



ESG
Gaming

Governance & People Handbook

May 2023

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A warm welcome



ESG Gaming is the trading name of ESG Corporate Community Interest Company. We are incorporated as a not-for-profit and with no share capital, Community Interest Company (CIC), Company registration number: 13566221. We are independently regulated by the Office of the Regulator of Community Interest Companies and registered with the Fundraising Regulator. Proudly founded in August 2021, our vision is to ensure that consumers worldwide possess the skills, knowledge, resilience, and tools to engage with digital entertainment in a safe, responsible, positive, and inclusive manner.

ESG Gaming is led by an exemplar, independent group of Non-Executive Directors; a competent, independent Executive Chair and (as income is secured) a Senior Leadership Team, comprising of a Chief Executive, Director of Fundraising and Director of Programmes. ESG Gaming will not employ more than six full-time employees into the medium term and will significantly punch above its weight. Our aim as a small, not-for-profit organisation is to deliver value and impact equivalent to an organisation with significantly more resources, so we model cost effectiveness in our sector.

Finally ESG Gaming will establish an Advisory Group in 2023 to complete the foundations of our people strategy. As ESG Gaming becomes more established, our Non-Executive Board will lead and scrutinise strategy and evaluation; our Senior Leadership Team will lead fundraising, public affairs, product development and operational delivery and our Advisory Group will provide consumer insight and counsel.

Governance is system that provides a framework for managing an organisation. Leaders who work in an organisation are responsible for that framework. In the case of ESG Gaming being both a lean and start-up organisation, governance is led and owed everybody. Therefore combining these two functions, in to one governance and people strategy, not only encourages ownership by everybody, but also ensures a shared understanding across our flat hierarchical structure.

If you are on the ESG Gaming journey, or wish to join us and contribute, we'll welcome you with open arms. Obviously we are biased, but ESG Gaming is an incredibly special organisation. Everybody is connected through a shared desire to deliver our vision in a compelling, thoughtful and evidence-led way, with a good dose of fun and kindness along the way.

Contents





Purpose	Page 5
Behaviours	Page 6
Products	Page 8
People	Page 12
Reviews	Page 18

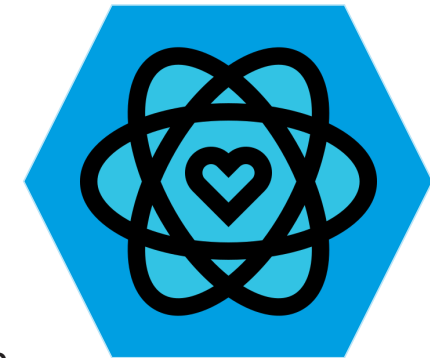


OUR DNA

The shorthand for ESG Gaming's culture and strategy, a metaphor for what makes us unique.

We live our Values

-  We are creative, confident and kind
-  We believe in the power of partnerships and the social capital of collaboration
-  We as a team focus on delivering outcomes that exceed expectations
-  We challenge conventional thinking and embrace difference

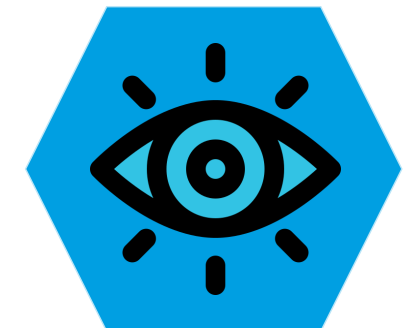


We exist to deliver our Mission

ESG Gaming is a passionate advocate of emerging technology and is committed to working alongside the digital entertainment sectors to ensure the experience is open, inclusive and positive for all consumers and stakeholders

We imagine the future through our Vision

To ensure that consumers worldwide possess the skills, knowledge, resilience, and tools to engage with digital entertainment in a safe, responsible, positive, and inclusive manner





Our Board behaviours



ESG Gaming is an agile, start-up Community Interest Company (CIC); characterized by a forward-looking and exploratory approach that makes for timely decision making and an organisation that we believe is more adaptable and more innovative. Our people have the talent to identify and respond effectively to changes in the internal and external environment with a sense of tenacity; a fierce blend of determination, persistence, and grit.

Our board currently consists of four founding members. As ESG Gaming becomes more established and our products clearly defined, we intend to conduct a skills audit to understand if we have the right mix of skills and knowledge. If there are gaps, we will consider upskilling current members or recruiting new members. We plan to have no more than six members in total and all members commit to no more than two terms of three-years.



All our board members are comfortable with not only scrutinizing our organizational performance but also their individual and collective performance as a board. Each board member acts with professionalism and takes ownership of the 'challenges' as well as the 'nice to do' jobs. Board members are happy to have objectives and be measured against them, show resilience and are open to challenge. Members are happy to have a fixed tenure and aware enough to move on when they feel that they have made their contribution, even if this is after just one term. Board members will always put the needs of the ESG Gaming first and demonstrate awareness that somebody with a different background or thinking style may be able to add more value.

All our board members epitomize servant leadership and engage with the Advisory Group and Senior Leadership Team, and are valued by them as their critical friends. Board members commit to a minimum of two days per month, on average, and each member wants to spend time building their knowledge, understanding and considering how they can best add value. Board members believe it about what they do as appose to who they are. We know behaviours drive performance, and high performing boards and their members behave in ways that build their organisation's strength. For ESG Gaming this means all board members are obsessed that their actions create measurable social impact.



One of our values is to challenge conventional thinking and embrace difference. Therefore as new talent joins ESG Gaming, irrespective of role, we are mindful and alert to building a team made up of different characters. It is these characters, each with their different line of sight, which will be our strength. Therefore ESG Gaming will have:

- **A Peacemaker who asks:** can't we find a common way? Surely there is a different approach?
- **A Challenger who says:** can't we do better? Has it always been done this way and if so why?
- **A History holder who says:** do remember where we come from. We need to go back to our roots, and remember what worked in the past.
- **A Compliance person who ask:** what will the auditors think? Is this legal?
- **A Passionate advocate who will say:** for goodness sake, surely, we must take a risk?
- **A Data champion who will say:** all the evidence shows that however often we do that, it makes no difference to the outcomes.
- **A Wise counsellor who will ask:** we are not the only people trying to tackle this issue, we need to think carefully, plan properly, and take this step by step.
- **An Inspiring leader who will:** hold the vision, will point to the hills, will enthuse and excite.
- **A Fixer who says:** I think we can get together outside the meeting and sort this out.
- **A Risk taker who will say:** the case is there, let's just spend the money, and it is such a good idea that it will work.
- **A Strategist who will say:** we need to think about what will happen in 2026, and recognise that if the Government makes the changes that they are planning, then our position will be much stronger or weaker and the whole environment will be different.
- **And finally a Beneficiary Champion who will say:** I am worried that we are ignoring the interests of our beneficiaries / customers. We haven't mentioned their needs all though this meeting.

Dame Julia Unwin the former Chief Executive of the Joseph Rowntree Foundation says *'all those voices, all those questions and more, make great organisations. The role of the board is to have the diversity to hold in balance the strategist, passionate advocate and entrepreneur with the risk taker, the compliance person and the data champion. Boards that are entirely entrepreneurial are pretty scary. Boards that are entirely compliance driven are terrifying.'*

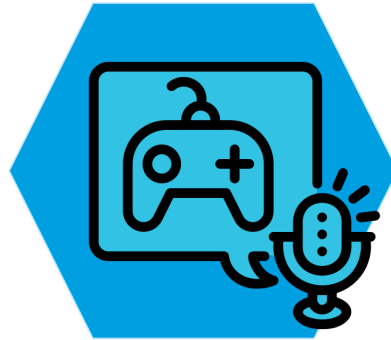


Community Interest / Public Benefit Test

ESG Gaming satisfies the community interest & public benefit test as we undertake the following activities which benefit our community in order to raise awareness off and minimise gambling, gaming or tech-related harms.

Activities

(i) Safer Gaming Research; (ii) Build a Web3 metaverse to educate consumers on the safe consumption of technology and digital entertainment; (iii) developing igaming career pathways for members of the public from vulnerable communities to secure employment within the igaming sector (iv) develop an accreditation standard for esports teams and (v) with permission from the regulator, make grants to organisations to harms from c25% of our surplus annually.



Community

Our beneficiaries / community are defined as (i) members of the public, aged 18 yrs and over who may be at risk of gambling, gaming or tech harm; (ii) members of the public who live within vulnerable communities.

Objects of the CIC

Are to carry out activities which benefit the community and in particular (without limitation) reduce gambling, gaming or tech related-harms by:

- The advancement of prevention and research aimed at minimising gambling, gaming and tech harms for the benefit of the public in the United Kingdom and European Union, by providing advice and information, by raising awareness, and by making grants to organisations to deliver prevention work to further a national strategy to reduce harms;
- The relief of poverty and the improvement of the conditions of life in socially and economically disadvantaged communities, particularly among those affected adversely by gambling, gaming or tech;
- The promotion of a sustainable and responsible means of achieving economic growth, sustainability and regeneration of local communities.

Our beneficiaries / community are defined as (i) members of the public, aged 18 yrs and over who may be at risk of gambling, gaming or tech harm; (ii) members of the public who live within vulnerable communities.

Our Research

Project One

Influencer-led gambling in gaming on streaming channels.

The aim of this research is to explore the behavioural (e.g. gambling activity) and environmental/ technological (e.g. group and platform factors) characteristics of influencer-led gambling in gaming on streaming channels through both academic & lived-experience research. This research would be extending the current emerging literature on the role of gambling type behaviours in gaming and streaming.

A mixed method approach of qualitative and quantitative methods would be applied to understand the following characteristics of influencer-led gambling in gaming on streaming channels: i) Behavioural (e.g. gambling activity); ii) Environmental (e.g. social/group factors); and iii) Technological (e.g. platform factors).

Project Two

Influencer-led gambling in gaming on streaming channels.

The Research report will make suggestions about future developments including risks, challenges, and opportunities, in the context of gaming and gambling. Such as looking back and looking forward to technological development, platform participation and customer & platform behaviour.

A synthesis would be created, with potential recommendations around safeguarding customers based on customer behaviours and trends. Finally we would undertake a literature review and content analysis to collate information about:

- Web2 and Web3 gambling – future trends
- The specific challenges risks and opportunities for customers, operators and regulators.
- Context and examples of gaming and gambling on emerging platforms.
- Other activities in Web3 to compare to gaming and gambling.

Our Educational Products

Project One **Player Protection: an emerging Web 3 platform for players, fans, parents**

Our vision is to create a dedicated Safer Gambling in Gaming & Esports Web3 based platform for gaming consumers, as well as the parents of younger fans/players.

Our Web3 platform will be web-based and feature a wealth of information through the lens of a holistic & wider public health approach to Safer Gambling in Gaming & Esports. Therefore, our Web3 platform will contain information on mental & physical health; diet & nutrition; financial capability and in game microtransactions; Non-Fungible Tokens and emerging tech; mindfulness; safer gambling, and links to the NTS. This information will be created in different formats (i.e. podcasts, real-life & animated videos, quizzes, information sheets etc) to ensure it is relevant and engaging to our audience. The platform will also feature bi-weekly live-webinars on different topics and opportunities for members to interact in a safe & supportive environment. We will work with esports and gaming tournament organisers to ensure our platform is the Safer Gambling partner for esports events.



Project Two **Esports Team Excellence: an accredited quality standard for esports teams**

We want to recognise, celebrate and showcase the esports teams that are championing and epitomising outstanding leadership in player welfare, equality & diversity, and safeguarding. Our vision is to create an externally accredited quality standard for esports team leadership. We will do this by working collaboratively with Esports Insider, Bournemouth University, City & Guilds and six initial pilot esports teams to develop, deliver and evaluate a meaningful quality standard.



The proposed quality standard will be collaboratively co-created by the esports pilot teams and partners. Similar to quality standards in other sectors, it is proposed Team Excellence will list relevant criteria that esports teams should be able to demonstrate they meet. For example, taking player welfare; assessment criteria will list minimum standards (such as player integrity; mental stress; resilience; diet & nutrition and personal fitness). It is then proposed that Esports teams evidence how they meet this criteria, which is reviewed and supplemented with supportive and motivational player interviews to test the evidence. The quality standard will be created in a way whereby teams either

(i) achieve with distinction; (ii) achieve in full; or (iii) part-achieve. Teams achieving a part-achievement will be offered support so they can schedule a further assessment. It is not our intention to negatively judge teams, but to celebrate and disseminate best practise across the sector.

Esports teams involved in the pilot will receive a donation of £5,000 for their participation to help to develop and pilot these standards over a five month period. As soon as the pilots are completed and a formal evaluation has been concluded of the proposed standard itself; the full evaluation findings will be disseminated for input. It is our intention to seek to corporate sponsors to support this quality standard, so the product itself can be offered at no cost to esports teams in the United Kingdom.

Project Three **Careers1Up: a training and careers hub for the esports and gaming space**

Esports suffers from some unique accessibility related challenges. For example the base level of equipment needed to participate in esports is generally much higher than many physical sports. There's also limited opportunities for a keen gamer to go from enthusiast to pro, or indeed pursue a career more widely in gaming.

By working with Esports Insider, Esports Teams, Publishers, Community organisations, the Department of Work and Pensions and Job Centre Plus we want to make these opportunities available by unleashing the hidden and often unseen talent of young people living in some of our most deprived communities across England



Human Resources

Non-Executive Directors and the Executive Chair will initially donate their time voluntarily to ESG Gaming, however as soon as the income is secured to pay Non-Executive Directors, an honorarium of up to £1,000pcm (gross) will be offered. This honorarium will be paid monthly directly to the NED's business (provided they are registered in the UK and listed on Companies House). The honorarium will be reviewed annually and an increase may be awarded, pending ESG Gaming's ability to afford it. Non-Executive Directors are not classed as employees of the CIC.

The Executive Chair will be paid an annual salary which will be reviewed and agreed by the board annually, pending ESG Gaming's ability to afford it. The Executive Chair is classed as an employee of the CIC with terms and benefits summarised as below for all employees.

Positions within the Senior Leadership Team will be only filled once ESG Gaming has secured the funding. The board will benchmark, discuss and agree the salary levels for the members of this team. To attract the right talent and mindful ESG Gaming will have no more than six employees, we will seek to pay 10% above the sector median where possible. The first three positions we will recruit will be a Chief Executive, Director of Fundraising and Director of Programmes. Salaries will be reviewed annually and the board reserve the right to include an element of performance pay within any salary offered. No employee will earn more than £125,000 annually. Members of the Senior Leadership Team are classed as employees of the CIC with terms and benefits summarised below.



Simply Health Membership: Up to Level 5 cash-back plan will be offered allowing employees access to everyday physical health, mental wellbeing and dental & optical care. This includes 24/7 GP video appointments; telephone counselling; contribution to dental, optical and prescription costs and contribution to Physiotherapy, Osteopathy, Chiropractic, Acupuncture, Podiatry and Reflexology costs.

Home working set up: Office allowance to purchase desk and Humanscale chair. A new, high spec laptop (i.e Dell i7 XPS or higher), the latest android mobile phone (Samsung S23 or higher) and home printer will be issued to each employee. These items remain the property of ESG Gaming and will be listed on our asset register. A contribution to monthly home internet costs (not exceeding £60pcm) and an annual contribution to refreshments you consume at home while working, such as tea, coffee, juice (not exceeding £200pa). All employees will be allowed to work overseas for up to four weeks per year.

Travel Expenses: A Pleo Card to enable you to purchase cost-effective public transport, overseas travel and hotels as needed while working away from home. Additionally we pay a milage rate of 50p per mile where public transport isn't an option (such as attending an event where you are transporting large volumes of resources etc). The Pleo Card will be offered upon completion of your probation period.



Four Day Week: ESG Gaming is a recognised four-day week employer. So you will receive your full salary for a four day working week. Core working days are Monday – Thursday, but you will have flexibility on your working day to fit around home or family commitments.



Job Share: We love job-sharing at ESG Gaming and will be flexible with our approach to recruitment.



Training: Continuous Personal Development (CPD) plan with free external training and an opportunity to study for a fully-funded degree or masters upon successful competition of your probation period.

Pension: You contribute 2%, we will contribute 8% to your Pension scheme of choice.

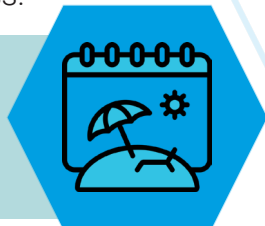
Offsetting your Carbon Emissions: Through our partnership with Ecologi, you will have several options to offset your carbon emissions while travelling or using energy at home



Employee terms and benefits

All employees of the CIC will be asked to provide evidence of their eligibility to work in the UK and appointments will be subject to two independent references and a Basic Disclosure & Barring Service (DBS) disclosure. All appointments will be offered on an initial six-month probation period and be subject to our standard Contract of Employment. All positions will be home working with travel expenses paid whenever the employee leaves their home on official business.

Holiday: 35 days per year, rising to 38 days after three-years of continuous service and 40 days after five-years continuous service. Employees will also be awarded up to two days volunteering annually and a bonus day off on their birthday. This leave allocation is in addition to UK Bank Holidays.



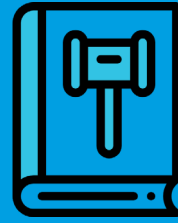
Living Wage Employer plus 10%: ESG Gaming is an accredited Living Wage employer. This guarantees a higher starting wage than the Government National Minimum wage. However ESG Gaming will go even further by guaranteeing to pay a further 10% above the Living Wage. This means for 2023/24, we'll pay a minimum of £13.14 per hour (Greater London) and £11.99 (Outer London). ESG Gaming has a pay ratio not exceeding 4:32 (£125,000 highest possible salary to a median salary of £28,908).



Code of conduct -

Each Non-Executive Director, Advisor Group members and employee will discuss and agree the following declaration

I will respect and uphold the values of ESG Gaming and act in accordance with this Code of conduct and Behavioral Framework.



General

- ✓ I will act within the governing document of ESG Gaming and abide by the policies and procedures of the organisation. This includes having knowledge of the contents of the governing document and relevant policies and procedures, which will developed as the organisation evolves.
- ✓ I will support the objects and mission of ESG Gaming, championing it, using any skills or knowledge I have to further that mission and seeking expert advice where appropriate.
- ✓ I will be an active Non-executive director, Advisory Group member or employee, making my skills, experience and knowledge available to ESG Gaming and seeking to do what additional work I can do to support the organisation's vision.
- ✓ I will develop and maintain a sound and up-to-date knowledge of ESG Gaming and its environment. This will include an understanding of how ESG Gaming operates, the social, political and economic environment in which it operates and the nature and extent of its work.
- ✓ I will use ESG Gaming resources responsibly, and when claiming expenses will do so in line with ESG Gaming procedures.
- ✓ I will seek to be accountable for my actions as a Non-executive director, Advisory Group member or employee of ESG Gaming, and will submit myself to whatever scrutiny is appropriate.
- ✓ I accept my responsibility to ensure that ESG Gaming is well run and will raise issues and questions in an appropriate and sensitive way to ensure that this is the case.

Managing Interests

- ✓ I will not gain materially or financially from my involvement with ESG Gaming.
- ✓ I will act in the best interests of ESG Gaming as a whole.
- ✓ I understand that a failure to declare a conflict of interest may be considered to be a breach of this code.

Meetings

- ✓ I will attend all appropriate meetings and other appointments at ESG Gaming.
- ✓ I will prepare fully for all meetings and work for the organisation. This will include reading papers, querying anything I do not understand, thinking through issues before meetings and completing any tasks assigned to me in the agreed time.
- ✓ I will actively engage in discussion, debate and voting in meetings; contributing in a considered and constructive way, listening carefully, challenging sensitively and avoiding conflict.
- ✓ I will participate in collective decision making.



Governance

- ✓ I will actively contribute towards improving the governance of the Non-Executive board, participating in induction and training and sharing ideas for improvement with the board.
- ✓ I will help to identify good candidates for Non-Executive Directorship at the ESG Gaming and, with my fellow Non-Executive Directors, will appoint new Non-Executive Directors in accordance with agreed selection criteria.



Relations With Others

- ✓ I will endeavor to work considerably and respectfully with all those I come into contact with ESG Gaming. I will respect diversity, different roles and boundaries, and avoid giving offence.
- ✓ I recognize that the roles of Non-Executive Directors, Advisory Group members and employees of ESG Gaming are different, and I will seek to understand and respect the difference between these roles.
- ✓ I will seek to support and encourage all those I come into contact with at ESG Gaming. In particular, I recognise my responsibility to support the chair and the executive team.
- ✓ Any public comments I make about ESG Gaming will be considered and in line with organisational policy.



Leaving The Board

- ✓ I understand that substantial breach of any part of this code may result in procedures being put in motion that may result in my being asked to resign from the Non-Executive Director board or Advisory Group.
- ✓ Should this happen I will be given the opportunity to be heard. In the event that I am asked to resign from the board I will accept the majority decision of the board in this matter and resign at the earliest opportunity.
- ✓ If I wish to cease being a Non-Executive Director or Advisory Group member of ESG Gaming at any time, I will inform the chair in advance in writing, stating my reasons for leaving.
- ✓ Employees I may be subject to disciplinary action for a substantial breach of this code and are subject to our Human Resources Policies.



Name:

Signature:

Date of Signature:

Behavioral Framework

The following behaviors form the essence of the role of Non-Executive Director, Advisory Group member or employee for ESG Gaming. These behaviors will be communicated to prospective people who wish to join ESG Gaming and form part of the recruitment material.

The behavioral framework should also form part of a regular behavioral review process and provide a base for training and development opportunities going forwards.

Ambassador, Advocate, Networker: For ESG Gaming and its work internally and externally

- ✓ Lives and breathes ESG Gaming's principles and values.
- ✓ Is visible, approachable and accessible to all, including Non-Executive Directors, Advisory Board, employees, Government, funders and supports.
- ✓ Proactively seeks opportunities to strengthen personal connections and bring these to ESG Gaming to help us deliver our mission.
- ✓ Galvanises networks, personal influence and position to further the profile and reputation of ESG Gaming.
- ✓ Is a passionate advocate of ESG Gaming; owns the message and seeks to communicate it.

Critical Friend: challenges to develop thinking and benefit social outcomes

- ✓ Analytical and critical thinking skills - able to think around an issue and consider alternative interpretations.
- ✓ Open to challenge and able to communicate in a frank, honest and straightforward manner.
- ✓ Open to be challenged and is robust and reflective in response to constructive feedback.
- ✓ Adept at asking probing questions to uncover the underlying issues, reasons and motivations.
- ✓ Engages fully in debate which is targeted, efficient and purposeful.
- ✓ Has the courage to ask 'the silly question'.
- ✓ Uses feedback and straight-talk to drive high performance in a supportive manner.

Focus on the future: anticipates and embraces change to ensure continued improvement

- ✓ Looks at the big picture, identifying patterns, trends and risks and grasps strategic opportunities.
- ✓ Sets direction with clarity and confidence, mindful of external factors.
- ✓ Maintains a disciplined focus on what will deliver outcomes.
- ✓ Monitors the external environment and uses this knowledge to inform future direction.
- ✓ Thinks flexibly; is adaptable, creative and excited by innovation.
- ✓ Curious and inquisitive - thinks laterally as well as long term.

Monitor Evaluator: sets targets and monitors progress to ensure all are accountable

- ✓ Sets clear and measurable targets that will make a tangible difference.
- ✓ Contributes too and monitors performance against these targets.
- ✓ Is adept at scrutinising, interrogating and making sense of financial information.
- ✓ Works in a structured, efficient and productive manner.

Decision Maker: makes judgements with confidence and ownership

- ✓ Driven, dynamic and purposeful in driving progress forwards.
- ✓ Considers evidence and impact when weighing up the options.
- ✓ Makes timely and proportionate decisions.
- ✓ Contributes fully and enthusiastically to the decision making process.
- ✓ Proportionate in assessing and mitigating issues and risks.
- ✓ Thinks independently as well as collectively; taking equal responsibility for impact and outcomes.

Supporter and Partner: acts as a true partner in pursuit of collective goals

- ✓ Coaches and mentors fellow colleagues to maximise their potential.
- ✓ Open and approachable - gives time and a listening ear.
- ✓ Role models a positive and can do presence in seeking to meet objectives.
- ✓ Offers and provides specialist and pastoral advice and guidance to others.
- ✓ Keeps communication channels open; communicates regularly to enhance profile, maintain presence and expand relationships.
- ✓ Uses Discord as a smart communication tool and mindful of the over use of email.

Individual Development Review

Below is a proposed guide for use between the ESG Gaming Chair and individual colleagues to review individual performance and development opportunities against the agreed core ESG Gaming behaviours. Individuals and the Chair should think about how they would rate their behaviour on a descriptive rating scale (detailed below), discuss achievements and areas for development, and set personal objectives for the forthcoming year in line with the Board's values and strategic objectives.

Recommended process:

1. It is recommended that the Chair reviews progress on an annual basis with each colleague (circa 45 – 60 minutes per review).
2. The nature of the discussion should be developmental and not judgemental.
3. Both parties should prepare ahead of each meeting to ensure best insights into performance are gained.
4. Discussions will serve as a reminder of the values, behaviours and responsibilities that colleagues have signed up to in order to bring about successful outcomes for the organisation.
5. Paperwork should be formal and below offers a guide and can either be completed fully (providing a clear audit trail of discussions and development objectives), or simply as a general structure for discussions.

Employee and Volunteer Development Review

Name: Role: Date:

Review against Behaviors

Please provide an indication of performance across each of the behaviors below:

Behaviors	Descriptor			
	Highly Performing	Performing	Developing	Under Performing
Ambassador, Advocate, Networker - for ESG Gaming organisation and its work internally and externally				
Critical Friend - challenges to develop thinking and benefit patient outcomes				
Focus on the future - anticipates and embraces change to ensure continued improvement				
Monitor Evaluator - sets targets and monitors progress to ensure all are accountability				
Decision Maker - makes judgments with confidence and ownership				
Supporter and Partner - acts as a true partner in pursuit of collective goals				
Achievements Comments				

With reference to the behavior descriptors, please make some notes below, focusing on your own performance against the core behaviors. You should include your perceptions of (i) your own strengths, (ii) areas that require development / that you want to work on, and (iii) any opportunities for development that you would like to take advantage of going forwards.

These notes can be used to guide your review discussion and to ensure both parties get the most out of these discussions.

Ambassador, Advocate, Networker
Critical Friend
Focus on the future
Monitor Evaluator
Decision Maker
Supporter and Partner

Objectives for the year	
Collective Objectives	Personal Objectives
To be completed by Chair	To be completed by colleague and chair jointly
Personal Aspirations	
Summary Comments	

Professional Conduct: Nolan Principles

A code of Professional Conduct is an agreed set of values outlining the expectations, responsibilities and practices for non-executive directors, Advisory Group members and employees to adopt. ESG Gaming will adopt the standards that came out of the Nolan Committee, which published Seven Principles of Public Life. The Nolan Principles form the basis of many codes of conduct, translated into contexts outside of the public sector, and have been adopted widely by Non-Executive Director and Non-Executive Boards across the Third Sector and Business.

Selflessness: Non-executive directors, Advisory Group members and employees of ESG Gaming should act solely in terms of public benefit. They should not act in order to gain financial or other benefits for themselves, their family or their friends.

Integrity: Non-executive directors, Advisory Group members and employees of ESG Gaming should not place themselves under any financial or other obligation to outside individuals or organisations that might seek to influence them in the performance of their role at ESG Gaming. Members will not accept any personal hospitality from the gambling or gaming sector (i.e. boxes at events, football tickets, personal travel etc).

Objectivity: In carrying out the business of ESG Gaming, Non-executive directors, Advisory Group members and employees should make choices based on merit.

Accountability: Non-executive directors, Advisory Group members and employees are accountable for their decisions and actions to their stakeholders and the public and must submit themselves to whatever scrutiny is appropriate to their role.

Openness: Non-executive directors, Advisory Group members and employees should be as open as possible about all the decisions and actions they take.

Honesty: Non-executive directors, Advisory Group members and employees should declare any private interests relating to their role and steps to resolve any conflicts arising in a way that protects the public benefit. A Register of Conflicts will be maintained and updated at each board or senior leadership team meeting and published on the ESG Gaming website.

Leadership: Non-executive directors, Advisory Group members and employees should promote and support these principles by leadership and example.

Rating Scale

Rating	Description	Headline Actions
Highly Performing	The colleague consistently implements current good practice, in some cases being a leading example of good practice	Ensure standards maintained Pursue new and innovative approaches
Performing	The colleague shows significant areas of good practice, though some need to be fine-tuned or altered	Some refinement required Build on existing positive practice Consider some new approaches
Developing	The colleague is improving its current practices but there are a number of aspects requiring rapid change	Keep up momentum on areas of improvement Need to identify and devise approaches to offer improvement opportunities
Under performing	The colleague has significant issues affecting its performance that need to be addressed as a matter of real urgency	Quick decisive change required Look outside for advice or help





ESG
Gaming



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ESG Gaming is a trading name of ESG Corporate Community Interest Company.
Registered Trade Mark: UK00003764602

Regulated by the Community Interest Company Regulator

Company Registration number 13566221 | VAT registration number: 391 4171 96.
Corporation Tax reference number: 75315 26940 | Apprenticeship Gateway, account ID: JNK6NK