



Department
for Culture
Media & Sport

Triennial Review of UK Sport and Sport England

Annexes to Main Report

September 2015

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Annex 1A: Written ministerial statement

HELEN GRANT MP, PARLIAMENTARY UNDER SECRETARY OF STATE FOR SPORT AND TOURISM

21 NOVEMBER 2014

TRIENNIAL REVIEW OF UK SPORT AND SPORT ENGLAND

I am today announcing the start of the Triennial Review of UK Sport and Sport England. As executive non-Departmental Public Bodies (NDPB), UK Sport and Sport England are required to undergo a Triennial Review. The joint UK Sport/Sport England review will have two principal aims, represented by two stages.

The first stage will provide a robust challenge for the continuing need for the functions performed by both UK Sport and Sport England, and, if there is, whether some or all of these functions should be delivered by alternative delivery models or continued delivery by a Non-Departmental Public Body (NDPB).

If it is agreed that the functions of each should continue to be delivered by NDPBs, the second stage will review the organisational control and governance arrangements in place to ensure that they are compliant with the recognised principles of good corporate governance and delivering good value for money.

The structure, efficiency and effectiveness of the two bodies will be considered as part of both stages. This will include an assessment of how well the two bodies work together, their progress against the conditions set in January 2013 on deciding not to merge them and the scope for further savings. The findings at both stages of the Review will be examined by a Challenge Group.

Further details of the review and a survey seeking evidence about UK Sport and Sport England can be found on the DCMS website at

<https://www.gov.uk/government/news/triennial-review-of-uk-sport-and-sport-england>

I will inform the House of the outcome of the Review when it is completed and copies of the report of the Review will be placed.

Annex 1B: Triennial review team

Role: To carry out the review, including the setting of Terms of Reference, gathering and analysis of evidence and agreement of conclusions.

Graham Turnock	Independent Reviewer (Chief Executive of Better Regulation Executive, BIS)
Gill Rendall	Triennial Review Project Manager
Kuljit Dhillon	Efficiency and Alternative Delivery Models Lead
Hannah Davis	Policy Adviser and Project Co-ordinator
Madeleine May Tonia Davison	Analytical Support

Annex 1C: Terms of reference for the review

Objective

All public bodies are required to be reviewed every three years. In accordance with Cabinet Office guidelines¹, the joint UK Sport/Sport England review will have two principal aims, represented by two stages:

- i. STAGE 1: To provide a robust challenge for the continuing need for the functions performed by both UK Sport and Sport England, and, if there is, whether some or all of these functions should be delivered by alternative delivery models or continued delivery by a Non- Departmental Public Body (NDPB). Stage 1 will also include an examination of their respective remits and where appropriate their commercial strategy.
- ii. STAGE 2: If it is agreed that the functions of each should continue to be delivered by NDPBs, to review the organisational control and governance arrangements in place to ensure that they are compliant with the recognised principles of good corporate governance and delivering good value for money.

The structure, efficiency and effectiveness of the two bodies will be considered as part of both stages. This will include an assessment of how well the two bodies work together, their progress against the conditions set in January 2013 on deciding not to merge them and the scope for further savings.

Scope

Within this context the review will consider:

- Whether delivery of the functions continue to contribute to wider Government policy (including economic growth)
- Whether commercial opportunities are being maximised
- The 'counterfactual' – that is, the cost and effects of not delivering the functions
- Whether providing the functions is a justifiable use of grant in aid and lottery income, whether those functions are provided efficiently and effectively, and whether they provide value for money.
- Whether UKS/SEs' corporate governance and management arrangements are sufficiently robust and transparent

Departmental/Governance Arrangements

The Minister for Sport and Tourism will have oversight of the Review. Both Cabinet Office and DCMS Ministers will be asked to agree the report and recommendations before

¹ <https://www.gov.uk/public-bodies-reform>

publication. A review team has been set up that is independent of both UK Sport and Sport England and the departmental sponsorship team.

Members of the Cabinet Office will be able to offer advice on commercial/marketing models and ALB governance issues on a consultative basis. A Challenge Group is being established to work alongside the review team to provide challenge to the methodology and conclusions of the review.

The review team will engage with a range of stakeholders and carry out individual interviews where appropriate. The review will start in November 2014 and is expected to publish its recommendations by Summer 2015.

Annex 1D: Challenge group membership and engagement

Members:

Rimla Akhtar	Chair of the Muslim Women's Sports Foundation
Janet Baker	Crown Commercial Lead, Transformation Team, Cabinet Office
David Edmonds	Previously Chair of the Legal Services Board
Jessica Pulay	Trustee of the Wallace Collection
Ed Smith	Former Chief Operating Officer of Global Assurance and Strategy Chairman of PriceWaterhouseCoopers

Meetings:

First Meeting	Thursday 11 December 2014
Second Meeting	Friday 13 February 2015
Third Meeting	Friday 3 July 2015

Annex 1E: Summary of responses to online survey

Purpose of survey

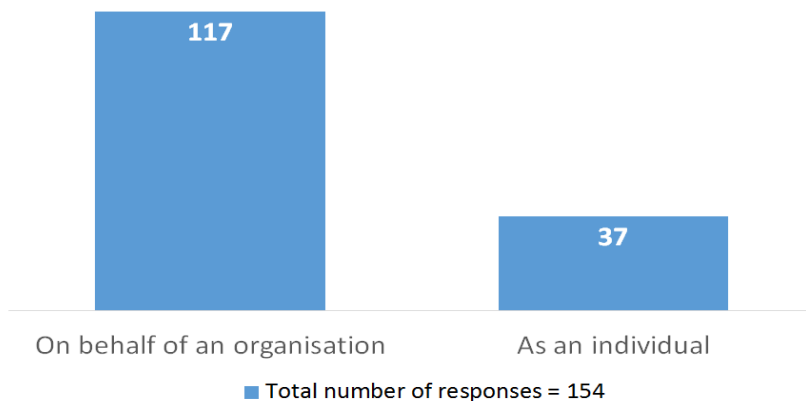
An online survey was used to seek stakeholders' views about UK Sport and Sport England. The survey ran from 21 November about aspects of the current performance of UK Sport and Sport England. The following sections summarise the results of the survey by theme:

- Who responded?
- How well UK Sport and Sport England are delivering their functions
- Could UK Sport and Sport England work more effectively together?
- Could any of the functions be stopped or transferred elsewhere?
- Do UK Sport and Sport England meet the three NDPB tests?
- How well run are UK Sport and Sport England?
- Additional comments

Who responded?

The survey received 154 responses, 117 of which were submitted on behalf of an organisation and 37 from (mostly sporty) individuals see figure 1.

Figure 1: Are you responding on behalf of an organisation or as an individual?



Responses were mainly from National Governing Bodies, voluntary sector, sports bodies and local Authorities see figure 2. The category 'Other' included respondents from administrative, educational, local, international and membership sports organisations as well as those organisations representing people from minority groups.

Figure 2: If you are responding on behalf of an organisation which part of the sector is it from?

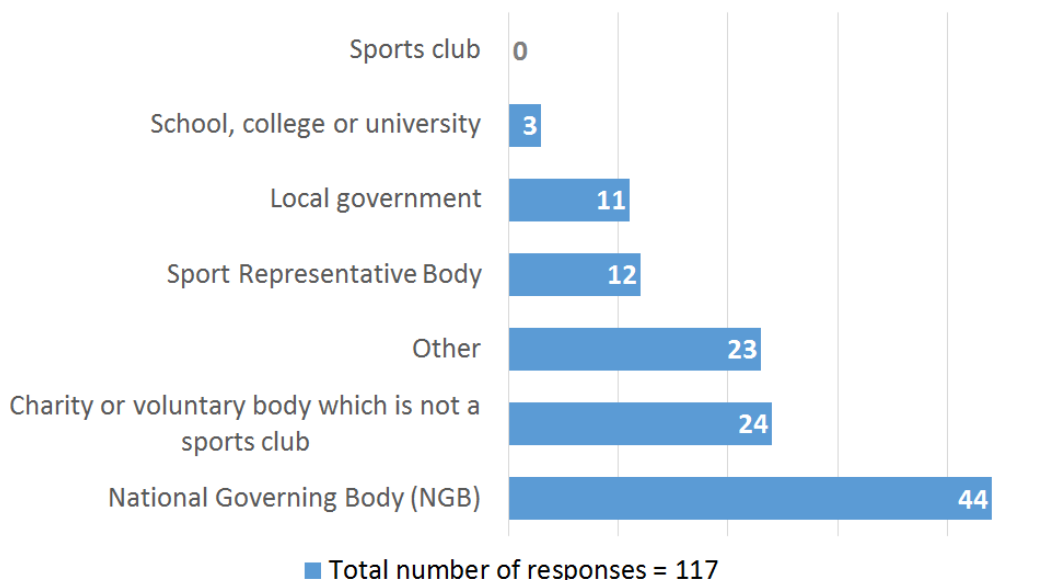


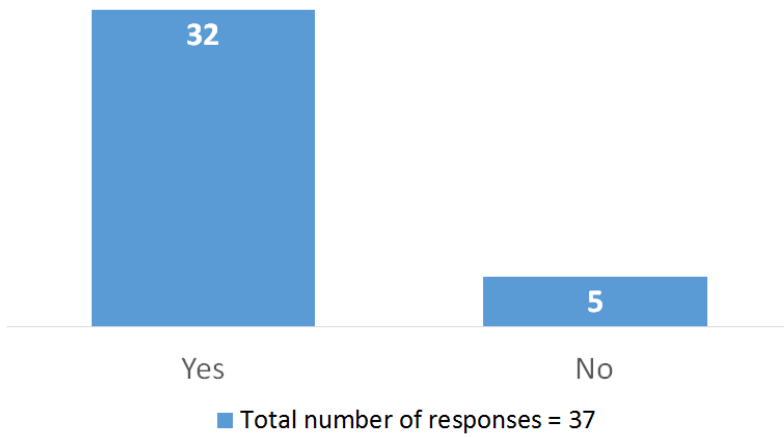
Figure 3 below shows where those individuals and organisations that responded to the survey are based. The category ‘Other’ included respondents from international and UK organisations.

Figure 3: Where are you/your organisation based?

England	95%
Scotland	1%
Northern Ireland	1%
Wales	0%
Other	3%

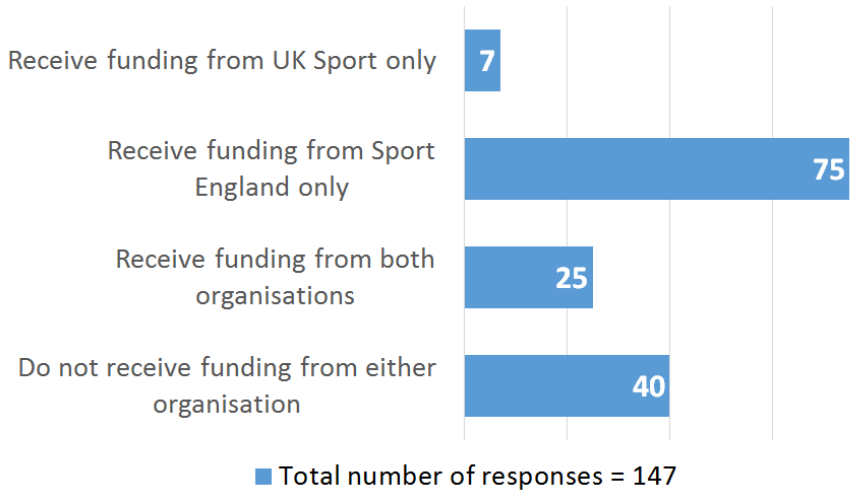
Of those that responded to the question ‘If you are responding as an individual, do you participate in sport regularly (at least once a week over the past four weeks) 32% said that they did and 5% said that they did not as figure 4 illustrates below.

Figure 4: If you are responding as an individual, do you participate in sport regularly (at least once a week over the past four weeks)?



Around half of respondents were funded by Sport England only, around one fifth were funded by UK Sport or both bodies and the remainder said that they did not receive funding from either as shown in figure 5.

Figure 5: Please indicate if you/your organisation receive funding from UK Sport and/or Sport England



Because of the potential for bias, we looked at how views on each organisation differed between those who receive funding from them and those who don't. There was a similar pattern of responses between funded and non-funded respondents, but in both cases non-funded respondents marked more harshly, with greater proportions rating delivery and governance poorly and funded respondents were extremely positive.

Respondents were not required to answer all questions in the survey, so the response rate varies. The following sections highlight stakeholder views by theme and the share of responses to each answer.

UK Sport and Sport England Functions

The first of the key questions in the survey asked how well UK Sport and Sport England were delivering their functions. The results in figures 6, 7 and 8 below show that the majority felt that both UK Sport and Sport England were delivering their functions well/very well with the exception of their corporate function which many felt they were unfamiliar with and therefore unable to comment on.

Figure 6: In your view how well are UK Sport delivering their functions?

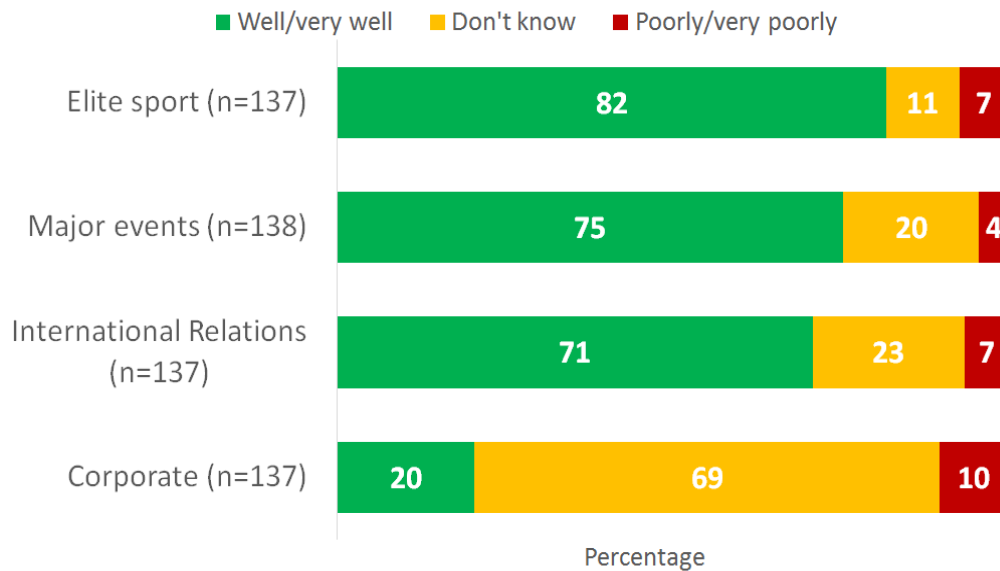


Figure 7: In your view how well are Sport England delivering their functions?

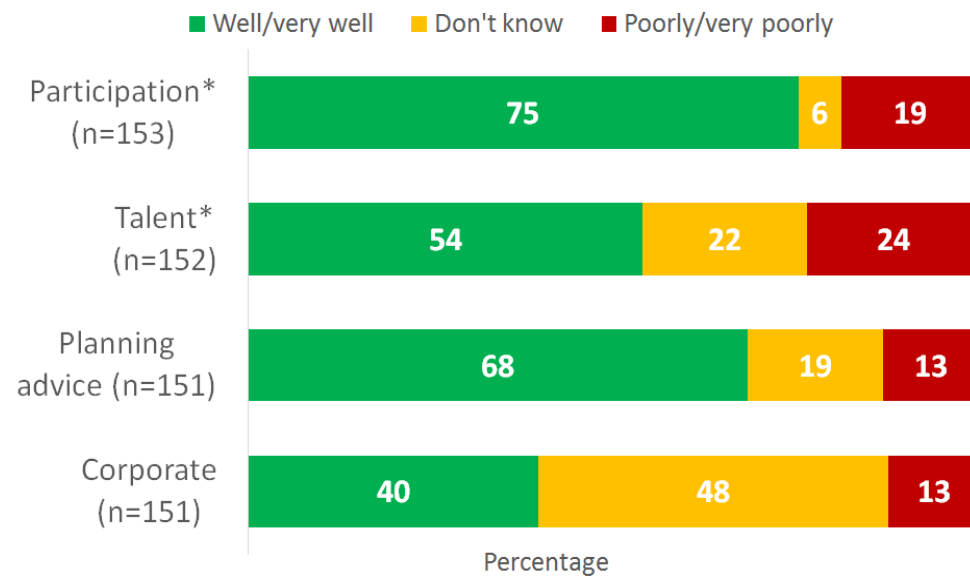
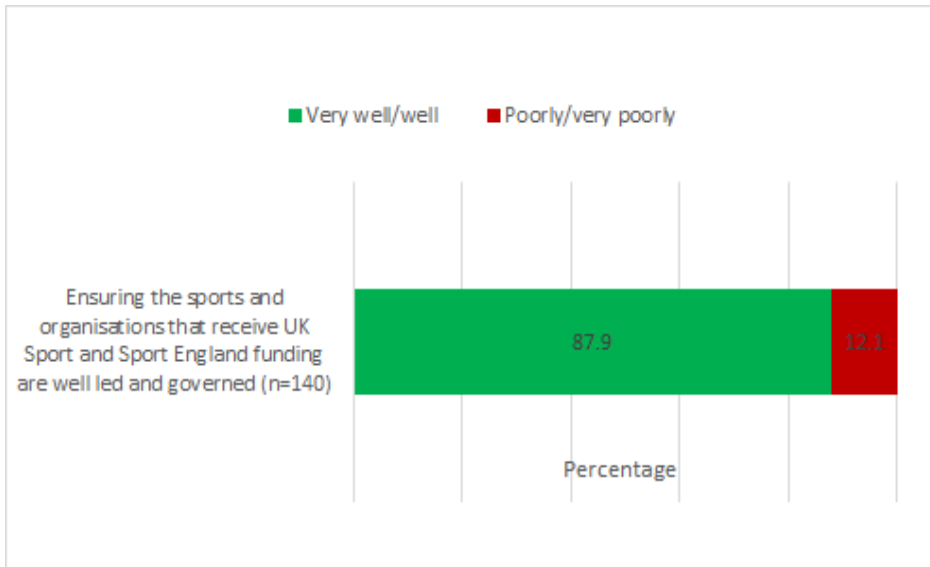


Figure 8: In your view how well are UK Sport and Sport England delivering their joint function?



We asked whether respondents thought UK Sport and Sport England could work more effectively together on any of the functions specified in the survey. If this was the case, we asked respondents to say which function(s) and give reasons for their view. The results are shown below in Figure 9.

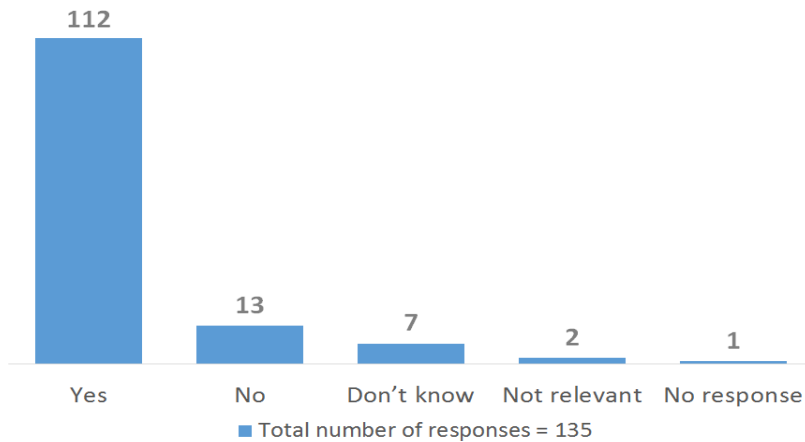
Of the 135 respondents who commented on this question 112 thought there was scope for UK Sport and Sport England to work more closely together while 13 did not. A further 10 respondents said they didn't know, or made points not directly related to the question.

The functions on which closer working was thought possible mentioned most often were identifying and developing talent; ensuring funded organisations are well governed and cross-cutting and corporate functions respondents.

On talent, the problems identified were the transition and the lack of a clear pathway into elite level programmes and a funding gap beneath elite level. A minority of respondents called for talent development to sit in one organisation and felt that the organisation responsible should be UK Sport. On governance, it was felt that there was duplication or inconsistency.

A few respondents identified specific issues on which they wanted to see closer working. These included a bigger role for Sport England in bidding for major events and on securing the participation aspect of the legacy; planning the provision of facilities and raising funding from the commercial sector and public relations.

Figure 9: In your view, could UK Sport and Sport England work more effectively together on any of their functions?

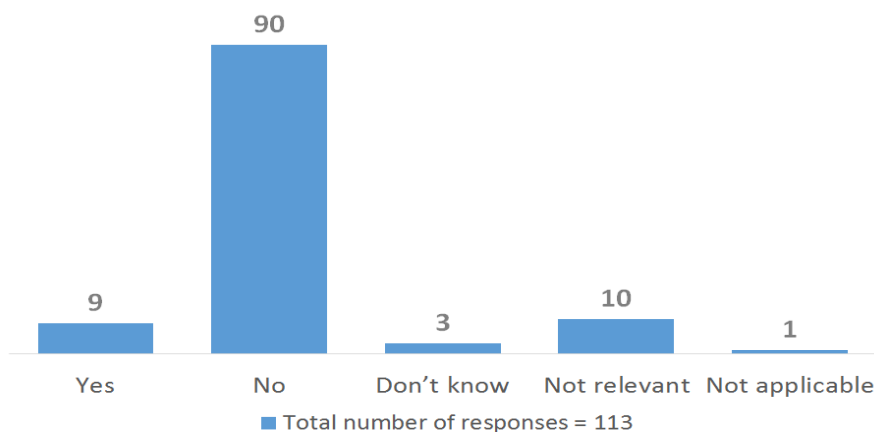


We then asked whether respondents thought any of the functions of UK Sport or Sport England set out in the survey could be stopped. If this was the case, we asked respondents to say which functions and give reasons for their views. The results are shown below in Figure 10.

Of the 113 respondents who commented on this question, 9 thought that some functions could be stopped while 90 said that no functions could be stopped. A further 14 respondents said they didn't know, or made points not directly related to the question.

The functions specified in the survey which respondents thought could be stopped were UK Sport's role in major events, cross-cutting and corporate services and Sport England's roles in supporting talent which should be moved to UK Sport and statutory planning. A few respondents identified particular activities they wanted to be stopped, all of which were Sport England activities. These were funding facilities, the Active People survey, involvement in school sport and encouraging people to be active in ways other than sport. Only one respondent thought that all the functions of UK Sport and Sport England could be stopped.

Figure 10: In your view, could any of their functions be stopped?



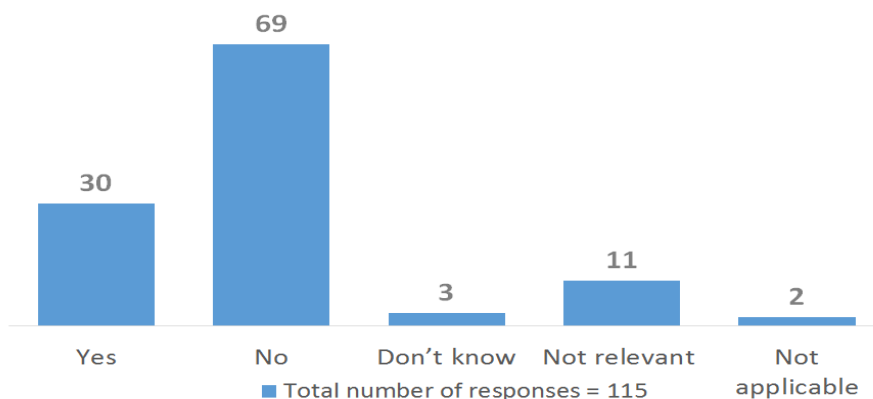
We also asked whether any of the functions of UK Sport or Sport England set out in the survey could be transferred to another organisation. If this was the case, we asked respondents to say which function(s) and to give reasons for their views. Responses are outlined below in Figure 11.

Of the 115 respondents who commented on this question, 30 thought that some functions could be transferred elsewhere while 69 did not think functions could be transferred. A further 16 respondents said they did not know, or made points not directly related to the question.

The functions listed in the survey that could potentially be transferred away from UK Sport and Sport England were identifying and developing talent which could go to NGBs or to County Sports Partnerships; governance which could be outsourced for example to the Sport and Recreation Alliance; planning which could go to local authorities; participation which could go to local authorities and major events which could go to DCMS. A few respondents called for specific activities to be transferred: responsibility for getting people active to the Department for Health supported by Department for Education or community sport to the voluntary sector.

There were also some more general points about a need for more delegation to local or regional level or for a different funding model with funding going directly to for example NGBs, local authorities and the private sector. A few respondents said that responsibility for talent should rest exclusively with UK Sport.

Figure 11: In your view, could any of their functions be transferred elsewhere for example, to a government department, to another NDPB, to local government or to a private or voluntary sector body?

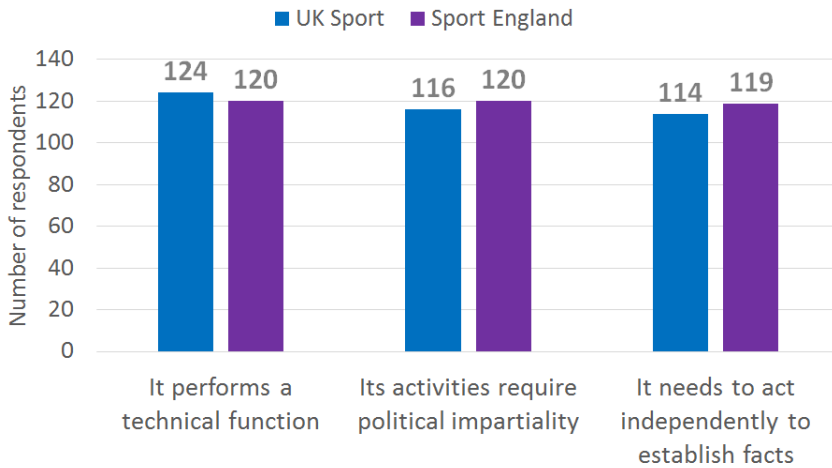


NDPB Tests

In line with Cabinet Office guidance there are three tests a body should meet to operate at arm's length from government. These are: their functions are technical and require external expertise to deliver; they require absolute political impartiality (e.g. for certain funding or regulatory decisions); or their functions need to be delivered independently of Ministers to

establish facts and figures with integrity. We asked respondents to identify which of the tests applied to UK Sport and Sport England. A huge majority thought that both bodies passed all three NDPB tests, see Figure 12 below.

Figure 12: Do UK Sport and Sport England meet the three NDPB tests?



UK Sport and Sport England Governance

The majority of those that responded to the survey felt that UK Sport and Sport England were well run particularly in terms of leadership, expertise and accountability. However, it was thought that their boards could be more representative of the people affected by their work and could be more diverse (49% said that UK Sport’s board was representative of people affected by their work, 39% felt UK Sport’s board was diverse, 57% said that Sport England’s board was representative of people affected by their work and 54% felt that Sport England’s board was diverse). Figures 13 and 14 summarise the response to this question.

Figure 13: How well run are UK Sport?

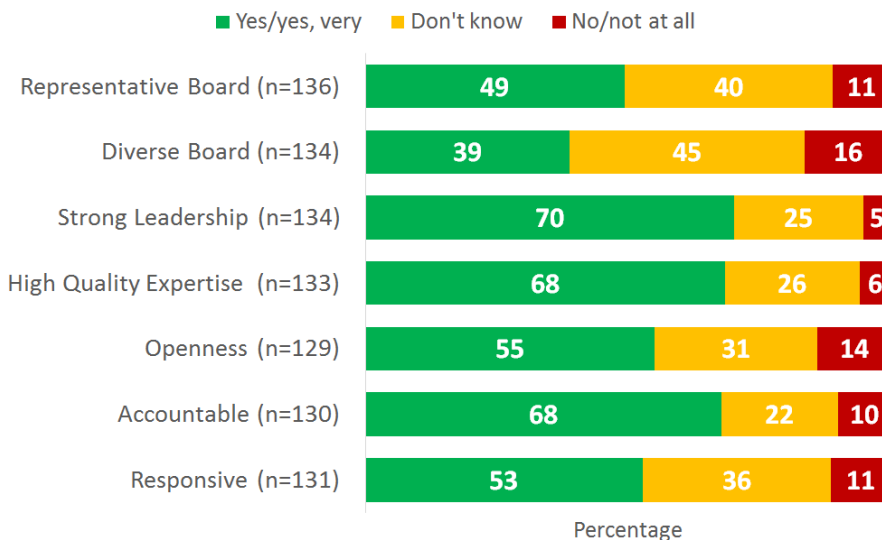
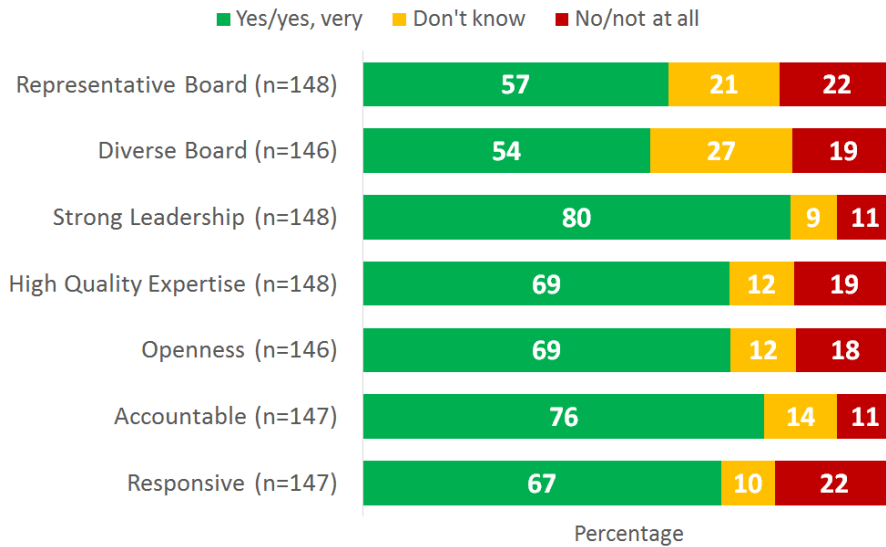


Figure 14: How well run are Sport England?



Additional comments relevant to the review

Finally we asked respondents for any other comments about UK Sport and/or Sport England, which they thought would be relevant and should be considered by the review team.

Most of these comments reiterated points already made. These included that Sport England and UK Sport's role and remit are important, that both organisations gave good support and guidance but could work more closely together and suggested improvements to both organisations governance arrangements, particularly in terms of their boards being more diverse.

Respondents criticised the Active People survey, saying that it was not an accurate measurement of participation and so it was not possible to assess whether investments are value for money.

Several respondents said that Sport England's remit should be extended to cover the under 14s as sporting habits are often shaped under the age of 14 and to better link school and community sport. Sport England should continue to forge links with health and further work was needed to break down those barriers and to create more opportunities for disadvantaged groups to participate.

Some emphasised local government's role and called for more resources to help local authorities work with clubs and communities to help increase participation.

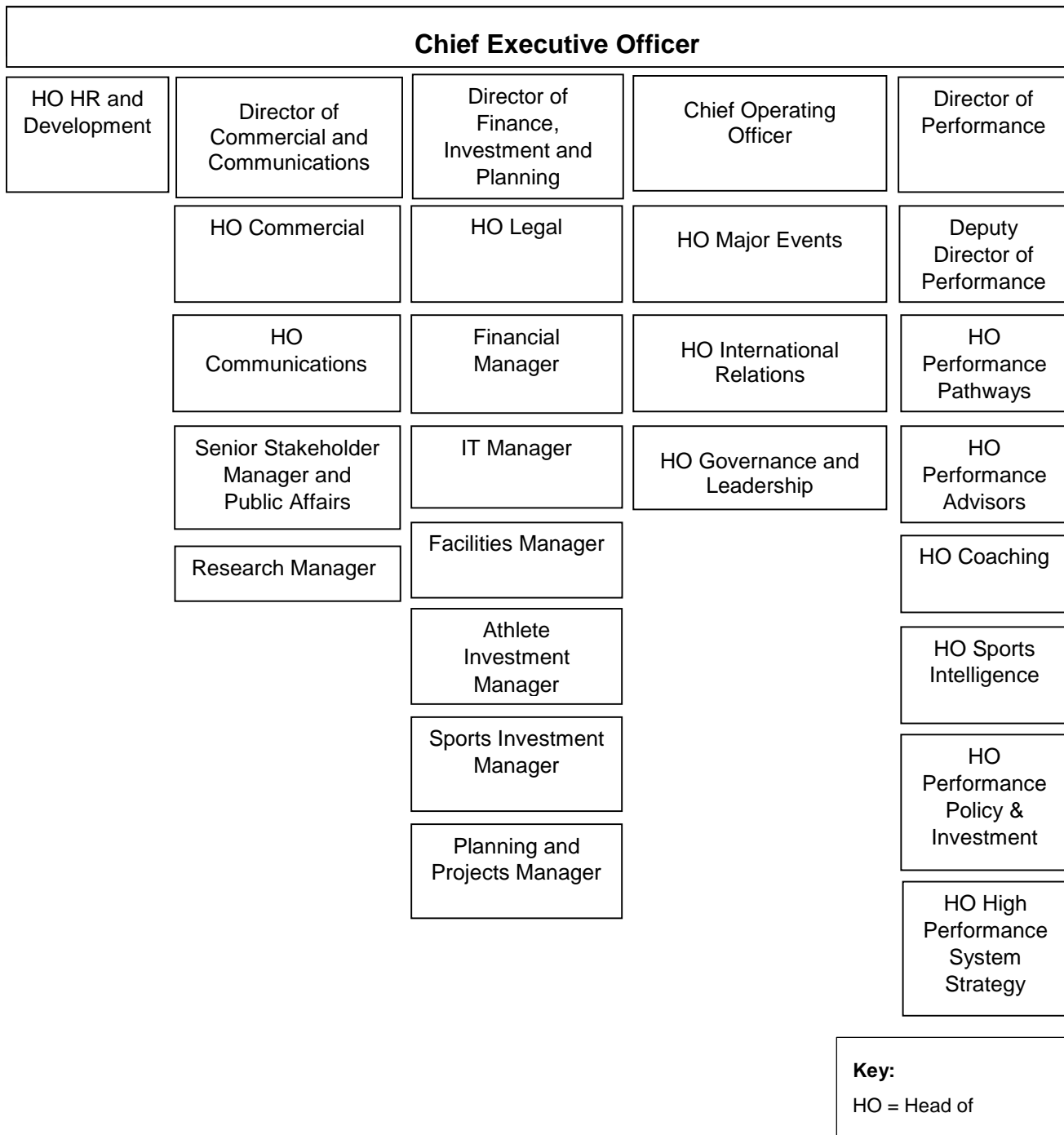
Conclusions

The overall message from the online survey of stakeholder views tended to be positive about UK Sport and Sport England. Respondents on the whole thought:

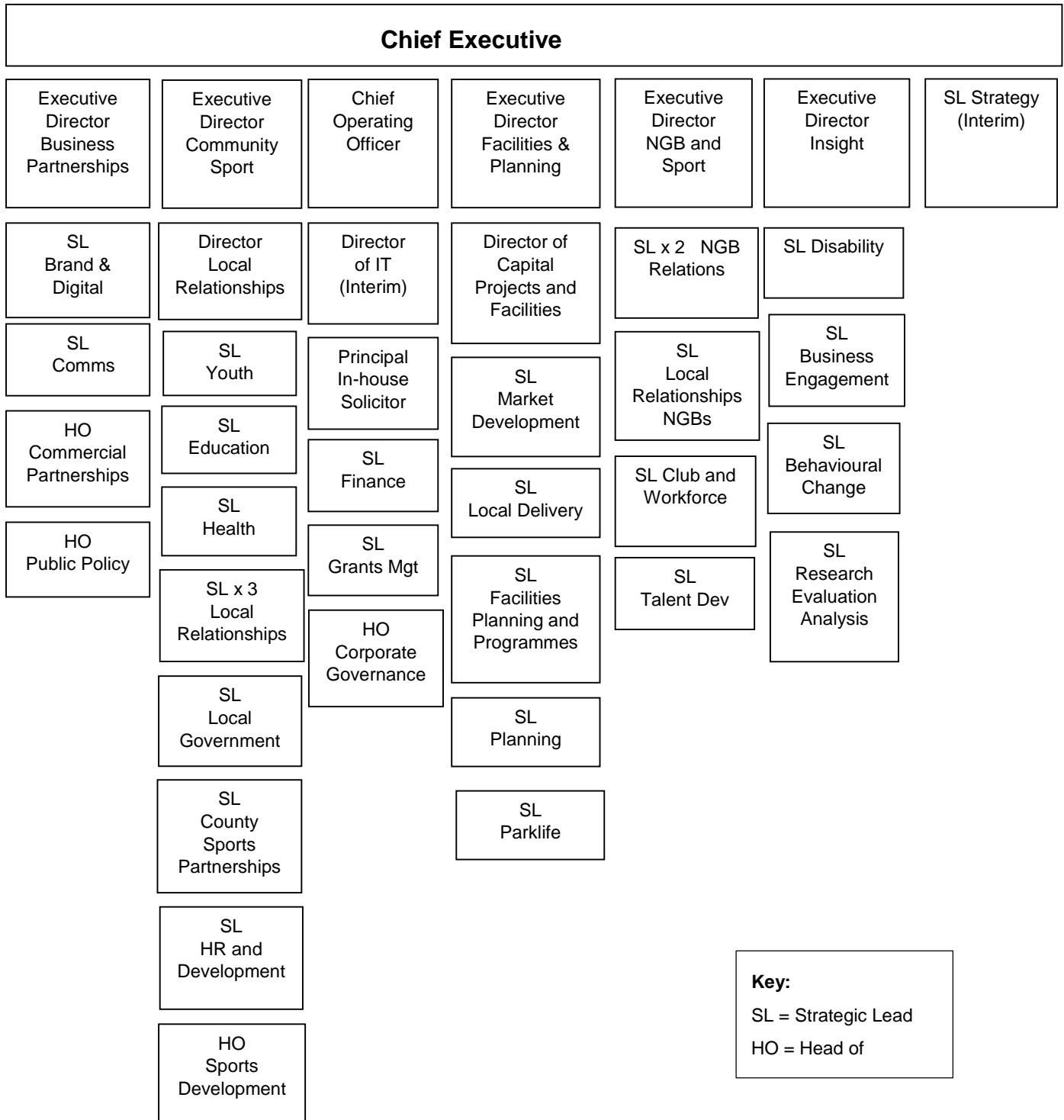
- UK Sport and Sport England remain essential in their current form as national, strategic and expert funders of sport.

- All functions should continue and not be stopped or transferred elsewhere.
- Both bodies passed all NDPB tests.
- Both bodies are well run and efficient.
- That UK Sport and Sport England can work better together in terms of talent, governance and corporate functions.

Annex 1F: Senior management structure of UK Sport (from July 2015)



Annex 1F: Senior management structure of Sport England (from July 2015)



Annex 1G: Breakdown of UK Sport and Sport England exchequer and lottery funding² for 2010-2015

UK Sport:

	2010/11	2011/12	2012/13	2013/14	2014/15
Exchequer	55,360,000	60,651,000	65,966,000	43,020,000	49,452,000
Lottery	56,212,000	55,806,000	49,869,000	85,624,000	88,509,000
Total	111,572,000	116,457,000	115,835,000	128,644,000	137,961,000

Sport England:

	2010/11	2011/12	2012/13	2013/14	2014/15
Exchequer	121,389,000	97,571,000	99,814,000	88,634,000	83,044,000 ³
Lottery	133,200,000	206,800,000	173,900,000	224,740,000	262,353,000
Total	254,589,000	304,371,000	273,714,000	313,374,000	345,397,000

² These figures are exchequer funding received and lottery cash funding drawn down for the year in question. Spending in 2014/15 is shown in annex 2C. Amounts differ for reasons including natural fluctuations between the accounting treatment of costs and cash flow requirements and UK Sport spending some grant in aid income in the financial year after it was received.

³ Excludes £7.8 million top-slice awarded directly to the School Sports Premium

Annex 2A: UK Sport royal charter

ELIZABETH THE SECOND by the Grace of God of the United Kingdom of Great Britain and Northern Ireland and of Our other Realms and Territories Queen, Head of the Commonwealth, Defender of the Faith:

TO ALL TO WHOM THESE PRESENTS SHALL COME, GREETING!

WHEREAS We, by Royal Charter dated the fourth day of February in the twentieth year of Our Reign, constituted a Body Corporate by the name of "The Sports Council" with perpetual succession and with power to sue and be sued by the said name and the use of a Common Seal:

AND WHEREAS it has been represented to Us that it is expedient to distinguish more clearly between those activities undertaken by The Sports Council for the benefit of Our United Kingdom as a whole and those undertaken for the benefit of England, and to do this by the replacement of The Sports Council with two new bodies one of which should be an independent United Kingdom Sports Council with the objects of fostering, supporting and encouraging the development of sport and physical recreation and the achievement of excellence therein in Our United Kingdom and the provision of facilities therefor:

AND WHEREAS it is intended that in the furtherance of its objects the said Council will take a lead in all aspects of sport and physical recreation which require administration, co-ordination or representation for the benefit of Our United Kingdom as a whole:

AND WHEREAS it has been represented to Us that for the purpose of carrying out the said objects and with a view to facilitating the holding of and dealing with property and the making of gifts and bequests in aid of the said objects it is expedient that the said Council should be incorporated:

AND WHEREAS We having taken the said representations into Our Royal

Consideration are minded to grant a Charter containing such provisions as seem to Us right and suitable:

NOW THEREFORE KNOW YE that We by virtue of Our Prerogative Royal and of Our especial grace, certain knowledge and mere motion have willed and ordained and by these Presents do for Us, Our Heirs and Successors will and ordain as follows:-

1. (1) The persons who shall in accordance with the provisions of this Our Charter be the Chairman and other members for the time being of the United Kingdom Sports Council are hereby constituted and from henceforth for ever shall be one Body Corporate under the name of "The United Kingdom Sports Council" (hereinafter referred to as "the Council").
- (2) The Council shall have perpetual succession and a Common Seal, with power to break, alter and make anew the said Seal from time to time at its will and pleasure and by its name shall and may sue and be sued in all courts and in all manner of action and suits.
2. In furtherance of its objects the Council shall have the following powers:-
 - (a) to develop cohesive and co-ordinated strategies for furthering the interests of Our United Kingdom in sport;
 - (b) to develop and improve the knowledge and practice of, and education and

- training in, sport and physical recreation in Our United Kingdom, insofar as it will benefit Our United Kingdom as a whole;
- (c) to encourage and develop higher standards of performance and the achievement of excellence among persons or teams from Our United Kingdom participating in sport and physical recreation;
 - (d) to foster, support and undertake provision of facilities for the benefit of sport and physical recreation in Our United Kingdom as a whole;
 - (e) to advise, encourage and assist individuals or teams representing Our United Kingdom participating in events or seeking to gain relevant experience at home or abroad;
 - (f) to promote Our United Kingdom or any part of it as a venue for international sporting events, and to advise, encourage and assist bodies in Our United Kingdom staging or seeking to stage such events;
 - (g) to promote and support the sporting interests of Our United Kingdom by collaborating with foreign and international bodies;
 - (h) (i) to carry out itself, or to encourage and support other persons or bodies in carrying out, research or studies into matters concerning sport and physical recreation intended to be of benefit to Our United Kingdom as a whole; and to disseminate knowledge and advice on these matters;
 - (ii) to encourage, facilitate or undertake the implementation of proposals or findings arising out of such research or studies;
 - (i) (i) to encourage and support the adoption of the highest ethical standards among persons or teams from Our United Kingdom participating in sport and physical recreation;
 - (ii) to support or undertake the provision of programmes or facilities for monitoring drug or substance misuse among persons from Our United Kingdom or overseas participating in sport and physical recreation;
 - (j) to encourage and assist individuals or bodies from Our United Kingdom providing sports education and development services overseas;
 - (k) to make grants or loans upon and subject to such conditions and otherwise as the Council shall deem fit provided always that the Council shall attach to any loan made by it such conditions as may be prescribed from time to time by Our Secretary of State;
- (l) to advise and assist, and to co-operate with, Departments of Our Government, local authorities, the Home Country Sports Councils and other bodies, on any matters concerned whether directly or indirectly with its objects;
 - (m) subject to the prior approval of Our Secretary of State, to establish, or act as trustee or member of, any charity the objects of which include any of the objects of the Council;
 - (n) to enter into contracts, to acquire, hold and dispose of property of any kind and generally do all matters and things incidental or appertaining to a corporate body;
 - (o) to carry on any other activity for the benefit of sport and physical recreation in Our United Kingdom as a whole.
3. (1) The Council, in furthering its objects and exercising its powers, shall
- (a) have regard to any general statements on the policy of Our Government that may from time to time be issued by Our Secretary of State;
 - (b) take into account the objects and powers of the Home Country Sports Councils and consult those bodies and act in accordance with any directions given to the Council by Our Secretary of State (acting jointly with Our Secretary of State for Scotland, Wales or Northern Ireland as is appropriate) in relation to the division of responsibilities for matters relating to sport and physical recreation between the Council and each Home Country Sports Council; and
 - (c) consult such of the governing or representative bodies of sport and physical recreation in Our United Kingdom as appears to the Council to be appropriate.
- (2) The Council shall accept responsibility for such property, rights, liabilities and obligations of The Sports Council as Our Secretary of State may direct.
- (3) In the event of any dispute arising between the Council and any Home Country Sports Council as to which of them shall deal with any matter in pursuance of powers and functions and duties conferred on each respectively by Our Charters (or in the case of the Sports Council for

Northern Ireland by The Recreation and Youth Service (Northern Ireland) Order 1986) or any directions given thereunder, the question shall be determined by Our Secretary of State jointly with Our Secretary of State for Scotland, Wales, or Northern Ireland as is appropriate, and the Council shall comply with such determination.

4. Without prejudice to its general objects and powers the Council shall have the power to foster and develop the influence of Our United Kingdom in international sport and the relationship between Our United Kingdom and the governing bodies of international sport or physical recreation, and for these purposes shall have the power to make grants or loans upon and subject to such conditions and otherwise as the Council shall deem fit for the purposes of any activity undertaken in Our United Kingdom by or on behalf of such body, and provided that the Council shall attach to any loan made by it such conditions as may be prescribed from time to time by Our Secretary of State.
5. All moneys and property howsoever received by the Council including any moneys voted by Parliament shall be applied solely towards the promotion of the objects of the Council and no portion thereof shall be paid or transferred directly or indirectly by way of dividend, bonus or otherwise howsoever by way of profit, to the members of the Council: provided that nothing herein shall prevent the reimbursement of expenses incurred by such members in the performance of their duties as provided in Article 7(2) of this Our Charter, or the payment of such remuneration in return for service rendered as may be approved under Article 7(3) hereof.
6. (1) The Council shall consist of a Chairman and not more than nine other members or such other maximum number as Our Secretary of State shall determine. Each of Our Secretaries of State shall be able to nominate one of the members from amongst the members of the English and Scottish Sports Councils and the Sports Councils for Wales and Northern Ireland as appropriate. The Chairman and the other members shall be determined by Our Secretary of State after consultation with Our Secretaries of State for Scotland, Wales and Northern Ireland.
(2) The Chairman and other members shall be appointed by Our Secretary of State, and the terms of their appointment shall be determined by Our Secretary of State after consultation with Our Secretaries of State for Scotland, Wales, and Northern Ireland.
7. (1) Every member of the Council shall hold and vacate office in accordance with the terms of their appointment, but
 - (a) the Chairman shall be appointed for such term, not exceeding five years, as may be agreed by Our Secretaries of State and shall be eligible for re-appointment thereafter and may at any time by notice in writing to Our Secretary of State resign from office;
 - (b) apart from the Chairman no member shall be appointed for a term of more than three years but shall be eligible for re-appointment on ceasing to be a member;
 - (c) a member may at any time by notice in writing to Our Secretary of State resign from office;
 - (d) notwithstanding the provisions of sub-clauses (a) to (c) above inclusive and the terms of their appointment, any member may at any time by notice in writing given under the hand of Our Secretary of State be deprived of membership of the Council if he or she:
 - (i) has become bankrupt or made an arrangement with his or her creditors (or in Scotland has had his or her estate sequestrated or has made a trust deed for the behoof of creditors or a composition contract);
 - (ii) has, without the permission of the Council, been absent from meetings of the Council for a period longer than three consecutive months or for more than half the Council's meetings in the twelve month period immediately preceding Our Secretary of State's notice;
 - (iii) is found guilty of a criminal offence involving dishonesty; or
 - (iv) in the opinion of Our Secretary of State is otherwise unable or unfit to discharge the functions of a member, or is unsuitable to continue as a member.
- (2) Save as is provided in Article 7(3) hereof, the Council shall not make to any of its members any payment by way of remuneration for their services as a member, but may reimburse to any such members expenses reasonably incurred by them in the performance of such services.
- (3) The Council shall, if Our Secretary of State so directs, make to its Chairman and members such remuneration in return for service rendered to the Council as Our Secretary of State may determine.

8. (1) The Council may act notwithstanding a vacancy among its members and the validity of any proceedings of the Council shall not be affected by any defect in the appointment of a member.
 - (2) The Council shall have a quorum of four members present at a meeting provided that at least two of the members so present are members nominated by Our Secretaries of State from amongst the English and Scottish Sports Councils or the Sports Councils for Wales and Northern Ireland. If there are not at least two such members present, the quorum of the Council shall be six.
 - (3) The Council may from time to time determine to prescribe a greater number for either the higher or lower quorums specified in Article 8(2) or for the number of members nominated by Our Secretaries of State from the Home Country Sports Councils who must be present for the Council to claim the lower quorum.
9. Subject to the provisions of this Our Charter, the Council may regulate its own procedure.
10. (1) The Council may appoint committees or panels to exercise, or advise it on the exercise of, any of its functions, and may
 - (a) appoint to any such committee or panel persons who are not members of the Council, and
 - (b) at any time revoke the appointment of any member of any such committee or panel.
 - (2) The Council may appoint as Chairman of any such committee or panel a member of it who is a member of the Council.
11. (1) The Council may regulate the procedure of any committee or panel appointed by it in pursuance of Article 10 of this Our Charter.
- (2) Article 7(2) and 7(3) of this Our Charter shall apply to members of such committees and panels as it applies to members of the Council.
12. Any officer of the Department of Our Secretary of State who may be appointed by Our Secretary of State to be an assessor to the Council, or to any committee or panel of it, shall be entitled to attend (but not vote at) any meeting of the Council, committee or panel to which he or she is so appointed.
13. (1) The Council shall, if Our Secretary of State so approves, appoint a Chief Executive Officer (or person with similar title) who shall be the principal administrative officer of the Council; and may appoint such other officers and take into its employment such other persons as the Council may determine.
- (2) The Council may
 - (a) pay to its officers and other persons employed by it such remuneration as the Council may, with the approval of Our Secretary of State, from time to time determine; and
 - (b) with the approval of Our Secretary of State to any determination made hereunder, pay to any officers or other persons employed by it such pensions, allowances or gratuities as the Council may from time to time determine, making payments towards the provision of these matters, or provide or maintain such schemes (whether contributory or not) for the payment of the same as may be so determined.
- (3) Notwithstanding the provisions of Article 5 of this Our Charter, but subject always to the provisions of Article 13(1) and 13(2) hereof, the Council may employ from time to time for the performance of any of its functions a person who is a member of the Council and, subject as aforesaid, may remunerate such persons for services rendered in pursuance of such employment.
14. The Council shall keep proper accounts and other records, and shall prepare for each financial year statements of account in such form as Our Secretary of State with the approval of the Lords Commissioners of Our Treasury may direct and submit these statements of account to Our Secretary of State at such time as he or she may direct.
15. The Council shall make to Our Secretaries of State in such form and at such time as Our Secretary of State may direct a report on the exercise and performance by the Council of its functions during that year and of plans for its future activities and performance.
16. The application of the Seal of the Council shall be authenticated by the signatures of the Chairman or of some other member of the Council authorised generally or specially by the Council to act for that purpose, and of one of such officers of the Council as may be so authorised by the Council so to act.

17. The Council may by resolution in that behalf passed at a meeting of the Council by a majority of not less than three-quarters of the members present and voting (such majority of those members present and voting being an absolute majority of the whole number of the members of the Council), and confirmed at a further meeting of the Council held not less than one month nor more than four months afterwards by a like majority, add to, amend or revoke any of the provisions of this Our Charter, and such addition, amendment or revocation, when allowed by Us, Our Heirs or Successors in Council, shall become effectual, so that this Our Charter shall thenceforward continue and operate as though it had been originally granted and made accordingly. This provision shall apply to this Our Charter as added to or amended in the manner aforesaid.

18. In this Our Charter

- (a) references to Our Secretary of State are to Our Secretary of State for National Heritage;
- (b) references to Our Secretaries of State are to Our Secretaries of State for National Heritage, for Scotland, for Wales and for Northern Ireland;

- (c) the term "Home Country Sports Councils" means The English Sports Council, The Scottish Sports Council, The Sports Council for Wales, or The Sports Council for Northern Ireland, or all of them as appropriate; and
- (d) the word "person" includes bodies corporate and firms.

IN WITNESS whereof We have caused these Our Letters to be made Patent.

WITNESS Ourselves at Westminster the *nineteenth* day of *September* in the *forty-fifth* year of Our Reign.

LEGG

BY WARRANT UNDER THE QUEEN'S SIGN MANUAL

Annex 2A: Sport England royal charter

The document is an electronic version of the Royal Charter of English Sports Council (Sport England)

This electronic version is consolidated to 3 December 2009

It incorporates the only amendments that have been made since it was first issued on 23 July 1996. Those amendments were:

17 May 2000 - Gave Sport England the power (on approval of SOS) power to form companies and act as director or member of companies

17 July 2003 – Reducing number of Vice Chairs on Council (i.e. the Board) from two to one

12 February 2008 – Giving Mayor of London power to appoint Chair of the London Regional Committee/Panel and three other members

ELIZABETH THE SECOND By the Grace of God of the United Kingdom of Great Britain and Northern Ireland and of Our other Realms and Territories Queen, Head of the Commonwealth, Defender of the Faith:

TO ALL TO WHOM THESE PRESENTS SHALL COME, GREETING!

WHEREAS We, by Royal Charter dated the fourth day of February in the twentieth year of Our Reign, constituted a Body Corporate by the name of “The Sports Council” with perpetual succession and with power to sue and be sued by the said name and the use of a Common Seal:

AND WHEREAS it has been represented to Us that it is expedient to distinguish more clearly between those activities undertaken by The Sports Council for the benefit of Our United Kingdom as a whole and those undertaken for the benefit of England, and to do this by the replacement of The Sports Council with two new bodies one of which should be an independent English Sports Council with the objects of fostering, supporting and encouraging the development of sport and physical recreation and the achievement of excellence therein among the public at large in England and the provision of facilities therefor:

AND WHEREAS it is intended that in the furtherance of its objects the said Council will take a lead in all aspects of sport and physical recreation which require administration, co-ordination or representation in England:

AND WHEREAS it has been represented to Us that for the purpose of carrying out the said objects and with a view to facilitating the holding of and dealing with property and the making of gifts and bequests in aid of the said objects it is expedient that the said Council should be incorporated:

AND WHEREAS We having taken the said representations into Our Royal Consideration are minded to grant a Charter containing such provisions as seem to Us right and suitable:

NOW THEREFORE KNOW YE that We by virtue of Our Prerogative Royal and of Our especial grace, certain knowledge and mere motion have willed and ordained and by these Presents do for Us, Our Heirs and Successors will and ordain as follows:-

1. (1) The persons who shall in accordance with the provisions of this Our Charter be the Chair and other members for the time being of the English Sports Council are hereby constituted and from henceforth for ever shall be one Body Corporate under the name of “The English Sports Council” (hereinafter referred to as “the Council”).

(2) The Council shall have perpetual succession and a Common Seal, with power to break, alter and make anew the said Seal from time to time at its will and pleasure and by its name shall and may sue and be sued in all courts and in all manner of action and suits.
2. In furtherance of its objects the Council shall have the following powers:-

- (a) to develop and improve the knowledge and practice of, and education and training in, sport and physical recreation in the interests of social welfare and the enjoyment of leisure among the public at large in England;
- (b) to encourage and develop higher standards of performance and the achievement of excellence among persons or teams from England participating in sport and physical recreation;
- (c) to foster, support and undertake provision of facilities for the benefit of sport and physical recreation in England;
- (d) to advise, encourage and assist individuals or teams from England participating in events or seeking to gain relevant experience at home or abroad;
- (e) to collaborate with the United Kingdom Sports Council in dealings with national, foreign or international bodies;
- (f)
 - (i) to carry out itself, or to encourage and support other persons or bodies in carrying out, research or studies into matters concerning sport and physical recreation in England; and to disseminate knowledge and advice on these matters;
 - (ii) to encourage, facilitate or undertake the implementation of proposals or findings arising out of such research or studies;
- (g) to encourage and support the adoption of the highest ethical standards among persons or teams from England participating in sport and physical recreation;
- (h) to make grants or loans upon and subject to such conditions and otherwise as the Council shall deem fit provided always that the Council shall attach to any loan made by it such conditions as may be prescribed from time to time by Our Secretary of State;
- (i) to advise and assist, and to co-operate with, Departments of Our Government, local authorities, the United Kingdom Sports Council, the other Home Country Sports Councils and other bodies, on any matters concerned whether directly or indirectly with its objects;
- (j) subject to the prior approval of Our Secretary of State, to establish, or act as trustee or member of, any charity the objects of which include any of the objects of the Council;
- (k) to enter into contracts, to acquire, hold and dispose of property of any kind and generally do all matters and things incidental or appertaining to a corporate body;
- (l) subject to the prior approval of Our Secretary of State, to form or take part in the forming of or to establish, and act as director or member of any company (whether formed by the Council or not) the objects of which will include any of the objects of the Council;
- (m) to carry on any other activity for the benefit of sport and physical recreation in England.

- 3. (1) The Council, in furthering its objects and exercising its powers, shall
 - (a) have regard to any general statements on the policy of Our Government that may from time to time be issued by Our Secretary of State;
 - (b) take into account the objects and powers of the United Kingdom Sports Council and the other Home Country Sports Councils and consult those bodies and act in accordance with any directions given to the Council by Our Secretary of State in relation

to the division of responsibilities for matters relating to sport and physical recreation between the Council, the United Kingdom Sports Council and the other Home Country Sports Councils; and

(c) consult such of the governing or representative bodies of sport and physical recreation in England as appears to the Council to be appropriate.

(2) The Council shall accept responsibility for such property, rights, liabilities and obligations of The Sports Council as Our Secretary of State may direct.

(3) In the event of any dispute between the Council and the United Kingdom Sports Council or any of the other Home Country Sports Councils as to which of them shall deal with any matter in pursuance of powers and functions and duties conferred on each respectively by Our Charters (or in the case of the Sports Council for Northern Ireland by The Recreation and Youth Service (Northern Ireland) Order 1986) or any directions given thereunder, the question shall be determined by such of Our Secretaries of State as is appropriate, and the Council shall comply with such determination.

4. All moneys and property howsoever received by the Council including any moneys voted by Parliament shall be applied solely towards the promotion of the objects of the Council and no portion thereof shall be paid or transferred directly or indirectly by way of dividend, bonus or otherwise howsoever by way of profit, to the members of the Council: provided that nothing herein shall prevent the reimbursement of expenses incurred by such members in the performance of their duties as provided in Article 6(2) of this Our Charter, or the payment of such remuneration in return for service rendered as may be approved under Article 6(3) hereof.
5. (1) The Council shall consist of a Chair, a Vice Chair and not more than twelve other members or such other maximum number as Our Secretary of State shall determine.
(2) The Chair, Vice Chair and other members shall be appointed by Our Secretary of State, and the terms of their appointment shall be determined by Our Secretary of State.
6. (1) Every member of the Council shall hold and vacate office in accordance with the terms of their appointment, but
 - a) the Chair shall be appointed for such term, not exceeding five years, as may be agreed by Our Secretary of State and shall be eligible for re-appointment thereafter and may at any time by notice in writing to Our Secretary of State resign from office;
 - b) Vice Chair shall be appointed for a term of not more than three years, and shall be eligible for re-appointment thereafter and may at any time by notice in writing to Our Secretary of State resign from office;
 - c) apart from the Chair no member shall be appointed for a term of more than three years but shall be eligible for re-appointment on ceasing to be a member;
 - d) a member may at any time by notice in writing to Our Secretary of State resign from office;
 - e) notwithstanding the provisions of sub-clauses (a) to (d) above inclusive and the terms of their appointment, any member may at any time by notice in writing given under the hand of Our Secretary of State be deprived of membership of the Council if he or she:
 - (i) has become bankrupt or made an arrangement with creditors;
 - (ii) has, without the permission of the Council, been absent from meetings of the Council for a period longer than three consecutive months or for more than half the Council's meetings in the twelve month period immediately preceding Our Secretary of State's notice;
 - (iii) is found guilty of a criminal offence involving dishonesty; or

- (iv) in the opinion of Our Secretary of State is otherwise unable or unfit to discharge the functions of a member, or is unsuitable to continue as a member.
- (2) Save as is provided in Article 6(3) hereof, the Council shall not make to any of its members any payment by way of remuneration for their services as a member, but may reimburse to any such members expenses reasonably incurred by them in the performance of such services.
- (3) The Council shall, if Our Secretary of State so directs, make to its Chair, and Vice Chair and members such remuneration in return for service rendered to the Council as Our Secretary of State may determine.
7. (1) The Council may act notwithstanding a vacancy among its members and the validity of any proceedings of the Council shall not be affected by any defect in the appointment of a member.
- (2) The quorum of the Council shall be five members present or such greater number as the Council may from time to time determine.
8. Subject to the provisions of this Our Charter, the Council may regulate its own procedure.
9. (1) Subject to Article 9(3) the Council may appoint committees or panels to exercise, or advise it on the exercise of, any of its functions, and may
- (a) appoint to any such committee or panel persons who are not members of the Council, and
- (b) at any time revoke the appointment of any member of any such committee or panel.
- (2) Subject to Article 9(3) the Council may appoint as Chair of any such committee or panel a member of it who is a member of the Council.
- (3) Where the Council have appointed a London regional committee or panel, the Mayor may appoint, as members of that committee or panel, up to four persons, and may
- (a) appoint to any such committee or panel, persons who are not members of the Council, and;
- (b) revoke, at any time, the appointment of any person made under this Article.
- (4) Where the Council have appointed a London regional committee or panel,
- (a) the Mayor of London shall appoint a member of that committee or panel as its Chair, subject to the approval of Our Secretary of State;
- (b) the person appointed as Chair of the London regional committee or panel by the Mayor and approved by Our Secretary of State, may also be appointed as a member of the Council by Our Secretary of State; and
- (c) the Mayor of London may, subject to the approval of Our Secretary of State, revoke the appointment of a person as Chair of the London regional committee or panel.
10. (1) The Council may regulate the procedure of any committee or panel appointed by it in pursuance of Article 9 of this Our Charter.
- (2) Article 6(2) and 6(3) of this Our Charter shall apply to members of

such committees and panels as it applies to members of the Council.

11. Any officer of the Department of Our Secretary of State who may be appointed by Our Secretary of State to be an assessor to the Council, or to any committee or panel of it, shall be entitled to attend (but not vote at) any meeting of the Council, committee or panel to which he or she is so appointed.
12. (1) If Our Secretary of State appoints persons to promote the development and practice of sport in specified regions of England and designates any persons so appointed for the purposes of this Article, the Council shall consult those persons (hereinafter referred to as “Ministerial Nominees”) on the exercise of any of its functions as they relate to the region of England for which they are appointed and exercise those functions with regard to any advice which Ministerial Nominees may give.
(2) The Council shall, if Our Secretary of State so directs, reimburse to Ministerial Nominees expenses reasonably incurred by them in the performance of their duties.
(3) The designation of Ministerial Nominees for the purposes of this Article may be for such term, not exceeding five years, as may be prescribed by Our Secretary of State, but notwithstanding any such term their designation may at any time be revoked by Our Secretary of State.
13. (1) The Council shall, if Our Secretary of State so approves, appoint a Chief Executive Officer (or person with similar title) who shall be the principal administrative officer of the Council; and may appoint such other officers and take into its employment such other persons as the Council may determine.
(2) The Council may
 - (a) pay to its officers and other persons employed by it such remuneration as the Council may, with the approval of Our Secretary of State, from time to time determine; and
 - (b) with the approval of Our Secretary of State to any determination made hereunder, pay to any officers or other persons employed by it such pensions, allowances or gratuities as the Council may from time to time determine, making payments towards the provision of these matters, or provide or maintain such schemes (whether contributory or not) for the payment of the same as may be so determined.
(3) Notwithstanding the provisions of Article 4 of this Our Charter, but subject always to the provisions of Article 13(1) and 13(2) hereof, the Council may employ from time to time for the performance of any of its functions a person who is a member of the Council and, subject as aforesaid, may remunerate such persons for services rendered in pursuance of such employment.
14. The Council shall keep proper accounts and other records, and shall prepare for each financial year statements of account in such form as Our Secretary of State with the approval of the Lords Commissioners of Our Treasury may direct and submit these statements of account to Our Secretary of State at such time as he or she may direct.
15. The Council shall make to Our Secretary of State in such form and at such time as he or she may direct a report on the exercise and performance by the Council of its functions during that year and of plans for its future activities and performance.

16. The application of the Seal of the Council shall be authenticated by the signatures of the Chair or of some other member of the Council authorised generally or specially by the Council to act for that purpose, and of one of such officers of the Council as may be so authorised by the Council so to act.
17. The Council may by resolution in that behalf passed at a meeting of the Council by a majority of not less than three-quarters of the members present and voting (such majority of those members present and voting being an absolute majority of the whole number of the members of the Council), and confirmed at a further meeting of the Council held not less than one month nor more than four months afterwards by a like majority, add to, amend or revoke any of the provisions of this Our Charter, and such addition, amendment or revocation, when allowed by Us, Our Heirs or Successors in Council, shall become effectual, so that this Our Charter shall thenceforward continue and operate as though it had been originally granted and made accordingly. This provision shall apply to this Our Charter as added to or amended in the manner aforesaid.
18. In this Our Charter
 - (a) references to Our Secretary of State are to Our Secretary of State for National Heritage;
 - (b) references to Our Secretaries of State are to Our Secretaries of State for National Heritage, for Scotland, for Wales and for Northern Ireland;
 - (c) the term “other Home Country Sports Councils” means The Scottish Sports Council, The Sports Council for Wales, or The Sports Council for Northern Ireland, or all of them as appropriate; and
 - (d) the word “person” includes bodies corporate and firms.

IN WITNESS whereof We have caused these Our Letters to be made Patent.

WITNESS Ourselves at Westminster the 23 July in the forty-fifth year (i.e. 1996) of Our Reign.

BY WARRANT UNDER THE QUEEN'S SIGN MANUAL

Annex 2B: UK Sport policy directions

Directions Issued to the United Kingdom Sports Council under Section 26(1) of the National Lottery Etc. Act 1993

The Secretary of State for Culture, Media and Sport, in exercise of the powers conferred on him by section 26(1) of the National Lottery etc. Act 1993 and having consulted the United Kingdom Sports Council pursuant to section 26(5) of that Act, hereby gives the following directions to the Council:

1. In these Directions any reference to a section is a reference to a section of the National Lottery etc. Act 1993.
2. In determining the persons to whom, the purposes for which and the conditions subject to which it distributes any money under section 25(1), the United Kingdom Sports Council shall take into account the following matters:-
 - A. The need to inspire children and young people, awakening their interest and involvement in sport.
 - B. The need to encourage new talent, innovation, and excellence and help people to develop new skills.
 - C. The need to ensure that money is distributed for projects which promote public value and which are not intended primarily for private gain.
 - D. The need to consider:
 - i. its assessment of the need to promote and achieve world class sporting performance and excellence and to promote the UK as a venue for major international sporting events, and its priorities for the time being for addressing them.
 - ii. the need to ensure that people from all sections of society and all parts of the UK have access to funding
 - iii. the activities and priorities of the devolved administrations and the Home Country Sports Councils.
 - E. The need to promote the adoption of the highest ethical standards
 - F. The need to further the objectives of sustainable development.
 - G. The need to ensure that all those receiving Lottery money acknowledge it using the common Lottery branding.

H. The need to require an element of partnership funding, or contributions in kind from other sources, to the extent that this is reasonable to achieve for different kinds of applicants in particular areas.

I. The need (a) to set time limits for which grants are payable, (b) to ensure that the United Kingdom Sports Council has the necessary information and expert advice to make decisions on each application and (c) for applicants to demonstrate the financial viability of projects.

J. The desirability of working jointly with other organisations, including other distributors.

Signed on behalf of the Secretary of State for Culture, Media and Sport

A C B RAMSAY

Date 9 November 2007

Director-General, Culture, Creativity and Economy,

Department for Culture, Media and Sport

Annex 2B: UK Sport financial directions

Financial Directions issued under Sections 26 (3), (3a) and (4) of the National Lottery Etc. Act 1993 (As Amended by The National Lottery Act 1998)

The United Kingdom Sports Council (“the Council”) shall comply with the requirements contained within the attached Statement of Financial Requirements, which have the status of directions under section 26 of the National Lottery etc. Act 1993, as amended (“the Act”). The Statement of Financial Requirements complements the Council’s Management Statement and Financial Memorandum (MS/FM), which deals with corporate management matters and with the application of non-Lottery funds, and should be read in conjunction with the MS/FM.

Signed by authority of the Secretary of State for Culture, Media and Sport

ANDREW RAMSAY
Director General, Economic Impact
Department for Culture, Media and Sport

Statement of Financial Requirements

This Statement of Financial Requirements is effective from 23 September 2004

Introduction

1. This statement of Financial Requirements (SFR) replaces any previous SFR issued. It complements the United Kingdom Sports Council's ("the Council's") Management Statement and Financial Memorandum (MS/FM) whose provisions, unless otherwise stated in this SFR, apply to the administration of National Lottery proceeds and the costs of administering Lottery proceeds. It also complements and should be read in conjunction with the Accounts Directions issued to the Council under section 35(3) of the Act.

2. The Council must operate within the principles of administrative law. Lottery proceeds are public monies, and shall be used only to pay grants, to defray administration expenses incurred in the distribution of those funds (including those connected with delegation of Lottery distribution), or to meet the cost of non-cash grants. The Council should have regard to value for money, and to additionality principles, in all aspects of its administration of Lottery funds.

3. Systems of internal control deployed by the Council should be designed to manage risk to a reasonable level rather than eliminate all risk of failure to the achievement of policies, aims and objectives. Systems of internal control should be based on an ongoing process to identify and prioritise the principal risks to the Council not achieving its objectives, to evaluate the likelihood and impact of those risks and to manage them efficiently, effectively and economically.

Applications

4. The Council should make guidance on how to apply for Lottery funds widely available and should distribute funds only in response to applications. It may exercise as it sees fit, putting appropriate management and accountability arrangements in place, its powers under the Act to:

- co-ordinate applications with other distributing bodies and/or other organisations;
- participate in a joint scheme;
- solicit applications;
- delegate, internally or externally, decisions as to whom Lottery money is to be distributed.

5. The Council should ensure that, where appropriate, applicants are informed of the circumstances in which they will have to satisfy European Union (EU) and World Trade Organisation (WTO) procurement rules.
6. The Council should adopt appropriate policies for the appraisal of applications, depending on the nature, size and complexity of the project proposed. These should follow the best current practice and utilise, where appropriate, the Treasury “Green Book” and the Office of Government Commerce’s Project Profile Model (PPM), used to determine the need for Gateway reviews.
7. The Council should notify the Secretary of State whenever it receives an application that falls under section 27 of the Act, and where possible should inform the Secretary of State as soon it becomes aware that such an application is likely to be made. Where the Council is minded to approve the application, it should submit a clear analysis of why the Secretary of State should not exercise section 27 powers, and should not finally approve the application until it receives written notification of the Secretary of State’s decision not to exercise section 27 powers.
8. The Council should collect what information it considers appropriate on each application it receives, and on each successful application. It should supply such information to the Secretary of State as and when requested. It should share information on applications with other distributing bodies where it judges that there is a significant risk that an applicant could fraudulently apply to more than one body.

Successful applications and payments of grant

9. The terms and conditions with which each grant or loan recipient must comply should be clearly set out. These should include a provision that the grant can be clawed back if there is a change of use from the one originally intended, and/or that an appropriate proportion of the value of the asset should be repaid. They should also include a provision for access by the Comptroller and Auditor General; requirements for the applicant to pay to the Council a share of the proceeds from the disposal of assets (including their transfer to the private sector) purchased or enhanced with the assistance of Lottery funding; and for the applicant to repay the grant in full or in part if any of the grant conditions are breached, including instances where the purpose for which the grant was made is not fulfilled, or seems unlikely to the Council to be fulfilled. The Council may vary the terms and conditions of a grant or loan by written agreement with the recipient.
10. The Council may waive such requirements and ‘write off’ the grant if it considers that this would be appropriate having regard to all the circumstances. However, write-offs totalling £50,000 or more in a single financial year must be reported to the Secretary of State.
11. In addition, where the Council is participating in a joint scheme with other distributing bodies, the Accounting Officers of the participating bodies may, by mutual agreement, delegate grant decision-making authority, and the authority to authorise write-offs and

special payments, to the Accounting Officer of one of the bodies or, where appropriate, to a suitably qualified person empowered to act for an external delegate. The person so authorised should report back to the Accounting Officers of the other participating bodies on the achievements of the joint scheme.

12. Grants paid to successful applicants must come from a separate bank account(s) maintained specifically for the transfer of funds from the NLDF to approved projects. This, the Distributing Body's Lottery Account(s) (DBLA(s)), should also be used to cover any costs incurred in administering the Lottery by the Council or any delegates.

13. The Council may hold funds for a short time in DBLA(s) (which may be an interest-bearing instant access account) but may not otherwise invest Lottery money on its own behalf. Draw down requests should reflect the Council's best estimate of the amount needed during the following week. The DBLA(s) should not be overdrawn at any time.

14. Grant distribution may also be made using non-cash methods (for example, vouchers redeemable for goods and services from an approved supplier or contractor). Grants may be made to set up or augment endowments.

15. Grants should not normally be issued to successful applicants in advance of need. However, the Council can and should have regard to the flexibility provided for in relevant DCMS and other Government advice and guidance. The Council should also bear in mind the need to release funds without undue delay so that the applicant can pay bills promptly in accordance with best commercial practice.

16. The Council should set up appropriate arrangements for monitoring and evaluating projects both while they are in progress and after completion.

General administrative & financial matters

17. The Chief Executive of the Council is normally designated as the Accounting Officer for the Lottery Funds under the Council's control, and the responsibilities are set out in the Chief Executive's designation letter. In particular he/she is responsible for signing the accounts for the Council's Lottery distribution activities, and ensuring that:

- Lottery money is distributed with due regard to regularity and propriety;
- Bodies engaged as partners or agents for the purpose of processing Lottery applications and paying funds, or delegated to make decisions on the Council's

behalf, are fit and proper and have established appropriate management arrangements;

- Lottery money is used economically, efficiently, and effectively even though grant decisions may have been delegated to an outside person, organisation, committee, or are distributed under a scheme in conjunction with other distributors.

18. The Council will devise and implement appropriate indicators for analysing its own administrative efficiency and performance. These should be agreed with its sponsor division in DCMS. Performance measures, and targets for them, should be included in the annual business/operational plans.

19. In making forward commitments the Council must have due regard to past and projected income flows and to the need to keep its cash balance in the NLDF to a level which is consistent with safeguarding its commitments. In complying with this direction, the Council should have regard to relevant guidance.

Annex 2B: UK Sport lottery accounts directions

UK SPORT

LOTTERY ACCOUNTS DIRECTION GIVEN BY THE SECRETARY OF STATE FOR CULTURE, MEDIA & SPORT, WITH THE APPROVAL OF THE TREASURY, IN ACCORDANCE WITH SECTION 35(3) OF THE NATIONAL LOTTERY ETC ACT 1993

1. UK Sport shall prepare accounts for the financial year ended 31 March 2015 and subsequent financial years in compliance with the accounting principles and disclosure requirements of the edition of the Government Financial Reporting Manual issued by HM Treasury (“the FReM”) which is in force for the financial year for which the accounts are being prepared as well as any other guidance which Treasury may issue from time to time in respect of accounts which are required to give a true and fair view.
2. The accounts shall be prepared so as to:
 - (a) Give a true and fair view of the financial position as at 31 March 2015 and subsequent financial year-ends, and of the comprehensive income and expenditure, cash flows for the financial year then ended; and
 - (b) Provide disclosure of any material expenditure or income that has not been applied to the purposes intended by Parliament or material transactions that have not conformed to the authorities which govern them.
 - (c) Follow the additional accounting and disclosure requirements set out in Annex A.
3. This Direction applies to UK Sport’s Lottery distribution activities.
4. Compliance with the requirements of the FReM will, in all but exceptional circumstances, be necessary for the accounts to give a true and fair view. Any material departure from the FReM should be discussed with HM Treasury.

Signed by Authority of the Secretary of State for Culture, Media & Sport

Department for Culture, Media and Sport

DATE

Additional Accounting and Disclosure Requirements

The following paragraphs detail the additional requirements as agreed by the Treasury, the Department and UK Sport, over and above those disclosures required in the *FReM*.

1. The **Statement of Net Comprehensive Income/Expenditure** shall include as separate items, where material:
 - a. the share of Lottery proceeds attributable to UK Sport
 - b. the share of investment income of the National Lottery Distribution Fund attributable to the UK Sport
 - c. interest receivable on lottery funds
 - d. repayment of grants
 - e. any other income
 - f. grant made from lottery funds
 - g. lapsed or revoked grant previously recorded as commitments from lottery funds
 - h. the total operating costs incurred in respect of National Lottery distribution activities

2. The **Statement of Financial Position** shall include:
 - a. under the heading "Current assets": shown as an investment, the balance held on behalf of UK Sport at the National Lottery Distribution Fund;
 - b. Grant falling due for payment within one year should be disclosed separately under the heading "Current Liabilities".
 - c. Grant falling due for payment after more than one year should be separately disclosed under the heading "Non current liabilities"

2. The **Cash Flow Statement** shall use the indirect method when presenting "Cash flow from Operating Activities";

3. The **Notes to the Accounts** should meet the requirements of the *FReM* and include:

- a. A statement that the Accounts have been prepared in a form directed by the Secretary of State with the consent of Treasury in accordance with Section 35(3) of the National Lottery etc. Act 1993
- b. A statement of the accounting policies. This must include a statement explaining the nature of the balances held on UK Sport's behalf in the National Lottery Distribution Fund as follows:

“Balances held in the National Lottery Distribution Fund remain under the stewardship of the Secretary of State for Culture, Media & Sport. However, the share of these balances attributable to UK Sport is as shown in the Accounts and, at the Statement of Financial Position date, has been certified by the Secretary of State for Culture, Media & Sport as being available for distribution by UK Sport in respect of current and future commitments.”
- c. the value of grant commitments at the year- end which UK Sport has made but which have not been included as liabilities in the Statement of Financial Position because they did not meet the criteria for being treated as liabilities at that date
- d. Where grants exceed available resources as shown in the Statement of Financial Position, a note explaining the rationale for the over-commitment taking into account any advice received from the Department as appropriate.
- e. A note reconciling the opening and closing balance of investments held at the NLDF. This should disclose proceeds received from the National Lottery, investment income, unrealised gains and losses on investment, and cash drawn down from the NLDF
- f. A breakdown of the total grant liabilities (current and non current) in the SoFP to show:
 - Liability brought forward
 - Commitments in the year
 - Decommitments
 - Commitments paid
 - Liability carried forward
 - A breakdown of the liability for each year up to and including 5 years and over 5 years

Annex 2B: Sport England policy directions

Directions Issued to the English Sports Council under Section 26(1) of the National Lottery Etc. Act 1993

The Secretary of State for Culture, Media and Sport, in exercise of the powers conferred on him by section 26(1) of the National Lottery etc. Act 1993 and having consulted English Sports Council pursuant to section 26(5) of that Act, hereby gives the following directions:

1. In these Directions any reference to a section is a reference to a section of the National Lottery etc. Act 1993.
2. In determining the persons to whom, the purposes for which and the conditions subject to which it distributes any money under section 25(1), the English Sports Council shall take into account the following matters:-
 - A. The need to involve the public and local communities in making policies, setting priorities and distributing money.
 - B. The need to increase access and participation for those who do not currently benefit from the sporting opportunities available in England.
 - C. The need to inspire young people, awakening their interest and involvement in the activities covered by the good cause.
 - D. The need to foster local community initiatives which bring people together, enrich the public realm and strengthen community spirit.
 - E. The need to support volunteers, and encourage volunteering activity.
 - F. The need to encourage new talent, innovation, and excellence and help people to develop new skills.
 - G. The need to ensure that money is distributed for projects which promote public value and which are not intended primarily for private gain.
 - H. The need to further the objectives of sustainable development.

- I. The desirability of ensuring equality of opportunity, of reducing economic and social deprivation and of ensuring that all areas of England have access to the money distributed.
- J. The desirability of working jointly with other organisations, including other distributors.
- K. The need to ensure that all those receiving Lottery money acknowledge it using the common Lottery branding.
- L. The need to require an element of partnership funding, or contributions in kind from other sources, to the extent that this is reasonable to achieve for different kinds of applicants in particular areas.
- M. The need (a) to set time limits for which grants are payable, (b) to ensure that the English Sports Council has the necessary information and expert advice to make decisions on each application and (c) for applicants to demonstrate the financial viability of projects.
- N. Where capital funding is sought, the need (a) for a clear business plan showing how any running and maintenance costs will be met for a reasonable period, and (b) to ensure that appraisal and management for major projects match the Office of Government Commerce's Gateway Review standards.

Signed on behalf of the Secretary of State for Culture, Media and Sport
A C B RAMSAY
Date 9 November 2007
Director-General, Culture, Creativity and Economy,
Department for Culture, Media and Sport

Annex 2B: Sport England financial directions

Financial Directions issued under Sections 26 (3), (3a) and (4) of the National Lottery Etc. Act 1993 (As Amended by the National Lottery Act 1998)

The English Sports Council shall comply with the requirements contained within the attached Statement of Financial Requirements, which have the status of directions under section 26 of the National Lottery etc. Act 1993, as amended (“the Act”). The Statement of Financial Requirements complements the Council’s Management Statement and Financial Memorandum (MS/FM), which deals with corporate management matters and with the application of non-Lottery funds, and should be read in conjunction with the MS/FM.

Signed by authority of the Secretary of State for Culture, Media and Sport

ANDREW RAMSAY

Director of Creative Industries, Broadcasting and Gambling
Department for Culture, Media and Sport

English Sports Council

Statement of Financial Requirements

This Statement of Financial Requirements is effective from 17 May 2004

Introduction

1. This statement of Financial Requirements (SFR) replaces any previous SFR issued. It complements the English Sports Council's Management Statement and Financial Memorandum (MS/FM) whose provisions, unless otherwise stated in this SFR, apply to the administration of National Lottery proceeds and the costs of administering Lottery proceeds. It also complements and should be read in conjunction with the Accounts Directions issued to the Council under section 35(3) of the Act.

2. The Council must operate within the principles of administrative law. Lottery proceeds are public monies, and shall be used only to pay grants, to defray administration expenses incurred in the distribution of those funds (including those connected with delegation of Lottery distribution), or to meet the cost of non-cash grants. The Council should have regard to value for money, and to additionality principles, in all aspects of its administration of Lottery funds.

3. Systems of internal control deployed by the Council should be designed to manage risk to a reasonable level rather than eliminate all risk of failure to the achievement of policies, aims and objectives. Systems of internal control should be based on an ongoing process to identify and prioritise the principal risks to the Council not achieving its objectives, to evaluate the likelihood and impact of those risks and to manage them efficiently, effectively and economically.

Applications

4. The Council should make guidance on how to apply for Lottery funds widely available and should distribute funds only in response to applications. It may exercise as it sees fit, putting appropriate management and accountability arrangements in place, its powers under the Act to:

- co-ordinate applications with other distributing bodies and/or other organisations;
- participate in a joint scheme;
- solicit applications;

- delegate, internally or externally, decisions as to whom Lottery money is to be distributed.

5. The Council should ensure that, where appropriate, applicants are informed of the circumstances in which they will have to satisfy European Union (EU) and World Trade Organisation (WTO) procurement rules.

6. The Council should adopt appropriate policies for the appraisal of applications, depending on the nature, size and complexity of the project proposed. These should follow the best current practice and utilise, where appropriate, the Treasury “Green Book” and the Office of Government Commerce’s Project Profile Model (PPM), used to determine the need for Gateway reviews.

7. The Council should notify the Secretary of State whenever it receives an application that falls under section 27 of the Act, and where possible should inform the Secretary of State as soon it becomes aware that such an application is likely to be made. Where the Council is minded to approve the application, it should submit a clear analysis of why the Secretary of State should not exercise section 27 powers, and should not finally approve the application until it receives written notification of the Secretary of State’s decision not to exercise section 27 powers.

8. The Council should collect what information it considers appropriate on each application it receives, and on each successful application. It should supply such information to the Secretary of State as and when requested. It should share information on applications with other distributing bodies where it judges that there is a significant risk that an applicant could fraudulently apply to more than one body.

Successful applications and payments of grant

9. The terms and conditions with which each grant or loan recipient must comply should be clearly set out. These should include a provision that the grant can be clawed back if there is a change of use from the one originally intended, and/or that an appropriate proportion of the value of the asset should be repaid. They should also include a provision for access by the Comptroller and Auditor General; requirements for the applicant to pay to the Council a share of the proceeds from the disposal of assets (including their transfer to the private sector) purchased or enhanced with the assistance of Lottery funding; and for the applicant to repay the grant in full or in part if any of the grant conditions are breached, including instances where the purpose for which the grant was made is not fulfilled, or seems unlikely to the Council to be fulfilled. The Council may vary the terms and conditions of a grant or loan by written agreement with the recipient.

10. The Council may waive such requirements and ‘write off’ the grant if it considers that this would be appropriate having regard to all the circumstances. However, write-offs totalling £50,000 or more in a single financial year must be reported to the Secretary of State.

11. In addition, where The Council is participating in a joint scheme with other distributing bodies, the Accounting Officers of the participating bodies may, by mutual agreement, delegate grant decision-making authority, and the authority to authorise write-offs and special payments, to the Accounting Officer of one of the bodies or, where appropriate, to a suitably qualified person empowered to act for an external delegate. The person so authorised should report back to the Accounting Officers of the other participating bodies on the achievements of the joint scheme.

12. Grants paid to successful applicants must come from a separate bank account(s) maintained specifically for the transfer of funds from the NLDF to approved projects. This, the Distributing Body's Lottery Account(s) (DBLA(s)), should also be used to cover any costs incurred in administering the Lottery by the Council or any delegates.

13. The Council may hold funds for a short time in DBLA(s) (which may be an interest-bearing instant access account) but may not otherwise invest Lottery money on its own behalf. Draw down requests should reflect the Council's best estimate of the amount needed during the following week. The DBLA(s) should not be overdrawn at any time.

14. Grant distribution may also be made using non-cash methods (for example, vouchers redeemable for goods and services from an approved supplier or contractor). Grants may be made to set up or augment endowments.

15. Grants should not normally be issued to successful applicants in advance of need. However, the Council can and should have regard to the flexibility provided for in relevant DCMS and other Government advice and guidance. The Council should also bear in mind the need to release funds without undue delay so that the applicant can pay bills promptly in accordance with best commercial practice.

16. The Council should set up appropriate arrangements for monitoring and evaluating projects both while they are in progress and after completion.

General administrative & financial matters

17. The Chief Executive of the Council is normally designated as the Accounting Officer for the Lottery Funds under the Council's control, and the responsibilities are set out in the Chief Executive's designation letter. In particular he/she is responsible for signing the accounts for the Council's Lottery distribution activities, and ensuring that:

- Lottery money is distributed with due regard to regularity and propriety;

- Bodies engaged as partners or agents for the purpose of processing Lottery applications and paying funds, or delegated to make decisions on the Council's behalf, are fit and proper and have established appropriate management arrangements;
- Lottery money is used economically, efficiently, and effectively even though grant decisions may have been delegated to an outside person, organisation, committee, or are distributed under a scheme in conjunction with other distributors.

18. The Council will devise and implement appropriate indicators for analysing its own administrative efficiency and performance. These should be agreed with its sponsor division in DCMS. Performance measures, and targets for them, should be included in the annual business/operational plans.

19. In making forward commitments the Council must have due regard to past and projected income flows and to the need to keep its cash balance in the NLDF to a level which is consistent with safeguarding its commitments. In complying with this direction, the Council should have regard to relevant guidance.

Annex 2B: Sport England lottery accounts directions

SPORT ENGLAND

LOTTERY ACCOUNTS DIRECTION GIVEN BY THE SECRETARY OF STATE FOR CULTURE, MEDIA & SPORT, WITH THE APPROVAL OF THE TREASURY, IN ACCORDANCE WITH SECTION 35(3) OF THE NATIONAL LOTTERY ETC ACT 1993

1. Sport England shall prepare accounts for the financial year ended 31 March 2015 and subsequent financial years in compliance with the accounting principles and disclosure requirements of the edition of the Government Financial Reporting Manual issued by HM Treasury (“the FReM”) which is in force for the financial year for which the accounts are being prepared as well as any other guidance which Treasury may issue from time to time in respect of accounts which are required to give a true and fair view.
2. The accounts shall be prepared so as to:
 - (a) Give a true and fair view of the financial position as at 31 March 2015 and subsequent financial year-ends, and of the comprehensive income and expenditure, cash flows for the financial year then ended; and
 - (b) Provide disclosure of any material expenditure or income that has not been applied to the purposes intended by Parliament or material transactions that have not conformed to the authorities which govern them.
 - (c) Follow the additional accounting and disclosure requirements set out in Annex A.
3. This Direction applies to Sport England’s Lottery distribution activities.
4. Compliance with the requirements of the FReM will, in all but exceptional circumstances, be necessary for the accounts to give a true and fair view. Any material departure from the FReM should be discussed with HM Treasury.

Signed by Authority of the Secretary of State for Culture, Media & Sport

Department for Culture, Media and Sport

DATE

Additional Accounting and Disclosure Requirements

The following paragraphs detail the additional requirements as agreed by the Treasury, the Department and Sport England, over and above those disclosures required in the *FReM*.

1. The **Statement of Net Comprehensive Income/Expenditure** shall include as separate items, where material:
 - a. the share of Lottery proceeds attributable to Sport England
 - b. the share of investment income of the National Lottery Distribution Fund attributable to the Sport England
 - c. interest receivable on lottery funds
 - d. any other income
 - e. grant made from lottery funds
 - f. lapsed or revoked grant previously recorded as commitments from lottery funds
 - g. the total operating costs incurred in respect of National Lottery distribution activities
2. The **Statement of Financial Position** shall include:
 - a. under the heading "Current assets": shown as an investment, the balance held on behalf of Sport England at the National Lottery Distribution Fund;
 - b. Grant falling due for payment within one year should be disclosed separately under the heading "Current Liabilities".
 - c. Grant falling due for payment after more than one year should be separately disclosed under the heading "Non current liabilities"
3. The **Cash Flow Statement** shall use the indirect method when presenting "Cash flow from Operating Activities";
4. The **Notes to the Accounts** should meet the requirements of the FReM and include:
 - a. A statement that the Accounts have been prepared in a form directed by the Secretary of State with the consent of Treasury in accordance with Section 35(3) of the National Lottery etc. Act 1993

- b. A statement of the accounting policies. This must include a statement explaining the nature of the balances held on UK Sport's behalf in the National Lottery Distribution Fund as follows:

"Balances held in the National Lottery Distribution Fund remain under the stewardship of the Secretary of State for Culture, Media & Sport. However, the share of these balances attributable to UK Sport is as shown in the Accounts and, at the Statement of Financial Position date, has been certified by the Secretary of State for Culture, Media & Sport as being available for distribution by UK Sport in respect of current and future commitments."

- c. the value of grant commitments at the year- end which UK Sport has made but which have not been included as liabilities in the Statement of Financial Position because they did not meet the criteria for being treated as liabilities at that date
- d. Where grants exceed available resources as shown in the Statement of Financial Position, a note explaining the rationale for the over-commitment taking into account any advice received from the Department as appropriate.
- e. A note reconciling the opening and closing balance of investments held at the NLDF. This should disclose proceeds received from the National Lottery, investment income, unrealised gains and losses on investment, and cash drawn down from the NLDF
- f. A breakdown of the total grant liabilities (current and non current) in the SoFP to show:
- Liability brought forward
 - Commitments in the year
 - Decommitments
 - Commitments paid
 - Liability carried forward
 - A breakdown of the liability for each year up to and including 5 years and over 5 years

Annex 2C: UK Sport and Sport England functions, staffing and spending⁴

UK Sport

UK Sport functions	Staff numbers (current FTE) ⁵	Admin spend £m (14/15)	Programme spend £m (14/15)
Supporting teams and individuals to compete for the UK or Great Britain at the summer and winter Olympics and Paralympics and equivalent world level events	40.25	Lottery 0.86 Exchequer 0.08	Lottery 78.74 Exchequer 37.22
Co-ordinating the bidding for and staging of major international sporting events in the UK with a focus on Olympic, Paralympic and Commonwealth disciplines	6.81	Lottery 0.53 Exchequer N/A	Lottery 5.66 Exchequer 8.15
Maximising the UK's status and influence in international sport	11.73	Lottery 0.22 Exchequer N/A	Lottery 0.45 Exchequer 1.71
Cross-cutting and corporate services	35.23	Lottery 2.48 Exchequer 1.81	Lottery N/A Exchequer 0.32
Ensuring the sports and organisations that receive UK Sport and Sport England funding are well led and governed	8.91	Lottery 0.27 Exchequer 0.20	Lottery 0.13 Exchequer 0.61

⁴ Staff numbers and funding amounts provided by UK Sport and Sport England. Sport England spending excludes £4.9 million spent on its National Centres

⁵ UK Sport staffing figures shown are as they were before their Summer 2015 re-organisation

Sport England

Sport England functions	Staff numbers (current FTE) ⁶	Admin spend £m (14/15)	Programme spend £m (14/15)
Creating an environment in which more people in England aged 14 and above choose to play sport regularly (including facilities)	144.3	Lottery 10.8 Exchequer 5.3	Lottery 253.8 Exchequer 68.7
Identifying and developing talent and supporting teams and individuals and teams representing their county, region or England (including facilities)	7.9	Lottery 0.4 Exchequer 0.2	Lottery 24.0 Exchequer 5.5
Consultee and expert advisor on sport-related planning decisions	11.8 (statutory planning only)	Exchequer 0.7	Not applicable [no grant investment]
Cross-cutting and corporate services	84.2	Lottery 12.1 Exchequer 4.4	Not applicable [no grant investment]
Ensuring the sports and organisations that receive UK Sport and Sport England funding are well led and governed	1 (also forms part of the NGB performance management roles which are listed under Participation)	Lottery 0.2 Exchequer 0.1	Exchequer 1.0

⁶ The total staff numbers (current FTE) for Sport England's functions of 249 includes vacancies of approximately 4 posts held during the year

Detailed description of what UK Sport and Sport England do

UK SPORT

Role

Working in partnership to lead sport in the UK to world class success.

Functions

Supporting teams and individuals to compete for the UK or Great Britain at the summer and winter Olympics and Paralympics and equivalent world level events

- Providing funding and central expertise/services to the National Governing Bodies (NGBs) of sports to employ and develop the specialist workforce and the tools that support the UK's best athletes to win medals at the next and/or following Olympic and Paralympic Games.
- Providing funding for individuals' training, competition and living expenses.
- Producing specialist guidance, tools and training for sports on how best to develop their talented athletes and teams to perform at the highest level of competition.
- Producing specialist guidance, tools and training to improve the quality coaches for elite-level athletes.
- Advising individual sports on how to maximise their performance.
- Take an overview of location and development of elite competition and training facilities to best support sports and athletes.
- Provide funding for and work with its subsidiary the English Institute for Sport and the other Home Nation Institutes of Sport to provide expert sports science and medical services.

Coordinating the bidding for and staging of major international sporting events in the UK with a focus on Olympic, Paralympic and Commonwealth disciplines

- Working with sports to select events to target and plan how best to bid for them.
- Support NGBs' or other organisations' individual bids through funding and expert advice on feasibility studies and business plans.

Maximising the UK's status and influence in international sport

- Financial and technical support for NGBs' international roles.
- Securing UK representatives on international sporting bodies and training for those individuals.
- Funding a small number of sports development projects in selected countries.

Cross-cutting and corporate services

- Research, analysis and monitoring to establish evidence base and expertise for own activities and those of sports and organisation receiving funding
- Communications, stakeholder engagement and public affairs.
- Coordinating visits to schools and community sports clubs and facilities that athletes who have received UK Sport funding are required to make.
- Raising commercial income and value in kind services and expertise to supplement grant and lottery funding.
- Internal support services including HR, legal, finance, IT, facilities, grant administration.

SPORT ENGLAND

Role

Working to get more people in England playing sport regularly and to develop sporting talent.

Functions

Creating an environment in which more people in England aged 14 and above choose to play sport regularly

- Providing funding in four-year cycles to 46 National Governing Bodies (NGBs) to increase participation in their sports, and helping them to raise commercial funding and in-kind support for their activities.
- Grant funding projects in educational settings, including supporting extra-curricular sport in individual schools, competition between schools through the School Games and sport in colleges and universities.
- Providing on-going funding and project funding to local organisations (for example county sports partnerships and sports clubs) to increase and improve people's opportunities to participate.
- Supporting local authorities to develop effective strategies and delivery plans for sport in their areas, including through piloting approaches in individual cities which can be replicated elsewhere.
- Providing expertise and funding for representatives organisations and for projects to enable and encourage people who are less likely to play sport to do so, particularly disabled people and women.
- Working with some organisations whose main business is not sport to encourage them to add opportunities to participate in sport to the activities they normally offer.

- Providing capital funding to NGBs, local authorities, education organisations and sports clubs to create and redevelop sports facilities and provide sporting equipment
- Providing funding and expertise to expand and develop the community sports workforce, including administrators and coaches.
- Encouraging and advising schools on opening their sports facilities to their local communities.

Identifying and developing talent and supporting individuals and teams representing their county, region or England

- Providing funding and expertise to NGBs for coaching, clubs, competitions and support systems to find and develop talented individuals, including from beyond the traditional settings for and groups who participate in particular sports
- Providing on-going funding to specialist organisations that develop the coaches and administrators needed to develop talent and run high performance sport and provide financial support directly to athletes.
- Owning and running (through subsidiary companies) four sport centres which include both elite and community facilities.
- Working jointly with UK Sport, providing capital funding to enhance a small number of training centres for elite sport.
- Supporting a limited number of sports to represent England at an elite level by:
- Providing funding to relevant NGBs for elite level netball, squash and women's rugby.
- Providing funding for England's participation in the Commonwealth Games including core funding for Commonwealth Games England, and in the year before each Commonwealth Games, short-term funding for talented athletes with medal prospects for England who do not represent Great Britain.

Consultee and expert advisor on sport-related planning decisions

- Acting as a statutory consultee on planning applications affecting playing fields.
- Offering advice on other sport-related planning applications.
- Producing and publishing guidance to the owners of sports facilities, particularly local authorities, on developing high-quality sports facilities and directly advising individual local authorities in some cases.

Cross-cutting and corporate services

- Research, analysis and monitoring to develop evidence base for own activities and inform organisations involved or with an interest in grass-roots sport including the bi-annual Active People Survey and expert advice to the sport sector on what influences people to play sport regularly.
- Grant administration.
- Communications.
- Support services including HR, legal, finance, audit, ICT, procurement and facilities.

UK SPORT AND SPORT ENGLAND

Ensuring the sports and organisations that receive UK Sport and Sport England funding are well led and governed

- Setting and monitoring requirements on governance (including equality, safeguarding and conduct) through funding conditions and advising for individual sports on how to improving their standards.
- Providing expert advice and support the chairs, board members and chief executives of NGBs and other funded organisations.

Annex 2D: Analysis of UK Sport and Sport England functions

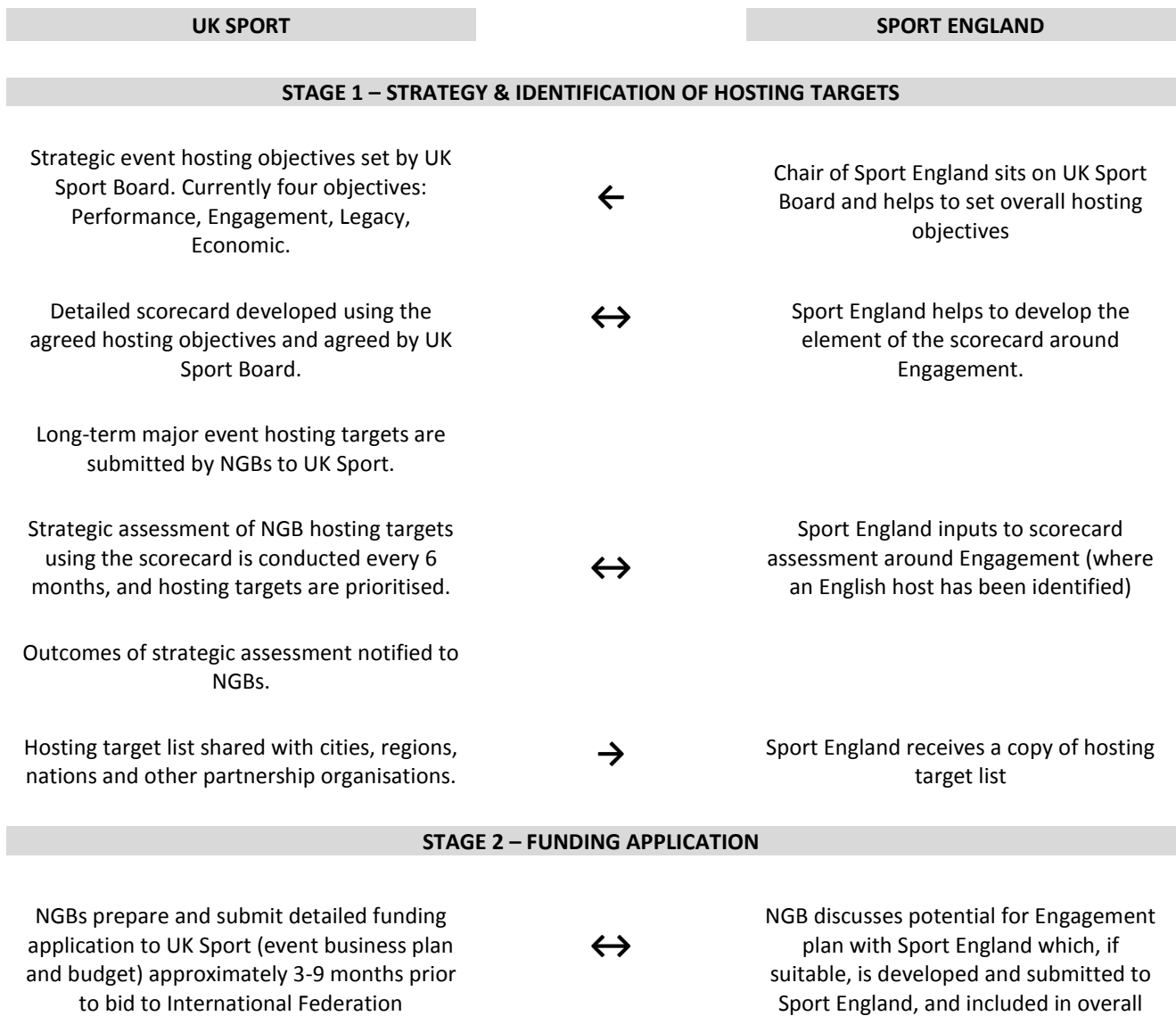
Function	Royal Charter	National Lottery	Government Policy ⁷	Effects of not delivering function	Stakeholder view	Conclusion
UK Sport - supporting elite sport	Main object and several specific powers	National lottery distributor Covered in policy directions	Maintaining and improving Britain's elite sport performance key aim of Government sport policy	UK would win significantly fewer medals at Olympic and Paralympic Games, with likely damage to prestige, national pride and participation	Retain, but improve joint working with Sport England on talent	Retain
UK Sport - major international sporting events	Specific power	Covered in policy directions	More opportunities for UK's elite athletes to compete in UK aspect of maintaining and improving elite sport performance. Part of Olympic legacy programme. Positive contribution	Significantly fewer international events staged in UK, undermining efforts to improve elite sport performance, loss of economic and participation benefits and harm to UK's international reputation.	Retain	Retain

⁷ This column shows government sport policy over the last five years, which will be replaced at least in part by the new strategy for sport under development

			towards economic development, tourism, behavioural change, investment in infrastructure etc			
UK Sport - maximising the UK's status and influence in international sport	Specific power		Not directly, but contributes indirectly to elite sport success	Would undermine efforts to bring major economic events to the UK	Retain	Retain
Sport England - participation	Main object and several specific powers	National lottery distributor Covered in policy directions	Getting more people playing sport is key aim of Government sport policy Contributes also to Government policies on physical activity and health Participation in sport can also have a social and cultural impact by transforming communities and bringing diverse groups	Number of people playing sport likely to reduce, deterioration in and loss of sporting infrastructure, significant problems for some individual sports. Failure to increase activity levels would undermine health policy, with significant additional costs for NHS.	Retain but improve	Retain

			of people together.			
Sport England - identifying and developing talent	Specific power	Reference in policy directions	Underpins policy on elite sport performance	Fewer athletes and teams of sufficient standard to join UK Sport programmes.	Retain but improve, including through joint working with UK Sport	Retain
Sport England - sports related planning	No, but statutory role		Yes. Playing fields protected through the planning system and specific regime for school playing fields.	Quality of decision-making on playing fields may reduce. Reduced engagement with local authorities with consequences for local sporting provision. Potential saving of some staff time in Sport England.	Retain	Reform
Joint function - ensuring funded sports and organisations are well led and governed	No	Contributes to requirement for propriety and regularity in finance directions	Commitment to improving governance structures of sport in the UK and underpins delivery of other policy commitments	Modernisation of sport governance stalls. Risk of improper use of public/lottery funding increases. Significant problems for some sports.	Retain, but join up better	Retain

Annex 3A: Major event hosting process – UK Sport and Sport England collaboration



event business plan sent to UK Sport. The Engagement plan is assessed by the Sport England Grants Team and a recommendation for award/deferral/rejection made by the peer review panel.

Business plan and budget reviewed by UK Sport Major Event Team, and recommendations submitted to UK Sport Major Events Panel



Sport England commentary on NGB Engagement Plan is included in UK Sport paperwork. If Sport England funding application has been made, decision is included in paperwork.

UK Sport Major Events Panel makes a funding recommendation to UK Sport Board

UK Sport Board makes investment decision which is communicated to the NGB, funding agreements are developed, and a bid team is assembled



Sport England notified of UK Sport funding outcome. Sport England makes an award to the NGB conditional on a successful bid to host the event.

STAGE 3 – EVENT PLANNING, DELIVERY & REPORTING

After a successful bid, the event governance structure is formalised and meetings are staged.



Sport England representative sits on the relevant legacy group and provides support and challenge to delivery

Event is delivered and research is typically conducted at events

Debrief meetings are held and post-event reports are submitted



Sport England receive copy of post-event reports, participation outcomes reviewed and discussed.

Annex 5A: UK Sport corporate governance self-assessment

ACCOUNTABILITY				
PRINCIPLE		SUPPORTING PROVISION	COMPLY	EXPLAIN
<p>The public body complies with all applicable statutes and regulations, and other relevant statements of best practice.</p>		<p><i>Statutory Accountability</i></p>		
	<p>1.</p>	<p>The public body must comply with all statutory and administrative requirements on the use of public funds. This includes the principles and policies set out in the HMT publication “Managing Public Money” and Cabinet Office/HM Treasury spending controls.</p>		<p>For both National Lottery and Exchequer funding received, UK Sport comply with Accounting and Financial Directions issued pursuant to the National Lottery etc. Act 1993 and Management Agreement (incorporating Managing Public Money, Cabinet Office/HM Treasury spending controls), Funding Agreements and settlement letters. UK Sport also operates within Pay Remit controls. Compliance is controlled by the Chief Executive Officer (as Accounting Officer), Chief Operating Officer and Finance Director. Specific issues are dealt with in scheme of delegation and other policy documents, such as procurement, recruitment, anti-fraud etc. and assurance is provided by Internal Audit and National Audit Office.</p>

	2.	The public body must operate within the limits of its statutory authority and in accordance with any delegated authorities agreed with the sponsoring department.		<p>UK Sport's Management Agreement, spending control and settlement letters set out the extent of UK Sport's delegated authority for Exchequer funding. UK Sport notifies DCMS on actions requiring approval outside of the delegations. UK Sport notifies DCMS of activity falling outside of its delegated authority or spend controls.</p> <p>The requirement to notify any external delegation stems from section 25A of the National Lottery etc. Act 1993 and since the issue of the 2006 Statement of Financial Requirement (SFR) the Fund needs to notify the Secretary of State at DCMS if it makes any external delegations. UK Sport has not delegated its powers of distribution under section 25A.</p>
	3.	The public body should operate in line with the statutory requirements and spirit of the Freedom of Information Act 2000.		<p>UK Sport's policy on FOI and Publication Scheme is on its website: http://www.uk sport.gov.uk/freedom-of-information Records are kept of requests received and responses issued. Open data is also available: http://www.uk sport.gov.uk/resources/transparency-and-open-data</p>
	4.	It should have a comprehensive Publication Scheme. It should proactively release information that is of legitimate public interest where this is consistent with the provisions of the Act.		See above.
	5.	The public body must be compliant with Data Protection legislation.		<p>Information about the use of personal data is included in UK Sport's Information Data Security, and Communications Systems Policy and Procedure and relevant policies and forms for staff. UK Sport also complies with HMG Security Policy Framework.</p>

	6.	The public body should be subject to the Public Records Acts 1958 and 1967.		<p>UK Sport is not listed in Para 1. Part 2. Schedule 1 of the 1958 Act (as amended by the 1967 Act) as being subject to its requirements. Further legal research is being conducted on the applicability of the Act to UK Sport.</p> <p>Furthermore, regardless of being subject to requirements or not, UK Sport are looking at whether they are complying by way of best practice.</p>
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PRINCIPLE		SUPPORTING PROVISION	COMPLY	EXPLAIN
<p>The Accounting Officer of the public body is personally responsible and accountable to Parliament for the use of public money by the body and for the stewardship of assets.</p>		<i>Accountability for Public Money</i>		
	7.	There should be a formally designated Accounting Officer for the public body. This is usually the most senior official (normally the Chief Executive).		The Chief Executive Officer has been designated as the Accounting Officer
	8.	The role, responsibilities and accountability of the Accounting Officer should be clearly defined and understood. The Accounting Officer should have received appropriate training and		UK Sport complies with the requirements of “Managing Public Money” both substantive and interim Directors of Finance are qualified Accountants with experience of working within the Public Sector and its requirements. The Accounting Officer received training and an induction on appointment.

		induction. The public body should be compliant with the requirements set out in "Managing Public Money.		
	9.	<p>The public body should establish appropriate arrangements to ensure that public funds:</p> <ul style="list-style-type: none"> • are properly safeguarded; • used economically, efficiently and effectively • used in accordance with the statutory or other authorities that govern their use; and • deliver value for money for the Exchequer as a whole. 		The finance function is working effectively. There is regular reporting to the Audit Committee and the Board. Financial control audits re regularly conducted by the organisation's internal auditors with no control weaknesses identified. External Audits by the National Audit Office (NAO(have provided an unqualified opinion on the 2013-14 accounts.
	10.	The public body's annual accounts should be laid before Parliament. The Comptroller and Auditor General should be the external auditor for the body		The NAO are the External Auditors. As a lottery distributor two sets of accounts are produced and audited annually, Exchequer and Lottery. The Accounts for 2013/14 were laid before Parliament on 9 July 2014 in accordance with the requirements of the National Lottery Act 1993 before the Summer Recess. The Accounts are published on UK Sport's website: http://www.uk sport.gov.uk/resources/annual-reports

ROLES AND RESPONSIBILITIES				
PRINCIPLE		SUPPORTING PROVISION	COMPLY	EXPLAIN
<p>The public body is led by an effective board which has Collective responsibility for the overall performance and success of the body.</p> <p>The board provides strategic leadership, direction, support and guidance.</p> <p>The board and its committees have an appropriate balance of skills, experience, independence and knowledge.</p> <p>There is a clear division of roles and responsibilities</p>		<i>Role of the Board</i> (UK Sport)		
	11.	The board of the public body should:		
		meet regularly;		The Board meets at least 6 (six) times per financial year (1 April to 31 March). The agenda and minutes of each Board meeting can be found: http://www.uk sport.gov.uk/resources/board-minutes
		retain effective control over the body; and		The Board acts in accordance with the Royal Charter, Management Agreement and its Terms of Reference. See http://www.uk sport.gov.uk/about-us/board . We are currently waiting for a final copy of the Management Agreement from DCMS so it can be uploaded onto the UKS website.
	effectively monitor the senior management team.		All members of UK Sport’s Directors Team are required to attend all Board meetings. All Director Team’s key strategic and operational issues are monitored through normal Board business as well as review of KPIs, Business Plan & Risk Register. In addition, the Board has established five sub-committees through which relevant members of the Directors Team are required to attend.	

between non-executive and executives.

No one individual has unchallenged decision making powers.

12.	The size of the board should be appropriate.		The size of the Board is set at up to 10 members including the Chair. See Article 6 (1) of the Royal Charter.
13.	Board members should be drawn from a wide range of diverse backgrounds.		Appointments are made by Secretaries of States. See Article 6 (1) and (2) of the Royal Charter. Non-Home Country Sport Council members are recruited by DCMS on behalf of the Secretary of State who makes the appointment. Diversity of Board (gender balance, ethnic balance, geographical spread, etc.) kept under review.
14.	The board should establish a framework of strategic control (or scheme of delegated or reserved powers). This should specify which matters are specifically reserved for the collective decision of the board. This framework must be understood by all board members and by the senior management team. It should be regularly reviewed and refreshed.		Delegated decision making in place and remit between the Board and the Executive Team are in place. Management Agreement, Board Terms of Reference (introduced in May 2014) and Scheme of Delegation.
15.	The Board should establish formal procedural and financial regulations to govern the conduct of its business.		Management Agreement, Terms of Reference and Scheme of Delegation.
16.	The Board should establish appropriate arrangements to ensure that it has access to		Role of Directors Team and regular liaison with Chair and Chief Executive Officer.

	all such relevant information, advice and resources as is necessary to enable it to carry out its role effectively.		Board member induction process with induction pack. Board receive papers before each meeting ahead of schedule. Directors are happy to receive calls from Board members about specific issues at any time. The Chair's annual review with each Board member is also an opportunity to discuss any way in which the Board member feels they are not being given the relevant resources to do the job properly. Where a Board members feels they have a gap in their knowledge UK Sport ensure that they are brought further into the detail so that they can understand and are better able to advise. Sub-committees are sometimes created which include Board members in order to use their specific expertise to help advise on an issue.
17.	The Board should make a senior executive responsible for ensuring that appropriate advice is given to it on all financial matters.		<p>Chief Executive Officer supported by Chief Operating Officer, Director of Finance and Audit Committee.</p> <p>As stated in the Director of Finance and Investment job description, this Director is recognised as the strategic financial lead for the organisation and is required to provide financial planning and management advice to the CEO, Board, Audit Committee and Executive Team.</p> <p>The CEO, as described in the job description, acts as the accounting officer for UK Sport and is advised by the Finance Director and her responsibilities as described within 'Managing Public Money'.</p>
18.	The Board should make a senior executive responsible for ensuring that Board procedures are followed and that all applicable statutes and regulations and other		<p>Chief Executive Officer supported by Chief Operating Officer, Director of Finance and Internal Auditors.</p> <p>Regulatory responsibilities are set out in the each of the role job descriptions.</p>

	relevant statements of best practice are complied with.		
19.	The Board should establish a remuneration committee to make recommendations on the remuneration of top executives.		A Remuneration Committee is in place. Its Terms of Reference can be found on: http://www.uk sport.gov.uk/about-us/panels
20.	Information on senior salaries should be published.		Senior salary information is published on the UK Sport website: http://www.uk sport.gov.uk/resources/transparency-and-open-data and salary bands are report in the Accounts: http://www.uk sport.gov.uk/publications/uk-sport-annual-report-2013-2014
21.	The board should ensure that the body's rules for recruitment and management of staff provide for appointment and advancement on merit.		UK Sport is committed to equality of opportunity for all job applicants at all stages of the recruitment and selection process and aims to select people for employment on the basis of the applicant's abilities and individual merit as measured against the criteria for the job. All permanent roles are advertised with clearly defined selection criteria and the qualifications, experience and skills of candidates are assessed at the level that is relevant to the job. One of UK Sport HR's four strategic objectives is to develop staff. This includes all vacancies and development programmes advertised internally with selection by merit. Individual training and development needs are identified through the performance development process and a learning and development budget is set aside each year to meet these needs. In addition, an e-learning 'Knowledge Pool' is open to all staff for self study covering areas such as IT skills and project management.

	22.	The Chief Executive should be accountable to the Board for the ultimate performance of the public body and for the implementation of the Board's policies. He or she should be responsible for the day-to-day management of the public body and should have line responsibility for all aspects of executive management.		<p>Job Description of Chief Executive Officer, Management Agreement; and Terms of Reference of Board.</p> <p>Job Purpose to lead and manage UK Sport to achieve it's Mission and to provide leadership for the organisation and work effectively as a member of the senior management team.</p> <p>The CEO does have line management for all senior executives who are part of the Senior Management Team.</p>
	23.	There should be an annual evaluation of the performance of the board and its committees and of the Chair and individual board members		<p>The Board undertook a review of its effectiveness on 24 June 2014 the Chair has appraised all individual Board members and their area of responsibility (including any sub-committees).</p> <p>UK Sport follows the recognised best practice of annual reviews of the Board's Effectiveness. Consistent with guidance this takes the form of a full, externally facilitated review every third year (and last undertaken in June 2014) and annual "light-touch" reviews in the 2nd and 3rd years (with the next scheduled in September 2015). In addition the Chair meets with individual members in year to reflect on both their personal performance and that of the Board. Resultant action plans are agreed and monitored through normal Board process.</p>

PRINCIPLE		SUPPORTING PROVISION	COMPLY	EXPLAIN
The Chair is responsible for leadership of the board and	24.	The board should be led by a non-executive Chair.		Chair is a non-executive appointed by the Secretary of State.

for ensuring its overall effectiveness.	25.	There should be a formal, rigorous and transparent process for the appointment of the Chair. This should be compliant with the Code of Practice issued by the Commissioner for Public Appointments.		Appointment is made by the Secretary of State of Culture, Media & Sport and the process is run by officials at DCMS in accordance with OCPA Code of Practice.
	26.	The Chair should have a clearly defined role in the appointment of non-executive board members.		<p>The following process is followed in the appointment of non-executive Board members;</p> <p>Board conducts a skills audit to identify skills gap. Job description drawn up by DCMS adhering to the code of practice for public appointments. Job advertised by DCMS. DCMS in consultation with UKS shortlist candidates. Interviews conducted by a panel consisting of DCMS member, independent, UKS Chair. Following interviews, panel make a recommendation to the Secretary of State and Minister. Secretary of State has final decision on appointment.</p>
	27.	The duties, role and responsibilities, terms of office and remuneration of the Chair should be set out clearly and formally defined in writing. Terms and conditions must be in line with Cabinet Office guidance and with any statutory requirements.		<p>Chair Terms of Appointment, Section 6 of Management Agreement and Cabinet Office Code of Conduct for Board Members.</p> <p>Terms of appointment are covered in the Terms of Reference.</p>

	28.	The responsibilities of the Chair will normally include representing the public body in discussions with Ministers;		Job description and Terms of Appointment of the Chair. Section 6 of Management Agreement.
		<ul style="list-style-type: none"> advising the sponsoring Department and Ministers about board appointments and the performance of individual non-executive board members; 		<p>Covered by Management Agreement</p> <p>Covered by Terms of Reference and Management Agreement</p>
		<ul style="list-style-type: none"> ensuring that non - executive board members have a proper knowledge and understanding of their corporate role and responsibilities. The Chair should ensure that new members undergo a proper induction process and is normally responsible for undertaking an annual assessment of non-executive board members' performance; 		<p>Covered by Terms of Reference and Management Agreement</p> <p>Board Terms of Reference and Management Agreement</p> <p>Covered by Terms of Reference</p> <p>Not covered in any document but implicit in the way the Chair should act</p>

		<ul style="list-style-type: none"> ensuring that the board, in reaching decisions, takes proper account of guidance provided by the sponsoring department or Ministers. 		
		<ul style="list-style-type: none"> ensuring that the board carries out its business efficiently and effectively; 		
		<ul style="list-style-type: none"> representing the views of the board to the general public; and 		
		<ul style="list-style-type: none"> developing an effective working relationship with the Chief Executive and other senior staff. 		
	29.	The roles of Chair and Chief Executive should be held by different individuals		The Chair is Rod Carr and the Chief Executive Officer is Liz Nicholl.
As part of their role, non-executive board members provide independent and constructive challenge.		<i>Role of Non-Executive Board Members</i>		
	30.	There should be a majority of non-executive members on the board.		All Non-Executives.

	<p>31. There should be a formal, rigorous and transparent process for the appointment of non-executive members of the board. This should be compliant with the Code of Practice issued by the Commissioner for Public Appointments.</p>		<p>The six non-Home Country Sport Council members are recruited by DCMS on behalf of the Secretary of State who makes the appointment. The process is run by officials at DCMS in accordance with OCPA Code of Practice. The Secretaries of State for England, Northern Ireland, Scotland and Wales nominate one member from each of their Sport Councils for remaining four Non Executive Directors positions.</p>
	<p>32. The duties, role and responsibilities, terms of office and remuneration of non-executive board members should be set out clearly and formally defined in writing.</p>		<p>Terms of Appointment, Section 5&7 of Management Agreement and Board Terms of Reference.</p>
	<p>33. Terms and conditions must be in line with Cabinet Office guidance and with any statutory requirements.</p>		<p>Terms of Appointment and Cabinet Office Code of Conduct for Board Members.</p>
	<p>34. The corporate responsibilities of non-executive board members (including the Chair) will normally include:</p>		<p>Job description and Terms of Appointment of the Chair. Section 7 of Management Agreement.</p>
	<ul style="list-style-type: none"> • establishing the strategic direction of the public body (within a policy and 		

		resources framework agreed with Ministers);		
		<ul style="list-style-type: none"> overseeing the development and implementation of strategies, plans and priorities; 		
		<ul style="list-style-type: none"> overseeing the development and review of key performance targets, including financial targets; 		
		<ul style="list-style-type: none"> ensuring that the public body complies with all statutory and administrative requirements on the use of public funds; 		
		<ul style="list-style-type: none"> ensuring that the board operates within the limits of its statutory authority and any delegated authority agreed with the sponsoring department; 		
		<ul style="list-style-type: none"> ensuring that high standard of corporate governance are observed at all times. This should 		

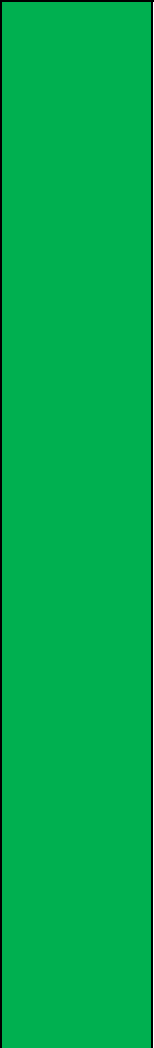
	include ensuring that the public body operates in an open, accountable and responsive way; and		
	<ul style="list-style-type: none"> representing the board at meetings and events as required. 		
35.	All non-executive Board members must be properly independent of management.		The Board and sub committees are established and run in this way.
36.	All non-executive board members must allocate sufficient time to the board to discharge their responsibilities effectively.		This is reported in the Accounts. See page s 19 to 21 of the 2013/14 Accounts: http://www.uk sport.gov.uk/resources/annual-reports
37.	Details of board attendance should be published (with an accompanying narrative as appropriate).		This is reported in the Accounts. See page s 19 to 21 of the 2013/14 Accounts: http://www.uk sport.gov.uk/resources/annual-reports
38.	There should be a proper induction process for new board members. This should be led by the Chair. There should be regular reviews by the Chair of individual		All new Board members receive an induction. The Chair holds an annual review with each Board member to discuss Board effectiveness and their personal contribution. This is also an opportunity to discuss any individual training and development needs which a board member might have.

		members' training and development needs		
EFFECTIVE FINANCIAL MANAGEMENT				
PRINCIPLE		SUPPORTING PROVISION	COMPLY	EXPLAIN
The public body has taken appropriate steps to ensure that effective systems of financial management and internal control are in place.		<i>Annual Reporting</i>		
	39.	The body must publish on a timely basis an objective, balanced and understandable annual report. The report must comply with HM Treasury guidance		Unqualified Accounts in line with the Treasury Financial Reporting Manual (FREM) and Accounting and Financial Directions issued by the Secretary of State for the DCMS are produced annually and laid before parliament before the Summer recesses.
		<i>Internal Controls</i>		
	40.	The public body must have taken steps to ensure that effective systems of risk management are established as part of the systems of internal control.		An internal audit review has been undertaken on the management of risks. Corporate Risks are reviewed by the senior management team on a regular basis and reviewed by the Audit Committee at each meeting. Corporate risks are also discussed by Board once a year.
	41.	The public body must have taken steps to ensure that an effective internal audit function is established as part		An external auditing firm, Mazars, currently fulfils the function of Internal Auditors and operates for Government Internal Audit Standards. This contract is currently being re-tended in conjunction with Sport England.

	of the systems of internal control. This should operate to Government Internal Audit Standards and in accordance with Cabinet Office guidance		
42.	There must be appropriate financial delegations in place. These should be understood by the sponsoring department, by board members, by the senior management team and by relevant staff across the public body. Effective systems should be in place to ensure compliance with these delegations. These should be regularly reviewed		<p>The DCMS have delegated authority to UK Sport (Management Agreement). The CEO as Accounting Officer delegates appropriate levels of authority to commit expenditure to members of staff on an annual basis in line with budgets (Scheme of Delegation http://www.uk sport.gov.uk/about-us/board).</p> <p>We are waiting for a final copy of the Management Agreement from DCMS to upload onto the UKS website.</p>
43.	There must be effective anti-fraud and anti-corruption measures in place.		Effective Fraud, Gifts and Bribery policies, with regular reporting to, and review by, the Audit Committee, are in place.
44.	There must be clear rules in place governing the claiming of expenses. These should be published. Effective systems should be in place to ensure compliance with these rules. The public body should proactively publish		Policies are in place and expenses claimed are reviewed and, where necessary, challenged by Finance.

		information on expenses claimed by board members and senior staff.		
45.		The annual report should include a statement on the effectiveness of the body's systems of internal control.		The Annual Accounts include a Governance Statement in line with Treasury Financial Reporting Manual (FREM) requirements. This is reviewed by Audit and Board as part of the annual sign-off of the accounts.
		Audit Committee		
46.		The board should establish an audit (or audit and risk) committee with responsibility for the independent review of the systems of internal control and of the external audit process		UK Sport has a Group Audit Committee that includes its main subsidiary, the English Institute of Sport (EIS), which meets regularly during the year.
		External Auditors		
47.		The body should have taken steps to ensure that an objective and professional relationship is maintained with the external auditors		The organisation's Auditors, the NAO, meet with Finance Staff to discuss the timing of the interim and annual audits. The NAO attends the Audit Committee meetings and reviews the work of the Internal Audits to determine the level of reliance that they place on the work of the Internal Auditors.

COMMUNICATIONS				
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PRINCIPLE		SUPPORTING PROVISION	COMPLY	EXPLAIN
<p>The Public Body is open, transparent, accountable and responsive.</p>	<p>48.</p>	<p><i>Communications with Stakeholders</i></p> <p>The public body should have identified its key stakeholders. It should establish clear and effective channels of communication with these stakeholders.</p>		<ul style="list-style-type: none"> • UK Sport has identified, segmented and regularly communicates and engages with its stakeholders on a domestic and international level. • UK Sport engages and communicates with its stakeholders in a number of ways, tailored and specific to each group. These include: <ul style="list-style-type: none"> • Regular face-to-face activity at Chair, CEO, Performance Director, Performance Adviser, Governance and Events Co-ordinator level on an operational, day-to-day basis. The Chair and CEO regularly meet on a Peer-to-Peer basis with colleagues across the entire stakeholder landscape including those who are unfunded and representatives from the home nations. The Chair runs biannual lunches – to which all Olympic & Paralympic sports’ Chairs are invited, and most attend – to debate and discuss key issues • Utilising established fora and engagement programmes – such as the Performance Directors’ Forum, Lottery Forum, National Olympic & Paralympic Committees, CEO Forum etc - as opportunities to present, discuss, communicate and consult • A 6 weekly e-bulletin to all stakeholders is sent centrally from the Stakeholder Relations Team on behalf of the whole organisation to update the entire

				<p>community on key developments and issues of relevance. The circulation (currently over 350) of which includes (often numerous) individuals from:</p> <ul style="list-style-type: none"> • Sports currently in receipt of Performance investment (funded sports) • Sports not currently in receipt of Performance investment (unfunded sports) • Home Country Sports Councils • Sports Institutes • Landscape Partners (both funded and non-funded)– e.g. BOA, BPA, BAC, SportsCoach UK • Biennial engagement events are organised which bring the whole community (see list above for guide to the broad group of delegates) together to engage and discuss key issues and challenges, and input to strategy and planning • Tailored communications to and from specific groups such as: <ul style="list-style-type: none"> • formal Communiqués sent from the CEO (or appropriate Director) to CEOs, Chairs and Performance Directors on specific issues • specific newsletters targeted to a particular community or readership – examples include: those with an international relations focus,
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				<p style="text-align: center;">those responsibility for Talent development, or those working in Elite Training Centres</p> <ul style="list-style-type: none">• An induction programme for all athletes and an online portal for athletes to be able to engage with the organisation on key issues pertinent to them which they can access on their terms without disrupting their training and competition schedule• UK Sport typically operates a tailored, cascading and prioritised approach to corporate communications on all important announcements – for example quadrennial investments – so that all key partners and stakeholders are given prior notification, and where possible, explanation, helping them to plan and prepare in advance• UK Sport has recently (mid-end 2014) undertaken a stakeholder perception survey amongst its stakeholder community (including all home nations and both funded and unfunded partners and sports) to further inform its engagement and communication strategy.• Some of the findings included the perceived need for broader visibility and opportunities to engage with Home Nations and unfunded sports.• While unfunded sports will by virtue of the fact that they are not funded have less contact than funded sports, this whole area is being addressed by:
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				<ul style="list-style-type: none"> generating more opportunities to visit, meet and present to partners in the Home Nations Fully utilising the opportunities presented by the High Performance Strategic Advisory (HPSAG) Group which comprises the performance leads of all Home Nation Sports Councils to shape a collective vision and strategy for high performance sport across the UK; and; Exploring the potential for Performance Advisor support to be made available to unfunded sports.
		<i>Communications with the Public</i>		
	49.	The public body should make an explicit commitment to openness in all its activities. It should engage and consult with the public on issues of real public interest or concern. This might be via new media.		<ul style="list-style-type: none"> UK Sport does consult publically on issues which it feels the public will have a vested interest in. These have recently included eligibility criteria of athletes to receive public funding and, most recently, a public consultation on the whole principles of our strategy for investing in elite sport UK Sport uses a number of channels to invite the public to engage on issues about which it may have a view including through the media, website, and using social media to improve engagement and participation as well as face-to-face deliberative events with key stakeholders.

				<ul style="list-style-type: none">• UK Sport will as a matter of course directly invite all of its membership within the stakeholder community to input into any consultations.• UK Sport uses a number of channels to invite the public to engage on issues about which it may have a view including through the media, UK sport website, and using social media to improve engagement and participation as well as face-to-face deliberative events with key stakeholders and opinion formers.• The UK Sport website has been improved to prioritise key areas of interest and ensure straightforward explanations of the way UK Sport works.• A separate Resources section is in the main navigation on the site to ensure people have easy access to key documents.• “Our Work” is another prominent new section of the website where the investment each sport receives is clearly set out with further explanation of the process by which the decisions are made and the way the funding is used.• Media briefings and press releases are arranged around key decisions such as the Annual Investment Review process, the setting of milestone targets, the new Major Events initiative #EveryRoadtoRio. This content is then shared across all UK Sport communication channels (online and through social media)
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				<ul style="list-style-type: none"> Senior personnel are regularly made available for media interviews to ensure there is maximum transparency about the decision making processes. UK Sport also distributes a fortnightly newsletter highlighting all the key areas of its work UK Sport is very active on social media and has a significant Twitter following of more than 70,000 and promotes all its content through these channels as well as working closely with key partners such as the National Lottery. UK Sport will as a matter of course directly invite all of its membership within the stakeholder community to input into any consultations.
	50.	It should publish details of senior staff and boards members together with appropriate contact details.		<p>Details of Board member and senior staff are published on our website</p> <p>http://www.uk sport.gov.uk/about-us/board</p> <p>http://w3dev.uk sport.gov.uk/about-us/uk-sport-structure</p>
	51.	The public body should consider holding open board meetings or an annual open meeting.		<p>UK Sport does not hold open Board meetings as predominantly the focus of the discussion is either around sustaining the success of the UK's high performance system or bidding for the right to host major sporting events. The detail of either of which could potentially give competitive advantage to rival nations.</p>
	52.	The public body should proactively publish agendas and minutes of board meetings.		<p>Board minutes are published on the UK Sport website:</p> <p>http://www.uk sport.gov.uk/resources/board-minutes</p>

	<p>53.</p>	<p>The public body should proactively publish performance data.</p>	<p>Performance data is regularly published on our website including investments into sports, targets and achievements of the sports we invest in on an annual basis. UK Sport agrees with each sport a key target event for the year. These Milestone Target events are published in one place online for summer sports and winter sports respectively. They are also proactively issued to the media. The investment review which takes place with each sport uses the milestone target event as a key progress check for the years in between Olympic and Paralympic Games.</p> <p>UK Sport also publically accounts for the significant investment it makes into sports through stating medal targets ahead of each relevant Olympic and Paralympic Games (Summer and Winter). These are usually announced a month out from the Opening Ceremonies to reflect the most reliable and accurate performance intelligence. We also hold regularly media briefings to ensure progress towards stated goals is transparent and open to public scrutiny and all information is routinely promoted through social media channels.</p> <p>Each sport has a dedicated page on the UK Sport website showing the current levels of investment as well as the medals won at the previous Olympic Games.</p> <p>UK Sport decisions and the issuing of medal targets are also widely covered by the major media outlets and published in such a way so as to avoid jargon and be easily digested by both the media and the general public alike.</p> <p>http://www.uk sport.gov.uk/news/2015/01/15/sportinbrief-your-weekly-update-from-the-high-performance-sports-community http://www.uk sport.gov.uk/news/2014/08/05/two-years-to-go-to-rio-2016-uk-sport-says-great-britain-on-course-for-recordbreaking-success</p>
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	54.	In accordance with transparency best practice, public bodies should consider publishing their spend data over £500. By regularly publishing such data and by opening their books for public scrutiny, public bodies can demonstrate their commitment to openness and transparency and to making themselves more accountable to the public.		UK Sport currently publishes transactions over £25,000 on its website and links this information to the data.gov.uk website. This figure is based on an expectation set by DCMS within our Management Agreement.
	55.	The public body should establish effective correspondence handling and complaint procedures. These should make it simple for members of the public to contact the public body and to make complaints. Complaints should be taken seriously. Where appropriate, complaints should be subject to		<p>UK Sport has all its public contact details on the homepage of the main website as well as a dedicated and signposted contacts page which includes the email format for members of the public to contact any member of UK Sport staff.</p> <p>http://www.ukssport.gov.uk/about-us/contact-us</p> <p>Whilst complaints are rare they are responded to fully and members of the public are notified of any appeals process should they not be immediately satisfied with any formal response.</p> <p>http://www.ukssport.gov.uk/resources/complaints-appeals-and-whistleblowing</p>

		investigation by the Parliamentary Ombudsman.		<p>The organisation takes its engagement with the public as a positive opportunity to engage and educate. All forms of correspondence are read and referred to the appropriate team for responses.</p> <p>We endeavour to acknowledge and respond to all correspondence in a timely and comprehensive manner, although on occasion, our ability to respond to requests for information may be limited by commercial or performance-related sensitivity.</p> <p>UK Sport receives a minimal level of correspondence from the public other than that which would be categorised under the formal complaints procedure or existing legislation such as the Freedom of Information Act. As such it has not been deemed necessary to install a policy on public service standards as any correspondence received would usually be dealt with within 5 working days of receipt.</p>
	56.	The public body should monitor and report on its performance in handling correspondence		<p>UK Sport monitors, logs and targets response rates to Freedom of Information requests and correspondence from DCMS.</p> <p>At the present time there is only a small amount of general correspondence from the public, so formal performance reports are not deemed beneficial, given the presumption (see above) that we endeavour to acknowledge and respond to all correspondence. In a typical month this will include no more than 10 items which could not be considered unsolicited marketing material or more formal requests.</p> <p>This situation is kept under regular review and should the level of correspondence increase to in the region of double its current rate then it would clearly be necessary to monitor correspondence levels on a formal basis and initiate a public service agreement.</p>
		Marketing and PR		

	57.	The public body must comply with the Government's conventions on publicity and advertising.		UK Sport fully complies with the Cabinet Office's Efficiency and Reform Group's framework for exchequer spend on marketing and PR and we submit an annual request for any exchequer spend to the DCMS (as our annual threshold is below £100k) 2013-14.
	58.	These conventions must be understood by board members, senior managers and all staff in press, communication and marketing teams.		The need for central government approval for exchequer spend is regularly communicated to all relevant staff within the organisation ahead of collating requests for our annual exemption request to DCMS.
	59.	Appropriate rules and restrictions must be in place limiting the use of marketing and PR consultants.		All proposed exchequer spend on marketing and PR needs to be put through the Communications Team. The Finance Team regularly scrutinise proposed spend across teams to ensure compliance and any queries are routinely flagged to the Director of Communications to consider and verify.
	60.	The public body should put robust and effective systems in place to ensure that the public body is not, and is not perceived to be, engaging in political lobbying. This includes restrictions on board members and staff attending Party Conferences in a professional capacity.		<p>As a specialist, technical and independent body, UK Sport's public affairs focus and function is almost entirely responsive, dealing primarily to assist requests from our sponsor department for technical information and points of clarity.</p> <p>UK Sport's expenditure on public affairs is almost entirely in the form of a political news monitoring service which is shared with Sport England. UK Sport does not and has not employed external public affairs consultants to influence or engage with Government, Parliament or political partners.</p> <p>UK Sport does not typically produce publicity or advertising material so minimising the risk of any potential perception of political bias.</p> <p>Any briefing of non-Government Parliamentarians on Government debates and legislation is cleared and agreed with our sponsor, DCMS,</p>

				to ensure that there is no question of UK Sport demonstrating political bias. In line with Cabinet Office Guidance no board members or UK Sport staff attend party political conferences in a UK Sport capacity.
CONDUCT AND BEHAVIOUR				
PRINCIPLE		SUPPORTING PROVISION	COMPLY	EXPLAIN
<p>The board and staff of the public body work to the highest personal and professional standards.</p> <p>They promote the values of the public body and of good governance through their conduct and behaviour.</p>		<i>Conduct</i>		
	61.	A Code of Conduct must be in place setting out the standards of personal and professional behaviour expected of all board members. This should follow the Cabinet Office Code. All members should be aware of the Code.		Terms of Appointment and Cabinet Office Code of Conduct for Board Members.
	62.	The Code should form part of the terms and conditions of appointment.		The Cabinet Office Code of Conduct is appended to each Board members' Terms of Appointment.
	63.	The public body has adopted a Code of Conduct for staff. This is based on the Cabinet Office model Code.		UK Sport has various HR policies covering staff integrity and conduct and the principles of the Cabinet Office Code of Conduct. Organisational values and key areas of conduct are reinforced during induction processes.

				As a non-departmental public body, staff within UK Sport are not recognised as civil servants and therefore not required to formally adopt the Code of Conduct (as might those within an executive agency, for example) – whether an additional, single ‘code’ is necessary will be given due consideration.
64.	All staff should be aware of the provisions of the Code. The Code should form part of the terms and conditions of employment.			The Cabinet Office Code of Conduct is not directly incorporated in staff Employment Contract. Compliance with policy and procedures are expressly referenced in Employment Contracts. There various policies covering staff integrity and conduct. In signing their contract, UK Sport staff are required to follow all policies/procedures etc. applicable to the principle.
65.	There are clear rules and procedures in place for managing conflicts of interest.			New staff are required to complete a conflict of interest form and a reminder to update their interests is sent annually. The next reminder is due in April 2015.
66.	There is a publicly available Register of Interests for board members and senior staff. This is regularly updated.	Partly Met		Register of Interests are available on the website for Board Members and Sub-Committee members. http://www.uk sport.gov.uk/about-us/board http://www.uk sport.gov.uk/about-us/panels A Register of Interests for senior staff will be published on the website by 31 July 2015. This will be published going forward. Related Party Transactions are published in the Accounts. See page 94 of the 2013/14 Accounts.
67.	There are clear rules and guidelines in place on political activity for board members and staff. There			Board Member Terms of Appointment and Cabinet Office Code of Conduct. There is a policy on activity that staff do outside of work. This contains Civil Service Guidance and rules, see: Public Bodies: A Guide for Departments, Chapter 5: Public Body Staff

		are effective systems in place to ensure compliance with any restrictions.		
		Leadership		
	68.	There are rules in place for board members and senior staff on the acceptance of appointments or employment after resignation or retirement. These are effectively enforced.	Partly met – new staff only.	For new senior staff rules are considered and, where appropriate, included in employment contracts and can be enforced. Board members' appointment terms do not currently include restrictions and will need to be discussed with DCMS.
		Board members and senior staff should show leadership by conducting themselves in accordance with the highest standards of personal and professional behaviour and in line with the principles set out in respective Codes of Conduct.		Board members and staff are required to conduct themselves with the highest standards of professional behaviour. These are laid out in their terms and conditions, Cabinet Office Code of Conduct, Job Descriptions and various HR policies and procedures.

Annex 5A: Sport England corporate governance self-assessment

ACCOUNTABILITY				
PRINCIPLE		SUPPORTING PROVISION	COMPLY	EXPLAIN
<p>The public body complies with all applicable statutes and regulations, and other relevant statements of best practice.</p>		<p><i>Statutory Accountability</i></p>		<p>SE complies with all statutory and administrative requirements on the use of public funds, including the principles and policies set out in “Managing Public Money” and Cabinet Office/HM Treasury spending controls. This is achieved through internal management and financial controls, guidance and training to staff, appropriate financial delegation levels, and in cases of doubt or uncertainty through discussion and clarification with DCMS. Internal and external audit work reviews these controls with any significant issues being reported to the Audit, Risk and Governance Committee. Compliance is monitored and reported in the Governance section of the Annual Report.</p> <p>The Finance Team work closely with the Executive Directors through regular face-to-face meetings to ensure Sport England adopts a low risk appetite around transparency, and control of governance and finances and this will not change.</p> <ul style="list-style-type: none"> • Annual Report • Spending Controls as prescribed by the Cabinet Office • Board Risk Appetite Statement

	1.	The public body must comply with all statutory and administrative requirements on the use of public funds. This includes the principles and policies set out in the HMT publication “Managing Public Money” and Cabinet Office/HM Treasury spending controls.		
	2.	The public body must operate within the limits of its statutory authority and in accordance with any delegated authorities agreed with the sponsoring department.		<p>SE operates within the limits of its statutory authority and in accordance with delegated authorities agreed by DCMS, including those contained within the Management Agreement between SE and DCMS and those made under the Royal Charter.</p> <ul style="list-style-type: none"> • Management Agreement 2012-16 • Delegated Authorities Policy
	3.	The public body should operate in line with the statutory requirements and spirit of the Freedom of Information Act 2000.		<p>SE operates in line with the statutory requirements and spirit of the Freedom of Information Act.</p> <ul style="list-style-type: none"> • Freedom of Information • FOI number of requests and time taken to respond (Audit Committee Report January 2015 – 93% within the statutory response times) • Quarterly Freedom of Information Reports to Information Governance Committee (IGC) to inform the Information

				<p>Governance Committee of the volume and nature of FOI requests received by Sport England; to provide assurance of compliance with the FOI Act; and to inform the Committee of recent data security incidents and data protection assurance.</p> <ul style="list-style-type: none"> • Senior Information Risk Owner (“SIRO”) Report
	4.	It should have a comprehensive Publication Scheme. It should proactively release information that is of legitimate public interest where this is consistent with the provisions of the Act.		<p>SE has a comprehensive Publication Scheme and proactively releases information of legitimate public interest with the provisions of the Act.</p> <ul style="list-style-type: none"> • Publication Scheme
	5.	The public body must be compliant with Data Protection legislation.		<p>SE has national policies and procedures which explain to staff their responsibilities to comply with the Data Protection Act. We have a specialist Data Protection Team which provides bespoke advice, guidance and training to staff on data protection issues. We also have procedures in place to ensure that the organisations we are working with are aware of the legislative requirements.</p> <ul style="list-style-type: none"> • DPA Policy • DPA Reports to IGC • SIRO Report which is submitted annual as part of the governance assurance process. Its purpose is to document organisational compliance with legislative and regulatory requirements relating to the handling of information, including compliance with the Data Protection Act (1998) and Freedom of Information Act (2000); detail compliance with the HMG Security policy framework and provide assurances of on-going

				improvement in relation to managing risk to information; detail any Serious Untoward Incidents within the preceding twelve months, relating to any losses of personal data or breaches of confidentiality; outline direction of information governance work during the given year and how it aligns with the strategic business objectives.
	6.	The public body should be subject to the Public Records Acts 1958 and 1967.		<p>Sport England is not listed in Para 1. Part 2. Schedule 1 of the 1958 Act (as amended by the 1967 Act) as being subject to its requirements.</p> <p>Sport England regularly deposit its accounts and strategy with the British Library and sends any information of historical significance to the National Archives.</p> <p>Sport England will work with UK Sport in undertaking further legal research on the applicability of the Act.</p>

PRINCIPLE		SUPPORTING PROVISION	COMPLY	EXPLAIN
The Accounting Officer of the public body is personally responsible and accountable to Parliament for the use of public money by the body		<i>Accountability for Public Money</i>		
	7.	There should be a formally designated Accounting Officer for the public body. This is usually the		<p>SE Chief Executive has been designated as the Accounting Officer by letter from the Permanent Secretary of DCMS.</p> <ul style="list-style-type: none"> Letter to Jennie Price from DCMS

and for the stewardship of assets.		most senior official (normally the Chief Executive).		
	8.	The role, responsibilities and accountability of the Accounting Officer should be clearly defined and understood. The Accounting Officer should have received appropriate training and induction. The public body should be compliant with the requirements set out in "Managing Public Money.		<p>The role, responsibilities and accountability of the Accounting Officer are clearly defined and understood, the Accounting Officer is suitably trained, and related requirements are met.</p> <p>The responsibilities of the SE Accounting Officer were set out in the AO designation letter from the Permanent Secretary of DCMS, which also referred to the relevant HMT guidance and training.</p> <ul style="list-style-type: none"> • Letter to Jennie Price from DCMS • Directors Annual Management Assurance Statement • Accounting Officer training circa 2006
	9.	<p>The public body should establish appropriate arrangements to ensure that public funds:</p> <ul style="list-style-type: none"> • are properly safeguarded; • used economically, efficiently and effectively • used in accordance with the statutory or other authorities that govern their use; and 		<p>SE has policies and procedures in place to ensure the proper stewardship of public funds and VfM for all spend, both lottery and exchequer.</p> <p>Grants are assessed in accordance with programme criteria which ensures VfM. Grant decisions are taken through the grant administration process which includes review and decision-making by Project Committee and where required, Board. This further ensures that all grant funding is used in an efficient manner. Grants are subject to robust funding agreements with terms and conditions securing SE rights. Capital grants are further secured by taking security in accordance with the Grant Security Policy.</p> <p>All spend via contracts are procured in accordance with policy and EU legislation, and are subject to robust contractual documentation and contract management procedures.</p> <p>Managers across SE take the lead role in providing assurance, which includes the assurance provided by internal audit and comments made</p>

		<ul style="list-style-type: none"> • deliver value for money for the Exchequer as a whole. 		<p>by external audit. Compliance is demonstrated through transparency of its publication of the Annual Report and Accounts, the SE reports on progress made against objectives and performance targets, and information on how resources have been allocated.</p> <ul style="list-style-type: none"> • Directors Annual Management Assurance Statement • Annual Governance Statement Annual Report p.46-52 • Corporate Plan • Annual Report and Financial Statement • VFM study of NGB investment (provided under Impact Reports) • Evaluation reporting on individual programmes (provided under Impact Reports) • Grant Security Policy • Project Committee Terms of Reference • Procurement Strategy and Policy
	<p>10.</p>	<p>The public body's annual accounts should be laid before Parliament. The Comptroller and Auditor General should be the external auditor for the body</p>		<p>The 2013-14 Annual Report was laid before Parliament before the summer recess. The Comptroller and Auditor General is the external auditor for SE. There were no significant management letter points identified as part of the audit only 2 low risk items identified, summarised as:</p> <ol style="list-style-type: none"> 1. Re-allocation of charges between Exchequer and Lottery accounts: <i>We recommend that a review of the methodology adopted takes place to consider whether there is potential for a more efficient approach to be adopted.</i> – Completed,

				<p>methodology unchanged but new disclosures implemented for 14/15 accounts</p> <p>2. Annularity of Exchequer Grants: <i>We recommend consideration be given to the timing of the launch future capital grant programmes to ensure that annularity requirements are taken into account.</i> - Management noted that we are always mindful of the annularity of exchequer grants</p> <p>There were no management letter points for SCTC for 2013/14.</p> <ul style="list-style-type: none"> • Annual Report and Financial Statement • NAO audit statement sign off (Annual Report - p. 55/56 Exchequer and p. 95/96 Lottery)
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ROLES AND RESPONSIBILITIES				
PRINCIPLE		SUPPORTING PROVISION	COMPLY	EXPLAIN
The public body is led by an effective board which has Collective responsibility for the overall performance and success of the body.		<i>Role of the Board</i> (of the English Sports Council trading as Sport England)		
	11.	The board of the public body should:		
The board provides strategic leadership,		meet regularly;		The Board meets at least six times a year. Additional meetings are convened to cover strategic reviews or significant funding decisions if required.

<p>direction, support and guidance.</p> <p>The board and its committees have an appropriate balance of skills, experience, independence and knowledge.</p> <p>There is a clear division of roles and responsibilities between non-executive and executives.</p> <p>No one individual has unchallenged decisionmaking powers.</p>				<p>Sport England do not publish meeting dates however they are listed in the meeting agenda which is published. All Board agendas and minutes are published on our external website:</p> <p>http://www.sportengland.org/about-us/corporate-information/board-and-executive-team/</p>
		retain effective control over the body; and		<p>At its meetings it regularly reviews the performance of the body against its Corporate Plan.</p> <p>Executive members attend all Board meetings.</p> <p>The role of the Board is set out in the Royal Charter and SE's Management Agreement.</p> <ul style="list-style-type: none"> • Royal Charter • Management Agreement [to be published]
		effectively monitor the senior management team.		<p>The Board holds annual performance reviews and scrutinises individual Director's performance through its Remuneration Committee.</p> <ul style="list-style-type: none"> • Remuneration Committee Terms of Reference
	12.	The size of the board should be appropriate.		<p>The Royal Charter requires that the SE Board should comprise not more than 12 members in addition to a designated Chairman and one Deputy Chairman. The size of the Board is kept under review and appears to be appropriate, given SE's size and diversity of responsibilities.</p> <ul style="list-style-type: none"> • Board Terms of Reference • Royal Charter • Management Agreement

	13.	Board members should be drawn from a wide range of diverse backgrounds.		<p>Board members are recruited in compliance with the OCPA Code of Practice and the Royal Charter.</p> <p>The Board has representatives with a background in local government, central government departments, industry, the not for profit sector, and sport governing bodies.</p> <p>Positive efforts are made to further improve the Board's diversity.</p> <ul style="list-style-type: none"> • Good diversity in terms of women (36% 4 of 11 plus CEO would make this 41%). • Good diversity in terms of ethnic minorities (27% 3 of 11). <p>A skills audit was undertaken in September 2014 (attached). BME is a gap as is local authority/CSP representation. Sport England are looking to close these gaps through the current recruitment of the independent Project Committee member, and Audit Committee later in the summer. Further diversification will need to be recruited when current Board members terms expire in 2016.</p>
	14.	The board should establish a framework of strategic control (or scheme of delegated or reserved powers). This should specify which matters are specifically reserved for the collective decision of the board. This framework must be understood by all board members and by the senior management team. It should be regularly reviewed and refreshed.		<p>The Board have formally agreed Terms of Reference which set out the strategic controls for financial and non-financial decisions. The Board is also subject to the Delegated Authorities Policy and ensures that all duties and activities carried out by the Board and SE are approved at the correct level. Both are reviewed regularly either annually or biannually.</p> <ul style="list-style-type: none"> • Board Terms of Reference • Royal Charter • Delegated Authorities Policy • Management Agreement

	15.	The Board should establish formal procedural and financial regulations to govern the conduct of its business.		<p>The Board and its Committees have formally agreed Terms of Reference. The Board has adopted a handbook which sets out a Code of Conduct; principles for claiming expenses; procedures for declarations of interest and guidance on propriety in decision making. It also sets out Board Member's roles as regional or topic champions, members of Board groups and formal Committees.</p> <ul style="list-style-type: none"> • Board Terms of Reference • Audit Committee Terms of Reference • Project Committee Terms of Reference • Remuneration Terms of Reference • Delegated Authorities Policy
	16.	The Board should establish appropriate arrangements to ensure that it has access to all such relevant information, advice and resources as is necessary to enable it to carry out its role effectively.		<p>The Terms of Reference provide that the Board and its Committees have access to resources that are required. The Board is supported by a dedicated Secretariat team and a dedicated budget for its business. It has agreed a forward plan for its business and additional items are brought to the Board as required or recommended by its sub-Committees.</p> <p>Its sub-Committees and informal groups enable it to receive the relevant information, advice and resources as is necessary to enable it to carry out its role effectively. The Board has regular access to advice from executives and staff in Head Office and the Regions through informal context.</p> <ul style="list-style-type: none"> • Board Secretary • Board budget details

				<ul style="list-style-type: none"> • Programme of regular Board visits • Terms of Reference
	17.	The Board should make a senior executive responsible for ensuring that appropriate advice is given to it on all financial matters.		<p>The Chief Executive is appointed as Accounting Officer and is supported by the Chief Operating Officer who reports to each Board on financial matters.</p> <p>All senior members of the Finance Team, including the COO, are qualified accountants.</p> <p>The ARGC is also responsible for a separate in depth review of management accounts and our medium term forecast twice a year. The ARGC is able to request specialist advice such as strategic advice on pension fund liabilities if required. SE also takes specialist financial advice on matters such as taxation.</p>
	18.	The Board should make a senior executive responsible for ensuring that Board procedures are followed and that all applicable statutes and regulations and other relevant statements of best practice are complied with.		<p>In terms of the Board's governance procedures, statutes and regulations, this is the responsibility of the Chief Operating Officer (as the Board Secretariat function sits within Corporate Services), who reports directly to the Chief Executive, supported by the Principal In-House Solicitor, Strategic Lead for Finance and the Board Secretary.</p>
	19.	The Board should establish a remuneration committee to make recommendations on the remuneration of top executives.		<p>The Remuneration Committee as an appointed Committee of the SE Board has delegated authority to consider matters related to the pay and remuneration of all SE senior executives.</p>

	20.	Information on senior salaries should be published.		Details on Executive Directors' remuneration are published in the Annual Report and Returns.
	21.	The board should ensure that the body's rules for recruitment and management of staff provide for appointment and advancement on merit.		<p>SE's rules for recruitment and management of staff provide for appointment and advancement based on merit.</p> <ul style="list-style-type: none"> • Performance Management process • Management of Probation Period
	22.	The Chief Executive should be accountable to the Board for the ultimate performance of the public body and for the implementation of the Board's policies. He or she should be responsible for the day-to-day management of the public body and should have line responsibility for all aspects of executive management.		<p>The Chief Executive has line responsibility for all aspects of executive management, oversees day-to-day management and is accountable to the Board for the performance of SE.</p> <p>The Chief Executive is the chair of the Executive Committee which is attended by all Executives and meets once a fortnight.</p> <p>Executive Directors have regular 1:1 meetings with the CEO where performance is discussed. Objectives are set annually. The CEO meets regularly with the Chair. Any issues performance issues would be escalated.</p>
	23.	There should be an annual evaluation of the performance of the board and its committees and of		<p>Both the Board and the ARGC undertake annual reviews of their effectiveness in line with best practice.</p> <p>The Chairman has biannual performance review meeting with the Secretary of State.</p>

		the Chair and individual board members		<p>The Chairman conducts annual appraisals with all Board members, as does the ARGC Chairman with ARGC members.</p> <ul style="list-style-type: none"> Board Evaluation Questionnaire
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PRINCIPLE		SUPPORTING PROVISION	COMPLY	EXPLAIN
The Chair is responsible for leadership of the board and for ensuring its overall effectiveness.	24.	The board should be led by a non-executive Chair.		The Board is led by a non-executive Chairman.
	25.	There should be a formal, rigorous and transparent process for the appointment of the Chair. This should be compliant with the Code of Practice issued by the Commissioner for Public Appointments.		<p>Formal, rigorous and transparent processes exist for the appointment of the Chairman, which comply with the Code of Practice issued by the Commissioner for Public Appointments. This process is managed by DCMS.</p> <ul style="list-style-type: none"> Recruitment Policy for Board members and Chair Royal Charter
	26.	The Chair should have a clearly defined role in the appointment of non-executive board members.		The Chairman sits on appointment panels for the appointment of non-executives but does not chair these panels. The panel recommend appointees, but the Secretary of State decides.
	27.	The duties, role and responsibilities, terms of office and remuneration of the Chair should be set out clearly and formally defined in writing. Terms and conditions must be in line with Cabinet Office guidance		<p>The Chairman received an appointment letter from the Secretary of State setting out his terms and conditions of appointment. The Chairman's responsibilities are set out in the Management agreement, the Royal Charter and details are included in the Board governance documents.</p> <ul style="list-style-type: none"> Letter of appointment including terms and conditions Royal Charter paragraphs 5 and 6

		and with any statutory requirements.		<ul style="list-style-type: none"> Management Agreement paragraphs 5 and 6
	28.	The responsibilities of the Chair will normally include representing the public body in discussions with Ministers;		The Chairman is broadly responsible to the Secretary of State for the overall direction and management of the SE within the policy framework set by the Secretary of State for the SE's activities; the SE representative; the primary contact with Ministers, raising issues with them as appropriate; and responsible for ensuring the Board works effectively.
		<ul style="list-style-type: none"> advising the sponsoring Department and Ministers about board appointments and the performance of individual non-executive board members; 		
		<ul style="list-style-type: none"> ensuring that non - executive board members have a proper knowledge and understanding of their corporate role and responsibilities. The Chair should ensure that new members undergo a proper induction process and is normally responsible for undertaking an annual assessment of non- 		

		executive board members' performance;		
		<ul style="list-style-type: none"> ensuring that the board, in reaching decisions, takes proper account of guidance provided by the sponsoring department or Ministers. 		
		<ul style="list-style-type: none"> ensuring that the board carries out its business efficiently and effectively; 		
		<ul style="list-style-type: none"> representing the views of the board to the general public; and 		
		<ul style="list-style-type: none"> developing an effective working relationship with the Chief Executive and other senior staff. 		
	29.	The roles of Chair and Chief Executive should be held by different individuals		<p>The roles of Chairman and Chief Executive are held by different individuals.</p> <ul style="list-style-type: none"> Jennie Price, CEO Nick Bitel, Chairman
As part of their role, non-executive board members		<i>Role of Non-Executive Board Members</i>		

provide independent and constructive challenge.	30.	There should be a majority of non-executive members on the board.		<p>All members of the Board are non-executive members. There is a clear division of roles and responsibilities between non-executives and executives. No one individual has unchallenged decision-making powers.</p> <p>All non-executive Board members are properly independent of management, there are clear rules and procedures in place for managing conflicts of interest and there is a publicly available Register of Interests for Board members and senior staff.</p>
	31.	There should be a formal, rigorous and transparent process for the appointment of non-executive members of the board. This should be compliant with the Code of Practice issued by the Commissioner for Public Appointments.		The processes by which the Secretary of State appoints Board members (and the Chairman) are formalised, rigorous and transparent. They comply with the Code of Practice issued by the Commissioner for Public Appointments , and are based on the principles of merit, fairness and openness.
	32.	The duties, role and responsibilities, terms of office and remuneration of non-executive board members should be set out clearly and formally defined in writing.		<p>Board members received an appointment letter from the Secretary of State setting out their terms and conditions of appointment.</p> <p>The Board's responsibilities are set out in their letters of appointment, the Royal Charter, Management Agreement and reflected in the Terms of Reference. The responsibilities of Board members are set out in their letters of appointment. Board appointments are made by DCMS.</p>
	33.	Terms and conditions must be in line with Cabinet Office guidance and with any statutory requirements.		The Terms and Conditions are in line with Cabinet Office guidance and with statutory requirements.

	34.	The corporate responsibilities of non-executive board members (including the Chair) will normally include:		The non-executive board members (including the Chair) carry out their corporate responsibilities as required, and operate within the established statutory and corporate frameworks.
		<ul style="list-style-type: none"> overseeing the development and review of key performance targets, including financial targets; 		<ul style="list-style-type: none"> Board Terms of Reference Board Members terms and conditions of appointment
		<ul style="list-style-type: none"> ensuring that the public body complies with all statutory and administrative requirements on the use of public funds; 		
		<ul style="list-style-type: none"> ensuring that the board operates within the limits of its statutory authority and any delegated authority agreed with the sponsoring department; 		
		<ul style="list-style-type: none"> ensuring that high standard of corporate governance are observed at all times. This should include 		

	ensuring that the public body operates in an open, accountable and responsive way; and		
	<ul style="list-style-type: none"> representing the board at meetings and events as required. 		
35.	All non-executive Board members must be properly independent of management.		All non-executive Board members are properly independent of management. Each Member shall make a declaration of pecuniary or non-pecuniary interests in accordance with the Conflicts of Interest Policy.
36.	All non-executive board members must allocate sufficient time to the board to discharge their responsibilities effectively.		The minimum time commitment of Board members is agreed with DCMS and the Chairman of SE, and is sufficient time for the board to discharge their responsibilities effectively. Minimum time commitment expected is 1-2 days a month. However, time commitment would vary across Board Members depending on whether they are involved with a sub-committee i.e. Audit Committee 4-5 days per annum / Project Committee 8 days per annum / Terms and Remuneration Committee 1 day per annum and any other ad hoc working groups.
37.	Details of board attendance should be published (with an accompanying narrative as appropriate).		Attendance is formally recorded for all Board meetings, Committees and groups and published in the Annual Report .
38.	There should be a proper induction process for new board members. This should be led by the Chair. There		Appropriate induction arrangements for new board members are provided by SE, and led by the Chairman. The most recent induction was carried out in December 2013.

		should be regular reviews by the Chair of individual members' training and development needs		<p>The Chairman also keeps individual members' training and development needs under review and will discuss this at their performance review.</p> <p>Training requirements are also discussed as part of the Board and ARGC self-evaluation questionnaire.</p> <ul style="list-style-type: none"> Board Induction Briefing Note and Presentation
EFFECTIVE FINANCIAL MANAGEMENT				
PRINCIPLE		SUPPORTING PROVISION	COMPLY	EXPLAIN
The public body has taken appropriate steps to ensure that effective systems of financial management and internal control are in place.		<i>Annual Reporting</i>		
	39.	The body must publish on a timely basis an objective, balanced and understandable annual report. The report must comply with HM Treasury guidance		An annual report is published, which is objective, balanced, understandable and compliant with HM Treasury guidance.
		<i>Internal Controls</i>		A sophisticated risk management system is embedded within the culture of the organisation and the Corporate risk register is regularly reported to Board and discussed with the ARGC each quarterly meeting. The corporate is supported by directorate risk registers and a cross directorate working group. The risk register provides management teams with a tool to assist in the monitoring and management of internal and external risks as well as providing evidence of assurance and good governance. All significant risks must be documented on the standard risk register template.

				<p>In addition the Board have a separate discussion on risk appetite and emerging risks each year which is important in setting the context in which we operate.</p> <ul style="list-style-type: none"> • Corporate Risk Register • ARGC review risk register quarterly • Board Risk Appetite Statement
	40.	The public body must have taken steps to ensure that effective systems of risk management are established as part of the systems of internal control.		
	41.	The public body must have taken steps to ensure that an effective internal audit function is established as part of the systems of internal control. This should operate to Government Internal Audit Standards and in accordance with Cabinet Office guidance		<p>Sport England has established an effective internal audit function which operates to Government Internal Audit standards and in accordance with Cabinet Office guidance. SE outsources its internal audit function.</p> <ul style="list-style-type: none"> • BDO Appointment Letter
	42.	There must be appropriate financial delegations in place. These should be understood by the sponsoring department, by		<p>Sport England has a comprehensive internal Delegated Authorities Policy which it has shared with the Board for approval. They are reviewed approximately every 18 months.</p>

		board members, by the senior management team and by relevant staff across the public body. Effective systems should be in place to ensure compliance with these delegations. These should be regularly reviewed		<p>They are of the view the policy is appropriate for the organisation and spending decisions that we make. The decision-making process ensures an effective compliance system as decisions can only be taken in accordance with the policy and must go to the appropriate decision-making panel (Project Committee/Board depending on value). Compliance is achieved in a number of ways. Finance team and grants management check that all the appropriate approvals are in place for grants and awards. The grants team check all awards through our grants system. The financial delegations are reviewed approximately every 18 months to ensure they are fit for purpose. All expenses are approved by the appropriate delegated authority and the finance team make a number of annual spot checks in accordance with the recommendations of the NAO.</p> <ul style="list-style-type: none"> • Delegated Authorities Policy
	43.	There must be effective anti-fraud and anti-corruption measures in place.		<p>There are internal procedures in place for preventing, detecting and reporting fraudulent activities. The ARGC also comments on anti-fraud policies, whistle-blowing processes, the effectiveness of arrangements to prevent and detect fraud, and arrangements for special investigations. A recent resilience review has led to some strengthening of our training on investigations into fraud which will be provided by external independent experts. The review recommendation was:</p> <p><i>That Sport England ensures that those designated to undertake counter fraud work should receive the relevant Accredited Counter Fraud Specialist training.</i></p> <p>The two colleagues responsible for anti-fraud undertook the Accredited Counter Fraud Specialist training September to November last year. We are due to formally receive the accreditation in May. As a result, the policy was updated (you have this policy already).</p>

				<p>An anti-bribery training module is currently being procured. Staff last undertook this training in 2011/12.</p> <ul style="list-style-type: none"> • Fraud and Bribery Prevention Policy • Whistle Blowing Policy and Procedure
	44.	There must be clear rules in place governing the claiming of expenses. These should be published. Effective systems should be in place to ensure compliance with these rules. The public body should proactively publish information on expenses claimed by board members and senior staff.		<p>Principles for claiming expenses are outlined in the SE's expenses policy and subject to internal audit.</p> <p>Expenses are authorised by line managers through automated system workflows. It is the line manager's responsibility to ensure claims properly reflect the policy. Expenses are audited by internal auditors. This was last audited in 2011/12 and is in the internal audit plan for 2015/16. Sport checks are also carried out by Finance.</p> <p>Board and Executive expenses are published on our website annually.</p>
	45.	The annual report should include a statement on the effectiveness of the body's systems of internal control.		SE's Annual Report includes a statement on the effectiveness of SE's systems of internal control.
		Audit Committee		SE has an ARGC with responsibility for the independent review of the systems of internal control and of the external audit process.
	46.	The board should establish an audit (or audit and risk) committee with responsibility for the independent review of the		<ul style="list-style-type: none"> • Audit Committee Terms of Reference

		systems of internal control and of the external audit process		
		External Auditors		<p>Sport England has taken steps to ensure that an objective and professional relationship is maintained with the external auditors. Sport England liaise with the NAO throughout the year, planning audit visits and ensuring the NAO receives all information they require on a timely basis. Agreeing technical accounting issues before the final audit and maintaining issue logs during audit visits has meant that issues are resolved in a timely and efficient manner with interim and final audits being completed on time. In addition we have:</p> <ul style="list-style-type: none"> • Agreed a strictly enforced timetable and weekly focused meeting to clear outstanding items between both parties • Adopted an internal culture of collaboration recognised positively by NAO • Maintain open dialogue with COO and Audit Chair • Allow private meetings with Audit Committee and internal Audit • COO has extensive experience of dealing with last three NAO Directors through other organisations
	47.	The body should have taken steps to ensure that an objective and professional relationship is maintained with the external auditors		

COMMUNICATIONS				
PRINCIPLE		SUPPORTING PROVISION	COMPLY	EXPLAIN
<p>The Public Body is open, transparent, accountable and responsive.</p>		<p><i>Communications with Stakeholders</i></p>		<p>In pursuit of its objectives Sport England works closely with a wide range of partners in the public, private and civil society sectors at the local and national levels. For example Sport England works with: government organisations in other countries; Local Authorities; National Governing Bodies of Sport; County Sports Partnerships; charitable sector and community sports clubs. SE uses a variety of tools to involve stakeholders and the public, for example consultations, focus groups, public meetings, and other means to canvass stakeholder and public opinion.</p>
	<p>48.</p>	<p>The public body should have identified its key stakeholders. It should establish clear and effective channels of communication with these stakeholders.</p>		<p>Through their relationships and surveys Sport England are able to test how satisfied our stakeholders are with our channels of communication.</p>
		<p><i>Communications with the Public</i></p>		<p>The SE website explains what information is available to the public. SE consults on aspects of its work such as the Active People Survey, and makes its consultations easy to find and respond to. SE also conducts public engagement through forms of new/digital media.</p>
	<p>49.</p>	<p>The public body should make an explicit commitment to openness in all its activities. It should</p>		<p>SE provides access to open-source data including Active Places, SE's sport facility finder tool.</p>

	engage and consult with the public on issues of real public interest or concern. This might be via new media.		During the creation of Sport England's current strategy they consulted widely with the sector. As a direct result of that exercise, they made some significant changes to their strategy.
50.	It should publish details of senior staff and boards members together with appropriate contact details.	partly	SE publishes details of senior staff and board members. It does not provide contact details as it does not feel it is appropriate.
51.	The public body should consider holding open board meetings or an annual open meeting.		As SE is not a membership body or an organisation which has direct contact with members of the public, it does not hold open Board meetings.
52.	The public body should proactively publish agendas and minutes of board meetings.	partly	Minutes of board meetings are published on the website within 4 weeks of the relevant board meeting. SE does not publish agendas in advance of board meetings as we do not hold open meetings.
53.	The public body should proactively publish performance data.		Performance data is published in the Annual Report and Active People Survey results.
54.	In accordance with transparency best practice, public bodies should consider publishing their spend data over £500. By regularly publishing such data and by opening their books for public scrutiny,		SE currently publish monthly transparency reporting for all spend over £25,000 which includes purchases and grants. It would be too time consuming to report spend data over £500. Lottery and exchequer grants are published on both SE and DCMS websites .

	public bodies can demonstrate their commitment to openness and transparency and to making themselves more accountable to the public.		
55.	The public body should establish effective correspondence handling and complaint procedures. These should make it simple for members of the public to contact the public body and to make complaints. Complaints should be taken seriously. Where appropriate, complaints should be subject to investigation by the Parliamentary Ombudsman.		<p>SE's standard procedure for customers who want to make a complaint and details of how to contact the Ombudsman are also published online.</p> <p>Complaints are reported to ARGC for review on a regular basis.</p> <ul style="list-style-type: none"> • Complaints Procedure <p>Sport England do not have a policy on correspondence handling unless it forms part of the Complaints Procedure. They are too small to impose strict deadlines on correspondence and work to usual business standards.</p>
56.	The public body should monitor and report on its performance in handling correspondence		The Public Affairs team is responsible for reporting on complaints. The Business Partnerships Directorate report on performance in handling requests for information in the corporate report. The ARGC reviews performance annually (January 2015).
	Marketing and PR		SE implements in full the spending controls set by Government on various categories of spend including advertising, marketing and communications. Guidance for staff is published on SE's intranet including details of the government spending restrictions and internal governance arrangements. SE submits quarterly reports to DCMS on

				<p>spending requests that fall under the Government's transparency rules. SE uses government frameworks where available. Sport England do not have an exemption on publicity/marketing spend other than what is contained within the Cabinet Office rules i.e. Lottery spend is exempt. They annually seek approval of our marketing plans from DCMS through the established process set out within the DCMS Spend Controls.</p>
57.	The public body must comply with the Government's conventions on publicity and advertising.			
58.	These conventions must be understood by board members, senior managers and all staff in press, communication and marketing teams.			<p>Guidance for staff is published on SE's intranet including details of the government spending restrictions and internal governance arrangements. SE procurement function submits monthly reports to DCMS on spending requests that fall under the Government's transparency rules.</p> <p>Board members are made aware of the conventions and provided with explanations at various board meetings.</p>
59.	Appropriate rules and restrictions must be in place limiting the use of marketing and PR consultants.			<p>SE implements in full the spending controls set by Government on various categories of spend including consultant recruitment. Guidance for staff is published on SE's intranet including details of the government spending restrictions and internal governance arrangements. SE submits quarterly reports to DCMS on spending requests that fall under the Government's transparency rules. SE uses government frameworks where available.</p>
60	The public body should put robust and effective systems in place to ensure that the public body is not, and is not perceived to be, engaging in			<p>There are appropriate rules and restrictions in place. There is an internal Code of Conduct and pre- election guidance for staff.</p> <ul style="list-style-type: none"> • Code of Conduct Policy

		political lobbying. This includes restrictions on board members and staff attending Party Conferences in a professional capacity.		<ul style="list-style-type: none"> Board Members Terms and Conditions of Appointment Party Conference Guidance 2014
CONDUCT AND BEHAVIOUR				
PRINCIPLE		SUPPORTING PROVISION	COMPLY	EXPLAIN
<p>The board and staff of the public body work to the highest personal and professional standards.</p> <p>They promote the values of the public body and of good governance through their conduct and behaviour.</p>		<i>Conduct</i>		
	61.	A Code of Conduct must be in place setting out the standards of personal and professional behaviour expected of all board members. This should follow the Cabinet Office Code. All members should be aware of the Code.		SE has incorporated the Cabinet Office Code of Conduct for Board Members into its own guidance for SE Board Members.
	62.	The Code should form part of the terms and conditions of appointment.		The Code of Conduct forms part of board members terms and conditions of appointment.

	63.	The public body has adopted a Code of Conduct for staff. This is based on the Cabinet Office model Code.		SE has adopted a code of conduct for SE staff based on the Cabinet Office model Code.
	64.	All staff should be aware of the provisions of the Code. The Code should form part of the terms and conditions of employment.		All staff members are aware of the provisions of the Code and the Code forms part of the terms and conditions of staff employment.
	65.	There are clear rules and procedures in place for managing conflicts of interest.		The rules of procedures for managing conflicts are set out in the Conflicts of Interest Policy. The process for managing conflicts is set out in the Conflicts of Interest Policy.
	66.	There is a publicly available Register of Interests for board members and senior staff. This is regularly updated.		Board members interests are published in the annual accounts.
	67.	There are clear rules and guidelines in place on political activity for board members and staff. There are effective systems in place to ensure compliance with any restrictions.		Sport England has clear rules and guidance in place on political activity for board members and staff. <ul style="list-style-type: none"> • Code of Conduct Policy • Board Members terms and conditions of appointment
		Leadership		

	68.	<p>There are rules in place for board members and senior staff on the acceptance of appointments or employment after resignation or retirement. These are effectively enforced.</p>	partly	<p>There are rules in place for the CEO regarding the acceptable of appointments or employment after resignation or retirement as set out in the CEO terms of appointment. These restrictions can however be waived by the Board (as has been the case in the past). There are no rules in place for senior staff as it is not appropriate given what SE does.</p> <p>There are no rules in place for Board Members as Board Members are appointed by DCMS.</p>
		<p>Board members and senior staff should show leadership by conducting themselves in accordance with the highest standards of personal and professional behaviour and in line with the principles set out in respective Codes of Conduct.</p>		<p>SE has adopted a code of conduct for SE staff and Board members based on the Cabinet Office model Code.</p> <ul style="list-style-type: none"> • Code of Conduct Policy • Board Members' letters of appointment terms and conditions



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