achieving equality. A more detailed introduction to the standard can be found in the "process and guidance for sports organisations" document.

This document contains three sections:

- Outcomes, minimum requirements, evidence, examples of good practice and additional guidance for each level of the Standard;
- The assessment criteria against which all submitted evidence should be tested;
- An assessment form for each level of the Standard.

This is part of an overall suite of guidance material containing four other documents:

- Process and guidance for sports organisations;
- Designated support lead (DSL) process and guidance;
- Equality standard assessor (EQSA) process and guidance;
- Glossary of terms.

2. Minimum requirements

2.1
Areas of activity

The Standard is based on two broad areas of activity:

- Developing your organisation — This will be a reflection of the culture, policies, leadership and people;
- Developing your services — This activity describes the work an organisation has done to improve delivery and will be reflected in action plans (e.g. inclusion programmes, initiatives to encourage under represented groups to participate etc).

2.2
Levels of achievement

There are four levels of achievement, Foundation, Preliminary, Intermediate and

Advanced, with each being structured in the following tables as shown below:

- Each level contains three or four outcomes;
- Each outcome is broken down into a number of minimum requirements;
- For each minimum requirement, there is a list of evidence for DSL assessment, a list of evidence for EQSA assessment, best practice and some additional guidance.

It is expected that the applicant organisation will be assessed against the specified evidence. However, the evidence listed is a guide and it is not prescriptive. Suitable alternatives can be presented if they meet the outcomes and will be judged on their merits.

2.3
Principles of each level

Foundation
The organisation is committed to equality and that commitment is communicated to all staff and volunteers.

Preliminary
The organisation is clear about what it needs to do to achieve equality, it understands the issues and barriers faced by under-represented groups in sport and has a robust equality action plan which all staff, volunteers and key stakeholders understand.

Intermediate
The organisation is increasing opportunities for participation and involvement by a diverse range of people including representation on its own leadership, staff, board and senior volunteers. All internal policies pay due regard to diversity.

Advanced
Leadership and staff, including coaches and officials as well as participants, are offered a fair and equal opportunity and are reflective of the community the organisation serves.
Equality is central to the way an organisation carries out all of its work.
All affiliated organisations and clubs are able to engage and develop participants, coaches, officials and administrators from under-represented groups.

2.4 Foundation level

Outcome	Minimum requirement	Evidence for DSL Assessment	
1 Your organisation demonstrates a clear commitment to equality.	1.1 Set responsibility for equality at the highest level in the organisation both in terms of officers and board members; • Board and head of organisation have responsibility for equality.	Written evidence the board has nominated or appointed a lead officer or board member with responsibility for equality e.g. job descriptions; written into policy; terms of reference.	
	1.2 Deliver briefing to engage senior staff and board members on equality and its relevance to increasing participation in your sport.	Briefing session notes and/or presentations delivered to the board and staff on equality e.g. requirements and benefits of engaging with the Standard, legislation, business case, consideration of barriers, good practice examples.	
	1.3 Ensure that all those involved in the organisation are aware of its commitment to equality: • A public commitment to addressing inequalities and preventing discrimination; • A zero tolerance approach to harassment and unfair treatment is demonstrated.	• An equality statement on website and/or written material; • Email equality statement to staff (paid and unpaid) and board members; • Board minutes/agenda with equality as standing item.	
2 Your organisation has a policy for equality that has been communicated to staff (paid and unpaid), board, coaches, officials, and members/participants.	2.1 Implement a policy for equality.	• A written up to date policy which complies with the home country legislation; • Board minutes demonstrate that the policy was approved.	
	2.2 Ensure all staff and key volunteers have an opportunity to contribute to its development.	Evidence to demonstrate that the policy has been circulated to all staff (paid and unpaid) and board members for an opportunity to contribute to the policy, with responses collated and considered. Email, board minutes, newsletter or similar circulation of the policy is acceptable as long as this is supported by the collation of responses.	
	2.3 Disseminate and communicate the policy for equality throughout the organisation.	Equality policy and statement accessible on the organisation's website.	

	Evidence for EQSA Assessment	Best practice	Additional guidance
	Written evidence the board has nominated or appointed a lead officer or board member with responsibility for equality e.g. job descriptions; written into policy; terms of reference.	Nominated or appointed lead officer has support from an internal group which is responsible for ensuring that the equality policy is implemented. A figure for equality resource (human or financial).	
		List of attendees at briefing and; briefing to be delivered as part of induction for all new staff.	
		Committee papers/senior management meetings agendas showing equality as a standing item.	The equality statement can be your vision for equality.
	A written up to date policy which complies with the home country legislation.		Example policies are available on the Equality in Sport website: www.equalityinsport.org The policy should include: a statement of intent; scope; an outline of specific commitments and actions; an open and accessible membership approach; details of how the policy will be implemented; responsibilities; details of how the policy will be monitored and updated and; how complaints will be addressed.
		Consultation with other equality partners when developing the equality policy.	For a list of equality partners that support work relating to each of the protected characteristics, please see www.equalityinsport.org Each home country may have its own representative organisations and equality partners. Examples include: home country disability sport organisations, Sporting Equals, Women's Sport and Fitness Foundation, Local Ethnic Minority community organisations, Stonewall, local coalition groups etc.
		Referenced within the organisations service level agreements and contracts.	A sign and return form for the policy can be used to demonstrate that all staff have read and understood the policy. It could be part of induction process or in the staff handbook, which is signed off.

continues overleaf

2.4 Foundation level (continued)

Outcome	Minimum requirement	Evidence for DSL Assessment	
3 Your organisation is aware of its current profile and position in terms of equality.	3.1 Conduct an audit of: • Staff (paid and unpaid) and board.	A complete equality profile of the staff (paid and unpaid) and board to be conducted against all categories relevant to the legislation of the home country.	
	3.2 Present and summarise the findings of the profile audit in an accessible format and communicate to board, staff (paid or unpaid) and to members where relevant.	Findings of the audit collated and presented with a comparison against national data where available. Evidenced through board minutes, staff (paid or unpaid) briefing notes, correspondence and website.	
	3.3 Consideration that HR policies and communications activities are up-to-date in terms of latest equality legislation by completing HR and communications audits.	Completed HR audit as per template. Completed communications framework as per template.	

	Evidence for EQSA Assessment	Best practice	Additional guidance
		Nominated or appointed lead officer has support from an internal group which is responsible for ensuring that the equality policy is implemented. A figure for equality resource (human or financial).	Appropriate audit profile forms are available on the Equality in Sport website: www.equalityinsport.org For small applicant organisations, a reasonable and practical approach should be taken. The EQSA will require evidence of process to feel satisfied that the methodology has not been biased, the coverage has been fully inclusive and that all the equality categories have been asked. England, Wales and Scotland: age, disability, gender reassignment, marriage or civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation. Northern Ireland: persons of different religious belief, political opinion, racial group, age, marital status or sexual orientation; men and women generally; persons with a disability and persons without; and persons with dependents and persons without.
	Findings of the audit collated and presented with a comparison against national data where available.	Findings of the audit collated and presented with a comparison against other organisations, local population, and sport participation surveys. This might include national survey data on sports participation in the home countries, such as The Northern Ireland Sport and Physical Activity Survey (SAPAS) and the Active People Survey.	Go to sports council websites to find survey data information, or contact similar size organisations, whom may have achieved this level. Census data from each home country will provide national comparisons. Links to relevant data sources can be found at: www.equalityinsport.org The audit should clearly identify the organisational profile, broken down by those strands relevant to your home country. Graphs are acceptable. Areas for improvement should be clearly identified.
			Please see the HR and Communications audit templates, available on the website: www.equalityinsport.org Policies to be considered: • Recruitment and selection; • Harassment and bullying; • Disciplinary; • Flexible working; • Grievance. Policies do not have to be in place at Foundation level, but to meet legal requirements sports are encouraged to develop and review policies using the following resources: • Sports and Recreation Alliance: www.sportandrecreation.org.uk • Welsh Sports Association: www.welshsports.org.uk • Advisory, Conciliation and Arbitration Service: www.acas.org.uk/index.aspx?articleid=1461 For further information, or for links to the latest equalities legislation, please see: www.equalityinsport.org

2.5 Preliminary level

Outcome	Minimum requirement	Evidence for DSL Assessment	
1 Your organisation is aware of its current external profile and position in terms of equality.	1.1 Conduct an equality profile audit of: • Staff (paid and unpaid) and board members; • Coaches, officials and members/ participants.	A complete equality profile of the staff (paid and unpaid), board, coaches, officials and members/participants to be conducted against all categories relevant to the legislation of the home country and as advised by the home country sports council.	
2 Your organisation has a robust equality action plan to advance equality and increase participation. Staff (paid and unpaid) understand how this plan relates to their role.	2.1 Produce an evidence-based action plan for equality. This should be aligned to the work areas in the organisation's business plan, and should incorporate action based on analysis of the organisation's equality profile audit data. Guidance should be sought from appropriate equalities organisations and partners. The plan should demonstrate: • Consideration of barriers to participation; • Actions to achieve outcomes; • Monitoring of progress • Review dates and responsibilities; • Evaluation of the plan. Each action should include: • Roles and responsibilities; • Timescales; • Progress/status; • Resource.	A copy of the equality action plan that has been agreed and endorsed by the board, along with an indication that the plan is being implemented.	

	Evidence for EQSA Assessment	Best practice	Additional guidance
	A complete equality profile of the staff (paid and unpaid), board, coaches, officials and members/ participants to be conducted against all categories relevant to the legislation of the home country and as advised by the home country sports council.		Appropriate audit forms are available on the Equality in Sport website: www.equalityinsport.org Protected characteristics by home country England, Wales and Scotland: age, disability, gender reassignment, marriage or civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation. Northern Ireland: persons of different religious belief, political opinion, racial group, age, marital status or sexual orientation; men and women generally; persons with a disability and persons without; and persons with dependents and persons without.
	A copy of the equality action plan that has been agreed and endorsed by the board, along with an indication that the plan is being implemented.	• Set up an equality working group ensuring there is representation by senior management; • Demonstrate how the organisation has understood the barriers and issues that may have resulted in under-representation; • Equality actions incorporated into strategic plans; • Evidence to shape the plan in the first instance will be driven by the outcome of the audit data and will have a longer term aim of diversification of staff and board. In addition the plan may also be shaped by: • Research reports; • Attendance at conferences or seminars; • Involvement in workshops or similar.	Your equality action plan should contain rationale which should be linked to your audit report from Foundation level and should refer to data, research and any other comparative figures that are relevant and useful to your sport. (e.g. What are the barriers and areas of priority for your organisation?) The plan should clearly identify objectives, aims, action, timescale, responsible officer and progress. Information relating to the monitoring and updating of the plan should be included and how the plan will be communicated. **Equality action plan template** The action plan should take account of all relevant areas of your organisation's activities, which might include: sports development work, administration, personnel and human resources, publicity and marketing — including accessibility of the website, representation and committee structures, performance development and elite sport, player pathway and coaching. Equality action plans from a range of organisations can be accessed via the Equality in Sport website: www.equalityinsport.org. Actions should be geared toward increasing the diversity of your governing body and sport. Before the action plan is finalised you will need to consult with stakeholders. These will include the board, staff, coaches, officials, volunteers and members as well as external organisations, e.g. community or charitable organisations/equality partners. You can do this via meetings, through email, consultation events, and through the website. You can also do this in key service areas, such as a comments box or notice board at reception. Consultation should ascertain the appropriateness of the plan, any gaps that should be included, and any areas of concern.

continues overleaf

2.5 Preliminary level (continued)

Outcome	Minimum requirement	Evidence for DSL Assessment	
	2.2 Communicate/promote the equality action plan internally.	The action plan to show how it will be communicated throughout the organisation e.g. inclusion in business plan; standing agenda item on board and operational meetings; staff updates. Evidence to show the action plan has actually been communicated.	
3 All board members and staff (paid and unpaid) within your organisation understand the general principles of equality and how it relates to their sport.	3.1 Identify the training requirements for staff and key volunteers and create a learning development plan within the equality action plan.	Outcomes resulting from identifying training requirements and evidence that this is incorporated into the business plan/equality action plan.	
4 Your recruitment practices and policies seek to advance equality.	4.1 Review, and enhance where necessary, all recruitment practices and policies: • The review considers how equality can be advanced, including the recruitment of unpaid staff and volunteers.	• Adverts should outline the organisations commitment to equality; • Adverts should be distributed to as wide an audience as practically possible; • Job specifications/descriptions and the application process does not exclude any groups from applying; • The selection criteria is clear, relevant and inclusive; • Staff involved in the recruitment process should have received training on equality in recruitment; • Interviews are held at appropriate and accessible locations and times; • Application material includes an equality monitoring form and other relevant equality information; • Recruitment and selection policy.	

	Evidence for EQSA Assessment	Best practice	Additional guidance
			Communicating the action plan Your action plan will contain information on the communication process. This could include: website, intranet, staff meetings, members (e-) newsletters or bulletins, events and stakeholder meetings, and staff handbook. Evidence to suggest that this communication has taken place should be compiled. It is important that equality is mainstreamed and is not just seen as a 'bolt on'. **How will you ensure that this happened?** • Inclusion in the business plan; • Reference made in organisational policy and documentation; • Permanent feature in newsletters; • Standing agenda item on board and operational meetings. The EQSA will need to feel confident that your organisation is embracing equality.
	Outcomes resulting from identifying training requirements and evidence that this is incorporated into the business plan/equality action plan.	• Delivery of identified equality training; • Wider training within the organisation takes into consideration equality issues e.g: - Recruitment and selection; - Staff inductions; - Coaching courses.	**Identifying training requirements** This can be done as specific equality training needs analysis, or equality can be included into your organisation training needs analysis process (TNA). Additional guidance can be accessed through the Equality in Sport website: www.equalityinsport.org In order to mainstream this work equality should be integrated into existing corporate training such as: staff inductions, recruitment and selection training, coaching courses etc. Identify what you intend to do as an action in your 'equality action plan'; once you have achieved this you can report progress through the action plan. It is recommended good practice that training should be delivered within 6 months after you have submitted for Preliminary level.
			You may be required to provide the EQSA or DSL with: • Information that is normally included in a job pack, your mailing list, recruitment criteria, an outline of your recruitment training programme, equality monitoring as part of the application process. • Any work that is done in relation to reviewing all recruitment procedures should be identified in your action planning process and progress can then be reported through this.

2.6 Intermediate level

Outcome	Minimum requirement	Evidence for DSL Assessment	
1 Your organisation can demonstrate that it is implementing and reviewing the equality action plan and has collected updated profile data.	1.1 The organisation can demonstrate that it has made progress in the implementation of the equality action plan; • The organisation continues to review the action plan to reflect current requirements; • An updated complete equality profile of the board, staff (paid and unpaid), coaches, officials and members/participants to be conducted against all categories relevant to the legislation of the home country.	• Current progress report against outcomes including evidence that timescales in plan have been met and rationale where they have not. • An up-to-date equality action plan; • Audit data for staff, board members, coaches, officials and members/participants; • Data showing comparisons of current audit data with those gathered at Foundation and Preliminary levels; • Annual board report detailing progress.	
	1.2 The organisation can demonstrate that it has implemented a training programme based on identified training requirements; • The organisation continues to review training needs to reflect current requirements.	• The training programme is embedded within the equality action plan; • The organisation has set aside resources for the training programme; • All training information including presentation/session notes; • Attendance list; • The training plan is maintained and up-to-date.	
	1.3 As part of your action plan, identify actions which work towards increasing the diversity of your staff (paid and unpaid) and board.	Written plan of how to work towards achieving diversity of your staff (paid and unpaid) and board. Evidence that the actions have been implemented.	
2 Your organisations policies and procedures consider the impact on people who share protected characteristics.	2.1 Carry out an equality screening of relevant policies and practices and/or full impact assessments.	• Completed screening and/or full impact assessments for prioritised human resource policies and one key area of service delivery; • Rationale for the screening process; • Information regarding involvement of internal and external stakeholders; • Update of equality action plan to include longer term objectives to conduct screening and/or full impact assessment(s); • Evidence of embedding equality screening within policy development and review processes; • Results of the screening have been communicated e.g. website update, newsletter, emails, posters, letters.	
3 Your organisation is working towards increasing the diversity of people participating/using its services (members/participants).	3.1 Develop and implement positive action schemes to increase diversity.	Positive action schemes with evidence of: • Justification that proposed positive action is a proportionate means of achieving a legitimate aim; • Specification, aims and details of programme; • Monitoring and review papers or project evaluations; • Correspondence or publicity materials for pilot programmes.	

	Evidence for EQSA Assessment	Best practice	Additional guidance
	• Current progress report against outcomes including evidence that timescales in plan have been met and rationale where they have not; • Data showing comparisons of current audit data with those gathered at Foundation and Preliminary levels.	• The equality action plan is reviewed in line with the business plan of the organisation; • Positively promote the organisations commitment to the equality action plan and achievements in equality.	An up to date equality action plan detailing: • Progress; • Identification that timescales have been met and explanations where they have not; • Rationale and direction in terms of how the organisation will move forward; • Review of recent data against those gathered at Foundation and Preliminary level; • Key successes outlined; • Key priorities to address. Clearly defined action for the future with timescales and responsibilities. Examples of action plans can be found on the Equality in Sport website: www.equalityinsport.org
		Individual training needs are reviewed in line with their personal development reviews.	An up to date training plan for the organisation detailing equality training, or equality training outlined within the action plan or business plan. The plan should be current and should detail training that has taken place, training that is due to take place and priority areas for training in the future. Examples of training plans can be found on the Equality in Sport website: www.equalityinsport.org
	Written plan of how to work towards achieving diversity of your staff (paid and unpaid) and the board. Evidence that the actions have been implemented.	Plan considers all decision-making structures	Produce a written plan detailing how the organisation will work to achieve diversity of staff and board. The plan should clearly detail what mechanism will be put in place, timescales and lead. This plan can be integrated into the equality action plan or other strategic planning such as the business plan.
	Completed screening and/or full imapct assessments for prioritised human resource policies and one key area of service delivery.		An organisational/screening log is made available on the organisations website. Summary of equality screenings are made available on the organisation website. A date and review date for screening and/or full impact assessment of policies should be set. The review date needs to be no less than 1 year and not more than 3 years to take account of legislative obligations or regulatory changes.
			Positive action schemes should be included within the equality action plan and progress reporting. It would be useful to detail the following information; business case, aims, monitoring, and evaluation of the positive action scheme as part of the appendices. Examples of positive action: • Sports development initiatives; • Partnership links with schools, local authorities, community groups; • Social inclusion partnership projects; • Club development programmes. For examples and good practice, please see the Equality in Sport website: www.equalityinsport.org

2.7 Advanced level

Outcome	Minimum requirement	Evidence for DSL Assessment	
1 Your organisation has made significant progress towards diversity within board, staff (paid and unpaid), coaches, officials, members or participants.	1.1 Gather profile information that demonstrates the diversity of boards, staff (paid and unpaid), coaches, officials, members and participants; • Report against identified bench marks at Intermediate level and define additional actions; • Actively seek representation on internal committees through positive action; • Self evaluate effectiveness of programmes or other actions with a view to continuous improvement.	• Reports to committees, management teams, and board which highlight the organisation's profile and how this has changed over time; • Audit report to reflect equality strands in line with home country legislation; • Evidence of review, monitoring and evaluation of equality objectives by senior managers/volunteers; • Evidence of steps taken to address shortfall to ensure representative; • Evidence of self evaluation and learning points.	
2 Equality is mainstreamed through the organisation's functions, policies and procedures.	2.1 Ensure functions, key policies and procedures in all areas of activity that include a visible equality dimension are screened and/or undergo full impact assessment.	Database which shows results of all completed screening and/or full impact assessment of functions, key policies and operations.	
	2.2 Evidence of a link between equality outcomes, action plans, corporate and service plans, and the corporate performance management system.	Demonstration could include equality mainstreaming within performance review processes, competencies, role accountabilities and continuous professional development.	
	2.3 Evidence of link between equality and key HR processes.	Demonstration could include screening and/or full impact assessment of all HR policies, induction pack, and recruitment policies.	
	2.4 Named staff and board members are identified as responsible for equality in their area of operation.	Equality priorities highlighted in staff and board members' individual objectives, job descriptions and departmental plans.	
	2.5 Establish further development targets for clubs and key competitions to reflect the diversity of your sport or the need to address under representation.	Rationale and evidence base for target setting. Targets with timescales integrated into development plans. Evaluate and report on success of achieving targets. Other evidence might include: • Equal prize money (where relevant); • Equal access to facilities and events; • Events that pay due regard to religious days or requirements; • Club accreditation schemes which highlight the value of equality focused operations and programmes.	
3 Your organisation is developing further initiatives to address each protected characteristic.	3.1 A rationale for your organisation's priorities in terms of specific initiatives for particular characteristics; • An analysis of potential differential needs for each protected characteristic; • Development of a plan which outlines initiatives to address the differential needs of each protected characteristic (where there is evidence that there is such a need).	A report or paper which: • Provides an analysis of differential needs for each protected characteristic (relative to your organisations work/focus); • Outlines ideas for development which would address these differential needs.	

	Evidence for EQSA Assessment	Best practice	Additional guidance
	Reports which highlight the organisation's profile.	• Service programme; • Makeup of the equality and diversity committee (or similar group); • External advisory group; • Management or board discussion and any decisions or action decided.	Monitoring data should be able to demonstrate significant progress within diversity of board and staff since beginning the Equality Standard process. The audit report should include an explanation of how your board reflects diversity and the difference that diversity has brought to the organisation. Your current audit data should reflect all of the required legislative strands and should be made public via your website. There should be sufficient evidence to suggest that equality is imbedded within the organisation through individual work programmes and departmental planning. There should be evidence that management and board take responsibility for ensuring commitment to equality.
	Database which shows results of all completed screening and/or full impact assessment of functions, key policies and operations.	Ensure that there is a clear, easy to follow and visible screening and/ or full impact assessment process, supported with appropriate templates to record results and actions.	The EQSA will need to be satisfied that screening and/or full impact assessment is fully integrated into the organisation's policy development process and is being carried out by a significant number of staff. A screening template is available on the website: www.equalityinsport.org
		Equality action plan is fully integrated into the organisations business planning, reporting, and performance management.	Equality action planning should be fully integrated into the organisations business planning, including screening and impact assessment. Equality action planning should not be undertaken in isolation. The organisational planning, monitoring and progress should now have equality embedded within it.
			Evidence of departmental planning is required; it should be clear that there is a clear understanding of roles at departmental level.
	Rationale and evidence base for target setting. Targets with timescales integrated into development plans. Evaluate and report on success of achieving targets.		

3. Assessment criteria

When the evidence is being self-assessed by the applicant organisation, assessed by the DSL or independently evaluated by the EQSA, it should be measured against, and must satisfy, the following criteria to achieve the level of the Standard:

i) Relevant
- Is the evidence directly relevant, is it current (still up-to-date) and does it cover all protected characteristics;
- Any research that is less than three years old and other evidence that is less than one year old will be considered good practice. Evidence that does not fall within this timescale will be judged on its merits.

ii) Robust
- Does the evidence show that the activities described actually and consistently happen in practice throughout the organisation or as appropriate to the organisation, community and political climate?

iii) Scope
- Does the evidence cover all areas of activity within the scope of the outcome?

iv) Sufficient
- Is the evidence sufficient in breadth and depth to achieve the outcome?

4. Assessment forms

The assessment forms are available as word documents from your sports council. Each form is similar, with only the relevant outcomes, requirements and evidence being different. The form has colour coded headings to show who should be completing that section:

- Applicant organisation – in red
- Sports council – in purple
- Designated support lead (DSL) – in blue
- Equality standard assessor (EQSA) – in green

Below is guidance as to how to complete each section of a form.

4.1

Contact details (part A)

These are to be provided by the applicant organisation, relevant sports council, DSL and EQSA.

4.2

Background information (part B)

These should be answered by the organisation to provide an overview for the DSL and EQSA, so that they have a general understanding of the organisation as a whole and of the relevant equality areas. Please try to ensure that all answers give sufficient detail, but are concise.

If the information requested is not available in the way it is anticipated then the organisation should give some detail to explain this. For example, the form asks for the number of members in the applicant organisation. This is useful for the DSL and EQSA to get a rough idea of the size of

the organisation. However, if it is a UK body with just home country representation as members, then simply answering "four" to the question will not help greatly and some explanatory text should be provided.

The last request asks for present equality initiatives within the organisation, which is fairly straight forward, but also for equality initiatives in the sport as a whole that are relevant to the applicant. This may include, for example, partnerships that the applicant organisation has formed, committees that they are part of, or research that they are involved with, but that is being carried out by another agency.

4.3

Application assessment (part C)

The first part of this section of the form, "assessment of evidence", shows the requirements and evidence for each outcome and provides space for an assessment of the evidence from the organisation, DSL and EQSA. The organisation will insert a summary of the evidence available as part of their self assessment and the EQSA will use this space to show the detail of the findings of their evaluation, including how the submitted evidence meets the specified assessment criteria. It is optional for the DSL to include comments, but, for example, they would be likely to state a view on the merits of the evidence available if it is different to that specified within the requirements list.

The "good practice" information is not repeated as part of the form, but if any of this has been adopted, then it would be helpful to the EQSA if this is stated by the applicant organisation as part of their self assessment or the DSL.

The second part of this section of the form, "overall assessment of application", provides space for the applicant organisation, DSL and EQSA to list key strengths, areas for development, an overall summary of the evidence submitted and for the EQSA to record their decision about the application. Again, it is optional for the DSL to add any information to this section.

Areas for development are also optional for the applicant organisation and EQSA. These are areas that, if addressed, would be likely to make the applicant organisation more equitable, but they do not prevent them from achieving this level of the Standard.

4.4
Examples of good practice (part D)
One way to ensure the Standard continues to provide maximum benefit to all on an ongoing basis is to develop examples of good practice and then share these with other organisations. This section provides the opportunity for the DSL or EQSA, to list any evidence from this application that they regard as good practice worth sharing with others.

4.5
Updating the Equality Standard (part E)
To ensure the Standard remains effective, it may need to be periodically updated. This part of the form allows the applicant organisation, DSL and EQSA to add any views they have about improvements that could be made, based on their experience of working on this application.

4.6
Signatories (part F)
This simply requires a name and date for the applicant organisation, DSL, EQSA and supporting sports council when they have completed their work on this application. This information should be provided electronically. It is not expected that forms will be physically signed.

5. Further Information

Readers of this document should also read the other guidance documents that are relevant to their involvement with the Standard.

The latest information regarding the Standard, including the most up-to-date version of this document, can always be found on the Equality in Sport website www.equalityinsport.org.

Notes

APPENDIX 50

The UK Equality Standard for Sport – Guidance for Sports Organisations

This Appendix is reproduced by kind permission of Sport England.

Guidance for Sports Organisations

UK Equality Standard

Resource Pack

The Equality Standard
A Framework for Sport



equalityinsport.org

Guidance for sports organisations

Produced May 2012
Updated February 2014
by the Sports Council Equality Group













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1. Introduction

1.1 Background

The Equality Standard: A Framework for Sport (the Standard) was launched by the UK sports councils in November 2004 to help address the inequalities that exist within the sports sector. It is a framework to guide sports organisations, including: governing bodies of sport, county sports partnerships (CSPs), sports councils and national sports organisations towards achieving equality.

Research shows[1] that there are significant inequalities in sports' participation in the UK at all levels (including participants, coaches, officials, volunteers and employees). These inequalities can be linked to characteristics which are now protected under equalities legislation. Across the UK these characteristics include: gender, disability, ethnic origin, sexual orientation, age, social background, gender reassignment, religion or belief, political opinion, marital/civil partnership status and dependents. Research indicates that there are various barriers which hinder sports participation by people from these under-represented groups. Through the development of robust action plans, the Standard is a vehicle

[1] Sport England: Active People Survey 4 Diagnostic 2011
Sport Wales: Active Adults Survey 08/09
Scottish Houshold Survey 09/10
The Northern Ireland Sport and Physical Activity Survey 2010

for widening access and increasing the participation and involvement in sport and physical activity by under-represented individuals, groups and communities. The Standard supports sports organisations to develop and implement equality-proofed policies and practices.

The Standard is endorsed by a range of agencies. Please visit the Equality in Sport website, www.equalityinsport.org, for the latest list of these.

All the sports councils are committed to:

1. Continuing to develop the Standard so that it supports the promotion of equality within sport in an effective and non-bureaucratic way;
2. Supporting organisations in whom they invest to implement the Standard as part of their work to achieve and promote equality; and
3. Implementing the Standard.

Implementation of the Standard varies in each home country in regard to the level and type of support provided to organisations, and whether achievement of the Standard is an investment requirement or not. All recognised governing bodies of sport, including those that do not receive investment from sports councils, are encouraged to implement the Standard.

The Standard has been developed to ensure it reflects current legislation. The Equality Act 2010 (the Act) promotes and protects equality and has jurisdiction in Wales, Scotland and England. In Northern Ireland, the legislation is structured differently, but the spirit of the legislation is the same.

Legislation across the home countries outlines protected characteristics that individuals and groups of individuals share. This ensures that people who share these characteristics are protected from discrimination and harassment. In addition, public sector bodies, such as the sports councils and local authorities, must comply with certain general and specific duties. These differ in various parts of the UK and, if you need to know what affects public sector bodies relevant to you, then contact your sports council.

The Standard is one mechanism through which the sports councils are able to meet their public sector body equalities duties. It also supports sports organisations to consider and engage with equality, both within their internal structure and process, and in the form of developing actions and initiatives which encourage participation in sport by people who share one of the protected characteristics.

This guide is primarily aimed at sporting organisations that are applying, or are likely to apply, for a level of the Standard. It is part of an overall suite of guidance material containing four other documents:

- Designated support lead (DSL) process and guidance;
- Equality standard assessor (EQSA) process and guidance;
- Equality Standard requirements and assessment forms;
- Glossary of terms.

1.2
Benefits of the Equality Standard

There are key benefits to your organisation of working through the Standard. The Standard:

- Provides a framework for achieving equality in sport;
- Helps to ensure democracy and sound governance of the sport;
- Increases participation by reaching new audiences;
- Mitigates against legal action and helps to meet legal duties;
- Enhances the skills and knowledge base of staff and volunteers;
- Increases involvement in equality at all levels of the organisation;
- Improves equality practices through monitoring, evaluation and review;
- Builds on existing equality good practice;
- Guides in assessing and reviewing equality performance and achievements;
- Helps to open sport up to all sectors of the community;
- Encourages more potential administrators, coaches, officials and volunteers;
- Provides a positive public image;
- Appeals to funding providers and sponsors.

1.3
Equality Standard: management structure

This diagram shows the structure, management and implementation of the Standard, and equality work across the five sports councils.

Sports Council Equality Group (SCEG)

Lead equality officers from:
- UK Sport
- Sport Northern Ireland
- Sport Wales
- Sport England
- sportscotland

Functions:

Decision making in relation to all aspects of the Standard, including:

- Development and review
- Implementation
- Resourcing
- Communication

Other functions:

- Shared best practice
- Collaborative research
- Dissemination of information
- Equality advice and support

Protocols:

- Quarterly meetings
- Shared operational contributions
- Decisions and key outcomes communicated

Other support partners (for full list see equality standard website):

- Womens Sports and Fitness Foundation
- Sporting Equals
- English Federation of Disability Sport
- Disability Sports Northern Ireland
- Scottish Disability Sport
- Disability Sport Wales

2. Assessment process

The Sports Council Equality Group (SCEG) will maintain comprehensive and up-to-date guidance documents, templates and good practice and ensure that these are promoted and accessible to organisations working through the Standard.

Assessment will take place on a quarterly basis. Each quarter, sports council equality leads will update SCEG on the progress and projected submission dates of organisations in which they invest. This will allow each sports council and SCEG to schedule EQSAs, who will provide an independent evaluation of the submission.

There will be two phases to the assessment process:

- Self assessment by the applicant sports organisation, supported by the DSL;
- Independent evaluation of evidence by an EQSA or auditor (for sports councils using self assurance).

If you wish to work through a level of the Standard, then approach your sports council to establish whether funded support is available. Alternatively, your sports council may approach you to discuss how and when you should aim to progress through the Standard.

Once organisations have achieved a level of the Standard, it is recommended that they either progress to the next level within 3 years, or if they have not done that, they resubmit for their current level. This is not mandatory and the accreditation will remain, but it is regarded as best practice to progress or resubmit within a 3 year period, as it ensures all evidence is up-to-date.

2.1
Support – Designated Support Lead (DSL)

It is mandatory that organisations have the support of a DSL as part of the application. Your sports council will assist in obtaining a DSL and will outline the support that this DSL can provide. The type and level of support from the DSL will also be determined by each sports council, but may be provided by:

- Sports council's partnership managers;
- Equality partners (e.g. Sporting Equals, Women's Sport and Fitness Foundation, English Federation of Disability Sport);
- Equality standard advisors.

Whilst an organisation is applying for a level of the Standard, the DSL will:

- Provide advice and information as appropriate;
- Ensure the minimum requirements (including evidence) are met;
- Sign the assessment form prior to this being emailed by the organisation to the EQSA.

2.2
Self assessment supported by the DSL

The process of working towards a level of the Standard involves the organisation gathering all the evidence listed in the "requirements and forms" document for that level. During this work, the organisation will be supported by the DSL in the most appropriate way, as agreed jointly with the DSL and the relevant sports council.

When all required evidence is in place organisations will complete an assessment form. The DSL is required to sign off the assessment form; this confirms to their appropriate sports council equality lead that the organisation is ready to submit.

The organisation is responsible for formally informing the relevant sports council that they are ready to be assessed and the sports council will then allocate an EQSA, to whom the organisation will submit the assessment form along with the appropriate evidence. Each sports council will maintain a pool of EQSAs and allocate these in line with that sports council's policy.

2.3
Independent evaluation by the EQSA

The EQSA shall be required to conduct an evaluation of the assessment form and three pieces of supporting evidence for the appropriate level of the Standard, and prepare written feedback and recommendations for the organisation. The relevant three pieces of supporting evidence for each level can be found in the "requirements and forms" document.

Once the EQSA has initially reviewed the assessment form and relevant supporting evidence, the following actions are required by the EQSA:

Foundation level

Optional telephone conversation with the organisation equality lead. This will only be needed if the EQSA is in any doubt concerning the final recommendation and requires further clarification or information.

Preliminary level

Mandatory telephone conversation to discuss action plan and review process, with the equality lead for the submitting organisation.

Intermediate and Advanced levels

A mandatory visit to the organisation with a view to meeting the relevant individuals from across the organisation as determined by the EQSA, this may include the following: equality lead, board chair and chief

executive. The purpose of the visit is to verify whether equality is embedded in the organisation.

2.4
EQSA feedback

The EQSA feedback will summarise and evaluate the evidence that the organisation has submitted to demonstrate that it has achieved the outcomes appropriate to that level of the Standard. Sufficient detail will be provided on the assessment form by the EQSA to support their recommendation and this will be sent to the relevant sports council once the assessment is complete.

The EQSA will objectively and consistently interpret and judge the evidence submitted, using the assessment criteria as a guide. The EQSA will include on the assessment form:

- Detail of the (a) strengths and (b) areas for development within the evidence submitted;
- A recommendation, along with a justification, as to whether the organisation has successfully met the appropriate level of the Standard. If they have, the recommendation will be "achieved". If they have not, then the recommendation will be "continues to work towards the level";
- If the recommendation is "continues to work towards the level", specific guidance as to what is required prior to the organisation resubmitting;
- Note of any good practice that is worth sharing with others.

Recommendations from the EQSA as to what will be required from the organisation in order to progress to the next level of the Standard.

The Equality Standard process

2.5
After assessment
Should the recommendation be "continues to work towards the level", the DSL may be requested to continue to assist the organisation as follows: plan how it will provide further evidence at the re-submission, implement the EQSA specific guidance, or provide practical assistance in gathering this evidence. Once all required evidence is in place, the organisation should amend the original application form and then follow the same submission process used for the initial application.

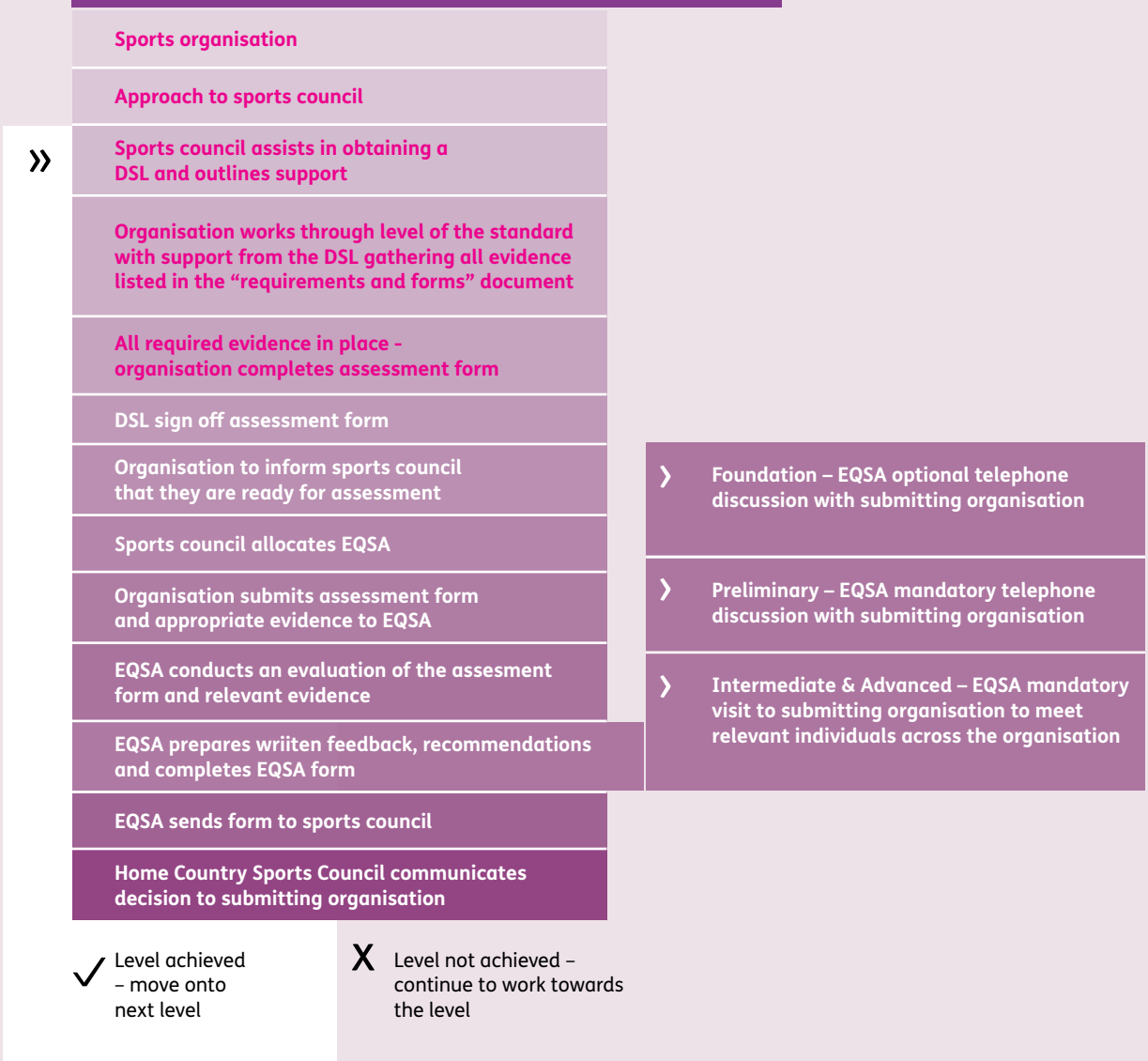
2.6
Communicating achievements
The relevant sports council shall communicate the decision and provide a copy of the report to the organisation. The outcomes of each quarter's assessments will be reported to SCEG.

SCEG will be responsible for ensuring that up-to-date information on organisations that have achieved the Standard is maintained on the Standard website.

2.7
Appeals
The relevant sports council will deal with any appeals from organisations against the EQSA decision, in line with that sports council's appeals process.

2.8

The Equality Standard process



2.9
Self Assurance
Some organisations can achieve the Foundation level through their sports council's self-assurance process. Such organisations should comply with the timescales and procedures of their sports council's self assurance process[2].

2.10
Quality Assurance
To ensure that the credibility and consistency of the application and assessment process is upheld, individual sports councils or SCEG will:

- Provide appropriate training to all DSLs and EQSAs based on individual need;
- Conduct an annual review of a sample of assessment forms, which will help to maintain consistency and monitor the process;
- Provide guidance to all involved in the submission and assessment process;
- Offer appropriate levels of monitoring and support;
- Maintain a record of the application and assessment activity that captures recommended improvements to the process and templates;
- Maintain regular communication with all parties regarding the Standard.

2.11
Confidentiality
All data and information about the organisation that the DSL and EQSA has access to is owned by the organisation and will be treated confidentially for the sole purpose of achieving a level of the Standard.

Organisations will have their own data protection policies which DSLs and EQSAs are required to adhere to when handling sensitive data.

2.12
Complaints
These will be dealt with by the relevant sports council in line with their complaints policy.

[2] At the time of writing, the self-assurance process is an annual process for Sport England and UK Sport funded NGBs, which requires these organisations to complete an online process on a number of governance areas. The equality requirements mirror those outlined in the Foundation level of the Standard

3. Further information

As a minimum, readers of this guidance should also read the "requirements and forms" document. This contains all essential evidence, the relevant assessment forms and the assessment of evidence criteria checklist.

The latest information regarding the Standard can always be found on the Equality in Sport website www.equalityinsport.org

APPENDIX 51

Independent Non-Executive Director Role Profile

Role Title	Independent Non-Executive Director
Reports to	Chair of the Board of Directors

Role Purpose
• Collectively, the Board of Directors of ***[Association]*** are required to direct the business affairs of the Association and to determine the vision and strategy, plans, policies and financial investment required to achieve the Association's aims. As such, individually and collectively, the Directors are accountable to the Membership. • To support ***[Association's]*** senior leadership in embedding culture, diversity and inclusion throughout the organization. • To be an active board member, providing strategic oversight and to constructively challenge and review the ***[Association]*** strategic plan.

Location	***Include office address and other options or requirements such additional travel to other locations or overnight stays.***
Estimated time commitment to fulfil the role	***Keep this as flexible as possible to maximise inclusivity. The post requires a commitment to attend [ ] Board meetings a year. Meetings are normally held on [day/date] at [where] and normally last in the region of [ ] hours.***
Remuneration or Expenses	***This is a voluntary role.*** ***Relevant expenses will be paid in line with the current [Association] Expense Policy.*** ***Travel and accommodation expenses to FA events where The FA has agreed to reimburse the Association will be paid in line with the current County FA Expense Policy issued by The FA.***

Responsibilities
• Serve as a Director of ***[Association]*** and to actively participate in its strategic management. • Execute the responsibilities of a Company Director in accordance with the Companies Act (2006) and other relevant legislation. • Safeguard the interests of the Membership and stakeholders of the Association. • Establish clear objectives to deliver the agreed strategy and business plan and regularly review performance against those objectives. • Ensure the effective implementation of Board decisions by the CEO and staff, holding the CEO to account for the effective management and delivery of the Association's strategic aims and objectives. • Set challenging objectives for continuously improved performance.

- Oversee the management of risk to the Association, including matters of Health and Safety.
- Develop and maintain an effective corporate governance structure.
- Monitor the financial affairs of the Association through reports provided by the Finance Director and to ensure the effective use of financial and other resources.
- Contribute to constructive debate on all Board matters.
- Promote equality of opportunity throughout the Association.
- Fully participate in Board induction, training or development and performance monitoring.
- Perform other responsibilities as assigned by the Board.

Person Specification	
Qualifications	
Essential Adapt this section according to the Board skills matrix to meet the needs required for the Board to function effectively. Consider: • Academic level of qualification required – is an academic level essential? • Professional level of qualification required – is there a relevant qualification – is it a must have or only desirable?	**Desirable**
Skills	
Essential • Strategic leadership and management skills. The ability to develop and monitor organisational strategy. • Decision-making skills. The appropriate use of knowledge and experience to make informed decisions to the benefit of the organisation. • The ability to debate, discuss and challenge in a constructive manner. • Excellent interpersonal skills. The ability to form strong, productive relationships both internally and externally to the benefit of the association. • An ability to understand financial accounts, management accounts and budgeting. • Access to and ability to use, email and the internet.	**Desirable**

Knowledge	
Essential • A sound understanding of the volunteer/ professional relationship and how this can best work to support the work of the association. • An understanding of and a commitment to equality in action. • Knowledge of the Safeguarding Requirements for the Association. • Interest in grassroots sport and knowledge & understanding of not for profit organisations.	**Desirable** • An understanding of The FA Grassroots Football Strategy and how this affects the work of the County Football Associations.
Enhanced DBS Check required?	YES/NO *[delete as applicable]*
Check required on Companies House disqualified directors' register?	YES
Clean full driving licence?	YES/NO *[delete as applicable]*

The role holder will be expected to understand and work in accordance with the values and behaviours described below <modify this section as required for your County FA values>	
FA Value	**Behaviours**
PROGRESSIVE	**Embraces new thinking in pursuit of continuous improvement:** • Identifies the need for, and actions change in direction, practice, policy or procedure. • Questions the way things are done and takes informed risks. • Continuously seeks to improve efficiency and performance.
RESPECTFUL	**Sets the standards for respectful behaviour across the game:** • Maintains people's self-esteem when interacting with them. • Avoids pre-judgement when listening to suggestions from others. • Seizes the opportunity to apply FA standards at all times.
INCLUSIVE	**Champions and ensures that football is, and will remain, a game for everyone:** • Openly collaborates with colleagues and partners in the game • Provides equal opportunity to people of different backgrounds, experience and perspective • Seeks out and embraces new ways of thinking and working.

DETERMINED	**Tenacious and accountable. Serving the whole game and doing the right thing:** • Works relentlessly to overcome roadblocks or obstacles to achieve the goal. • Remains focused on seeing agreed goals through to completion taking pride in their work. • Maintains motivation for their team and themselves.
EXCELLENT	**The very best outcome achieved by sustained excellence in performance:** • Seeks to achieve the highest levels of performance at all times. • Persistent to achieve a standard that others consider impossible. • Challenges others to go further and achieve more.

Role profile reviewed and modified by:	*[Insert name and role title]*
Date Role Profile agreed by the Board:	*[insert date]*
Role profile authorised by:	*[Insert name and role title]*

Signed by role holder (on appointment):	*[insert signature]*
Date signed:	*[insert date]*

One copy to be retained by the role holder, one signed copy to be stored confidentially by the Association.

APPENDIX 52

Independent Non-Executive Commercial Director Role Profile

Role Title	Independent Non-Executive Commercial Director (Commercial & Partnerships)
Reports to	Chair of the Board of Directors

Role Description
The Non-Executive Commercial Director will act as an ambassador to ***[Association]*** and act as a custodian of the highest standards of integrity and governance. In particular the director will bring recent and relevant commercial experience to provide support to the development of a commercial strategy and provide informed advice and support to the board on business development and partnerships that further the County's mission.
Role Purpose
• To direct and monitor the business affairs of the Association by determining the vision and strategy, plans, policies and financial investment required to achieve the overall long-term business objectives. • To direct and support the creation of a commercial strategy and provide informed advice and support to the Board and other business leaders on business development and partnerships that further the Association's mission. • To oversee all commercial and sponsorship agreements in respect of the ***[Association]***. • To provide advice on improving customer service standards and use of insight that help grow the game of football across the county.

Location	***Include office address and other options or requirements such additional travel to other locations or overnight stays.***
Estimated time commitment to fulfil the role	***Keep this as flexible as possible to maximise inclusivity. The post requires a commitment to attend [ ] Board meetings a year. Meetings are normally held on [day/date] at [where] and normally last in the region of [ ] hours.***
Remuneration or Expenses	***This is a voluntary role.*** ***Relevant expenses will be paid in line with the current [Association] Expense Policy.*** ***Travel and accommodation expenses to FA events where The FA has agreed to reimburse the Association will be paid in line with the current County FA Expense Policy issued by The FA.***

Responsibilities
General • Serve as a Director of ***[Association]*** and to actively participate in its strategic management. • Execute the responsibilities of a Company Director in accordance with the Companies Act (2006) and other relevant legislation.

- Safeguard the interests of the membership and stakeholders of the Association.
- Establish clear objectives to deliver the agreed strategy and business plan and regularly review performance against those objectives.
- Ensure the effective implementation of Board decisions by the CEO and staff, holding the CEO to account for the effective management and delivery of the Association's strategic aims and objectives.
- Jointly oversee the management of risk to the Association.
- Develop and maintain an effective corporate governance structure.
- Monitor the financial affairs of the Association and ensure the effective use of ***[Association]*** finances.
- Promote equality of opportunity throughout the Association.
- Represent the Association to partners and stakeholders of the Association in a professional manner.
- Act with discretion in respect of sensitive, confidential, or commercial information provided to you in this role.

Commercial

- Work with the CEO to ensure that the Association has a fit for purpose commercial strategy that supports the generation of income in line with the Associations strategic aims.
- Support improved engagement with stakeholders.
- Support improved customer services standards.
- Identify and champion partnerships that help meet the strategic aims of the Association.

Person Specification
Qualifications and Experience
• Business and commercial management experience. • Company board level experience. • Experience of delivering positive diversity and inclusion improvements. • An active network of relevant contacts within local business and sports communities. • Experience of securing investment from multiple sources. • Ability to contribute to the strategic thinking and direction of the Association.
Skills and Personal Attributes
• Possess or show willingness to have an understanding of grassroots football. • Financial and budgetary awareness. • Analytical and rational thinking. • Positive attitude and highly self-motivated with the ability to motivate others. • Evidence of emotional intelligence and self-awareness. • A strong commitment to promoting and embedding diversity and inclusion at all levels.

Enhanced DBS Check required?	YES/NO ***[delete as applicable]***
Check required on Companies House disqualified directors' register?	YES
Clean, full driving licence?	YES/NO ***[delete as applicable]***

The role holder will be expected to understand and work in accordance with the values and behaviours described below <modify this section as required for your County FA values>	
FA Value	**Behaviours**
PROGRESSIVE	**Embraces new thinking in pursuit of continuous improvement:** • Identifies the need for, and actions change in direction, practice, policy or procedure. • Questions the way things are done and takes informed risks. • Continuously seeks to improve efficiency and performance.
RESPECTFUL	**Sets the standards for respectful behaviour across the game:** • Maintains people's self-esteem when interacting with them. • Avoids pre-judgement when listening to suggestions from others. • Seizes the opportunity to apply FA standards at all times.
INCLUSIVE	**Champions and ensures that football is, and will remain, a game for everyone:** • Openly collaborates with colleagues and partners in the game • Provides equal opportunity to people of different backgrounds, experience and perspective • Seeks out and embraces new ways of thinking and working.
DETERMINED	**Tenacious and accountable. Serving the whole game and doing the right thing:** • Works relentlessly to overcome roadblocks or obstacles to achieve the goal. • Remains focused on seeing agreed goals through to completion taking pride in their work. • Maintains motivation for their team and themselves.
EXCELLENT	**The very best outcome achieved by sustained excellence in performance:** • Seeks to achieve the highest levels of performance at all times. • Persistent to achieve a standard that others consider impossible. • Challenges others to go further and achieve more.

Role profile reviewed and modified by:	*[Insert name and role title]*
Date role profile reviewed and modified:	*[insert date]*
Role profile authorised by:	*[Insert name and role title]*

Signed by role holder (on appointment):	*[insert signature]*
Date signed:	*[insert date]*

One copy to be retained by the role holder, one signed copy to be stored confidentially by the Association.

APPENDIX 53

Independent Non-Executive Human Resource Director Role Profile

Role Title	Independent Non-Executive Human Resource Director
Reports to	Chair of the Board of Directors

Role Description
The Non-Executive Human Resource Director will act as an ambassador for ***[Association]*** and act as a custodian of the highest standards of integrity and governance. The Director will bring recent and relevant human resources experience that will contribute to the development of a positive organisational culture and a robust People Plan which supports the achievement of the Associations aims. They will work closely with the wider Board, ensuring that they are informed through relevant and timely information. They will required to form a strong relationship with the CEO, providing support and acting as a sounding board on all human resource matters.
Role Purpose
• To provide strategic guidance and leadership to ***[Association]*** on HR matters. • To ensure ***[Association]*** fulfils its HR commitments included in the ***[Association]*** strategy. • To support ***[Association's]*** senior leadership in embedding equality, diversity and inclusion throughout the organisation. • To review and recommend current and future strategic resourcing, training and development and annual budgets and plans to the Board.

Location	***Include office address and other options or requirements such additional travel to other locations or overnight stays.***
Estimated time commitment to fulfil the role	***Keep this as flexible as possible to maximise inclusivity. The post requires a commitment to attend [ ] Board meetings a year. Meetings are normally held on [day/date] at [where] and normally last in the region of [ ] hours.***
Remuneration or Expenses	***This is a voluntary role.*** ***Relevant expenses will be paid in line with the current [Association] Expense Policy.*** ***Travel and accommodation expenses to FA events where The FA has agreed to reimburse the Association will be paid in line with the current County FA Expense Policy issued by The FA.***

Responsibilities
General • Serve as a Director of ***[Association]*** and to actively participate in its strategic management. • Execute the responsibilities of a Company Director in accordance with the Companies Act (2006) and other relevant legislation.

- Safeguard the interests of the membership and stakeholders of the Association.
- Establish clear objectives to deliver the agreed strategy and business plan and regularly review performance against those objectives.
- Ensure the effective implementation of Board decisions by the CEO and staff, holding the CEO to account for the effective management and delivery of the Association's strategic aims and objectives.
- Jointly oversee the management of risk to the Association.
- Develop and maintain an effective corporate governance structure.
- Monitor the financial affairs of the Association and ensure the effective use of ***[Association]*** finances.
- Promote equality of opportunity throughout the Association.
- Represent the Association to partners and stakeholders of the Association in a professional manner.
- Act with discretion in respect of sensitive, confidential, or commercial information provided to you in this role.

Human Resources

- Ensure that HR activities and interventions are linked to the company's objectives and complement the company culture.
- Maintain the highest standards of governance in policies and practice related to employee relations, recruitment, retention, reward and recognition as well as staff learning and development.
- Assess risks and measure the impact of HR interventions in the light of changing legal requirements and best practice.
- Provide long-term strategic oversight of the organisation's people requirements in relation to the overarching goals.
- Guide ***[Association]*** to be become a healthy, inclusive, and positive organisation and a great place to work.

Person Specification
Qualifications and Experience
• HR-related qualification or M/FCIPD membership. • Senior or Board-level HR experience. • Strong working knowledge or current UK employment legislation. • Experience of developing HR Strategy. • Experience of leading equality, diversity and inclusion initiatives.
Skills and Personal Attributes
• Possess or show willingness to have an understanding of grassroots football. • Understanding of the volunteer/professional relationship and how this can best work to support the work of the Association. • Ability to use data to inform strategic thinking. • Positive attitude and highly self-motivated with ability to motivate others. • Evidence of empathy, emotional intelligence and self-awareness. • A strong commitment to promoting and embedding diversity and inclusion at all levels.

Enhanced DBS Check required?	YES/NO ***[delete as applicable]***
Check required on Companies House disqualified directors' register?	YES
Clean, full driving licence?	YES/NO ***[delete as applicable]***

The role holder will be expected to understand and work in accordance with the values and behaviours described below <modify this section as required for your County FA values>	
FA Value	**Behaviours**
PROGRESSIVE	**Embraces new thinking in pursuit of continuous improvement:** • Identifies the need for, and actions change in direction, practice, policy or procedure. • Questions the way things are done and takes informed risks. • Continuously seeks to improve efficiency and performance.
RESPECTFUL	**Sets the standards for respectful behaviour across the game:** • Maintains people's self-esteem when interacting with them. • Avoids pre-judgement when listening to suggestions from others. • Seizes the opportunity to apply FA standards at all times.
INCLUSIVE	**Champions and ensures that football is, and will remain, a game for everyone:** • Openly collaborates with colleagues and partners in the game • Provides equal opportunity to people of different backgrounds, experience and perspective • Seeks out and embraces new ways of thinking and working.
DETERMINED	**Tenacious and accountable. Serving the whole game and doing the right thing:** • Works relentlessly to overcome roadblocks or obstacles to achieve the goal. • Remains focused on seeing agreed goals through to completion taking pride in their work. • Maintains motivation for their team and themselves.
EXCELLENT	**The very best outcome achieved by sustained excellence in performance:** • Seeks to achieve the highest levels of performance at all times. • Persistent to achieve a standard that others consider impossible. • Challenges others to go further and achieve more.

Role profile reviewed and modified by:	*[Insert name and role title]*
Date role profile reviewed and modified:	*[insert date]*
Role profile authorised by:	*[Insert name and role title]*

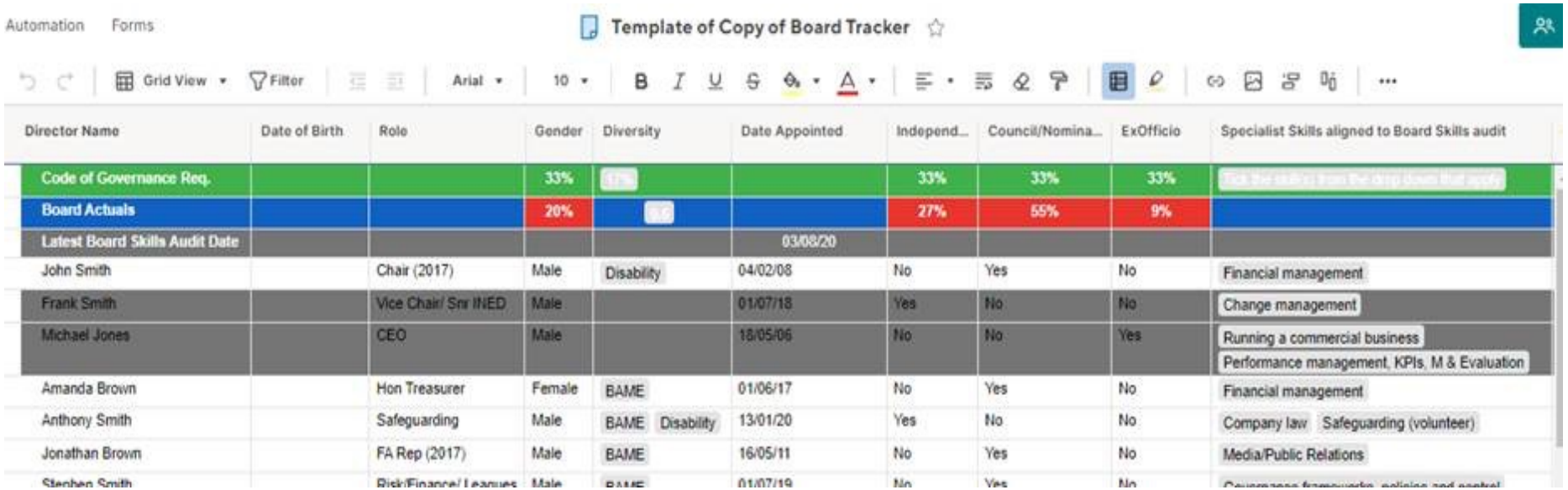
Signed by role holder (on appointment):	*[insert signature]*
Date signed:	*[insert date]*

One copy to be retained by the role holder, one signed copy to be stored confidentially by the Association.

APPENDIX 54

Board Tracker

Each County FA has been provided with a Board Tracker to act as evidence of compliance against all requirements involving the make-up of the Board. This includes Board Size and Composition, Term Limits, INEDs, Board diversity including gender balance, and Board Skills and all elements of recruitment to the Board. CFAs are asked to keep the Board Skills Audit up to date. An exemplar is provided below



Director Name	Date of Birth	Role	Gender	Diversity	Date Appointed	Independ...	Council/Nomina...	ExOfficio	Specialist Skills aligned to Board Skills audit
Code of Governance Req.			33%			33%	33%	33%	
Board Actuals			20%			27%	55%	9%	
Latest Board Skills Audit Date					03/08/20				
John Smith		Chair (2017)	Male	Disability	04/02/08	No	Yes	No	Financial management
Frank Smith		Vice Chair/ Snr INED	Male		01/07/18	Yes	No	No	Change management
Michael Jones		CEO	Male		18/05/06	No	No	Yes	Running a commercial business Performance management, KPIs, M & Evaluation
Amanda Brown		Hon Treasurer	Female	BAME	01/06/17	No	Yes	No	Financial management
Anthony Smith		Safeguarding	Male	BAME Disability	13/01/20	Yes	No	No	Company law Safeguarding (volunteer)
Jonathan Brown		FA Rep (2017)	Male	BAME	16/05/11	No	Yes	No	Media/Public Relations
Stephen Smith		Risk/Finance/ Leagues	Male	BAME	01/07/19	No	Yes	No	

APPENDIX 55

Policy Tracker

A smartsheet template has been created for County FAs to use to track and manage the wide range of policies required as part of section 5 of the Code and their wider regulatory requirements. The CFA should notify their Regional Manager to set up a Policy Tracker. An exemplar is provided below.

Policy name	Regulatory?	FA mandated?	Recommended?	Template?	Policy?	Task?	Review date
Company	☐	☐	☐	☐	☐	☐	
Organisation Chart	☐	☑	☐	☑	☐	☑	Annual
Annual Report	☐	☑	☐	☑	☐	☑	
Articles of Assocation	☑	☐	☐	☑	☐	☑	weekly
Membership Rules	☐	☐	☐	☐	☐	☑	Annual
Annual General Meeting	☑	☐	☐	☐	☐	☑	
Board	☐	☐	☐	☐	☐	☐	
Agenda	☑	☐	☐	☑	☐	☑	
Code of Conduct	☑	☐	☐	☑	☐	☑	Annual
Conflict of Interest	☑	☐	☐	☐	☐	☐	
Risk Register	☑	☐	☐	☐	☐	☑	Each Board Meeting
Board Tracker (gender/diversity/skills/independence)	☐	☐	☑	☑	☐	☑	Update annually and after any appointments
Board Member expenses	☑	☐	☐	☐	☑	☐	Annual
Directors Handbook	☐	☐	☑	☐	☑	☐	

APPENDIX 56

[Insert County FA logo]

Board Safety Champion Role Profile

The Board Safety Champion takes the lead for the welfare and safety of the Association's members and people but the overall responsibility is held by ALL board members.

Role Title	Board Safety Champion
Reports to	Chair of the Board of Directors

Role Purpose
• To lead the Board in ensuring its responsibilities towards the welfare and safety of its members and people (including but not limited to employees, participants and volunteers) are factored into the decisions it makes and shall appoint one of its Directors to take a lead in this area. • Collectively, the Board of Directors of *[Association]* is required to direct the business affairs of the Association and to determine the vision and strategy, plans, policies and financial investment required to achieve the Association's aims. As such, individually and collectively, the Directors are accountable to the Membership. • To support *[Association]* senior leadership in embedding culture, diversity and inclusion throughout the organisation. • To be an active board member, providing strategic oversight and to constructively challenge and review the *[Association]* strategic plan.

Location	*<Include office address and other options or requirements such additional travel to other locations or overnight stays.>*
Estimated time commitment to fulfil the role	*<Keep this as flexible as possible to maximise inclusivity. The post requires a commitment to attend [ ] Board meetings a year. Meetings are normally held on [day/date] at [where] and normally last in the region of [ ] hours. >*
Remuneration or Expenses	This is a voluntary role. *<Relevant expenses will be paid in line with the current [Association] Expense Policy.* *Travel and accommodation expenses to FA events where The FA has agreed to reimburse the Association will be paid in line with the current County FA Expense Policy issued by The FA.>*

Board Safety Champion Responsibilities

- Ensure the Board has a clear oversight of all aspects of welfare and safety including but not limited to safeguarding (adults and children), mental health and wellbeing (including psychological safety), anti-doping (where applicable) and integrity issues.
- Take the lead on the Board in establishing a culture, across the organisation, where welfare and safety is paramount.
- Responsible for checking and challenging the Board on decisions that affect welfare and safety across the organisation.
- Provide support for the executive staff on issues relating to welfare and safety.
- *Provide a direct route for people within the Association to raise welfare and safety concerns*[1]

All Director Responsibilities

- Serve as a Director of ***[Association]*** and to actively participate in its strategic management.
- Execute the responsibilities of a Company Director in accordance with the Companies Act (2006) and other relevant legislation.
- Safeguard the interests of the Membership and stakeholders of the Association.
- Establish clear objectives to deliver the agreed strategy and business plan and regularly review performance against those objectives.
- Ensure the effective implementation of Board decisions by the CEO and staff, holding the CEO to account for the effective management and delivery of the Association's strategic aims and objectives.
- Oversee the management of risk to the Association, including matters of Health and Safety.
- Develop and maintain an effective corporate governance structure.
- Monitor the financial affairs of the Association through reports provided by the Finance Director and to ensure the effective use of financial and other resources.
- Contribute to constructive debate on all Board matters.
- Promote equality of opportunity throughout the Association.
- Fully participate in Board induction, training or development and performance monitoring.
- Perform other responsibilities as assigned by the Board.

[1] Optional responsibility as referenced in A Code for Sports Governance: Sport England https://www.sportengland.org/funds-and-campaigns/code-sports-governance?section=tier_3_-_requirements_with_commentary#principle2people-15798

Person Specification	
Experience	
Essential • Experience of working in HR, mental health and wellbeing, occupational health or safeguarding at a senior level.	**Desirable** • Board level experience.
Skills	
Essential • Strategic leadership and management skills. The ability to develop and monitor organisational strategy. • Decision-making skills. The appropriate use of knowledge and experience to make informed decisions to the benefit of the organisation. • The ability to debate, discuss and challenge in a constructive manner. • Excellent interpersonal skills. The ability to form strong, productive relationships both internally and externally to the benefit of the association. • Access to and ability to use, email and the internet.	**Desirable** • An ability to understand financial accounts, management accounts and budgeting.
Knowledge	
Essential • An understanding of and a commitment to equality, diversity and inclusion.	**Desirable** • Knowledge & understanding of not-for-profit organisations. • Knowledge of current safeguarding practice.
Enhanced DBS Check required?	YES/NO *<Delete as applicable>*
Check required on Companies House disqualified directors' register?	YES
Clean, full driving licence?	YES/NO *<Delete as applicable>*

The role holder will be expected to understand and work in accordance with the values and behaviours described below *<modify this section as required for your County FA values>*	
FA Value	**Behaviours**
PROGRESSIVE	**Embraces new thinking in pursuit of continuous improvement:** • Identifies the need for, and actions change in direction, practice, policy or procedure. • Questions the way things are done and takes informed risks. • Continuously seeks to improve efficiency and performance.
RESPECTFUL	**Sets the standards for respectful behaviour across the game:** • Maintains people's self-esteem when interacting with them. • Avoids pre-judgement when listening to suggestions from others. • Seizes the opportunity to apply FA standards at all times.
INCLUSIVE	**Champions and ensures that football is, and will remain, a game for everyone:** • Openly collaborates with colleagues and partners in the game. • Provides equal opportunity to people of different backgrounds, experience and perspective. • Seeks out and embraces new ways of thinking and working.
DETERMINED	**Tenacious and accountable. Serving the whole game and doing the right thing:** • Works relentlessly to overcome roadblocks or obstacles to achieve the goal. • Remains focused on seeing agreed goals through to completion taking pride in their work. • Maintains motivation for their team and themselves.
EXCELLENT	**The very best outcome achieved by sustained excellence in performance:** • Seeks to achieve the highest levels of performance at all times. • Persistent to achieve a standard that others consider impossible. • Challenges others to go further and achieve more.

Role profile reviewed and modified by:	*[Insert name and role title]*
Date role profile reviewed and modified:	*[insert date]*
Role profile authorised by:	*[Insert name and role title]*

Signed by role holder (on appointment):	*[insert signature]*
Date signed:	*[insert date]*

One copy to be retained by the role holder, one signed copy to be stored confidentially by the Association.

APPENDIX 57

Board Directors' Conflicts of Interest Policy

[insert County FA name] County Football Association Limited – Board Directors' Conflicts of Interest Policy.

1. Scope and purpose

1.1 This policy (the "Policy") shall apply to all directors of the board of X County FA Limited ("X County FA) from time to time.

1.2 This Policy is supplemental to and should be read in conjunction with the X County FA's articles of association (the "Articles"), and in particular, Article X.

1.3 The purpose of this Policy is to set out X County FA's position regarding conflicts and potential conflicts of interests that may arise in the course of directors carrying out their duties in service of X County FA.

1.4 X County FA is committed to the highest possible standards of openness, transparency, and accountability and understands its duty to conduct its affairs in a manner that encourages public confidence in both its decisions and decision-making processes.

1.5 As a body run for the benefit of its constituent members with stakeholder representatives on X County FA board, there is a heightened need for directors to be aware of the possible conflicts between different roles and distinguish between their functions as directors and the interests of the stakeholders they represent.

1.6 In addition to the above, directors owe fiduciary and statutory duties to the company. The statutory statement of directors' duties is contained in the Companies Act 2006 (the "Companies Act") and includes specific duties in respect of conflicts of interest.

1.7 Directors found to be in breach of such statutory duties are subject to significant personal liability risk which may include the payment of substantial damages and in certain circumstances, criminal penalties.

1.8 In order to achieve best governance standards and protect the integrity of X County FA, it is of paramount importance that directors can effectively identify, disclose and manage any actual, potential or perceived conflicts of interest. This policy is designed to help directors achieve that goal.

2. Identifying a conflict of interest

2.1 Conflicts of interest may arise where a director's personal, family, professional or business interests, relationships or loyalties conflict or appear to conflict with those of X County FA. Directors' interests may be direct or indirect by virtue of a connected person e.g., a spouse.

2.2 There is no statutory definition of a conflict of interest. A natural reading of the word, "interest" could include anything, or any connection, which could potentially divert a director's mind from giving sole consideration to promoting the success of X County FA.

2.3 Such conflicts may create problems such as inhibiting free discussions or impairing the ability of a director to act or think objectively. This may result in actions or decisions that are not in X County FA's best interests. Even where a director has acted impartially, a perceived conflict of interest can be damaging to X County FA's reputation. It is critical to note that the perception or possibility of conflict should equally be treated as a conflict of interest under this policy in the same way as an actual conflict.

Transactional Conflicts

2.4 Under the Companies Act, directors have an obligation to disclose any interest they have, on their own or on behalf of third parties, with respect to certain transactions or arrangements with X County FA.

2.5 Transaction follows its ordinary meaning and would cover arrangements, deals or agreements relating to the exchange, disposal or purchase of monetary or other valuable consideration. It would not cover rule changes or structural reforms without a transactional element. A typical example would be the entry by X County FA into a contract with a sponsor brand of which an FA director is a shareholder.

2.6 Transactional conflicts arising at the point of entry into a transaction or arrangement may evolve into an ongoing situational conflict requiring ongoing disclosure and monitoring

(see below). To use the example given, an ongoing relationship between X County FA and a sponsor of which an FA director is a shareholder may create ongoing conflict issues requiring management.

Situational Conflicts

2.7 Directors have a duty to avoid activities or situations in which there is, or may be, a conflict between the interests of X County FA and the direct or indirect interests of the director or between the director's duties to X County FA and to another person, organisation or entity. Situational conflicts may arise for a number of reasons, including as a result of personal conflicts or institutional conflicts. A typical example would be a director of X County FA also being a director or senior executive of a commercial partner of X County FA.

Personal conflicts

2.8 These conflicts arise from a personal interest held by an individual which conflicts with the interests of X County FA. These personal conflicts could arise for all directors. Personal conflicts are not only financially related, but arise from other relationships or circumstances that may skew decision making.

2.9 Examples of potential personal conflicts of interest for directors of X County FA are set out below. This is for illustration purposes and is not an exhaustive list. Specific examples are identified referring to positions held by directors at other bodies, such as a directorship or shareholding, but these should be read as applicable potentially to any involvement with or interest in another body (whether direct or indirect). That involvement or interest could cover a directorship, trustee position, committee or advisory group membership, shareholding (or other indirect economic interest such as an interest in an investment group), employment relationship, consultancy, office holding or other personal or financial link.

Examples

2.9.1 Being a director, employee, shareholder or economic beneficiary of another participant or stakeholder in professional football, such as an FA member club, a football league, or another football governing body (including UEFA and FIFA), in each case whether nationally or internationally (a "Participant").

2.9.2 Being a director, employee, shareholder or economic beneficiary of another business involved in the football industry, such as a player representation agency, a commercial agency involved in football, or a commercial partner of football or X County FA specifically (a "Football Business").

2.9.3 Being a director, employee, shareholder or economic beneficiary of another business subject to or affected by the Rules of X County FA, either directly or indirectly, such as a business whose ability to advertise in relation to football is affected by the Rules of X County FA.

2.9.4 Being a director, employee or shareholder of a service provider to X County FA, a Participant or a Football Business.

2.9.5 Being a professional adviser to X County FA, a Participant or a Football Business, whether directly or indirectly by virtue of a position or interest held at a business providing that advice.

2.9.6 Being a director, employee or shareholder of a customer of X County FA group (including Wembley Stadium), for example a hirer of venue or hospitality space at Wembley Stadium.

2.9.7 Benefitting financially or personally (e.g. in terms of profile) from media appearances or commentary relating to football or matters derived from a director's role at X County FA, for example holding a paid-for football broadcast position or contributing articles to media publications.

2.9.8 Having a family connection or close personal contact relevant to any of the above, for example a spouse holding a shareholding in a Football Business.

2.9.9 Having an involvement or interest with a player or other individual covered by the rules of X County FA.

Institutional conflicts

2.9.10 These conflicts are specific to organisations with stakeholder representatives and arise as a result of representing a certain stakeholder body.

3. Requirement to avoid and disclose a conflict of interest

3.1 All directors must strive to avoid any conflict of interest, both individually and collectively, between the interests of X County FA on the one hand, and personal, family, professional, and business interests on the other. This includes avoiding actual conflicts of interest as well as the perception of conflicts of interest.

3.2 Upon appointment to the board of X County FA ("X County FA Board"), a director will be required to make a comprehensive written disclosure of interests including relationships and posts held that could potentially result in a conflict of interest.

3.3 This initial written disclosure, which shall include a declaration that the director has received, read, understands and will comply with this policy, will be retained by X County FA.

3.4 Directors will be required intermittently to declare conflicts as soon as practicable after they arise. Additionally, directors shall as a minimum (even where there has been no change in circumstances since their last declaration) declare conflicts on a yearly basis as part of an annual declaration process.

3.5 In addition, directors participating (in whatever capacity) in any meeting of X County FA must declare at the beginning of the relevant item of business and before discussion begins on that item any matter in which s/he has an interest. This requirement to disclose shall apply where a director is aware, or suspects, that s/he has a conflict of interest. If a director is in doubt, then the potential conflict must be declared, and clarification sought.

3.6 All conflicts disclosed pursuant to paragraph 3.2 to 3.5 above shall be detailed in a register of interests which shall be maintained and kept up to date by the company secretary of X County FA.

4. Process for authorising a conflict

4.1 Where a director has identified that s/he has an actual or potential conflict of interest, a decision must be made on how to manage the conflict. In the first instance the individual director should determine what they feel appropriate and voluntarily decide whether to participate in meetings (or specific agenda items) and related voting, for example where a Rule change directly affects their constituency. This decision is at all times subject to the overriding view of the Conflicts Committee pursuant to paragraph 4.2.

4.2 If the individual is not sure or perceives that their participation should not be limited by a conflict or in any other situation where the chair considers it appropriate to review a director's decision, the decision will be made by a committee comprising the following persons:

4.2.1 the chair of X County FA Board;

4.2.2 any executive directors on X County FA Board (currently the chief executive officer of X County FA);

4.2.3 the independent non-executive directors (one of whom is Senior Independent Director and one of whom is the Audit Committee Chair) on X County FA Board;

4.2.4 where the conflict does not relate to any NG Representative Director, the NG Representative Directors; and

4.3 The chair of X County FA Board shall be the chair of the Conflicts Committee.

4.4 If any member of the Conflicts Committee is the director disclosing a conflict of interest, then such member shall refrain from participating in the Conflicts Committee for the process of adjudicating such conflict. In the event that the chair is the disclosing member, then the Senior Independent Director shall chair the Conflicts Committee in place of the chair.When determining whether or not to authorise a disclosing director's conflict, the Conflicts Committee shall:

4.4.1 assess each disclosure on its own facts; and

4.4.2 take into consideration any and all factors it considers relevant to promoting the success of X County FA as a whole.

4.5 The disclosing director shall be required to provide the Conflicts Committee with any additional information reasonably requested in order for the Conflicts Committee to determine how the conflict is to be managed.

4.6 The Conflicts Committee shall have full discretion as to how to manage the conflict of interest, including imposing such conditions as they see fit and setting parameters around the participation of the disclosing director on the item that is the subject of his or her actual or perceived conflict. The Conflicts Committee may, for example, decide that the disclosing director:

4.6.1 should be excluded from the receipt of documents and information and participation in discussions relating to the item (including leaving the meeting while the item is being discussed);

4.6.2 should be allowed to speak on the item, but should not be allowed to vote; or

4.6.3 should be allowed to speak and vote on the item with the interest being recorded in the meeting minutes where that item is discussed.

4.7 The Conflicts Committee may revoke or vary its authorisation or terms and conditions attached to any authorisation from time to time.

4.8 The chair of the Conflicts Committee shall endeavour to make the disclosing director aware of the Conflicts Committee's decision as well as any relevant directions promptly. Directors shall comply with any terms and conditions imposed by the Conflicts Committee in relation to a conflict of interest.

4.9 The Conflicts Committee shall make its decision on a majority basis. In the event of an equality of votes, the chair of the Conflicts Committee shall have a casting vote.

4.10 The Conflicts Committee shall retain the discretion to adjourn any board meeting to discuss and come to a decision on how to manage the disclosed conflict.

4.11 Discussions and decisions of the Conflicts Committee shall be recorded in writing and a record kept and updated by the Company Secretary of X County FA.

5. Scope of authorisation of situational conflict for PG Reps and NG Reps

5.1 This policy sets out general principles applicable to all situations. This section specifically considers the particular challenges caused by the composition of X County FA Board.

5.2 At the date of this Policy, X County FA Board is made up of the following (County FA to add):

5.3 The broad composition of X County FA Board enables it to better understand and consider the range of views represented by wider stakeholders in English football.

5.4 It is noted, however, that there is a situational conflict inherent to the inclusion of Representative Directors on X County FA Board because the interests of the national game and/or professional game (and their respective bodies) will not always align with X County FA.

5.5 Given the value that X County FA Board derives from the presence and contribution of Representative Directors, there shall be a standing agenda item at each meeting of X County FA Board to authorise the situational conflict of the Representative Directors enabling full participation in the business and affairs of X County FA.

5.6 There may be times where it is inappropriate for this standing authorisation to apply, for example, where it cannot be reasonably considered that a Representative Director will be able to act free from the influence of his/her situational conflict. Examples would include:

5.6.1 where an agenda item relates to a decision on funding distributions to grassroots football; and

5.6.2 where an agenda item relates to the relationship between X County FA and the Premier League or the English Football League, for example commercial arrangements between them or matters relating to a division of regulatory functions between them.

5.7 In such circumstances, the Conflicts Committee may proactively consider on an individual basis how the situational conflict impacts the subject matter of the meeting and if found appropriate, apply its discretion under paragraph 4.7 above to set such conditions and parameters around the participation of the relevant conflicted Representative Director as they see fit.

6. Protection of Confidential Information

6.1 All directors should remain alert to the fact that any information they acquire in their role that has been obtained or disclosed in confidence or has the quality of confidence about it such as commercial sensitivity should remain confidential and not be used to the advantage of themselves, an external individual, or any external entity.

6.2 There may be occasions where a director carrying out their role as a director becomes privy to confidential information that may be of interest to another organisation where they have a relationship. An example might be where a Representative Director wishes to share information with the entity s/he represents. In such circumstances, the starting point is that all information is to be treated confidentially and not disclosed. A director may raise the matter of disclosure with the Conflicts Committee in accordance with paragraph 4 above who may utilise their full discretion as to whether to approve, reject or condition any sharing of information.

7. Sanctions

7.1 If a director is accused of a breach of this Policy such director will submit to X County FA disciplinary process which is set out in Appendix 1 of X County FA's Code of Conduct in the same way as if s/he had been accused of a breach of the Code of Conduct (references to the "Code" therein being interpreted accordingly to apply to this Policy) and shall abide by the result (subject to any right of appeal included in that process).

7.2 In accordance with X County FA's Articles of Association, a breach of this Policy may result in removal from office.

I agree to abide by this Policy

Signature: .....

Name: .....

Date: .....

Approved – County FA to add date

APPENDIX 58

County FA Business Continuity Plan – Template

The ***[insert County FA name]*** County FA Business Continuity Plan

Date: ***XXXXXXXXXXXX***

Contents

1. Overview
2. Major Incident Team (MIT)
3. Recovery sites and other resources
4. Key external contacts and recovery service providers
5. Communicating with staff and the general public
6. Scenarios
7. Recovery Team Plans

Appendices

A Current action plans

Overview

The ***XXXXXXXX*** County FA will endeavour to maintain critical operations in the case of a major incident occurring at ***XXXXXXXX***

The Business Continuity Plan (BCP) outlines the pro-active measures already in place and the recommended emergency response, recovery and restoration procedures for the business.

The BCP is not meant to be a comprehensive step-by-step guide to responding to all types of incident; instead its aim is to:

- identify and implement **pro-active measures** to reduce the likelihood and impact of an incident.
- allocate responsibility for **managing the process**.
- identify **recovery teams** and their **specific roles** and ensure personnel are briefed and well prepared.
- establish the need for **external contractors** and **resources** and ensure agreements are in place.
- understand the **operational needs, resources and priorities** of the various business activities in order to **prioritise** the recovery process and prepare accordingly for **time critical operations**.
- understand the importance of **information technology** and plan accordingly.
- identify the location and vulnerability of **key data** (both paper and electronic) and plan accordingly.
- prepare for the need to **relocate staff** to new/temporary offices and/or provide for them to work from home.
- implement procedures to ensure the plans are **kept up to date** and **tested periodically**.

The various measures adopted in the plan focus on the first three phases of BCP, namely:

√	Preparation:	Pro-active measures to reduce the likelihood and impact of an incident
√	Response:	Immediate action - protect life, eliminate the threat, mitigate damage and preserve assets
√	Recovery:	Restore critical business functions
X	Restoration:	Re-establishing the business to the level it was before the incident

The restoration phase is not covered as it is highly dependent on the extent of the impact and damage caused by a particular incident.

1. Major Incident Team (MIT)

- **Team**

List details of key members and contact details of major incident team within the County FA.

E.g. CEO, Chairman, FDM, Football Services Manager Etc.

When doing so, consider the four key areas that need to be considered within these plans;

- Human Resources
- Communications
- IT
- Facilities

- **Roles**

In the event of an incident:

(a) to co-ordinate the ***XXXXXXXX*** County FA's response in a timely and effective manner

(b) to provide direction and guidance for staff and ensure their welfare is the highest of priorities

(c) to protect and secure the ***XXXXXXXX*** County FA's resources

(d) to communicate and liaise with emergency services, media, customers, suppliers, staff and their families, etc.

(e) to maintain and/or re-establish the services and duties of the ***XXXXXXXX*** County FA in a timely and prioritised fashion

In general:

(f) to maintain an up to date and effective BCP (including periodic testing) that is compliant with current best practice, any statutory obligation, or relevant British Standard.

(g) to hold a personal copy of the up-to-date BCP at both the office and at home

(h) to be familiar with your role and those of the other members of the team

(i) to provide adequate training and resources to those involved in recovery teams

(j) to be pro-active in preventing incidents and/or minimising the impact

(k) to communicate relevant sections of the BCP to all staff

(l) to keep a record of the circumstance and response to all incidents and any resulting actions

- **Insurance**

The MIT should be covered under the County FA's corporate Directors and Officers liability insurance in the event that a claim is brought against them by a third party. **(We recommend that you get confirmation of this from your insurer)**. Furthermore, in the event that the Emergency Services have been called upon, it is imperative that relevant decisions are made by or referred to the Emergency Services.

- **Location of MIT in the event of an incident**

In deciding upon the ***XXXXX*** County FA's response/ course of action, the MIT (or relevant members of it) may, depending on the nature and timing of an incident, choose to:

(m) simply contact each other by phone

(n) convene at the office in ***XXXXXXXX*** County FA

(o) convene at a pre-designated recovery site (insert details)

(p) convene at an pre-designated and agreed alternative County FA (insert details)

In the event the MIT need to establish a more longer term "Control Centre" (response/recovery is over a longer timeframe and/or is more complex to co-ordinate) then options c) and d) above are possibly the most suitable alternatives.

- **Making contact with each other**

To ensure all members of the MIT team are contacted in a timely fashion, it is recommended that specific procedures are agreed, documented and followed if an incident (although a more informal approach may be deemed more appropriate at the time).

- **Making contact with others**

The following are typical communications that may need to be made by the MIT – please see individual recovery team plans for further details and contact information:

1. Staff at ***XXXXX*** County FA offices (and other locations)
2. Short term staff relocation sites (designated sites, etc)
3. Longer term recovery relocation sites (other CFA, alternative site, etc)
4. The FA, (Regional Manager, IT Support)
5. IT backup providers and existing suppliers (including telephones, The FA)
6. Security
7. Emergency services
8. General public/media
9. Priority Suppliers/Customers
10. Recorded telephone message for:

- Staff
- General public/media
- Customers/suppliers

2. Recovery Sites and Resources

The pre-designated locations for MIT and staff to congregate in the event of an incident should be clearly documented with accurate contact details.

- Location for staff to congregate immediately following an incident if access to ***XXXXX*** County FA offices is restricted:

First Choice: ***XXXXXXXXXXXXXXXXXXXXX***

Other Options: ***XXXXXXXXXXXXXXXXXXXXX***

- Recovery site for XXXXXX County FA staff to relocate to in order to continue operations whilst access to XXXXXX County FA offices is restricted: **(in the first instance this might be a convenient pre-agreed other County FA office)**

First Choice: ***XXXXXXXXXXXXXXXXXXXXX***

Other Options: ***XXXXXXXXXXXXXXXXXXXXX***

3. Key external contacts and recovery service providers

Key external contacts and their contact details should be maintained and updated regularly. A number of examples of whose these would be are included in the table below.

Product/Service	Supplier/Address	Main Contact & Phone number	County FA Contact
Disaster Restoration Specialists(Salvage) (Security)			
Security			
Archives			
Furniture			
Catering			
Facility managing agents			
Electricity and Power			
Water and Sewerage			
IT, Computers & peripherals			
Computer consumables			
Mobile phones & Blackberries			
Internet outages (from The FA)			
Internal Network and Telecom replacements			
Website hosting problems (The FA)			
External Telecom providers			
IT network providers			

Note: further details on other key suppliers should be contained within the individual Recovery Team Plans on Sections 7 – 10.

4. Communicating with staff and the general public - telephone messages, web site messages, and MyFA

Consideration should be made for communicating appropriately with your own staff as well as the general public. The specific circumstances will determine what most suitable ways of doing this will be but would recommend that you discuss the with your telephone provider and The FA's IT departments to determine how they can help you prepare.

- **Staff**

Telephone Message

If applicable, a specific telephone message for staff should be made available detailing the circumstances of the problem, alternative contact details, updates etc

MyFA

All staff can access MyFA through the internet and will simply need their logon ID and password they currently use to login to their desktop computers.

However, the use of MyFA to communicate updates to staff following an incident will be assessed at the time of an incident and will depend on the availability of the application (it is not deemed one of the essential applications that will need to be restored as a priority).

- **General Public**

Telephone Message

If applicable, a specific telephone message for the general public should be made available detailing the circumstances of the problem, alternative contact details (if applicable).

Website Message

If applicable, a specific telephone message for the general public should be made available detailing the circumstances of the problem, alternative contact details (if applicable), how customers will be delat with during the problems etc

5. Scenarios (to be completed)

Note, this section will be completed and developed over time based on:

11) Experience gained from actual incidents (details of which should be kept on record)
12) Desktop scenario-based testing
13) Interviews with the MIT and recovery teams

The following outlines the potential response to be adopted in the event of various different incidents impacting XXXXXXX County FA offices.

- **Power Outage**

(To be completed) ***XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX***

- **Flooding**

(To be completed) ***XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX***

- **Failure of IT systems**

(To be completed) ***XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX***

- **All or part of the offices at *XXXXXXXXXX* County FA being deemed unsafe for occupation**

(To be completed) ***XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX***

7. Recovery Team Plans

We would recommend that you consider specific plans for each of the four key areas within these plans, Faculties, HR, IT and Communication. Individual circumstances will determine if this is necessary and how comprehensive this should be.

If you do create specific plans for each area, we would recommend that you adopt a consistent approach based on the following key processes:

- **Team**

Details of who is involved, what responsibilities they have and their contact details.

- **Team procedures**

Documenting of all pre-planning and on-going responsibilities that designated individuals have.

- **List of vital records and documentation**

Collation of a list of all vital contact details, policies and procedures relevant to the area of the plan.

- **Emergency response phase**

A list of the Emergency Response Procedures including the tasks and who is responsible for them that would need to be considered necessary in order to remain operational for the first 24 hours after an emergency.

- **Recovery phase**

A list of Recovery Phase Procedures including the tasks and who is responsible for them that would need to be considered in order to perform while in "recovery mode"?)

- **Restoration phase**

A list of Restoration Phase Procedures including the tasks and who is responsible for them that we need to be considered in order to perform while in "restoration mode"?)

Following is a very comprehensive plan developed specifically for a facility covering all of the areas above which will hopefully give you and idea of what you may wish to consider in each section.

Facilities

The Facilities Team will play a key role in establishing the availability of premises after an incident or disaster. The Team will be led and directed by the designated MIT Facilities representative. Once the availability of premises has been assessed the key role of the Facilities Team will be to ensure that the non-IT infrastructure is in place within all relocation sites. In addition the Facilities Team has overall responsibility for the security of both the current premises (this may be co-ordinated by the emergency services dependent upon the nature of the incident) and all relocation sites. This is to ensure that only authorised personnel can access any relocation site and equipment or information removal and distribution is restricted to authorised personnel only.

The Facilities Team will work closely with the IT Infrastructure Team to ensure that the non-IT requirements integrate seamlessly with the IT Infrastructure requirements. The Facilities Team will update the MIT regularly with status reports, and key information regarding the availability of non-IT infrastructure.

- **Team**

CEO/County Secretary

  - Facilities/Office Manager:
  - Facility Managing Agent:
  - Postal Coordinator:
  - Receptionist:

- **Team procedures**

1. Update recovery strategies and assure that they remain compatible with The ***XXXXXX*** County FA business needs.
2. Ensure that the BCP is maintained to current status through annual testing.
3. Report on and correct any discrepancies or problems with the prescribed communication methods during the disaster test.
4. Report on and correct any functional or procedural flow problems encountered in the execution of the BCP for this team.
5. Retest revisions and changes.
6. Update the BCP sections relating to Facilities Team responsibilities and procedures.
7. Ensure off-site storage of vital records at an agreed location.
8. Conduct annual walkthrough of the off-site storage office. Assure that the off-site storage office has a BCP of its own as well as adequate security measures.
9. Pre-plan and conduct pre-planned fire/safety inspections, monitor fire alarms.
10. Maintain and monitor all security systems and test them periodically. Liaise with external third parties and gain inspection reports where this is a managed service.
11. Update and maintain evacuation procedures.
12. Train employees on evacuation plans and hold drills, assign fire & evacuation marshals.
13. Ensure Facilities team are trained in safety procedures/first aid as appropriate.
14. Update and disseminate to employees evacuation routes, emergency procedures, assembly points and locations of emergency equipment.
15. Identify employees who may need special assistance getting out of the building so that special attention may be given and develop specific plans for the evacuation of said employees.
16. Review the equipment, staff, and applications needed in a disaster. Determine how to prepare these items in advance for easy access in times of a disaster (i.e. storing in an offsite location).

- **List of vital records and documentation**

1. Facilities Team contact details
2. Contact details for all recovery team members (MIT, IT, HR, Communications)
3. Back up location key personnel roles and contact details

4. *XXXXX* County FA office details including back up location Building Schematics (Floor plans)
5. Fie System documentation
6. Security System Documentation
7. Contracted third party details (Fire, Security systems, Health and Safety advisors)
8. Emergency evacuation details
9. Emergency services local contact details where these differ from emergency 999 details
10. Current list of personnel on site. In case of disaster during working hours, to be determined by fire marshals clearing the floor

- **Emergency response phase**

List of Emergency Response Procedures (What are the daily procedures that would be necessary in order to remain operational for the first 24 hours after an emergency?)

#	Emergency Response Tasks	Responsible Party
1.	Activate the Facilities Team when notified by the MIT. Assemble members and brief them on the situation. The location is to be determined by the Facilities Team Leader.	Facilities Team Leader
2.	Maintain a log of all actions performed during the disaster.	Facilities - Senior Engineer
3.	If disaster occurs during normal operating hours account for the whereabouts of all personnel who were in the building. Evacuate all personnel remaining inside the building where safe to enter. Liaise with emergency services to ensure that safe evacuation of personnel where building is inaccessible. (appropriate to the disaster type and severity) Follow the pre-determined evacuation plans.	Nominated Fire Marshalls
4.	Coordinate medical treatment for any injured employees. Liaise with emergency services.	Facilities – Maintenance Assistant (First-Aid Trained)
5.	Ensure *XXXXXX* County FA building perimeter is secured to ensure equipment and information is appropriately protected. Liaise with emergency services where appropriate.	Facilities – Security controller
6.	Retrieval of office blueprints, engineering specifications, and vital records (If appropriate to type and scale of incident/disaster)	Facilities – despatch coordinator
7.	Where incident/disaster dictates, obtain off-site: protective clothing, portable lighting, and communication devices for team member use.	Facilities Team Leader
8.	With the Leader of the MIT, the Facilities Team Leader will obtain an immediate assessment of the safety of the building from the local emergency authorities on scene. The two Leaders will attempt to enter *XXXXXX* County FA premises to obtain initial damage assessments. (appropriate to the type and severity of disaster)	Facilities Team Leader (with MIT Leader)
9.	Establish whether all security systems are functioning correctly and Inform the MIT of findings. Where they are not, gain direction from MIT re: whether to fix/re-install immediately or whether manual security measures are required for an interim period. (This decision will be determined by the level of damage to the building Infrastructure)	Facilities – Security controller

#	Emergency Response Tasks	Responsible Party
10.	Establish whether the fire alarm is still functioning and inform MIT of findings. Where they are not, gain direction from MIT re: whether to fix/re-install immediately or whether to perform manual checks regularly. (This decision will be determined by the level of damage to the building infrastructure) Inform the emergency services of the state of the fire alarm systems immediately, to ensure they are aware of faulty or non responsive systems.	Facilities – Senior Engineer/ maintenance assistant
11.	Report findings back to MIT from building inspection. Specifically identify (where possible) if part or any of XXXXXXXX County FA offices is accessible and safe for any personnel to return to their working locations and identify those departments (if any) that will be required to relocate to alternative offices.	Facilities Team Leader
12.	Assist the MIT in determining if relocation to the alternate facilities is required for any and all personnel.	Facilities Team Leader (with MIT Leader)
13.	If findings of above inspection establishes that relocation to the alternative office accommodation and other locations is required, Establish if any equipment can be safely removed and relocated.	Facilities Team member – nominated by MIT Team Leader
14.	Contact MIT to ensure that insurance implications have been considered and advice sought regarding (but not limited to) • damage to property/equipment • cover for employees working on the premises • corporate cover Establish insurance requirements in terms of information collation, accuracy of records, damage assessment and salvage.	Coordinated by Facilities Team Leader & Admin Manager/Payroll (Insurance)
15.	Estimate initial time/cost for any repair/rebuild or re-installation work required. Present these findings to the MIT and await further instructions. Liaise with Managing Agents to facilitate this work.	Facilities Team Leader

- **Recovery phase**

List of Recovery Phase Procedures (What are the procedures that would be necessary to perform while in "recovery mode"?)

#	Recovery Tasks	Responsible Party
1.	Upon direction from the MIT, assemble Facilities Team and implement recovery tasks.	All Facilities Team
2.	Co-ordinate a detailed on-site assessment of damage and remedial work required with third party contractor, where this is safe to do so.	Facilities Team Leader Senior Engineer
3.	Meet with IT Team to gain detailed recovery work requirements for IT Infrastructure. Factor these requirements into building work requirements and estimates to ensure that any increased costs/timescales are included.	Facilities Team Leader
4.	*This task may take a considerable time to verify costs etc, relocation and the implementation of interim solutions should be co-ordinated simultaneously* Report detailed findings to MIT, with time/cost estimate. (Building Infrastructure only - IT to submit separate cost/time estimates) Ensure these estimates are as accurate as possible, as the decision whether to proceed with remedial work (during the restoration phase) or relocate business, will be formed in part based on these figures.	Facilities Team Leader
5.	Where appropriate, gain agreement from MIT that interim recovery actions should now commence (including longer term relocation site).	Facilities Team Leader
6.	From BCP, identify if Personnel relocation plan remains valid/viable or whether numbers of personnel and equipment required needs to be altered. Where safe to do so, identify areas of XXXXX Count y FA offices that remain available for work and communicate this to the MIT. Ensure that equipment required at XXXXX County FA office is available to ensure continuity of departmental functions. Coordinate recovery of departments at XXXXXX County FA office where available.	Facilities Team Leader
7.	Identify which Facilities Team members are to be relocated to each alternative location, to coordinate and set up work locations. Dependent upon the type and scale of incident/ disaster this may require part of the team to be deployed to the alternative offices, with other operating a mobile role to assist with facilities requirements across a number of other as yet unknown locations.	Facilities Team Leader All Facilities Team
8.	Determine if any further equipment/furniture needs to be transferred to alternative locations to facilitate alternative work locations. Liaise with IT Infrastructure Team to ensure this activity, also captures IT equipment.	Facilities Team Leader (with MIT Leader)
9	Where XXXXX County FA office is to remain operational, verify that power/water/heating and lighting are available. Maintain systems to ensure continuity of departmental operations. Liaise with third party suppliers to fix/maintain current supply (where appropriate)	Facilities Team member – Building infrastructure

#	Recovery Tasks	Responsible Party
10.	Source transportation and remove equipment/furniture/stationery and consumables from XXXXX County FA office. Transport required equipment/furniture to the alternative location. Liaise with IT Infrastructure Team to ensure that this activity also captures IT requirements.	Facilities Team - Despatch Co-ordinator
11.	Determine if any assistance is required to relocate personnel and transport personnel to alternative sites, where this will expedite the recovery of departmental functions.	Reception Team and Despatch Co-ordinator
12	Arrange secure relocation of key assets (tickets, legal records etc.) as directed by MIT	Facilities Team member – Security Controller
13.	Implement alternate methods to receive mail from different carriers (inform them of change) and reroute to the new location or pick up mail from the post office and redistribute via Facilities Personnel.	Facilities Team member – Postal Co-ordinator
14.	Inform MIT of Mail redirection arrangements, and ask that this is communicated to any external departments/organisations or bodies and counties.	Facilities Team Leader
15.	Establish if centralised printing can operate from central FA offices. Where this is not the case, agree with MIT whether to transfer printing equipment and capability to the agreed alternative location or to use printing suppliers as an interim solution. Where printing capability is to be transferred, relocate equipment and setup capability. Where external suppliers are to be used as an interim solution, source supplier and try to negotiate reduced rates for volume of printing during interim period. Inform MIT when printing capability is restored and explain scope of services available, either at the new location or via external supplier request that this is communicated to all internal departments.	Facilities Team Leader
16.	If XXXXXX County FA is accessible and some departments will remain at the facility, gain direction from MIT whether catering facilities should remain operational or whether this should be temporarily suspended. If the decision is taken to keep catering operational, ensure that the stock levels and forward ordering considers any reduction in personnel due to any relocation to some department's functions. Where the decision is taken to suspend catering operations for an interim period, contact catering suppliers & suspend all orders.	Facilities Team Leader
17.	If equipment requires checks from external suppliers (under maintenance contracts etc) confirm that any additional costs incurred as a result of calling out maintenance engineers is agreed with MIT. Where this is approved, schedule equipment maintenance from suppliers.	Facilities Team member –senior engineer
18.	Retain ongoing communication with the MIT, updating them on progress and issues. Monitor departmental status report and gain feedback on any issues or assistance required. Offer all departments facilities assistance to ensure the smooth running of department during this interim recovery period.	All Facilities Team

- **Recovery phase**

List of Restoration Phase Procedures (What are the procedures that would be necessary to perform while in "restoration mode"?)

#	Recovery Tasks	Responsible Party
1.	The restoration phase may run in parallel to the recovery phase, to expedite the restoration on normal service to all departments. The Facilities Team Leader will convene a meeting of all Facilities Team members to discuss and agree work going forward.	All Facilities Team
2.	Gain advice from the MIT as to whether XXXXX County FA office is to be refurbished/rebuilt or whether a permanent alternative site is required. Gain project plans or directions (from MIT) to allow project plans to be constructed. In conjunction with MIT contract third party to construct rebuild/refurbishment or relocation plans. Where it is deemed that there is sufficient skills internally to construct such plans, construct plans internally.	Facilities Team Leader & IT Infrastructure Team Leader (under the direction of the MIT)
3.	Assess XXXXXX County FA office plans or new site plans to ensure that all the following areas are considered: • Power supply/UPS • Water/heating/lighting/lifts/secure delivery • Telecommunications & IT Cabling Infrastructure • Physical capacity for personnel and storage capability • Building Security systems – Access & egress restriction (perimeter and internal), CCTV, alarm, intruder detection • Fire safety provision. Inform MIT of any issues arising regarding the above areas where plans do not offer sufficient capacity or capability.	Facilities Team Leader
4.	Review above plans in conjunction with IT Infrastructure Team to ensure that all IT requirements have been factored into the plans.	Facilities Team Leader & IT Infrastructure Team Leader
5.	Gain approval and sign-off for plans from MIT.	Facilities Team Leader & IT Infrastructure Team Leader
6.	Implement above plan to restore infrastructure. Continually update MIT with status and progress reports and immediately communicate any issues which affect time/budget or safety.	Facilities Team Leader
7.	Procure all equipment that needs to be replaced. This must be conducted in association with the IT Infrastructure Team to ensure that equipment is compatible with all IT equipment All equipment should be installed and tested following a formal test strategy and release plan.	Facilities Team Leader plus IT team Leader

#	Recovery Tasks	Responsible Party
8.	Interface with outside services (fire departments, building inspectors, or governmental agencies) on issues of safety & occupancy.	Facilities Team Leader
9	Develop a plan for migration of operations from the alternate recovery site to XXXXXX County FA office or new permanent relocation site.	Facilities Team Leader
10.	Submit migration plans to the MIT for review and gain authorisation and approval to implement migration plans.	Facilities Team Leader
11.	The migration from alternative site to the recovered permanent site should take place in phases to ensure that each department or function is migrated fully and is operational.	Facilities Team Leader

Appendices

We would recommend that any appropriate supporting documents which are referenced within the BCP are kept within the appendix.

For example, this might include but is not limited to:

- Current action plans (any action plans to improve the adequacy and effectiveness of the BCP).
- Incident record (summary record of any incidents occurring) – *example attached under Appendix A.*

Appendix A

Incident record

The following is an example of summary of incidents experienced by the ***XXXXX*** County FA since ***XXXXX***.

Full incident reports are also available. Any actions resulting from these incidents are documented in Appendix A until they are resolved.

Ref	Date of incident	Nature of incident	Length of incident	Impact Rating
1	10th September	Power failure – caused externally. Started around 1.30pm ended around 6pm. Office evacuated and closed at 3pm	5 hours	3
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				

Rating:

Incident involving *XXXXXXX* County FA facility

1 = No evacuation required, impacts a minority of staff, minimal disruption to operations.

2 = Temporary evacuation required with minor disruption to operations, but return to normal on the same day.

3 = Evacuation required and operations disrupted, but return to normal the next day.

4 = No access to part of TBC with the temporary relocation of a number of staff.

5 = No access to all of TBC with the temporary relocation of all staff.

6 = Severe damage to TBC with the long-term relocation of all staff.

Non-facility related incident

A = Temporary impact on a large number of staff / resources with minimal disruption to operations.

B = Longer-term impact on a large number of staff / resources with reasonable disruption to operations.

C = Severe injury to key staff disrupting our ability to continue key operations in the short to medium term.

APPENDIX 59

Creating the County FA People Plan

A significant new development for the Sport England Code for Sports Governance is the requirement for a People Plan.

Requirement 3.4 of the Code is described as follows:

Each organisation shall have a People Plan and shall review and discuss it on at least an annual basis and share the findings of that discussion with its members and people (e.g. employees and volunteers).

County FAs should already be well-equipped in this area through their existing strategies and operational plans both of which are required to pay attention to the recruitment, progression and development of the employed and volunteer workforce. Pillars dedicated to these areas in the County FA Operational Planning process are entitled Grassroots Workforce and Running the County FA: County FA Employed Workforce.

This guidance is for County FAs to assist with the creation of a People Plan which is fit for purpose at all County FAs regardless of size or location.

In the short term the People Plan will naturally focus on direct volunteers of the County FA only such as board, council or committee members. In the longer-term County FAs should also consider how the principles of good governance can be cascaded for the benefit of volunteers in clubs, leagues and other stakeholders.

County FAs should map stakeholders to prioritise which volunteers to engage with. The England Football Accreditation tools should be advocated by The County FA to assist with this (see Resources below).

Context

1. Regular reviews and discussions of the plan (at least annually).
2. Sharing the findings of reviews and discussions with members and people (e.g. employees, volunteers).
3. Demonstrating clear leadership and accountability for the People Plan.
4. Developing a diverse workforce.
5. Development of skills and behaviours which contribute to a positive and thriving culture.
6. Demonstrating a duty of care towards the people within the organisation.
7. Ensuring that people are equipped and supported to meet the demands of their role.
8. Involving people in the development and delivery of the People Plan to ensure that a diverse range of perspectives is represented.

With these factors in mind The FA has developed the template which follows which County FAs may wish to use as a starting point to structure and develop their People Plan.

The People Plan should be closely aligned to the County FA strategic objectives and should outline how the County FA will effectively deploy its workforce to achieve its aims.

According to the CIPD:

Workforce planning "inevitably involves recruiting, training and deploying the people needed to get the work done. But if managers wait until the moment the work has to be done, the people and skills needed to do it will simply not be there."

Shaping the People Plan

The County FA People Plan should set out how the County FA will ensure that a skilled and supported workforce is in place to carry out each area of work within the County FA including leadership, safeguarding, football development, football services, facilities, general business operations and any other areas specific to the County FA.

The People Plan should outline how the County FA will recruit, train, nurture and retain the workforce in order to achieve diversity, a positive thriving culture, high performance, continuity of knowledge and high-quality service.

The strategic objectives should be aligned to the County FA and FA strategy period (currently 2020 to 2024). County FAs may wish to embed the People Plan within the County FA strategy, highlighting how the People Plan links to the overall strategic objectives and operational plans.

The FA Volunteering Game Plan 2022 -2024

Here is a brief summary of The FA Volunteer Game Plan which should help to provide some context for the volunteering section of the People Plan. The aim of the Volunteer Game Plan is to increase the satisfaction of volunteers across the game. The FA has 4 objectives that will inform our work with County FAs on the support for volunteers.

1. To create a vibrant identity and voice that raises the profile of volunteering within Football
2. To drive an engagement programme to retain, recruit and reward volunteers, which prioritises a 'digital first' approach
3. To create a volunteering environment that grows the number of diverse deliverers, activators and leaders of football in every community
4. To create a comprehensive training and development plan for volunteers

Engaging Others

Consider how to engage the workforce in the design and delivery of the plan.

Meetings, focus groups and surveys could be used to discuss the plan. Insights from the annual County FA State of Play Survey may be referenced.

Consider the communication channels which could be used to engage the workforce at all levels and to feedback on the plan and its progress.

County FA People Plan Template

Below is a suggested template to use when developing your People Plan. County FAs may wish to adopt a different structure and wording but to meet the Code requirements please be mindful to include the required elements described in the Code commentary.

A minimum of one review annually should take place towards the end of each season. It may be helpful to align this review with the County FA Operational Planning process.

County FA People Plan					
	Pillar 1	**Pillar 2**	**Pillar 3**	**Pillar 4**	**Pillar 5**
	Roles and Recruitment	**Induction and Training**	**Inclusion and Wellbeing**	**Engagement and Retention**	**Succession Planning**
Strategic objectives	For each of the 5 pillars in this row describe briefly what the County FA will achieve in this area by the end of the strategy period.				
Season 1 Focus	Include a short statement for each season of the strategy period which indicates the area of focus or direction of travel. (Please note that it may not be possible to complete this for all four seasons for all pillars.)				
Season 2 Focus					
Season 3 Focus					
Season 4 Focus					
Leadership	Who in the County FA leads in this area and what are their accountabilities?				

County FA People Plan Template (continued)

Focus activities for this season for County FA employed workforce	For each pillar, list the key activities to focus on this season which will contribute to achievement of this objective for the County FA employed workforce. Some activities may be core or business as usual and others may be new projects.				
Focus activities for this season for volunteers	For each pillar, list the key activities to focus on this season which will contribute to achievement of this objective for the County FA volunteers. Some activities may be core or business as usual and others may be new projects.				
Progress review and discussion	**What are the successes in each pillar to date? (include feedback from across the workforce)**				
Date of Review					
Add date					
Meeting Attendees					
Add names and positions	**What have the challenges been in each pillar? (include feedback from across the workforce)**				
	What opportunities are there to develop the plan further in each pillar? (include feedback from across the workforce)				

Example People Plan

The example text in blue below provides some suggestions of content you may wish to include in the County FA People Plan and how the plan could be worded. It is not intended to be a comprehensive list of everything which should be included.

County FA People Plan					
	Pillar 1	**Pillar 2**	**Pillar 3**	**Pillar 4**	**Pillar 5**
	Roles and Recruitment	**Induction and Training**	**Inclusion and Wellbeing**	**Engagement and Retention**	**Succession Planning**
Strategic objectives	*To establish a diverse, skilled and highly motivated workforce which delivers the County FA strategic aims.*	*All staff and volunteers will receive a high-quality induction and access to training opportunities to perform their roles effectively.*	*Every staff member and volunteer will feel safe, well-supported and able to show their authentic self at work or when volunteering.*	*All staff and volunteers will have a clear sense purpose and will feel valued for the contribution they are making.*	*We will identify risks within the workforce and develop succession plans to ensure continuity when people move on from the County FA.*
Season 1 Focus	*Establish the approach and tools.*	*Review what is in place already and establish a training proposal.*			
Season 2 Focus	*Test the recruitment tools and evaluate.*	*Build the training content and test delivery.*			
Season 3 Focus	*Improve the tools and search out opportunities to digitise and refine the process.*	*Refine the delivery based on robust evaluation.*			
Season 4 Focus	*Embed the recruitment process and share the successes widely.*	*Embed the County FA training programme across the workforce*			
Leadership	*Name of Lead. Accountable for the delivery, review and quality control of all actions in this pillar.*	*Name of Lead. Accountable for training evaluation, Board reporting and continuous improvement.*	*Name of Lead. Accountable for the County FA Inclusion and Wellbeing plan and Wellbeing policy.*	*Name of Lead. Accountable to monitoring staff engagement and retention, reporting to board and capturing exit data.*	*Name of Lead. Accountable for maintaining and reporting on the succession plan, reporting risks to the Board.*

Example People Plan (continued)

Focus activities for this season for County FA employed workforce	*Research and formulate a list of local and national platforms (including community groups) to advertise staff and volunteer roles.*	*Develop a skills matrix for the staff team to understand where there are common gaps in skill and knowledge.*	*Produce a staff and volunteer wellbeing policy.*	*Review the current salary and benefits package in consultation with staff and board.*	*Develop a skills swap programme for staff so that team members can cover each other's roles during periods of absence.*
	Develop a new recruitment pack in consultation to attract diverse and skilled applicants.	*Set up a buddy system for all new staff and volunteers to provide a named source of support and information for all new starters.*	*Create a wellbeing noticeboard in a prominent communal area with information about sources of support such as the EAP and Wellbeing Hub on The Training Ground.*	*Consult with volunteer groups to understand what would help them to feel better supported and recognised. Design action plan to address findings.*	*Develop a programme of experience for senior managers to prepare them for the CEO role.*
	Review all role profiles and update as required.		*Hold a staff State of Play workshop to review the findings and for staff to discuss openly ideas for improvement.*	*Use the State of Play findings to develop engagement action plan.*	*Nurture the future leaders (staff and volunteers) by supporting them with personalised learning and development opportunities.*
	Carry out recruitment and selection training for all staff participating in recruitment.		*Provide training for managers on supporting staff wellbeing and mental health.*	*Develop an exit interview process for staff and volunteers to understand why people leave.*	
			All staff to complete EDI courses in 'Equality and Culture' playlist on The Training Ground.		

Example People Plan (continued)

Focus activities for this season for volunteers	*Retain 'x' volunteers, increase satisfaction of volunteers by 'x', convert 'x' sponsors into volunteers.*	*Create a new induction pack for volunteers to aid satisfaction and confidence in role Establish a shadowing programme to share knowledge across existing volunteers.*	*Establish understanding of the motivations, satisfaction in role and support required.*	*Improve communication with volunteers through a monthly newsletter.*	*Breakdown roles into tasks to establish key functions and to create shadowing opportunities for new volunteers on a flexible basis.*
	Establish role profiles for x tasks.		*Establish a Thank You campaign to reward volunteers nominated by their peers.*	*Establish a monthly recognition programme to highlight the roles undertaken, impact they have and the expertise of the people carrying them out.*	
	Establish a Volunteer Policy.			*Create a Volunteer Expenses Policy.*	
Progress review and discussion	**What are the successes in each pillar to date? (include feedback from across the workforce)**				
Date of Review					
Add date					
Meeting Attendees					
Add names and positions	**What have the challenges been in each pillar? (include feedback from across the workforce)**				
	What opportunities are there to develop the plan further in each pillar? (include feedback from across the workforce)				

Questions

The following questions can be used as a basis for discussion in shaping the People Plan and to help you check and challenge the efficacy of the plan.

Employed workforce questions to help shape actions:

- How can we enhance our employer brand in order to attract skilled and talented recruits? (Roles and Recruitment)
- Where can we promote our vacancies to reach a more diverse talent pool which represents our local community? (Roles and Recruitment)
- What are the barriers experienced by potential applicants for roles at this County FA? (Roles and Recruitment)
- What feedback have recently appointed staff or volunteers provided about their experience of induction? (Induction and Training)
- How can we ensure that our induction training fully prepares individuals to perform their role effectively? (Induction and Training)
- How does our training offer meet the needs of all staff and volunteers? (Induction and Training)
- How does the County FA training plan align to the wider strategic objectives? (Induction and Training)
- Has the IAG/IAB been consulted on the People Plan? (Inclusion and Wellbeing)
- What practices and interventions has the County FA planned to ensure that all staff and volunteers feel fully included? (Inclusion and Wellbeing)
- Has the County FA identified any policies, processes or practices which may impact negatively on wellbeing? (Inclusion and Wellbeing)
- What has the County FA put in place to support and enhance the wellbeing of all its people? (Inclusion and Wellbeing)
- How has County FA considered insights from the State of Play survey or other staff surveys when shaping the People Plan? (Engagement and Retention)
- How does the County FA motivate, recognise and reward staff? (Engagement and Retention)
- What have recent leavers from the County FA said about their experiences of employment and reason for leaving during exit interviews? (Engagement and Retention)
- What is the plan for covering key roles in the event of absence or resignation? (Succession Planning)
- What is in place to develop staff in preparation for their next step in the County FA? (Succession Planning)

Volunteering questions to consider to help shape actions:

- How do we promote our organisation, its purpose and that of volunteering? (Roles and Recruitment)
- How do we currently recruit volunteers? (Roles and Recruitment/Succession Planning)
- How do we make the community aware of the roles volunteers undertake? (Roles and Recruitment/ Succession Planning)
- What feedback have we had from volunteers that have left the organisation? (Roles and Recruitment)
- How representative of our community are existing volunteers? (Inclusion and Wellbeing)
- What stops people volunteering in our organisation? (Inclusion & Wellbeing)
- How satisfied in their role are our existing volunteers? (Inclusion and Wellbeing)
- How do we promote the impact of volunteers/ volunteering? (Inclusion and Wellbeing)
- How do we welcome volunteers at present? (Inclusion and Wellbeing)
- What support do we currently offer volunteers, including induction, to help them enjoy their role and develop? (Induction and Training)
- Do our volunteers feel connected to the organisation and rewarded? (Engagement and Retention)
- How do we communicate with our volunteers (Engagement and Retention)

Resources to Support your People Plan

Recruitment

Football Leadership Diversity Code Jobs Board Guidance (Join the County FA Operations MS Team to access this link)

County FA Recruitment Toolkit (Join the County FA Operations MS Team to access this link)

Careers@thefa.com

https://www.uksport.gov.uk/

https://uk.indeed.com/

https://www.kickitout.org/job-listing

Training and Development

County FA Learning and Development Brochure (Join the County FA Operations MS Team to access this link)

The Training Ground

Volunteers

Involving Volunteers: https://www.ncvo.org.uk/help-and-guidance/involving-volunteers/#/

England Football Accreditation

Sport England Workforce Evaluation Guidance

UK Coaching We're here for the COACH - UK Coaching

CIMSPA Home (cimspa.co.uk)

Volunteering resources from Sport England – including volunteering survey guidance and volunteering evaluation toolkit

https://www.sportengland.org/funds-and-campaigns/workforce?section=volunteering#volunteering



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