

IN THE MATTER OF AN APPEAL TO THE FIRST TIER TRIBUNAL
(INFORMATION RIGHTS) UNDER SECTION 57 OF THE FREEDOM OF
INFORMATION ACT 2000

EA/2010/0162

BETWEEN:-

MR C ZACHARIDES

Appellant

-and-

THE INFORMATION COMMISSIONER

Respondent

-and-

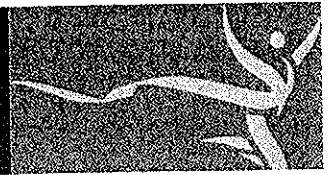
THE UK SPORTS COUNCIL

Additional Party

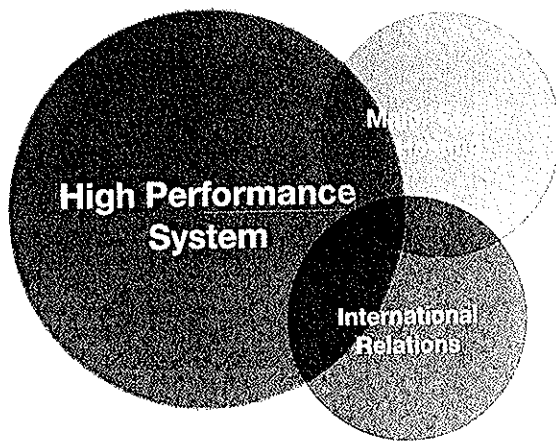
EXHIBIT PK1 TO WITNESS STATEMENT OF PETER KEEN
(The Investment Guide)



**UK Sport
Performance
Investment Guide**



This guide outlines UK Sport's current approach to making World Class Performance investment decisions – whether for part or all of a Games cycle, or annual 'in-cycle' adjustment. It acts as a companion document to UK Sport's existing Performance Manual. This Performance Investment Guide will sit in a Portfolio alongside similar guides relating to International and Major Events.



In this *Investment Guide* we outline:

- > The Principles that guide our thinking and set the framework for decision-making
- > The means by which we categorise and rank sports
- > The detailed criteria we use to evaluate a sport's ability to provide both a short and long-term return on that investment
- > The role that Mission 2012 plays in providing contextual background to the objective data that we gather

This guide does not include details of a sports accountability for funding it receives as this is set out in the UK Sport / NGB Funding Award Agreement.

Our Guiding Philosophy – **No Compromise**

As the UK's Strategic Agency for High Performance Sport we must ensure that the resources available to support our most talented and successful athletes are sufficient to maximise their chances of success at the highest level of international competition. To ensure this we have evolved a detailed, rigorous framework for making and reviewing investments in individual sports. Given the unique focus of the London Games, we currently target resources exclusively on Olympic and Paralympic sports with potential medallists for 2012, and those capable of reaching a creditable performance benchmark in London from which the gap to the podium in 2016 can be bridged.

At the heart of this is our philosophy of **No Compromise** – a commitment to prioritise the resources needed towards athletes and sports with the greatest chance of succeeding on the world stage, both in the immediate future and in the longer term. **No Compromise** can be summarised as our commitment to reinforce excellence, support talent, challenge under-performance and reject mediocrity.

In practice, this means sports that consistently develop medal-winning athletes can be rewarded with stable, ongoing funding at the level needed to at least sustain the standard of excellence attained. Conversely, funded sports that fail to reach agreed benchmarks in both performance and programme development run the risk of having our investment reduced or removed.

Our investment strategy is therefore dynamic; we are constantly seeking to respond to significant performance trends, with the portfolio of sports investments reviewed in detail at the end of each Olympiad. This is especially so when we see talented athletes and staff working towards excellence in sports we don't currently fund but are considering, or where additional investment in others is likely to result in a marked improvement in performance.

To ensure that sports without a high performance programme can still aspire to creating future medallists, UK Sport works with other partners, including Home Country Sports Councils, BOA, BPA and TASS, to help shape underpinning investment that can support emerging programmes.

The Performance Investment Framework

With **No Compromise** as our cornerstone, we have developed 10 Investment Principles that provide more specific guidance on where, when, why and in whom UK Sport should invest.

The Principles not only underpin the allocation of resources for the 2009-13 cycle for summer sports, but also the 2010-14 cycle for winter sports and are equally applicable to Olympic and Paralympic sports. They also guide any adjustments required due to the fluctuation of resources mid-cycle.



The Investment Principles

1. Our performance mandate is success in Olympic and Paralympic Sport

UK Sport's primary role is to maximise the impact of public funding on excellence in our Olympic and Paralympic sports through strategic investment, and targeted actions and interventions.

Implications

- > Only confirmed Olympic and Paralympic Games sports programmes will be funded
- > Our primary role is that of a strategic, discretionary investor in excellence

2. UK Sport only funds UK World Class Programmes run, contracted or authorised by a UK sporting body recognised by an International Federation

UK Sport invests in UK World Class Programmes managed through an IF recognised UK sports body or contracted or authorised third party. An IF recognised NGB provides the essential access to Olympic and Paralympic Games competition.

Implications

- > No direct funding of athletes without the support of the IF recognised UK sports body
- > UK Sport only funds World Class Programmes operated by organisations not individuals
- > Governance capability will be taken into account when UK Sport considers or reviews investing through an organisation

3. Awards are based on current performances and future medal potential using an investment model that links resources directly to athlete places

UK Sport focuses support on athletes and teams most capable of reaching the podium by ensuring that funding for the essential components of training and competition is provided. This is the heart of our **No Compromise** approach.

Implications

- > Sports and athletes are offered awards primarily on their performance profile, not the submission of applications or plans
- > The value of athlete places is generic and reflects the average cost of support for Olympic and Paralympic athletes at podium and development levels
- > The generic cost per athlete is calculated separately for Olympic and Paralympic sports, as although the components are the same there are marked differences in many, for example the frequency of international competitions and training camps
- > Beyond this, no attempt is made to reflect costs unique to individual sports, as there is sufficient flexibility of spend within award conditions to address such differences
- > The investment reflects medal potential and what UK Sport considers to be value for money

4. UK World Class Programme funding is a privilege not a right

Optimal funding is targeted at sports with medal potential which are achieving, or striving to achieve excellence in the Olympic and Paralympic arena. Where sports fail to evidence this we will consider offering only basic funding or no funding.

Implications

- > A willingness to realign funding in the light of persistent under or over-performance by sports relative to funding levels
- > Performance reviews focus on excellence – in results, system development and management
- > Basic funding provides minimal funding to cover core staff and basic preparation for competing at the Olympic/Paralympic Games
- > Appropriately focused, basic funding should provide a positive indicator of a sport striving to achieve excellence
- > No UK Sport funding will be available for sports that cannot evidence a culture of striving for excellence and strong medal potential within an eight year period

5. UK Sport strives to make four-year investments to cover a complete Olympic Cycle but base these on an eight-year development model

We know the elite performance pathway in most sports is at least eight years, and that these can only be developed systematically with long-term sustained investment.

Implications

- > Podium funding for athletes and teams capable of winning medals within four years
- > Development funding for athletes/teams capable of medalling in the next Olympic cycle
- > Talent ID and confirmation funding to identify athletes with the potential to succeed

6. Awards are reviewed annually to ensure maximum impact of the resources available at the time

Fluctuations in exchequer funding, lottery and private sector income require us to review all awards annually to ensure that we maintain optimal investment in our highest performing sports.

Implications

- > Annual review of all grants to ensure that we can protect our four year awards to our highest performing sports
- > Sports are not immune from either economic or sporting realities
- > Athlete Awards are means tested
- > While public funding is the vast majority of the resource the development of a third private sector stream is of increasing importance



The Investment Principles

7. Core funding provided for Home Country Sport Institute (HCSI) Sports Science & Sports Medicine (SSSM), proportional to total athlete population and location

The availability of World Class SSSM services through our HCSIs is a key component of our successful UK Elite Sport System. Core funding is provided to ensure a long-term, stable infrastructure for the development of practitioners, knowledge and skills, as well as cost-effective services for UK World Class Programmes who wish to purchase them.

Implications

- > An open market, but we expect the HCSIs to be the provider of first choice for the majority of SSSM services
- > Core funding is allocated to HCSIs on a proportionate basis related to the location of UK World Class Programme athletes

8. Centrally funded support programmes or services are limited to universal need or specialist areas to support excellence in Olympic and Paralympic sports

UK Sport makes discretionary investments in centrally funded programmes on the basis of its assessment of need for the high performance sport system.

Implications

For example:

- > Our Research & Innovation Team, delivering cutting-edge projects focussed on performance gains through a multi-£million value-in-kind programme of partnerships with World Class UK Institutions and Businesses
- > The UK Talent Team delivering initiatives ranging from national, multi-sport recruitment campaigns through to bespoke expert solutions for individual sports
- > Our Elite Coaching Apprenticeship Programme providing individualised development programmes for our most promising emerging coaches
- > Free Performance Lifestyle advice from dedicated professional staff available to all supported athletes, primarily through the Institute network (but also some direct NGB appointments) with a referral budget for securing additional expertise
- > Programmes that directly support our international sporting success and ability to influence the future shape and scope of international sport, such as our Major Events and International Relations programmes

9. The principles for Olympic and Paralympic investment are the same whilst the Olympic and Paralympic models reflect the different domains

Our detailed knowledge of both domains reveals marked differences in the frequency and depth of competition, length of athlete development pathways and stability of benchmarks of Worlds Best performances. The discrete Olympic and Paralympic investment models reflect this understanding.

Implications

- > Greater flexibility with Paralympic funding to enable effective responses to the rapidly evolving environment, including the transfer of athletes between sports
- > The ability to recognise and fund potential paralympians who can emerge and progress very rapidly, sometimes within three years of the Games
- > The need to influence and support the International Paralympic Committee and IFs to stabilise and confirm events and classification parameters over longer time frames

10. Our investments recognise best practice in teamwork, openness and accountability in support of UK athletes

UK Sport supports the principle of a single performance system across Olympic and Paralympic sports. UK Sport will require engagement in corporate fundraising and in sharing of best practice and feedback e.g. Team 2012 and Mission 2012. Funding alone will not secure the win, behaviours will.

Implications

- > Effective partnership is crucial if the UK high performance system is to maximise its success



Ranking and Prioritisation

Given the basic tenet of **No Compromise** is to prioritise sufficient resources to those sports that have the greatest chance of succeeding, it follows that we must have a system for rank ordering sports that accurately reflects relative merit in terms of likely future performances. This is particularly important when we need to manage fluctuations in the resources available, or when there are significant changes to the performance potential of a particular sport (eg major changes to international rules or medals available).

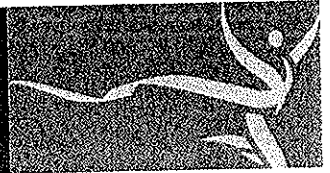
The ranking of a sport reflects our analysis of the latest available data on its current performance and future potential, but is also informed by achievements in the recent past. **No Compromise** commits us to allocating resources on a top down basis to as many sports as funds allow.

The banding criteria are applied equally to summer and winter sports, with the only Paralympic variation being the significance placed on gold medals. This reflects not only Principle 9 (see above) but also the near equivalence of total medals won by Team GB in the Olympics with the number of Golds achieved at the Paralympics.

Individual rankings within a specific band are only relevant when a funding decision requires us to differentiate between sports within it. We therefore only review regularly the allocation of sports to Bands, not their specific position within them. When required to do so, we will differentiate between individual sports on the basis of current performance and future potential.

There are a total of 11 specific ranking bands which are defined in the following table:

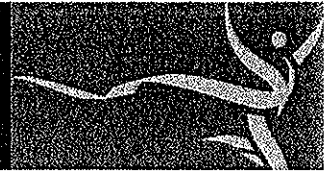
2012/14 Prospects	Additional Notes
1. Very likely to multi-medal, history of multi medals last 2 Games	Gold Medals only for Paralympic
2. Likely to multi-medal, multi medals in last Games	Gold Medals only for Paralympic
3. Likely to multi-medal, one medal in last Games	Gold Medals only for Paralympic
4. Likely to multi-medal, no medal in last Games but World Medals in last 2 years	Gold Medals only for Paralympic
5. Likely to single medal, medal in last Games	Gold Medals only for Paralympic
6. Likely to single medal, no medal in last Games but World Medals in last 2 years	Gold Medals only for Paralympic
7. Possible single Olympic medal	
8. Possible single Paralympic silver/bronze	
9. Likely 4-8th finishes (rank reflects number + depth of field/competition)	
10. Possible 4-8th finishes (rank reflects number + depth of field/competition)	
11. Little prospect of top 8 finish	



The Annual Investment Review Process

Clarity of Principles and how we prioritise sports has allowed us to develop a rigorous process for reviewing investments annually within a 4 year award cycle. We do this to ensure the maximum performance impact given the budget available. We consider critical performance and governance perspectives to provide a rounded judgement on each sport or discipline's current performance and future potential – taking into account fluctuations in performance and factors likely to influence future results.

The appraisal process involves a wide range of UK Sport staff and works through seven cascading steps, from performance staff working on the ground with sports, through to our Board. Central to this process is the quality of information provided by sports through Mission 2012, especially milestone targets and performance against them, and the insights provided through their KPIs and the progression evidenced by them. Beyond this, there is no need for sports to submit any additional information unless specifically requested.



The Annual Investment Review Process

STEP ONE – The Performance Assessment

1.1 Current Performance

What questions do we ask?	How do we answer them?
<p>How are actual Performances shaping up against agreed milestone targets?*</p> <p><small>*Milestone targets are captured as one of the KPIs within funding agreements</small></p>	<ul style="list-style-type: none"> > Assess results > Analyse competitor performances and trends > Investigate possible causes of under/over performance > Review the significance and level of challenge within milestone target range
<p>Were there other significant performances that might moderate the above rating?</p>	<ul style="list-style-type: none"> > Analyse results from other international or domestic competitions where relevant > Consider international trends > Consider other success factors (eg. selection)

1.2 Future Potential

<p>Is the UK World Class Programme on track for its performance goals for 2012 and system building for 2016?</p>	<ul style="list-style-type: none"> > Examine what insights sports are offering through the Mission 2012 process > Consider levels of awareness of strengths and weaknesses and actions to maintain or address them > Examine evidence of causation between UK World Class Programme and results > Consider correlations with Athlete Insights survey
<p>What do the KPIs that sports have set tell us about likely future development?</p>	<ul style="list-style-type: none"> > Consider how KPIs relate to the identified strengths and weaknesses > Do they reflect clear strategic thinking coupled to strong operational planning? > Are clear where they are going and why?
<p>What might be the effect of any significant changes to events, rules, formats or qualification processes?</p>	<ul style="list-style-type: none"> > Check to see if any external factors beyond the control of the UK World Class Programme are likely to impact on medals at the next Games or be an opportunity beyond them. Scrutinise any proposed changes to milestone targets. Peer scrutiny of findings



The Annual Investment Review Process

1.3 Overall Performance Perspective

Are the analyses and conclusions across the sports consistent, and where possible evidence-based?

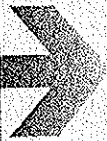


- > Final consideration by the Performance Team to moderate findings
- > Confirm allocation of sports to ranking bands
- > Highlight outliers against existing targets and aspirations for Directors and Board consideration
- > If requested at a later point, recommend rank order of sports within a band.

STEP TWO – The Governance Assessment

2.1 Compliance with mandatory requirements

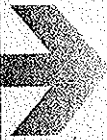
Is the UK World Class Programme/NGB meeting all the general and specific requirements of funding and governance and therefore fit for purpose?



- > Check performance against Key Governance Indicators
- > Examine last on-site Audit and sport's progress against action plan
- > Check compliance with any specific conditions within Funding Agreement
- > Review self-assurance evaluation report

2.2 Financial Management

Do the financial status, operational and reporting processes indicate effective financial management?



- > Review quarterly financial returns
- > Investigate anomalies and any under/over expenditure
- > Is funding being used for the purposes intended
- > Consider sport's other income sources

2.3 Specific funding circumstances

Is there a case to change or amend existing funding duration or conditions?



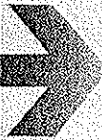
- > Consider any RAG ratings for compliance, governance or financial management



The Annual Investment Review Process

STEP THREE – Consideration by UK Sport's internal Investment Board

Do any components of the funding model require modification?



- > Evaluate impact of changes – eg inflation, attrition rate, APA values
- > Have there been any changes to the assumptions made about available budget?

Are our current awards of all podium and development UK World Class Programmes likely to result in the highest level of medals won in 2012 and 2016?



- > Consider existing awards in light of performance assessments, governance review and any proposed changes to milestone targets
- > Consider possible changes to allocation of athlete places at podium and development
- > For basic sports, consider the impact of maintaining current budget or rate of spend

STEP FOUR – Finalisation of Award Recommendations

STEP FIVE – Consideration by UK Sport Directors' Team

Are Directors satisfied that the awards being recommended represent the most effective use of funds from a strategic performance perspective?



- > Reconsider affordability
- > Consider the overall financial impact of the awards being recommended
- > Consider the possible impact of significant changes in allocations to individual sports on the medal potential of Team GB and Paralympics GB in 2012 and the overall performance system



The Annual Investment Review Process

STEP SIX – Consideration by the UK Sport Board

Endorsement and sign-off of final awards

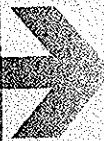
Are Board Members satisfied that the awards being recommended represent the output of the Investment Principles and processes they have previously approved?



- > Consider the overall financial impact of the awards being recommended
- > Consider the possible impact of significant changes in allocations to individual sports on the medal potential of Team GB and Paralympics GB in 2012 and the overall performance system

STEP SEVEN – Investment decisions communicated to sports

Are the level of award and the conditions attached to it understood by the sports?



- > Communication to sports following UK Sport's early December Board meeting
- > Check for any clarification
- > Review any representations at UK Sport's January Board meeting

Is the award formally signed-off between UK Sport and the NGB or funded body?



- > Issue Letters of Variation (or new Funding Agreements where appropriate)
- > Check for return of signed Letter of Variation (or Funding Agreement)
- > Effective date usually 1 April of following year

Timescales

The Annual Investment Review process for summer sports described in this Guide typically takes place in the late autumn of each year, following the completion of the year's summer competitive season, in time for recommendations to be considered by UK Sport's Board in early December.

A three month notice period is then given where any funding variations are required for the following financial year, commencing on 1 April. (If, exceptionally, adjustments become necessary 'in year' these are confirmed through further Letters of Variation).



The role of Mission 2012

UK Sport invests in sports to help them maximise their performance potential and ultimately deliver success on the Olympic and Paralympic stage. Mission 2012 (and its proposed adaptation for Winter Sports) exists to ensure that we can make the most of our investment in Olympic and Paralympic sports by sharing best practice where appropriate and identifying and removing potential blockages to performance. It is also an important opportunity for sports to reflect on and assess the progress they are making in each critical area of their World Class Programmes – asking for help where necessary or flagging the critical work they are undertaking to resolve the challenges they face.

As such, the information shared through the submission process does not have a direct bearing on the funding and investment decision process. It can help to influence it, however, by providing helpful insights into factors which may have contributed to success, or may mitigate or help explain under-performance.

Without information provided through Mission 2012 there is a potential danger that we can only look in a one-dimensional way at a sport's progress, simply by looking at the results from the field of play. Where sports have fully engaged in Mission 2012, not only will we have a more rounded view of their performance and future potential, but we can also try and improve this by facilitating or delivering solutions to identified challenges.

Thus, Mission 2012 has a real role to play in the Performance Appraisal process by helping us to develop a better understanding of Current Performance, whilst also shining a light on Future Potential. When considering where sports sit within the ranking bands, Mission 2012 information also provides a feel for factors such as gap to podium (athlete dimension) and the overall health and attitude of the sport and its World Class Programme (system and climate).

Conclusion

The purpose of this Guide is to describe how UK Sport makes funding decisions relating to its World Class Performance Programme. This approach was developed in 2009, when the concept of an annual review was developed, given the significance of the current Games' cycle.

While UK Sport exercises discretion in how it invests, the review seeks to use objective data as much as possible in arriving at investment decisions. Ultimately, when making decisions across some 47 sports and disciplines, UK Sport will however also need to call on its knowledge and expertise to decide on the *relative* merit of each one of its investments.

This Guide is currently aimed at the summer family of Olympic and Paralympic sports, but with future integration of summer and winter sports into the same decision-making framework, it will become equally applicable to winter sports – albeit with different dates for Step 1 for the Winter sports to take account of their competition calendar.

Any questions from National Governing Bodies regarding the detail of the process outlined in this document should be directed towards a sport's Performance Adviser in the first instance.

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EXHIBIT PK2 TO WITNESS STATEMENT OF PETER KEEN
(A Guide to UK Sport – Mission 2012 Overview “What is it?”)

3.2 Mission 2012 Overview



3.2.1 THE BLUEPRINT EVOLUTION

What is it?

Mission 2012 was formally launched in early 2008, with a clear remit to do two distinct things – provide a strong level of accountability for a record level of public investment in Olympic and Paralympic sport ahead of the 2012 Games, and ensure that all sports arrived at the Games free of any significant barriers to achieving their respective performance potential.

With the benefit of each submission cycle, UK Sport has been able to assess how effective the process has been and whether it has served its dual ambition. There has been no doubt that Mission 2012 has delivered higher levels of accountability than ever before and has kept minds focused on the responsibility of achieving a high return on investment both now and into the future. But the move to facilitating or delivering all the performance solutions highlighted by sports through the process has required UK Sport to rethink its own structures.

What changes are being made?

We have made some relatively minor but significant changes to the way in which our performance staff are aligned to support you. The newly titled Performance Solutions team (see section 5.1) retain the Performance Adviser role as the primary link between sports and UK Sport. Their brief is to continue to liaise with you on your Performance Plan and everything that flows from it – Key Performance Indicators, Mission 2012 Submissions etc. The main change has been to create a new series of roles – Element Leads (see section 3.2.3) – whose are responsible for taking the challenges you raise through Mission 2012 and facilitating solutions to them.

Element Leads are individuals with a level of understanding of each of the 30 discrete specialist areas identified by the Mission 2012 Profiling Tool (section 3.2.2). Their job is not necessarily to provide direct responses (although where they can, they will), but more to identify where issues exist and resolve them through the most appropriate means – which could involve anything from involving consultancy support through to putting a sport with an issue in touch with another sport that has 'gold' level expertise in that area.

These changes have been implemented so that while you should feel a fair degree of 'business as usual' in your relationship with us, there is the potential for considerable added value in helping you develop your performance systems, providing a legacy that will exist long after London 2012.

Where can I find out more?

The following sections provide more detail on the Mission 2012 process – including details of the individual Element Leads. In addition, resources such as the Profiling Tool are always available to download from UK Sport's Mission 2012 Resource Centre

www.ukssport.gov.uk/pages/mission_2012_download_page/

Where do I go for more information?

 People who can help

Performance team – 020 7211 5211 / 5134 / 5145

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(A Guide to UK Sport – Mission 2012 Overview “How does Mission 2012
work?”)
