



Department for
Digital, Culture,
Media & Sport

Framework Document (2021-22)

Department for Digital, Culture, Media and Sport (DCMS) and UK Anti-Doping (UKAD)

OFFICIAL - SENSITIVE

Introduction	4
Section 1: UKAD purpose and legal status	4
1. Purpose of UKAD	4
2. UKAD's legal origins of powers and duties	4
4. Performance Metrics and Evaluation	6
Section 2: Governance and accountability	7
5. Ministerial accountability	7
6. DCMS Accounting Officer's specific accountabilities and responsibilities as Principal Accounting Officer (PAO)	7
7. Responsibilities of UKAD's Accounting Officer	7
8. UKAD's Board	9
9. The Chair's personal responsibilities	10
10. Individual Board members' responsibilities	11
11. Corporate Governance	11
12. Risk management	12
13. Cyber Security	12
Section 3: Management and Financial responsibilities	13
14. <i>Managing Public Money</i> and other government-wide corporate guidance and instructions	13
15. Budgeting procedures	13
16. Grant-in-Aid and any ring-fenced grants	14
17. Internal audit	14
18. External audit	15
19. Annual report and accounts	16
20. Corporate and business plans	16

OFFICIAL - SENSITIVE

21. Staff	16
21.16. UKAD shall comply with any regulations or conditions regarding the Public Sector Exit Payment Cap of £95,000. Where UKAD has a statutory right to offer exit payments exceeding this, UKAD is expected to have conducted a comprehensive value for money assessment justifying this which will be shared with the Department.	19
21.17. UKAD holds a certificate of exemption from Employers' Liability Insurance issued in April 2003, remains valid.	19
Section 4: Working with the Department for Digital, Culture, Media and Sport.	19
22. Reporting performance to the department	19
Financial information	19
Management and technical information	19
Communications	19
23. Public Body/Department working level liaison arrangements	19
List of Annexes to the Framework document	20
Annex A: Performance Indicators (KPIs)	21
1.1. Performance metrics (KPIs) will be set by sponsors and agreed with Public Bodies. The key performance indicators for 2021-22 are:	21
Annex B: Financial Responsibilities	22
1. Delegated Financial Limits	22
3. Cabinet Office Spend Controls	29
4. Procurement	29
5. Budgets, Grant-in-Aid and any ring-fenced grants	31
6. Capital projects	32
Annex C: Compliance with government-wide corporate guidance and instructions.	33
Annex D: UKAD Management Information and Compliance	36

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Introduction

This framework document has been drawn up by the Department for Digital, Culture, Media and Sport (DCMS) in consultation with UK Anti-Doping (UKAD). Whilst the document does not convey any legal powers or responsibilities, it does set out the broad framework within which UKAD will operate. Copies of the document and any subsequent amendments are placed in the Libraries of both Houses of Parliament and made available to members of the public.

This Framework Document replaces all previous Management Agreements and will remain in place until it is superseded. The Framework Document should be reviewed by both DCMS and UKAD following each Spending Review settlement, or otherwise when either party considers it appropriate. Any changes to ministerial priorities or policy requirements will be made by an exchange of letters between the Minister and the UKAD's Chief Executive and Chair; all other changes will be made by the exchange of letters between the DCMS Permanent Secretary and the UKAD's Accounting Officer. The framework document will be reviewed in light of these changes and updated if necessary.

Section 1: UKAD purpose and legal status

1. Purpose of UKAD

- 1.1. As a consequence of the UK being a signatory to the UNESCO convention and to ensure that the UK met its treaty obligations, DCMS established UKAD. UKAD was formed as a Company Limited by Guarantee in 2009, coming into operation on 14 December 2009, and was set up to support the strategic aims and business plan of DCMS. It is responsible for ensuring sports bodies in the UK are compliant with the World Anti-Doping Code and International Standards through the implementation and management of the UK's National Anti-Doping Policy (NADP) and the Assurance Framework.
- 1.2. UKAD's strategy states:
 - i. We are here to ensure doping free sport, promoting and protecting clean sport through education, testing and enforcement. Insight into doping and its threat to sport is central to what we do, using an intelligence-led approach to deter and detect wrongdoing. On broader integrity issues we share our knowledge and expertise to work with others within sport for the benefit of athletes, those who work with them, and the wider public.
- 1.3. UKAD's mission is to protect sport from doping cheats.
- 1.4. UKAD's values are integrity, collaboration, excellence and passion.

2. UKAD's legal origins of powers and duties

- 2.1. The statutory powers and other duties of UKAD derive from the Companies Acts 1985 and 2006 and its Memorandum and Articles of Association.

3. Priorities

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- 3.1. The Secretary of State has outlined his priorities for this period in the latest Settlement Letter sent to UKAD. As well as the specific priorities and expectations for UKAD as outlined below, the Secretary of State expects all Public Bodies, where reasonable, to align their activities with his general priorities, first among which is supporting the successful recovery of the economy with the full richness brought by DCMS sectors.
- 3.2. This needs to be the case for all citizens across the UK and the Secretary of State expects all DCMS bodies to consider how their contribution will be felt by people living in all areas of the country - in particular those outside of London and the South East; and that the views and needs of the nation as a whole are taken into consideration when making decisions. Programmes and activity should be viewed through a UK-wide lens wherever possible and the Secretary of State would welcome engagement on how we can best deliver on this agenda. Public Bodies should also take care to act independently and impartially, uninfluenced by political campaigning. In particular, all Public Bodies are expected to act in accordance with the government's 'retain and explain' policy, as set out by Historic England, in relation to contested heritage.
- 3.3. Public Bodies also have a duty to ensure that they are working to eliminate discrimination and advance equality of opportunity. This includes ensuring that factors such as socio-economic background and geographic location are considered in the development and delivery of programmes, as well as protected characteristics.
- 3.4. The year 2022 will see three major events to which we can set our sights as a nation recovering from the pandemic: Her Majesty the Queen's Platinum Jubilee, the Commonwealth Games in Birmingham, and Festival UK 2022. DCMS Public Bodies are invited to consider how they can mark or support these significant milestones.
- 3.5. The Secretary of State/responsible Minister(s) has agreed that, subject to paragraph 1.3, the priorities of UKAD should be as follows:
 - i. Ministerial Priority 1: Ensure compliance with the World Anti-Doping Code and National Anti-Doping Policy (NADP)
 - ii. Ministerial Priority 2: Deliver integrated risk-based intelligence-led testing programmes
 - iii. Ministerial Priority 3: Deliver effective anti-doping education programmes
 - iv. Ministerial Priority 4: Investigate and prosecute anti-doping rule violations
 - v. Ministerial Priority 5: Offer commercial testing services and consultancy
- 3.6. The Secretary of State will communicate clearly to UKAD the priorities for the period of the agreement, and UKAD will ensure that its activities and strategy are aligned with these priorities. The priorities align with and help to support objectives and work programmes set out in the DCMS Outcome Delivery Plan.
- 3.7. In addition, UKAD has the following strategic priorities, details of which are set out in [UKAD's Strategic Plan](#):
 - i. Fulfil our (the UK's) core obligations within the World Anti-Doping Code, international standards and National Anti-Doping Policy.
 - ii. Enhance our insight into the constantly evolving doping threat to clean sport in the UK.

OFFICIAL - SENSITIVE

- iii. Improve the way we regulate.
 - iv. Secure the data capability, tools and techniques that we need to ensure we are optimising all the information available to us.
- 3.8. The conditions attached to ongoing funding are:
- i. Prioritise accelerating moves of HQ/estate out of London or the wider South East

4. Performance Metrics and Evaluation

- 4.1. Performance Metrics (KPIs) will be mutually agreed between UKAD's board and sponsors. These Performance Metrics are detailed in full in **Annex A** of this Framework Document.
- 4.2. These performance indicators may be reviewed over the duration of this Framework agreement.
- 4.3. Evaluation plans and key milestones should be agreed with DCMS's Sponsor Team, Central Analytical Team, Analysts and the Public Bodies Team.
- 4.4. Evaluation is a key part of the policy/programme cycle. It is important to ensure proportionate evaluation in line with [Magenta Book](#) guidance. Proportionality should be considered on risk, cost and learning potential.

Section 2: Governance and accountability

5. Ministerial accountability

- 5.1. The Secretary of State and other members of the DCMS ministerial team account for the UKAD's business in Parliament.

6. DCMS Accounting Officer's specific accountabilities and responsibilities as Principal Accounting Officer (PAO)

- 6.1. The DCMS Permanent Secretary, as Principal Accounting Officer (PAO) of DCMS, has designated the Chief Executive as UKAD's Accounting Officer (AO). The respective responsibilities of the PAO and Accounting Officers are set out in Chapter 3 of Managing Public Money which is sent separately to Chief Executives by DCMS Permanent Secretary on appointment as Accounting Officer.
- 6.2. The PAO is accountable to Parliament for the issue of any grant-in-aid to UKAD. The PAO is also responsible for advising the responsible minister:
- i. on an appropriate framework of objectives and targets for UKAD in light of the Department's wider strategic aims and priorities;
 - ii. on an appropriate financial allocation for UKAD in the light of the Department's overall public expenditure priorities; and
 - iii. UKAD's performance in achieving its strategic objectives and delivering value for money.
- 6.3. The PAO is also responsible for ensuring arrangements are in place in order to:
- i. monitor UKAD's activities;
 - ii. address significant problems in UKAD, making such interventions as are judged necessary;
 - iii. periodically carry out an assessment of the risks both to the department and UKAD's objectives and activities;
 - iv. inform UKAD of relevant government policy in a timely manner; and
 - v. bring concerns about the activities of UKAD to the full UKAD Board and, as appropriate to the departmental Board requiring explanations and assurances that appropriate action has been taken.
- 6.4. The Sport Team in the department is the primary contact for the UKAD. They are the main source of advice to the responsible minister on the discharge of their responsibilities in respect of UKAD. They also support the PAO on their responsibilities toward UKAD.

7. Responsibilities of UKAD's Accounting Officer

- 7.1. The Director/ Chief Executive as Accounting Officer is personally responsible for safeguarding the public funds for which they have charge; for ensuring propriety, regularity, value for money and

OFFICIAL - SENSITIVE

feasibility in the handling of those public funds; and for the day-to-day operations and management of UKAD. In addition, they should ensure that UKAD as a whole is run on the basis of the standards, in terms of governance, decision-making and financial management that are set out in (at the time of writing) Box 3.1 of Managing Public Money.

Responsibilities to Parliament

7.2. The Accounting Officer's responsibilities include:

- i. signing the accounts and ensuring that proper records are kept relating to these accounts and that they are properly prepared and presented in accordance with Treasury Guidance and any directions issued by the Secretary of State;
- ii. preparing and signing a Governance Statement covering corporate governance, risk management and oversight of any local responsibilities, for inclusion in the annual report and accounts;
- iii. ensuring that effective procedures for handling complaints about UKAD are established and made widely known within UKAD;
- iv. acting in accordance with the terms of this document, Managing Public Money and other instructions and guidance issued from time to time by the Department, the Treasury and the Cabinet Office;
- v. giving evidence, normally with the DCMS PAO, when summoned before the Public Accounts Committee on UKAD stewardship of public funds.

Responsibilities to DCMS

7.3. Particular responsibilities to DCMS include:

- i. Establishing, in agreement with the department, UKAD's corporate and business plans in the light of the department's wider strategic aims and agreed priorities;
- ii. Informing the Department of progress in helping to achieve DCMS's policy objectives as defined in the Outcome Delivery Plan (ODP) and in demonstrating how resources are being used to achieve those objectives;
- iii. Ensuring that timely forecasts and monitoring information on performance and finance are provided; that the Department is notified promptly if overspends or underspends are likely and that corrective action is taken; and that any significant problems whether financial or otherwise, and whether detected by internal audit or by other means, are notified to the department in a timely fashion; and
- iv. working collectively with the department and other members of the DCMS group of Public Bodies in support of each other and the group as a whole.

Responsibilities to UKAD's Board

7.4. The Accounting Officer has a duty to:

OFFICIAL - SENSITIVE

- i. ensure that the board and Executive understands the roles and responsibilities of the Accounting Officer as set out in this document, in the founding legislation and in any other relevant instructions and guidance that may be issued from time to time;
- ii. report performance to UKAD's Board compared with its aims and objectives;
- iii. ensure that Board are aware of the financial considerations which must be taken into account by the Board at all stages in reaching and executing its decisions, and that financial appraisal techniques are followed; and
- iv. take action as set out in paragraph 3.8.6 of Managing Public Money if the Board, or its Chair, is contemplating a course of action involving a transaction which the Accounting Officer considers would infringe the requirements of propriety or regularity or does not represent prudent or economical administration, efficiency or effectiveness, is of questionable feasibility, or is unethical, ensuring that the Board has the necessary information, provided in a timely manner, to monitor and assess the public bodies compliance with Managing Public Money.

8. UKAD's Board

- 8.1. Notwithstanding the Accounting Officer's personal responsibilities, the Board is the principal governing body within the organisation. As such, it is responsible for:
 - i. establishing and taking forward the strategic aims and objectives of UKAD within its regulatory framework and policy framework determined by the Secretary of State;
 - ii. overseeing, and holding to account, the day to day leadership of the organisation;
 - iii. ensuring that adequate governance, audit and control systems are in place to ensure statutory and administrative requirements are met, including that UKAD operates within its statutory authority and delegated authority given by DCMS, in accordance with any other conditions relating to the use of public funds and that, in reaching decisions, the Board takes into account guidance issued by DCMS;
 - iv. monitoring, and ensuring the effective management of risk, including reputational risk, communicating these with DCMS;
 - v. ensuring that the responsible minister is kept informed of any changes which are likely to impact on the strategic direction of UKAD's Board or on the attainability of its targets, and determining the steps needed to deal with such changes;
 - vi. maintaining adequate oversight of the organisation's activities, in particular its finances, to ensure that public money is spent with probity in accordance with government policy and guidelines; and
 - vii. appointing with the Secretary of State's approval a Chief Executive and, in consultation with the department, set remuneration terms linked to performance against objectives for the Chief Executive which give due weight to the proper management and use and utilisation of public resources.

9. The Chair's personal responsibilities

- 9.1. The Chair is responsible to the Secretary of State for ensuring that UKAD fulfils its statutory purpose as set out in its founding documents, that it complies with company law, that where appropriate UKAD's policies are consistent with those of the Secretary of State, and that UKAD's affairs are conducted with probity.
- 9.2. In addition, the Chair has the following leadership responsibilities:
- i. formulating the Board's strategy;
 - ii. ensuring that the Board, in reaching decisions, takes proper account of guidance provided by the responsible minister or the department;
 - iii. promoting the efficient and effective use of staff and other resources;
 - iv. delivering high standards of regularity and propriety; and
 - v. representing the views of the Board to the general public
 - vi. a commitment to diversity, inclusion, and equality.
- 9.3. The Chair also has an obligation to ensure that:
- i. the work of the Board and its members are reviewed and are working effectively;
 - ii. The Board considers the effectiveness of the organisation's governance in light of the [Government Code of Good Practice for Corporate Governance](#)
 - iii. The Board has a balance of skills appropriate to directing UKAD's business, as set out in the [Government Code of Good Practice for Corporate Governance](#);
 - iv. Board members are fully briefed on terms of appointment, duties, rights and responsibilities and new members are effectively inducted;
 - v. they, together with the other Board members, receive appropriate training on financial management and reporting requirements and on any differences that may exist between private and public sector practice;
 - vi. the performance of individual Board members is assessed annually and satisfactory appraisal information for individual Board members is presented to the Department if members are being considered for re-appointment;
 - vii. There is a Board Operating Framework in place setting out the role and responsibilities of the Board consistent with the [Government Code of Good Practice for Corporate Governance](#).
 - viii. There is a code of practice for Board members in place, consistent with the Cabinet Office [Code of Conduct for Board Members of Public Bodies](#).

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- 9.4. In line with best practice, the Chair's performance will be appraised annually by DCMS, factoring the views of Board members and the Chair's self-appraisal.

10. Individual Board members' responsibilities

- 10.1. Individual board members should:
- i. comply at all times with the [Code of Conduct for Board Members of Public Bodies](#), the [Nolan Principles](#), and with the rules relating to the use of public funds and conflicts of interest;
 - ii. not misuse information gained in the course of their public service for personal gain or for political profit, nor seek to use the opportunity of public service to promote their private interests or those of connected persons or organisations;
 - iii. comply with the Board's rules on the acceptance of gifts and hospitality, and of business appointments;
 - iv. act in good faith and in the best interests of UKAD.

11. Corporate Governance

- 11.1. The Board is responsible for ensuring that the organisation has adequate systems and controls in place including appropriate schemes of delegation, and that these are suitably assured/audited.
- 11.2. The Chair and Board members are all appointed by the Secretary of State in compliance with the Code of Practice of the Commissioner for Public Appointments. The terms of appointment are i) Chair, up to four years, ii) Board members, up to four years.

Appointment of Chief Executive

- 11.3. The Chief Executive is appointed by UKAD's Board and approved by the Secretary of State.

Composition of the Board

- 11.4. In line with the founding legislation or documents and, where applicable, the government's [Corporate Governance Code for Central Government Departments: Code of good practice](#), the Board will consist of a Chair, together with at least 4 non-executive members that have a balance of skills and experience appropriate to directing UKAD's business. UKAD should put in place reasonable strategies to attract, recruit and retain diverse membership of its Board, with the goal of having a Board which is broadly representative of the makeup of contemporary British society *and which draws fully on the different skills and perspectives our whole country has to offer*.
- 11.5. UKAD's Board should include members whose skills and experience align with the strategic direction of the organisation, such as finance, commercial and sponsorship, law, operational delivery, corporate services such as HR, science and medicine, technology, estate management, communications and performance management. The Board should include at least 4 independent non-executive members to ensure that executive members are supported and constructively challenged in their role.

12. Risk management

- 12.1. Overall responsibility for managing risks lies with the Board. The Board should take into account any risk appetite directions given by DCMS. Recognising that DCMS Ministers are ultimately accountable to Parliament for issues that crystallise, the Board should share its assessment of risk regularly with DCMS, and explicitly escalate risks that are beyond UKAD's risk appetite or ability to effectively mitigate.
- 12.2. UKAD shall develop a risk management strategy in accordance with the Treasury "Orange Book" [Management of Risk: Principles and Concepts](#). It should adopt and implement policies and practices to safeguard itself against all aspects of financial crime, including but not limited to fraud, bribery and corruption, in line with the [Counter Fraud Functional Standard GovS 013](#).
- 12.3. UKAD should also take all reasonable steps to appraise the financial standing and other due diligence of any firm or other body with which it intends to enter into a material contract, or to which it will give grant or grant-in-aid.
- 12.4. DCMS has oversight of risks in each PB and across the portfolio by collating information provided by them and assessing the degree of risk and appropriateness of mitigative actions planned or taken.

13. Cyber Security

- 13.1. As part of its approach to risk management and information assurance, UKAD must ensure the robustness of its cyber security to protect itself against data breaches, service disruption, loss, reputational damage and cyber threat. The level of provision must be proportionate to UKAD size and the level of risk it carries in terms of cyber vulnerability. UKAD should refer to the [Cyber Security Guidance for Businesses](#) which can be found on GOV.UK.
- 13.2. As a minimum, UKAD must take reasonable steps to ensure it has basic cyber security controls in place. These must be at least at the level set out in the [Cyber Essentials](#) scheme. Departmental officials can offer further guidance and support as required.
- 13.3. Any production IT systems must meet with the [National Cyber Security Centre's \(NCSC\) guidance](#). Specific guidance for public sector organisations can be found at: <https://www.ncsc.gov.uk/section/information-for/public-sector>.

Section 3: Management and Financial responsibilities

14. *Managing Public Money* and other government-wide corporate guidance and instructions

14.1. Schemes of delegation and Controls

14.2. UKAD receives public money, for which it is right that citizens expect standards of probity, accountability and control to be upheld.

14.3. It is the Board's responsibility to oversee effective controls, governance, processes and procedures to safeguard the public money to which they are entrusted. In particular, these controls must uphold:

- i. the principles, rules, guidance and advice in *Managing Public Money*;
- ii. the delegations set out in UKAD's delegation letter;

14.4. A list of guidance and instructions with which UKAD should comply is in **Annex C**.

14.5. Approval by DCMS of budgets, business plans or more general documents shall not remove the need to seek formal, explicit written approval from DCMS where any proposed expenditure is outside specific delegated limits, including:

- i. entering into any undertaking to incur any expenditure that falls outside the delegations or which is not provided for in UKAD's annual budget as approved by the Department (such as that requiring government approval under a Cabinet Office of HMT Pay control);
- ii. incurring expenditure for any purpose that is or might be considered novel or contentious, or which has or could have significant future cost implications;
- iii. making any significant change in the scale of operation or funding of any initiative or particular scheme previously approved by the Department;
- iv. redirecting funding provided by the Department for one purpose to other purposes;
- v. borrow money; or change banking provider;
- vi. making any change of policy or practice which has wider financial implications that might prove repercussive or which might significantly affect the future level of resources required; or
- vii. carrying out policies that go against the principles, rules, guidance and advice in *Managing Public Money*.

15. Budgeting procedures

15.1. Each year, in the light of decisions by the department on the updated draft corporate plan, the department will send to UKAD, as per guidance issued annually [here](#),

OFFICIAL - SENSITIVE

- i. a formal statement of the annual budgetary provision allocated by the department in the light of competing priorities across the department and of any forecast income approved by the department; and
- ii. a statement of any planned change in policies affecting UKAD.

16. Grant-in-Aid and any ring-fenced grants

- 16.1. Grant-in-Aid is the amount payable by the DCMS to UKAD in each year and is distinct from the budget. It does not include depreciation.
- 16.2. Both the Grant-in-Aid provided by the Department and the overall budgets set by it for the year in question will be voted in the Department's Supply Estimate and be subject to Parliamentary control.
- 16.3. The general principle is that there is no payment in advance of need. Cash balances accumulated during the course of the year from Grant-in-Aid or other Exchequer funds shall be kept to a minimum level consistent with the efficient operation of UKAD. Grant-in-Aid will normally be paid in monthly instalments on the basis of written applications showing evidence of need.
- 16.4. Grant-in-Aid not drawn down by the end of the financial year shall lapse. Subject to approval by Parliament of the relevant Estimates provision, where Grant-in-Aid is delayed to avoid excess cash balances at the year-end, the Department will make available in the next financial year any such Grant-in-Aid that is required to meet any liabilities at the year end, such as creditors. Further details on Grant-in-Aid can be found in **Annex B**.

17. Internal audit

- 17.1. UKAD shall:
 - i. establish and maintain arrangements for internal audit in accordance with the Treasury's [Public Sector Internal Audit Standards \(PSIAS\)](#)
 - ii. ensure the sponsor department is satisfied with the competence and qualifications of the Head of Internal Audit and the requirements for approving appointments in accordance with PSIAS;
 - iii. set up an audit committee of its Board in accordance with the [Code of Good Practice for Corporate Governance](#) and the Audit and Risk Assurance Committee Handbook;
 - iv. forward the audit strategy, periodic audit plans and annual audit report, including UKAD's Head of Internal Audit opinion on risk management, control and governance as soon as possible to the sponsor department;
 - v. have effective controls to prevent fraud and theft;
 - vi. report any and all instances of suspected, attempted and/or successful fraud, error and bribery & corruption, irrespective of the amount involved, and notify the Department of any unusual, novel or major incidents as soon as they are discovered, irrespective of the amount involved; and

OFFICIAL - SENSITIVE

- vii. keep records of, and prepare and forward to the department an annual report on fraud and theft suffered by UKAD and notify the sponsor department of any unusual or major incidents as soon as possible.

17.2. DCMS's internal audit service has a right of access to all documents prepared by UKAD's internal auditor, including where the service is contracted out, for the purpose of obtaining assurance as to UKAD's handling of public funds and effectiveness of financial controls

18. External audit

18.1. The Comptroller & Auditor General (C&AG) audits UKAD's annual accounts and lays them before parliament, together with his report.

18.2. In the event that UKAD has set up and controls subsidiary companies, UKAD will in the light of the provisions in the Companies Act 2006 ensure that the C&AG is appointed auditor of those company subsidiaries that it controls and/or whose accounts are consolidated within its own accounts. UKAD shall discuss with DCMS the procedures for appointing the C&AG as auditor of the companies.

18.3. The Comptroller & Auditor General:

- i. will consult the department and UKAD on whom – the NAO or a commercial auditor – shall undertake the audit(s) on his behalf, though the final decision rests with the C&AG;
- ii. has a statutory right of access to relevant documents, including by virtue of section 25(8) of the Government Resources and Accounts Act 2000, held by another party in receipt of payments or grants from UKAD;
- iii. will share with DCMS information identified during the audit process and the audit report (together with any other outputs) at the end of the audit, in particular on issues impacting on the Department's responsibilities in relation to financial systems within UKAD;
- iv. will, where asked, provide departments and other relevant bodies with Regulatory Compliance Reports and other similar reports which departments may request at the commencement of the audit and which are compatible with the independent auditor's role.

18.4. The C&AG may carry out examinations into the economy, efficiency and effectiveness with which UKAD has used its resources in discharging its functions. For the purpose of these examinations the C&AG has statutory access to documents as provided for under section 8 of the National Audit Act 1983. In addition, UKAD shall provide, in conditions to grants and contracts, for the C&AG to exercise such access to documents held by grant recipients and contractors and sub-contractors as may be required for these examinations; and shall use its best endeavours to secure access for the C&AG to any other documents required by the C&AG which are held by other bodies.

Right of access

18.5. Subject to any overriding legal rights or obligations, DCMS has the right of access to all UKAD records and personnel for any purpose including, for example, sponsorship audits and operational investigations.

19. Annual report and accounts

- 19.1. UKAD's Board must publish an annual report of its activities together with its audited accounts after the end of each financial year. UKAD shall provide the department its finalised (audited) accounts in accordance with the guidance issued by DCMS in order for the accounts to be consolidated within DCMS's.
- 19.2. The annual report must:
- i. cover any corporate, subsidiary or joint ventures under its control;
 - ii. comply with the Treasury's Financial Reporting Manual (FrEM);
 - iii. outline main activities and performance during the previous financial year and set out in summary form forward plans; and
 - iv. reference any and all incidences, and provide values for all monies lost to financial crimes, including but not limited to fraud, error and bribery & corruption during the previous financial year.
- 19.3. Information on performance against key financial targets is within the scope of the audit and should be included in the notes to the accounts. The report and accounts shall be laid in parliament and made available on UKAD's website, in accordance with the guidance in the FrEM. A draft of the report should be submitted to the department in May/early June where possible. The final version should be submitted for Ministerial approval at least three weeks before the proposed publication date. The accounts should be prepared in accordance with the relevant statutes and specific accounts direction issued by the department as well as the FrEM.

20. Corporate and business plans

- 20.1. UKAD shall submit a draft corporate/business plan annually. That plan shall cover at least the year ahead, and in such time as to allow meaningful consideration and feedback - including sharing with the relevant Ministers for information - before final adoption by UKAD's board. The plan shall reflect the statutory and/or other duties and, within those duties, the priorities set by the responsible minister (including decisions taken on policy and resources in the light of wider public expenditure decisions).
- 20.2. The business plan shall include measurable targets and milestones, strategies for achieving them, and demonstrate how these contribute to the department's priorities. It should identify SROs and resources for critical projects, and underpinning activities such as workforce reform. It should include a forecast of income and expenditure suitably classified by activity and key objectives, taking account of guidance on resource assumptions and policies provided by the Department at the beginning of the planning round. These forecasts should represent UKAD's best estimate of its available income, including any grant or grant in aid or any other funding within UKAD.

21. Staff

Broad responsibilities for staff retention

- 21.1. Within the arrangements approved by the responsible minister and the Treasury UKAD will have

OFFICIAL - SENSITIVE

responsibility for the recruitment, retention and motivation of its staff. The broad responsibilities toward its staff are to ensure that:

- i. The rules for recruitment and management of staff create an inclusive culture in which diversity is fully valued; appointment and advancement is based on merit: there is no discrimination on grounds of gender, sex, marital status, sexual orientation, transgender, race, colour, ethnic or national origin, religion or belief, disability, community background, pregnancy or maternity, or age;
- ii. The level and structure of its staffing, including grading and staff numbers, are appropriate to its functions and the requirements of economy, efficiency and effectiveness;
- iii. The performance of its staff at all levels is satisfactorily appraised and UKAD's performance measurement systems are reviewed as appropriate;
- iv. Its staff are encouraged to acquire the appropriate professional, management and other expertise necessary to achieve UKAD's objectives;
- v. proper consultation with staff takes place on key issues affecting them;
- vi. adequate grievance and disciplinary procedures are in place;
- vii. whistle-blowing procedures consistent with the Public Interest Disclosure Act are in place;
- viii. a code of conduct for staff is in place based on the Cabinet Office's *Model Code for Staff of Executive Non-departmental Public Bodies*¹

Staff Costs

- 21.2. Subject to its delegated authorities, UKAD shall ensure that the creation of any additional posts does not incur forward commitments that will exceed its ability to pay for them.

Pay and conditions of service

- 21.3. UKAD's staff are subject to levels of remuneration and terms and conditions of service (including pensions) within the general pay structure approved by the sponsor department and the Treasury. UKAD has no delegated power to amend these terms and conditions.
- 21.4. UKAD shall submit an annual Pay Remit to DCMS for approval subject to limits set by HM Treasury annually. This should include details of the pay strategy and proposals with a signed declaration from the Accounting Officer that the proposals:
- i. comply with the annually published HM Treasury pay remit guidance;
 - ii. are affordable within the Public Bodies existing in year budgets; and
 - iii. take account of the current economic climate.
- 21.5. Senior Civil Servant equivalents within UKAD are not covered by the Pay Remit guidance but

¹https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/690948/Public_Bodies_-_a_guide_for_departments_-_chapter_5.pdf

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organisations are encouraged to align their awards to those in the wider organisation.

- 21.6. If civil service terms and conditions of service apply to the rates of pay and non-pay allowances paid to the staff and to any other party entitled to payment in respect of travel expenses or other allowances, payment shall be made in accordance with the [Civil Service Management Code](#)² except where prior approval has been given by the department to vary such rates.
- 21.7. UKAD shall operate the general pay structure approved by the department and the Treasury.
- 21.8. Senior staff with significant financial responsibility must be on the payroll, unless there are exceptional temporary circumstances, which must be agreed by UKAD's Accounting Officer and shall not exceed a period of six months.
- 21.9. Public Bodies are responsible for ensuring that any temporary off-payroll workers employed are paying tax and NIC contributions appropriate to their remuneration by the body.
- 21.10. All senior salaries for remuneration packages at £150,000 or above, or performance ('bonus') arrangements with a maximum payout of £17,500 or above, require advance written approval of the Chief Secretary to the Treasury (CST) before remuneration is advertised or offered to candidates (these limits applying pro-rata and uplifted in line with the applicable guidance from time to time). The approval process applies to appointments and any adjustment of salary that takes an individual to or above the threshold as set out in HM Treasury's [Guidance for approval of senior pay](#)³
- 21.11. The travel expenses of board members shall be tied to the rates allowed to senior staff of UKAD. Reasonable actual costs shall be reimbursed.

Pensions, redundancy and compensation

- 21.12. UKAD staff shall normally be eligible for a pension provided by the Local Government Pension Scheme (LGPPS). Staff may opt out of the occupational pension scheme provided by UKAD, but that employers' contribution to any personal pension arrangement, including stakeholder pension shall normally be limited to the national insurance rebate level.
- 21.13. Any proposal by UKAD to move from the existing pension arrangements, or to pay any redundancy or compensation for loss of office, under the Civil Service Compensation Scheme or an analogous scheme requires the prior approval of the Cabinet Office and must follow the processes set out in the DCMS "[Guidance on Staff Exits](#)".
- 21.14. Proposals on severance must comply with the rules in chapter 4 of Managing Public Money and will require HM Treasury approval.
- 21.15. Business cases must demonstrate value for money and that expenditure is used efficiently, economically and effectively and all management procedures have been followed and the Government does not reward failure. Legal advice, where appropriate - setting out clearly the

2

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/566900/CSMC_November_2016.docx

3

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/756196/Guidance_for_approval_of_senior_pay_final.pdf

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likelihood of successfully defending a claim and any non-financial aspects.

- 21.16. UKAD shall comply with any regulations or conditions regarding the Public Sector Exit Payment Cap of £95,000. Where UKAD has a statutory right to offer exit payments exceeding this, UKAD is expected to have conducted a comprehensive value for money assessment justifying this which will be shared with the Department.
- 21.17. UKAD holds a certificate of exemption from Employers' Liability Insurance issued in April 2003, remains valid.

Section 4: Working with the Department for Digital, Culture, Media and Sport.

22. Reporting performance to the department

- 22.1. UKAD will share its board-level reporting on financial and non-financial performance, including performance in helping to deliver ministers' policies, and the achievement of key objectives at least quarterly. UKAD's performance shall be formally reviewed by the department four times a year. The responsible minister will meet the chair and chief executive twice a year.

Financial information

- 22.2. As a minimum, UKAD shall provide the department with information monthly that will enable the department satisfactorily to monitor:
- i. UKAD's cash management;
 - ii. its draw-down of grant-in-aid;
 - iii. forecast outturn by control totals;
 - iv. other data required for the Online System for Central Accounting and Reporting (OSCAR).
 - v. Statement of compliance

Management and technical information

- 22.3. UKAD will provide regular information on areas Commercial and Procurement, counter-Fraud, estates and workforce, as set out at **Annex D**.
- 22.4. At times DCMS will reasonably request information on an *ad hoc* basis which UKAD must (and within any reasonable timescale required by DCMS) supply.

Communications

- 22.5. UKAD will proactively sight DCMS on announcements, events and publications which are controversial or otherwise likely to attract significant media interest.
- 22.6. UKAD is subject to Cabinet Office controls on marketing and communication spend.

23. Public Body/Department working level liaison arrangements

- 23.1. Performance, issues and risks will be discussed regularly between DCMS Sponsorship Teams and UKAD staff. Relevant officials from the DCMS Finance, Human Resources, Commercial and/or Public Bodies teams may attend accountability meetings as necessary.

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- 23.2. In the event of performance, reputational or compliance issues, DCMS and UKAD will work to resolve these promptly. In the event of severe and/or prolonged issues, concerns will be escalated between UKAD's Accounting Officer and/or Chair and the Principal Accounting Officer.
- 23.3. DCMS and UKAD will aim to work in partnership and deal with any disagreements/disputes that arise in a pragmatic, outcome focussed manner. Each party will endeavour to identify emerging issues as early as possible, and to communicate these openly to each other through the most appropriate route of engagement, respecting the roles of the Board and sponsor to prevent significant disputes arising. Where this is not possible, both parties should try to establish a shared view of the issue (keeping good records) and use this framework document and other governance documents to achieve agreement/resolution as quickly as possible. Ultimately, issues may be escalated by the Permanent Secretary as the PAO and the Secretary of State.
- 23.4. DCMS will ensure that UKAD is fully briefed on the Outcome Delivery Plan and shall act as an advocate for UKAD across the department and wider government departments and agencies in support of UKAD delivering its mission.

List of Annexes to the Framework document

Annex A - Performance Indicators

Annex B - List of delegated authorities (attached)

Annex C - Compliance with government-wide corporate guidance and instructions.

Annex D - Management Information

Signed: Nigel Huddleston (On behalf of the department)



Date: 22/07/21

Signed: Trevor Pearce (On behalf of the Public Body)



Date: 29/07/21

Annex A: Performance Indicators (KPIs)

- 1.1. Performance metrics (KPIs) will be set by sponsors and agreed with Public Bodies. The key performance indicators for 2021-22 are:
 - i. Support and drive compliance with the Code and Policy
 - 1.1.i.1. Support the UK's sport NGBs to be compliant with the World Anti-Doping Code and the 2021 UK National Anti-Doping Policy
 - 1.1.i.2. In line with the 2021 National Anti-Doping Policy implement an assurance framework providing support to sports in their anti-doping compliance
 - ii. Deliver integrated risk-based testing programmes
 - 1.1.ii.1. Deliver a risk-based, intelligence-led and responsive testing programme that complies with the International Standard for Testing and Investigations as regards the balance between in- and out-of-competition testing, Athlete Biological Passport programme and sport specific analysis types.
 - 1.1.ii.2. Devise testing strategies in line with Government Covid guidelines to ensure athletes are tested safely
 - 1.1.ii.3. Ensure public interest testing is prioritised
 - iii. Deliver effective anti-doping education programmes
 - 1.1.iii.1. Support all publicly funded athletes through comprehensive education programmes
 - 1.1.iii.2. Provide education programmes for all publicly funded athlete support personnel
 - 1.1.iii.3. Continue making education programmes available digitally so athletes and athlete support personnel can access them easily
 - iv. Investigate Anti-Doping Rule Violations
 - 1.1.iv.1. Conduct thorough investigations into potential Anti-Doping Rule Violations and ensure cases are presented fairly at hearings
 - v. Finance
 - 1.1.v.1. Continue exploring viable commercial models to secure additional non-Exchequer revenue
- 1.2. These performance indicators may be reviewed over the duration of this Framework agreement.

Annex B: Financial Responsibilities

1. Delegated Financial Limits

- 1.1. Managing Public Money Annex 2.2, box A.2.2C sets out the following spending proposals that will always require HMT approval:
- Items which are novel, contentious or repercussive, even if within delegated limits;
 - Items which could exceed the agreed budget and Estimate limits;
 - Contractual commitments to significant spending in future years for which plans have not been set;
 - Items requiring primary legislation;
 - Any item which could set a potentially expensive precedent;
 - Where Treasury consent is a specific requirement of legislation.
- 1.2. In the first instance, such items should always be referred to DCMS Finance.

2. Unlimited (unless otherwise specified)

2.1. Capital Expenditure

<p>Expenditure on new construction, land, extensions of, and alterations to existing buildings and the purchase of any other fixed assets (e.g. machinery, plant, and vehicles), art works and additions to the collection with an expected working life of more than one year. Also includes exchanges of fixed assets.</p>	<p>Up to £5m</p>
<p>UKAD must notify DCMS regarding any expenditure on the signing of new leases, renewals of existing leases, the non-exercise of lease break options, any new property acquisitions (including those made through a Public Finance Initiative Provider), new build developments, sale and leaseback, and any freehold sales as part of national property controls.</p>	<p>£100,000</p> <p>Approval for leases over £100,000 (total life of the lease) can only be given by Cabinet Office as part of the Property Spend Controls and must provide value for money for the Government as a whole or demonstrate exceptional circumstances.</p>

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2.2. Gifts

- 2.2.1. Proposals for making gifts outside this delegated limit must have the prior approval of DCMS. UKAD must keep a controlled register that lists any and all gifts given. Details of any singular gift to one person/organisation shall be reportable in the organisation's annual accounts if a monetarised value for that gift exceeds the maximum as detailed within the organisation's Gifts and Hospitality Policy.

Gifts received by UKAD	Unlimited
In a financial year, any one gift or total of gifts by UKAD: <ul style="list-style-type: none">● to one person/organisation;● to staff. Gifts to staff are also subject to the following Cabinet Office guidance: http://www.cabinetoffice.gov.uk/resource-library/guidance-civil-servants-receiving-hospitality	Up to £1,000

2.3. Fraud

- 2.3.1. No delegation. All cases of attempted, suspected or proven fraud, irrespective of the 013 amount involved, must be reported by UKAD to the Department as soon as it is discovered. This is a mandatory requirement under the [Government Counter Fraud Functional Standard GovS 013](#) and [Managing Public Money](#). UKAD must seek to adhere to all aspects of the Government's Counter-Fraud Functional Standard.
- 2.3.2. UKAD must adopt and implement policies and practices to safeguard themselves against fraud, error and bribery & corruption in line with the Government's Counter Fraud Functional Standard GovS 013.
- 2.3.3. Responsibility for effective internal controls and appropriate corporate governance is delegated to all sponsored bodies.
- 2.3.4. Sponsored bodies are required to report any and all instances of suspected, attempted and/or successful fraud, error and bribery & corruption incidents to the Sponsorship Team and the Finance Business partner (who will inform DCMS Counter Fraud Team) as soon as it is discovered.
- 2.3.5. DCMS sponsored bodies can obtain advice and guidance about fraud policy from the Counter Fraud Team and/or the External Bodies Accounting Team. They can also seek advice and guidance from the Government Internal Audit Agency.
- 2.3.6. All sponsored bodies must operate within the controls detailed in their Fraud Policy and Fraud Response Plan. The controls and supporting documentation must be demonstrably updated in line with the Government's Counter Fraud Functional Standard GovS013.

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- 2.3.7. The Department will continue to provide assistance to bodies as they assess their fraud risk profiles and develop their fraud response plans.
 - 2.3.8. There is no delegated limit for Fraud.
 - 2.3.9. All sponsored bodies will submit quarterly Fraud Consolidated Data Reports including nil returns to DCMS Counter Fraud Team.
 - 2.3.10. If a fraud or attempted fraud is reported, it is important to identify whether that demonstrates a weakness in the body's control systems, and to confirm that the investigation of fraud has been sufficient to secure public funds which are at risk.
- 2.4. General Grants (Exchequer Funded)
- 2.4.1. UKAD must provide an annual statement of assurance, confirming that:
 - 2.4.1.1. it is in compliance with the [Government Functional Standards for General Grants](#) (or noting material divergences/reasoning for this), and have an appropriate assurance framework;
 - 2.4.1.2. this framework (and/or other governance documents) make reference to the need to comply with the standards;
 - 2.4.2. UKAD shall upload data of all exchequer funded General Grants and Grant Schemes to the central Government Grant Database (Currently Government Grants Information System (GGIS) managed by Cabinet Office) at least annually by each financial year or more frequently as required. The uploaded data subsequently to be published on [GOV.UK](#) in line with 360 Giving Protocols.
 - 2.4.3. UKAD shall commit to undertaking an annual assessment of grant making capability and capacity against the minimum requirements of the Functional Standard for Grants (or as and when required by the Cabinet Office and or DCMS). The results of the assessment will be used to help drive improvements over the subsequent year. This clause applies only to Public Bodies managing and delivering Exchequer funded General Grants
 - 2.4.4. Where UKAD is responsible for the management and delivery of Exchequer funded general grants it shall commit to supporting DCMS and the Cabinet Office in the development and subsequent introduction of the Grants Management Function's Grants Pipeline Controls Framework which is expected to come into effect from 1 April 2021. The aim of the framework is to increase the visibility of government grants, at an earlier stage, to enable the identification of an appropriate intervention and support model for grant making organisations.
- 2.5. Non-Statutory Contingent Liabilities
- 2.5.1. UKAD may only incur contingent liabilities without advance DCMS approval provided all of the following conditions are met:

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- a) They are intrinsic to day-to-day commercial business which may be reasonably considered integral to the core activities of maintaining and operating UKAD, such as contracts for services;
- b) They are not novel, contentious and repetitious; and
- c) They are capped with a maximum exposure of £100,000.

2.5.2. Any other contingent liabilities will require DCMS and likely HMT approval and UKAD will be required to complete the [contingent liability checklist](#) in such cases.

2.5.3. A Minute will also need to be laid before Parliament unless the contingent liability is below £300k in value or considered to fall within the normal course of business.

2.6. Losses

- 2.6.1. The write-off of losses should only be carried out by staff authorised to do so by and on behalf of UKAD's Accounting Officer. UKAD should consult DCMS where cases:
- Involve important questions of principle;
 - Raise doubts about the effectiveness of existing systems;
 - Contain lessons which might be of wider interest;
 - Are novel or contentious;
 - Might create a precedent for other departments in similar circumstances;
 - Arise because of obscure or ambiguous instructions issued centrally.

Classification of Losses		
Type	Description	Delegation
A	Losses	
(i)	<u>Cash losses</u> : Physical losses of cash and its equivalents (e.g. banknotes, credit cards, electronic transfers, payable orders)	Up to £25,000
(ii)	<u>Bookkeeping losses</u> : <ul style="list-style-type: none"> ● unvouched or incompletely vouched payments, including missing items; ● charges to clear inexplicable or erroneous debit balances. 	Up to £25,000
(iii)	<u>Exchange rate fluctuations</u> : Losses due to fluctuations in exchange rates or revaluations of currencies.	Up to £25,000

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Classification of Losses		
Type	Description	Delegation
(iv)	<ul style="list-style-type: none"> Losses of pay, allowances and superannuation benefits paid to civil servants, members of the armed forces and NDPB employees: 	Up to £25,000
	<ul style="list-style-type: none"> overpayments due to miscalculation, misinterpretation, or missing information; and other causes. 	Up to £25,000
(v)	Losses arising from overpayments of social security benefits, grant, subsidies, etc. arising from miscalculation, misinterpretation or missing information.	Up to £25,000
(vi)	Losses arising from failure to make adequate charges for the use of public property or services.	Up to £25,000
B	Stock write-offs and impairments: The accounting loss incurred as a result of the reduction of the holding value of stock or inventory to an impaired or nil fair value in accordance with the relevant accounting principles.	Up to £1,000,000
C	Losses of accountable stores:	
(i)	because of proven or suspected fraud, theft, arson or sabotage, or any other deliberate act (including repairable damage caused maliciously to buildings, stores; etc. even where a legal claim is not possible).	Up to £25,000
(ii)	losses arising from other causes.	Up to £25,000
D	Fruitless payments and constructive losses	Up to £25,000
E	Claims waived or abandoned	Up to £25,000

2.6.2. A record of losses should be maintained and if the total of losses or special payments in the year exceeds £100,000, the annual accounts should include a statement, with any individual losses and special payments exceeding £100,000 specifically identified.

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2.7. Special Payments

- 2.7.1. There is no delegation for the approval of special payments. All special payments will require HMT approval regardless of value.
- 2.7.2. Ministerial approval must be sought for the use of confidentiality clauses, as per Cabinet Office guidance. A confidentiality clause should only be used when necessary and not be included in settlement agreements as a matter of course.
- 2.7.3. Approvals should always be sought in advance. Retrospective approvals will only be considered in exceptional extenuating circumstances and may not be approved, resulting in qualification of accounts.
- 2.7.4. UKAD must comply with [HMT's Guidance for Approval of Senior Pay](#) at all times, seeking approval where required.

2.8. Severance payments

- 2.8.1. There is no delegation for severance payments (payments made to the employee **outside** their statutory or contractual entitlement upon termination of their employment). Before any offer is made or negotiations begin, speak to the PB Team. Any proposed payment regardless of value, requires approval in advance from HM Treasury and must be supported by DCMS. Severance payments will only be approved where they provide value for money for the Exchequer as a whole. A Special Payment pro forma must be completed by UKAD and forwarded to the PB team email address.
- 2.8.2. Business cases must demonstrate value for money and that expenditure is used efficiently, economically and effectively and all management procedures have been followed and the Government does not reward failure.
- 2.8.3. Legal advice should be provided where appropriate, clearly setting out the likelihood of successfully defending a claim and any non-financial aspects.
- 2.8.4. Response times for special payment applications will vary depending on the complexity of the situation described, but is normally in the region of 4 weeks from receipt of the application into DCMS.

2.9. Redundancy payments:

- 2.9.1. All redundancy payments outside contractual terms, require DCMS and Cabinet Office permission in all cases.

	<u>Special payments</u>	<u>Amount</u>
(i)	extra-contractual and ex gratia payments to contractors;	£0

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	<u>Special payments</u>	<u>Amount</u>
(ii)	other ex gratia payments;	£0
(iii)	compensation payments;	£0
(iv)	extra-statutory and extra-regulatory payments;	£0
(v)	consolatory payments: A special payment to address an inconvenience or hardship to a third party, arising from administrative failures i.e. where the organisation has not acted properly or provided a poor service. These can include: wrong advice, discourtesy, mistakes and delays.	£0

2.9.2. Cabinet Office will not approve applications to run exit schemes, where the organisation involved has not explored all possible redeployment activities both internally and across the Civil Service.

2.9.3. Organisations are also expected to demonstrate why the exit exercise is necessary and have engaged with the Recruitment and Redeployment Working Group run by the Civil Service Employee Policy (CSEP) team within the Cabinet Office prior to submitting their case.

2.9.4. UKAD shall comply with any regulations or conditions regarding the Public Sector Exit Payment Cap of £95,000. Where UKAD has a statutory right to offer exit payments exceeding this, UKAD is expected to have conducted a comprehensive value for money assessment justifying this which will be shared with the Department.

2.10. Disposal of Assets

2.10.1. UKAD requires the Secretary of State's approval for any disposal of land regardless of value.

2.10.2. UKAD should seek approval from DCMS for the disposal of all other assets above £500,000, excluding fixtures and fittings.

2.10.3. The sale or lease of assets at below market value is regarded as a gift. If the difference between the market value and the amount received (i.e. the gift) exceeds £300k, HMT approval is required.

2.10.4. HMT approval is required for all retention of receipts arising from asset disposals regardless of value.

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3. Cabinet Office Spend Controls

- 3.1. UKAD is subject to the latest Cabinet Office spend controls set out at <https://www.gov.uk/government/publications/cabinet-office-controls> and the DCMS thresholds for spend controls.
- 3.2. All Cabinet Office spend controls apply to UKAD.
- 3.3. Any breach of the Spend Controls must be reported to DCMS immediately. Breaches of the controls are serious and may be considered as irregular spend, potentially incurring qualification of organisations' Accounts by the Comptroller and Auditor General, and/or fines.

4. Procurement

- 4.1. UKAD must comply with all government Procurement Policy Notes and the Public Contracts Regulations 2015 (PCR) (as amended) in its procurement activity. Further, as a Central Government Authority as set out at Schedule 1 of the Public Contracts Regulations 2015, UKAD is subject to certain thresholds when tendering for a procurement opportunity, as detailed in Procurement Policy Note - Reforms to make public procurement more accessible to Small and Medium Enterprises (Procurement Policy Note 03/15⁴) and www.ojec.com/thresholds.aspx and <https://www.gov.uk/find-tender>
- 4.2. UKAD shall:
 - 4.2.1. Acquire goods and services (above £10k subject to section 4.6) through fair and open competition, in accordance with the Government Commercial Operating Standards (including the Outsourcing Playbook), delivering value for money through procurement, and operating in line with European, UK and other international law, including restrictions on state aid/subsidy controls.
 - 4.2.2. Embed Outsourcing Playbook policies and principles, Government Commercial Operating Standards and all applicable current and future Procurement Policy Notes into UKAD's commercial operations.
 - 4.2.3. Comply with current and future requirements on additional spend controls, delegated authorities and authorisations on procurement and leases as notified to them, from time to time, by the Department.
 - 4.2.4. Comply with the Government Commercial Operating Standards and support the wider Government Commercial Function's strategies and programmes in their design, implementation and sustained application.
 - 4.2.5. Support collaborative procurement and commercial efforts across the Department and its arm's length bodies (PBs). This will include supporting the establishment of a DCMS Commercial Council or similar body, where such a group has been instituted, and wider commitments to support knowledge-sharing and training for staff involved in Commercial and Procurement activity across DCMS PBs.

⁴ <https://www.gov.uk/government/publications/procurement-policy-note-0315-reforms-to-make-public-procurement-more-accessible-to-smes>

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- 4.2.6. Promote the inclusion of the Social Value Act and its associated principles in procurement activity wherever possible and will comply with the relevant and future PPNs on this topic. Where relevant, procurement activity should also take note of the Government Greening Commitments and conform to them where practicable.
- 4.2.7. Comply with Government transparency policies and commitments.
- 4.2.8. Support Commercial Procurement and Contract Management improvement and oversight initiatives including:
- Contract Classification for all contracts
 - Internal spend control assurance & governance processes, aligned to the Department and Cabinet Office Commercial Spend Control approval processes.
 - GCOS Implementation and Reporting
 - Pipeline reporting
 - Assurance and audit implementation and reporting
 - Contracts Finder compliance reporting
 - Contract KPI reporting for external public publication
 - Commercial Systems and Data improvement initiatives eg. CASIE
- 4.2.9. Attend Cabinet Office training programmes designed to raise commercial awareness and improve commercial capability, including Playbook and GCOS masterclasses, and Contract Management Capability Training.
- 4.2.10. Support the formation and ongoing activities of a commercial function across the DCMS family of public bodies, through engagement with the DCMS Commercial team.
- 4.3. UKAD must support the Government's SME agenda through appropriate procurement activity.
- 4.4. In circumstances where UKAD finds itself having oversight and assurance of other public bodies or the procurement activities of private bodies spending public money UKAD shall ensure, as far as is reasonably practicable, and in so far as it has legal authority to do so, that all such parties adhere to the principles of Managing Public Money including the encouragement of transparent and robust practices and compliance with any applicable law.
- 4.5. Single Tender Contracts (STA)
- 4.5.1. The delegated limit for single tender action contracts (where no competition has taken place to select a supplier) is set at £50,000 (ex VAT) for each contract or requirement. Proposals for awarding single tender action contracts above this delegated limit must have the prior written approval of the DCMS Commercial Director or their nominated representative before any contract is awarded or any spend committed.
- 4.5.2. The DCMS Commercial Director will consider the delegated limit for single tender action contracts, annually each March and may adjust as appropriate.
- 4.5.3. Any application for single tender action contracts approval must be aligned to the permitted exceptional circumstances as laid out in the Public Contracts Regulations 2015 Regulation 32.

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- 4.5.4. DCMS Commercial Director STA approval must be sought in accordance with the DCMS Commercial STA Guidance and updated from time to time.

5. Budgets, Grant-in-Aid and any ring-fenced grants

- 5.2. Expenditure against resource and capital budgets must be recorded and monitored by UKAD in accordance with the Treasury's Consolidated Budgeting Guidance (or its successor). These are the net expenditure limits for UKAD in each year and must be adhered to. Net expenditure above these limits may not be committed until or unless a revised budget has been agreed in writing by the Department.
- 5.3. UKAD may not breach the component parts of the capital and resource budgets (e.g. core capital). Approval must be sought in advance and in writing from the Department if UKAD wishes to spend more in one category and less in another. In all these matters, the Department may be required to refer a decision to the Treasury before granting approval.
- 5.4. Grant-in-Aid is the amount payable by the Department to UKAD in each year and is independent of the budget figures, although derived from them. It does not include depreciation.
- 5.5. The following costs are not eligible expenditure for Grant-in-Aid funding: Payments that support activity intended to influence Parliament, Government or political parties, or attempting to influence the awarding or renewal of contracts and grants, or attempting to influence legislative or regulatory action.
- 5.6. Both the Grant-in-Aid provided by the Department and the overall budgets set by it for the year in question will be voted in the Department's Supply Estimate and be subject to Parliamentary control.
- 5.7. The Grant-in-Aid will normally be paid in monthly instalments on the basis of written applications showing evidence of need. UKAD will comply with the general principle, that there is no payment in advance of need. Cash balances accumulated during the course of the year from Grant-in-Aid or other Exchequer funds shall be kept to a minimum level consistent with the efficient operation of UKAD. Grant-in-Aid not drawn down by the end of the financial year shall lapse. Subject to approval by Parliament of the relevant Estimates provision, where Grant-in-Aid is delayed to avoid excess cash balances at the year-end, the Department will make available in the next financial year any such Grant-in-Aid that is required to meet any liabilities at the year end, such as creditors.
- 5.8. Where UKAD is responsible for the management and delivery of Exchequer funded general grants it shall commit to supporting DCMS and the Cabinet Office in the development and subsequent introduction of the Grants Management Function's Grants Pipeline Controls Framework which is expected to come into effect from 1 April 2021. The aim of the framework is to increase the visibility of government grants, at an earlier stage, to enable the identification of an appropriate intervention and support model for grant making organisations.
- 5.9. Requests for additional funding for new activity should only include the additional costs that will be incurred by undertaking this new activity. It should not include recharges for activity that is already funded (GiA, commercial income etc.) as this would lead to double funding.

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- 5.10. The data collection process for this is owned by DCMS and they are required to provide sufficient notice to UKAD if changes are made to it. UKAD will in turn engage with any required changes.

6. Capital projects

- 6.2. All capital projects, whether already underway or beginning during this period, are subject to the Department's investment appraisal processes. Any capital expenditure that exceeds UKAD's delegated capital limit must be referred to the DCMS Finance Committee for approval at three stages of development, as set out in guidance issued by the Department. The figure used in calculating whether the costs exceed the delegated limit is the lifetime cost of the capital project, including non-exchequer funding and any increased running costs ensuing from it.
- 6.3. Where projects are reliant on donations or sponsorship that have yet to be confirmed, demonstration of a staggered approach to completion (i.e. that takes account of the funds secured to date before proceeding with each stage) will be more likely to receive approval to proceed.
- 6.4. When considering the case for capital projects, UKAD is expected to use the Treasury's Green Book methodology (or its successor), as modified or enhanced by guidance from DCMS. This is the case for evaluating a capital project regardless of whether the project requires DCMS Finance Committee approval. The Department reserves the right to receive copies of business cases for projects below UKAD's delegated limit or elements of it, such as the Net Present Value calculation.

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Annex C: Compliance with government-wide corporate guidance and instructions.

UKAD shall comply with the following general guidance documents and instructions, any subsequent updates to guidance and any new guidance issued by DCMS, Cabinet Office and/or Treasury:

1. 1. this Framework Document;
1. 2. legal requirements applicable to UKAD, even if not specifically identified here - but for ease of reference, a non-exhaustive list is given here:
 - a) Public Sector Apprenticeship target⁵ and Gender Pay Gap reporting⁶, whilst UKAD's number of employees exceeds 250;
 - b) Modern Slavery Act requirements⁷, including publishing an annual statement if applicable;
 - c) General Data Protection Regulation⁸;
 - d) Off payroll-working in the Public Sector⁹;
 - e) Public Sector Procurement legislation¹⁰ and the Social Value Act¹¹;
 - f) Public Sector Equality Duty¹²; and
 - g) The Freedom of Information Act¹³.
 - h) The Privacy and Electronic Communications (EC Directive) Regulations 2003.
1. 3. Rules on Lobbying for Non-Departmental Public Bodies;¹⁴
1. 4. Government's target for spending with SMEs, with such targets set for UKAD by agreement with the Department;

⁵ <https://www.gov.uk/government/publications/public-sector-apprenticeship-target>

⁶ <https://www.gov.uk/guidance/gender-pay-gap-reporting-overview>

⁷ <https://www.gov.uk/government/publications/procurement-policy-note-0519-tackling-modern-slavery-in-government-supply-chains>

⁸ <https://www.gov.uk/government/publications/guide-to-the-general-data-protection-regulation>

⁹ <https://www.gov.uk/guidance/off-payroll-working-in-the-public-sector-reform-of-intermediaries-legislation>

¹⁰ <https://www.gov.uk/guidance/public-sector-procurement-policy>

¹¹ <https://www.gov.uk/government/publications/social-value-act-introductory-guide>

¹² <https://www.gov.uk/guidance/equality-act-2010-guidance>

¹³ <https://ico.org.uk/for-organisations/guide-to-freedom-of-information/what-is-the-foi-act/>

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https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/62130/ndpbs-lobbying.pdf

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1. 5. Government's Prompt Payment Policy¹⁵
1. 6. Code of Conduct for Board Directors of Public Bodies¹⁶
1. 7. Governance Code for Public Appointments¹⁷
1. 8. Managing Public Money (MPM)¹⁸;
1. 9. Public Sector Internal Audit Standards¹⁹,
1. 10. Government Financial Reporting Manual (FReM)²⁰;
1. 11. relevant 'Dear Accounting Officer' letters²¹;
1. 12. Cabinet Office Controls, as set out in more detail above²²; and
1. 13. recommendations made by the Public Accounts Committee, or by other Parliamentary authority, that have been accepted by the Government and are relevant to UKAD.

Additionally, documents referred to in this document and/or guidance which UKAD should have regard to include:

1. 14. HM Treasury's Assurance Frameworks guidance²³;
1. 15. Management of Risk: Principles and Concepts²⁴;
1. 16. The Parliamentary and Health Service Ombudsman's Principles of Good Administration²⁵;
1. 17. Partnerships between Departments and arms' length bodies: Code of Good Practice²⁶;
1. 18. Guidance for approval of senior pay²⁷;
1. 19. Public sector pay and terms: guidance note²⁸;

¹⁵ <https://www.gov.uk/guidance/prompt-payment-policy>

¹⁶ <https://www.gov.uk/government/publications/code-of-conduct-for-board-members-of-public-bodies>

¹⁷ <https://www.gov.uk/government/publications/governance-code-for-public-appointments>

¹⁸ <https://www.gov.uk/government/publications/managing-public-money>

¹⁹ <https://www.gov.uk/government/publications/public-sector-internal-audit-standards>;

²⁰ <https://www.gov.uk/government/publications/government-financial-reporting-manual>

²¹ <https://www.gov.uk/government/collections/dao-letters>

²² <https://www.gov.uk/government/collections/cabinet-office-controls>

²³ <https://www.gov.uk/government/publications/assurance-frameworks-guidance>

²⁴ <https://www.gov.uk/government/publications/orange-book>

²⁵ <http://www.ombudsman.org.uk/improving-public-service/ombudsmansprinciples>

²⁶ <https://www.gov.uk/government/publications/partnerships-with-arms-length-bodies-code-of-good-practice>

²⁷ <https://www.gov.uk/government/publications/senior-civil-service-pay-and-reward>

²⁸ <https://www.gov.uk/government/publications/public-sector-pay-and-terms-guidance-note>

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1. 20. Government guidance on procurement²⁹;
1. 21. Government Functional Standards, including:
 - a) Commercial Operating Standards³⁰;
 - b) Government Finance Standards³¹;
 - c) Project Delivery Functional Standard³²;
 - d) HR Government Functional Standard³³;
 - e) Functions Standard for Grants GovS15³⁴, and
 - f) Counter Fraud Government Functional Standard GovS13Fraud³⁵.
1. 22. other relevant guidance and instructions issued by Treasury in respect of Whole of Government Accounts; and
1. 23. other relevant instructions and guidance issued by the central Departments and specific instructions and guidance issued by the sponsor Department.

²⁹ <https://www.gov.uk/government/collections/procurement-policy-notes> and <https://www.gov.uk/government/publications/the-outsourcing-playbook>

³⁰ <https://www.gov.uk/government/publications/commercial-operating-standards-for-government>

³¹ <https://www.gov.uk/government/publications/grants-standards/grant-standards>

³² <https://www.gov.uk/government/publications/project-delivery-functional-standard>

³³ <https://www.gov.uk/government/publications/hr-government-functional-standard>

³⁴ <https://www.gov.uk/government/publications/government-functional-standard-govs-013-counter-fraud>

³⁵ <https://www.gov.uk/government/publications/government-functional-standard-govs-013-counter-fraud>

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Annex D: UKAD Management Information and Compliance

The Department and UKAD are committed to sharing information to ensure transparency and alignment.

UKAD recognises that the Department will at times need to request information on an ad hoc basis and/or with a short time frame as required. UKAD must (and within any reasonable timescale required by DCMS) supply any information requested by DCMS, and should proactively seek to provide DCMS with advanced sight of events and publications which the Government would take an interest in.

In addition to this ad hoc information and open lines of communication, DCMS expects UKAD to provide regular information on areas including Finance, Commercial and Procurement, Fraud, and workforce. A list of this information can be found below. The list is intended to enable advanced planning for periodic Departmental commissions; it is not exhaustive and may be subject to change.

Commission title	Timescale	DCMS lead team	Purpose
Grant in Aid Requests	Monthly	Finance	Latest Public Body forecast income and expenditure reporting.
Fraud Returns	Quarterly	Finance	A mandatory Cabinet Office reporting requirement to report prevented, suspected or proven fraud to Finance.
Counter Fraud Assurance Assessment (including Fraud Measurement and Assurance/post event assurance)	Every two years (The frequency of this requirement will vary depending on Cabinet Office / DCMS requirements)	Finance	Assurance is the systematic set of actions necessary to provide confidence to senior leaders and to Ministers that fraud, bribery and corruption risk is controlled, aligned to government policy and to the Counter Fraud Functional Standard.
Grants Maturity Assessment	Annually - but dependent upon Cabinet Office / DCMS requirements	Finance	'To review capability and capacity of exchequer grant making departments and ALBs against the Functional Standard for Grants GovS15
Exchequer funds held in commercial bank accounts	Quarterly	Finance	To supply HMT details of government funds held outside the Government Banking Service
Exchequer funded general Grants Pipeline Return to GGIS	Quarterly	Finance	To assist Cabinet Office Grants Management Function Triage process and identification of support to be offered.
Publication of senior salaries and organograms	Annually	Finance	To display Transparency to the to the public on how public money is spent.
Main Estimate	Annually (February)	Finance	To confirm yearly budget (In scope: Lottery Distributors, BBC and Channel Four only)

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Commission title	Timescale	DCMS lead team	Purpose
Budget profile return	Annually (March)	Finance	To determine the split of the budget for reporting to DCMS Executive Board.
Sustainability data	Annually (April)	Finance	To meet HM Treasury requirement to supply centre with sustainability data
Group consolidation/ Whole of Government Accounts (WGA)	Annually (April-June) (individual timetables are agreed with PBs)	Finance	To consolidate UKAD's resource accounts within the DCMS resource accounts and gather counter-party details for consolidation.
Annual report and accounts	Annually (April-July) (individual timetables are agreed with PBs)	Finance	To fulfil a mandatory Statutory obligation.
Cross Government Debt Collection Returns	Annually (July)	Finance	To measure and improve debt and credit management across government.
Country and Regional analysis data	Annually (September)	Finance	Data feeds into the Core Tables for the Annual Report and Accounts. (HMT Requirement)
Supplementary Estimate	Annually (October)	Finance	To make in-year adjustments to PB allocations. Timetable driven by HM Treasury.
Auditing of PB's risk management, control and governance with high risk.	On request	Finance	To ensure an Assurance of financial management
Consultancy Spend Control pipeline and compliance return (including nil returns)	Quarterly	Commercial	For DCMS and the Cabinet Office to plan and keep track of the public sector consultancy contracts and approvals
Commercial Spend Control Pipeline return (including nil returns)	Quarterly	Commercial	For the submission of the Departments quarterly Commercial Spend Control pipeline to Cabinet Office in accordance with Cabinet Office guidelines
Government Commercial Operating Standards (GCOS) return	Bi-Annually	Commercial	For the submission of the Departments annual Government Commercial Operating Standards (GCOS) return and six month update against improvement plans.
Submission of procurement spend transactions to Bravo	Annually	Commercial	To comply with Cabinet Office spend reporting requirements

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Commission title	Timescale	DCMS lead team	Purpose
Government Key Contracts Public KPIs return	Quarterly	Commercial	For the submission of the Department's quarterly Key Contracts Public KPIs return to the Cabinet Office
Procurement pipeline for publication return	Quarterly	Commercial	For the submission of the Departments quarterly pipeline return for publication on Gov.uk
Social Value reporting return	Quarterly	Commercial	To comply with Cabinet Office policy on Social Value reporting Specifically at (a) pipeline (b) procurement strategy (c) Contract award (d) contract close subject to PPN06/2020
Prompt Payment reporting for contracts	Quarterly	Commercial	To ensure accurate reporting to Cabinet Office of in-scope contracts including any exclusions and exemptions requested
Return for the review of key metrics, targets and reports related to procurement and contract management and commercial resourcing	Quarterly	Commercial	To benchmark procurement spend, compliance assessment to policy and provide data on economic effect of spend by Departments and PBs including 3rd party spend and commercial risk reporting.
Direct and Indirect SME spend	Quarterly and Annually	Commercial	To support the Government's SME Agenda and the DCMS SME Action Plan
Completion & updating of e-Pims™ database	Ad hoc as required	Estates	To ensure accurate property and estate information is maintained at all times
Spend over £25,000	Monthly	No DCMS involvement- Public Body publishes information	To inform the public how money is spent.
EU public procurement statutory return.	Annually	Cabinet Office & DCMS	To provide data on number of tenders advertised in the European Journal
Contract register	Quarterly	Commercial	For oversight of commercial liability and risk across sectors, categories and suppliers
Contracts finder compliance report	Six months	Commercial	Transparency policy compliance reporting

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Commission title	Timescale	DCMS lead team	Purpose
Data Protection compliance report	Quarterly	DCMS DPO	Oversight of compliance with Data Protection legislation
Workforce Projection	Annually (Feb)	Public Bodies Team	To inform assessment on how future possible budget scenarios will impact on workforce and delivery of key policy areas.
Diversity Data Commission	Annually (Feb)	Public Bodies Team	Diversity data to be included in DCMS Annual Report and Accounts
Off Payroll Workers Commission	Annually (March)	Public Bodies Team	HMT financial reporting requirement and data is published as part of the DCMS Annual Report and Accounts
Pay Remit PR & PR outturn	Annually (April)	Public Bodies Team	To ensure spend on pay is aligned across Government and to seek assurance that pay proposals are affordable
Public Bodies Directory	Annually (June)	Public Bodies Team	Cabinet Office publication which includes DCMS public body data
Head of Internal Audit's Annual Report & Opinion Report	Annually (June)	Public Bodies Team	To inform the Group Chief's own annual report and opinion to DCMS on governance, risk management and internal controls across DCMS and the wider group
Publication of salaries over £150k	Annually (October)	Public Bodies Team	To inform the public how public money is spent.
Public Body Risk Register	Annual	Sponsor Team	Enable timely & appropriate response to risk
Efficiency Return	Annually	Sponsor Team	To provide evidence that the 1% target is met, demonstrate measures taken to achieve it & how savings are recycled into frontline services.
DCMS Official Statistics Release Calendar	Monthly	Central Analytical Team	To collate PBs official Statistics information to be published on gov.uk.