



## NOTICE OF MEETING

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# Alexandra Palace and Park Board

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TUESDAY, 21ST DECEMBER, 2010 at 19:30 HRS - THE LONDESBOROUGH ROOM,  
ALEXANDRA PALACE WAY, WOOD GREEN, LONDON N22.

**Councillors:** Egan (Chair), Strickland (Vice-Chair), Hare, Peacock, Scott, Stewart and Williams

**Non-voting representatives:**

Ms V. Paley, Mr M. Tarpey and Mr N Willmott  
(Alexandra Palace and Park Consultative Committee).

**Observer:**

Mr D. Liebeck (Chair, Alexandra Park and Palace Advisory Committee).

### AGENDA

**1. APOLOGIES FOR ABSENCE**

**2. URGENT BUSINESS**

The Chair will consider the admission of any late items of urgent business. (Late items will be considered under the agenda item where they appear. New items will be dealt with at items 12 & 15 below )

**3. DECLARATIONS OF INTEREST**

A member with a personal interest in a matter who attends a meeting of the authority at which the matter is considered must disclose to that meeting the existence and nature of that interest at the commencement of that consideration, or when the interest becomes apparent.

A member with a personal interest in a matter also has a prejudicial interest in that matter if the interest is one which a member of the public with knowledge of the relevant facts would reasonably regard as so significant that it is likely to prejudice the member's judgment of the public interest **and** if this interest affects their financial position or the financial position of a person or body as described in paragraph 8 of the Code of Conduct **and/or** if it relates to the determining of any approval, consent, licence, permission or registration in relation to them or any person or body described in paragraph 8 of the Code of Conduct.

**4. QUESTIONS, DEPUTATIONS OR PETITIONS : TO CONSIDER ANY QUESTIONS, DEPUTATIONS OR PETITIONS RECEIVED IN ACCORDANCE WITH PART 4, SECTION B29 OF THE COUNCIL'S CONSTITUTION**

**5. GOVERNANCE UPDATE (PAGES 1 - 6)**

Report of the Interim General Manager – Alexandra Palace - To report back on progress, following previous resolutions of the Board in respect of recruitment of Independent Advisors to the Board, master planning (the Alexandra Park & Palace Regeneration Working Group), and structural changes to streamline processes and systems - the review of the Alexandra Park and Palace Statutory Advisory Committee (APPA) and Alexandra Palace and Park Consultative Committee (APPC).

**6. FINANCE UPDATE (PAGES 7 - 12)**

Report of the Head of Finance – Alexandra Palace - To inform the Board of budget reductions implemented by the Interim General Manager in relation to 2010/11, and to advise the Board of the draft budget for the Trust for 2011/12 and of the process and timescale for completion, and to invite the Board to give a steer on budget priorities for 2011/12

**7. CAPITAL PROJECTS UPDATE (PAGES 13 - 26)**

Report of the General Manager – Alexandra Palace - To update the Board of the progress on Capital Projects during 2010/11.

**8. INTERNAL AUDIT REPORT (PAGES 27 - 36)**

Report of the Head of Finance – Alexandra Palace - To inform the Board of the outcome of the recent internal audit of Alexandra Park and Palace Charitable Trust

**9. PARK UPDATE (PAGES 37 - 40)**

Report of the Park Manager – Alexandra Palace - To advise the Board of matters pertaining to the park at the current time

**10. OUTLINE 3 YEAR BUSINESS PLAN (PAGES 41 - 46)**

Report of the Interim General Manager – Alexandra Palace - to request the Board to consider the content of the rolling 3 year Business Plan to cover the period April 2011 to March 2014 and to provide strategic guidance on its contents

**11. BESPOKE CODE OF GOVERNANCE (PART 2) (PAGES 47 - 80)**

Report of the Interim General Manager – Alexandra Palace To update the Board on progress in making the NCVO Code of Governance bespoke to Alexandra Park & Palace Charitable Trust in the form of the Trustee Handbook, and to advise the Board of the publication of a new version of the NCVO Code of Good Governance

**12. ANY OTHER UNRESTRICTED ITEMS THE CHAIR CONSIDERS TO BE URGENT**

**13. EXCLUSION OF THE PUBLIC AND PRESS**

The following item is likely to be subject of a motion to exclude the press and public from the meeting as it contains exempt information as defined in Section 100a of the Local Government Act 1972; Paras 3 - namely information relating to the business or financial affairs of any particular person (including the authority holding that information).

**14. FINANCE UPDATE (PAGES 81 - 84)**

Report of the Head of Finance – Alexandra Palace

**15. ANY OTHER EXEMPT ITEMS THE CHAIR CONSIDERS TO BE URGENT**

Ken Pryor  
Deputy Head of Local Democracy & Member  
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13 December 2010





Agenda item:

<b>Alexandra Palace &amp; Park Board</b>	<b>on 21<sup>st</sup> December 2010</b>
Report Title: <b>Governance Update</b>	
Report of: <b>Andrew Gill, Interim General Manager, Alexandra Palace &amp; Park Charitable Trust</b>	
<p><b>1. Purpose</b></p> <p>1.1 To report back on progress, following previous resolutions of the Board in the following areas:</p> <ul style="list-style-type: none"> <li>a) Recruitment of Independent Advisors to the Board</li> <li>b) Master planning (the Alexandra Park &amp; Palace Regeneration Working Group)</li> <li>c) Structural changes to streamline processes and systems - the review of the APP Statutory Advisory Committee (APPAC) and Consultative Committee (APPCC).</li> </ul> <p>1.2 To outline the timescale for completing the tasks required to enable Full Council approval of any necessary changes to the Haringey Council Constitution to give effect to changes in Governance pertaining to (a) and (b) above.</p>	
<p><b>2. Recommendations</b></p> <p>2.1 That the Board notes the progress to date in implementing a number of its previous resolutions on Governance and Future Vision outlined in this report.</p> <p>2.2 That the Board notes the outline timescale in section 6.7.1 of this report.</p>	
Report Authorised by: <b>Andrew Gill, Interim General Manager</b> 	
Contact Officer: <b>Andrew Gill, Interim General Manager, Alexandra Palace &amp; Park, Alexandra Palace Way, Wood Green N22 7AY Tel No. 020 8365 4340.</b>	
<p><b>3. Executive Summary</b></p> <p>3.1 This report updates the Board on progress in implementing a number of its previous resolutions on Governance and Future Vision.</p> <p>3.2 Work is progressing on the recruitment of Independent Advisors to the Board.</p> <p>3.3 The work of the APPRWG is ongoing and it has invited tenders for an Options Appraisal Feasibility Study for Alexandra Park and Palace.</p> <p>3.4 There has been some progress towards a combined and more effective stakeholder forum in that the APPCC Working Party has met and it is believed at the time of writing to be finalising its recommendations.</p> <p>3.5 The development of the NCVO Code of Good Governance into a bespoke Code of Governance in the form of a Trustee Handbook is progressing and is the subject of a separate report to this Board meeting.</p>	

3.6 This report includes an outline timescale for completing the tasks required to enable Full Council approval of any necessary changes to the Haringey Council Constitution to give effect to changes arising from the Review of Governance.

**4. Reasons for any change in policy or for new policy development (if applicable)**

4.1 Resolutions made by the Board on 29 June 2010, 6 September 2010, 14 October 2010 and 30 November 2010.

**5. Local Government (Access to Information) Act 1985**

5.1 N/A

**6. Description**

6.1 At its meeting on 6 September 2010 the Board resolved to adopt an 'interim' model for structural change, including the appointment of Independent Advisors to the Board and a review of the Alexandra Park and Palace Advisory Committee and Alexandra Palace and Park Consultative Committee as the most appropriate phased approach towards the longer term aspiration of legal/financial independence.

6.2 At its meeting on 20 November 2010 the Board received an update on the remaining key tasks associated with developing the Governance of the Trust. Since that date there has been limited progress on the tasks outlined below.

6.3 **The Appointment of Independent Advisors to the Board.** The Board has previously discussed the terms of engagement, job description and recruitment process for the Independent Advisors and provided a steer to the IGM on these aspects of this task.

6.3.1 The Board has been asked whether it wishes to specify skills, experience or qualifications for inclusion in a Candidate Specification for the role of Independent Advisor and it asked the IGM to circulate a revised Job Description containing a Candidate Specification for comment. This has been done and comments are awaited.

6.3.2 The IGM is currently researching the options for the advertising and recruitment of the role with a view to the Trust gaining maximum value from the process.

6.3.3 The skills and experience that the Board wishes to add in the form of Independent Advisors may be specific to particular professional or sector bodies and there may be some merit in approaching those organisations directly at the level of Chair/Chief Executive to enquire whether suitable individuals are known to them.

6.3.4 The Board has previously noted that it would further consider these issues at a future Board meeting and following this, the agreement of the Full Council of LB Haringey would be required prior to the appointment of Independent Advisors, as this was a variation to the Membership of the Board – albeit the Independent Members would only be appointed in a non voting advisory capacity.

6.3.5 The Board has been advised of the need to ensure that the matter was discussed through the political groups of the LB Haringey prior to submission at Full Council.

6.3.6 Arrangements have been made to brief both the Labour and Liberal Democrat Groups in early January 2011.

6.4 **Master planning (the Alexandra Park & Palace Regeneration Working Group).**

6.4.1 Following the adoption by the Board of its recommended Vision for AP&P, the APPRWG is in the process of seeking tenders for an Options Appraisal Feasibility Study for Alexandra Park and Palace.

6.4.2 The options appraisal and feasibility brief recognises and works within the purpose ascribed to the Board and within the spirit of the vision whilst also outlining viable and credible usage/content options that address the following:

- customer demand
- brand alignment and recognition
- sustainable commercial viability
- heritage and iconic building and park status

6.4.3 Any options developed must remain within the physical constraints of the site, the various Acts of Parliament that determine its use and, any relevant planning policies that apply to the overall site. The various options must demonstrate a synergy that will allow the multiple uses of the demise to 'feed off' each other from a customer appeal and commercial point of view.

6.4.4 A number of studies have previously been undertaken on the site and will be made available to inform the project - this includes a recent assessment by The Princes Regeneration Trust of previously developed models.

6.4.5 The final report will provide a set of clear options for the various demise areas that demonstrate a mix and scale of robust and feasible uses for the site that conform to the above criteria.

6.4.6 Work is continuing on stakeholder mapping and the development of a Communications Strategy for the APPRWG and the next meeting of the group is scheduled for 4 January 2011.

6.4.7 The Board will receive further reports on the work of the APPRWG at future meetings.

### 6.5 **Structural changes to streamline processes and systems.**

6.5.1 It is recognised that whilst the APP Statutory Advisory Committee (APPAC) is constituted in an Act of Parliament, there could be means of enhancing its current remit/membership. Both Committees were requested by their Chairs to consider holding an inaugural joint meeting at which both groups need to agree a process for 'holding a mirror to themselves', as the Trustees have done, and identify actions to streamline their processes and improve effectiveness; including consideration of the necessity of having two separate groups.

6.5.2 The APPCC at its meeting on 16 November resolved to create a Working Party comprised of four members of the Committee and the Working Party met on 29 November 2010. It is believed that at the time of writing it is finalising its recommendations prior to a proposed meeting with the APPAC Working Group.

6.5.3 The Trust's officers have not been directly involved in the above process although the Chair and the IGM have been informed of progress. Further reports on the matter will be provided to future meetings of the Board.

### 6.6 **Bespoke Code of Governance for The Trust**

6.6.1 The development of a Trustee Handbook incorporating the NCVO Code of Good Governance was considered by the Board at its meeting on 14 October 2010 and this work is being progressed by the IGM. Since that date the NCVO has issued a refashioned code and this is the subject of a separate report to this Board meeting.

### 6.7 **Outline Timescale**

6.7.1 The outline timescale for completing the tasks required to enable Full Council approval of any necessary changes to the Haringey Council Constitution to give effect to changes in arising from the Review of Governance appears below;

<b>DECEMBER 2011</b>	<b>APP Historical Briefing and Q &amp; A document distributed to all Elected Members</b>
<b>JANUARY 2011</b>	<p><b>Present overarching strategy for change to:</b> Labour Group Liberal Democrat Group</p> <p><b>APPAC and APPCC Working Groups report to Chair of APPB</b></p> <p><b>Stakeholder Forum established in principle</b></p> <p><b>APPRWG work ongoing</b></p>
<b>FEBRUARY 2011</b>	<p><b>15 FEBRUARY APPCT Board</b> Approve changes to APPAC and APPCC to facilitate Stakeholder Forum</p> <p><b>Cabinet made aware of Trust's resolutions</b></p> <p><b>Charity Commission and stakeholders updated</b></p> <p><b>APPRWG work ongoing</b></p>
<b>MARCH 2011</b>	<p><b>FULL COUNCIL advised of APPCT Board decisions and approval is sought for changes to LBH Constitution.</b></p> <p><b>Engage APPAC and APPCC</b></p> <p><b>Ongoing engagement with the Charity Commission</b></p> <p><b>Feedback to stakeholders</b></p> <p><b>APPRWG work ongoing</b> Draft Options Analysis and Feasibility Study report received.</p>
<b>APRIL 2011</b>	<p><b>Selection and Recruitment of Independent Advisors to the Board</b></p> <p><b>APPRWG work ongoing.</b> Final Options Analysis and Feasibility Study report received.</p>

## 7 Consultation

7.1 There has been no specific consultation on this report beyond the liaison with the APP Statutory Advisory Committee and APP Consultative Committee described in previous reports to the Board.

## 8 Recommendations

8.1 That the Board notes the progress to date in implementing a number of its previous resolutions on Governance and Future Vision outlined in this report.



8.2 That the Board notes the outline timescale in section 6.7.1 of this report.

**9 Legal Implications**

9.1 The Trust's Solicitor was invited to comment on this report.

9.2 LBH Head of Legal Services was invited to comment on this report.

**10 Financial Implications**

10.1 In 2010/11 a budget allocation of £30,000 was approved by the Trustees to complete this work. Actual spend YTD is £15,000. No additional budget is anticipated at this stage. If additional funding were required, Trustees would be asked to redirect funds from other revenue budgets.

10.2 The cost of the Options Appraisal Feasibility Study will not impact on the Trust's directly controlled budget.

10.3 LBH Chief Finance Officer comments that the report is noted.

**11 Use of Appendices/Tables/Photographs**

11.1 None.

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Agenda item:

**ALEXANDRA PALACE & PARK BOARD****On 21<sup>st</sup> December 2010**Report Title: **FINANCE UPDATE**Report of: **Helen Downie, Head of Finance, Alexandra Palace & Park****1. Purpose**

- 1.1 To inform the Board of budget reductions implemented by the Interim General Manager in relation to 2010/11.
- 1.2 To advise the Board of the draft budget for the Trust for 2011/12 and of the process and timescale for completion.
- 1.3 To invite the Board to give a steer on budget priorities for 2011/12

**2. Recommendations**

- 2.1 The Board is asked to note the budget reductions already implemented by the Interim General Manager in relation to the current financial year.
- 2.2 The Board is asked to note the draft budget for the Trust for the 2011/12 and the process and timescale for completion.
- 2.3 The Board is asked to advise the Interim General Manager and Head of Finance of any specific priorities for revenue expenditure in 2011/12.

Report Authorised by: **Andrew Gill, Interim General Manager**

Contact Officer: Helen Downie, Head of Finance, Alexandra Palace & Park, Alexandra Palace Way, Wood Green, London N22 7AY. Telephone number 0208 365 4310.

**3. Executive Summary**

- 3.1 The management accounts for November are not yet complete. The Interim General Manager has implemented the £50k budget reduction in buildings repairs and maintenance and £10k budget reduction in parks maintenance.
- 3.2 An inflationary bid of £50k has been submitted to LB Haringey in respect of the Trust's revenue budget allocation for 2011/12. The outcome of this bid will be known in March 2011.
- 3.3 The trading company's budget process is underway with a view to completion and sign off by the APTL Board on 2<sup>nd</sup> February 2011.

3.4 A draft revenue budget has been produced for the Trust for 2010/11. This currently shows an increased funding requirement of £129k on the previous year.

3.5 This report has been prepared at an early stage to enable the Board to give a steer on its funding priorities for 2010/11.

**4. Reasons for any change in policy or for new policy development (if applicable)**

4.1 N/A

**5. Local Government (Access to Information) Act 1985**

5.1 No specific background papers were used in compiling this report.

**6. Results for the year to date and reforecast**

6.1 At the time of writing, the management accounts for November are not yet complete. At the Board meeting of 30<sup>th</sup> November 2010, the trustees were informed that the net deficit position of the Trust, before taking into account the gift aid payment from the trading company, was forecast to be £40k below budget. This forecast underspend has been achieved through cancelling the annual fireworks display.

6.2 The trustees were also presented with a number of options for reducing Trust expenditure. The trustees had asked officers, at the Board meeting on 14 October, to try to find savings needed in light of the likely reduction in gift aid from the trading company. This reduced gift aid was going to increase the charity's likely deficit and in turn require an increase in the projected deficit funding requirement from LB Haringey. The trustees resolved that where possible, the overall deficit should be contained within the funding allocation from the Council and delegated to the Interim General Manager the authority to determine the areas in which expenditure is curtailed. Since the meeting, the Interim General Manager has implemented a £50k reduction in the repairs and maintenance budget and a £10k reduction in the parks variable budget. The £50k reduction in repairs and maintenance broadly reflects the underspend for the year to date, which has been achieved.

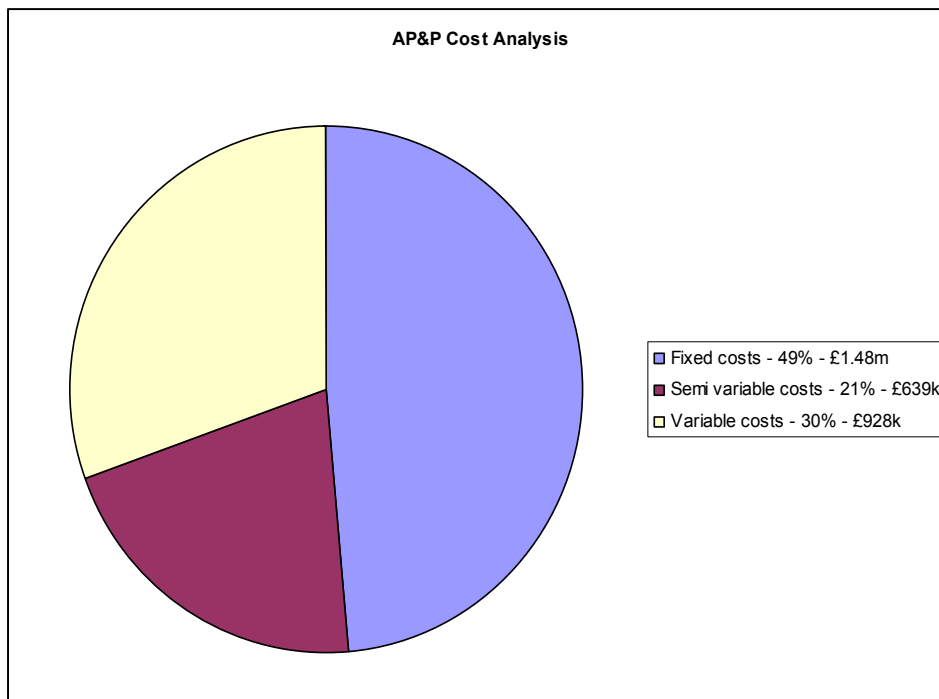
6.3 The Finance Update report in the exempt part of this meeting has more detail on the consolidated financial position of the Trust and Trading company.

**7. Draft revenue budget for 2011/12**

7.1 The trustees were informed at their meeting of 14 October 2010 that a revenue bid of £50k has been submitted to the Council, reflecting an inflationary uplift to the revenue budget allocation for 2010/11. This would bring the Trust's revenue allocation to £2.038m. The Trust's funding allocation will be formally determined in March 2011. It is clear that following the Comprehensive Spending Review, the Council has to make significant savings in 2011/12 and beyond. With this in

mind, officers of the Council have asked officers of the Trust to identify options for reducing the net budget allocation to the Trust.

- 7.2 APTL is currently in the process of finalising its budget for 2010/11, which will be presented to its Finance and Audit Committee on 12<sup>th</sup> January 2011 prior to approval by the APTL Board on 2<sup>nd</sup> February 2011. This timeframe is designed to ensure that the projected gift aid payment is known prior to the Trust Board being asked to approve its budget on 15<sup>th</sup> February 2011.
- 7.3 A draft budget for the Trust has been prepared for 2011/12 based on the Trust's requirements rather than the likely availability of funding. An outline budget for 2011/12 is presented at Appendix 1. An inflation rate of 2.5% has been assumed with the exception of insurance and rates, which have been inflated at 3.5%.
- 7.4 The Trust's expenditure budget is relatively fixed, with a number of large fixed term contracts in place. There are three broad categories of costs as follows:
- Fixed costs – those which are contractual or statutory in nature and unavoidable in the short term
  - Semi-variable costs – those with a significant fixed element but some degree of flexibility in the medium to long term e.g. salaries, utilities
  - Variable costs – those which are not contractual in nature and can be reduced in the short term
- 7.5 The Trust's draft budget for 2011/12 can be analysed between the various categories as follows:



- 7.6 However, this analysis reflects only whether costs can be reduced in the short term; it does not reflect the potential impact of those cuts.

7.7 Of the variable element above, 87.5% or £811k is comprised of:

- Reactive repairs & maintenance £517k
- Park maintenance (including repairs to leased buildings, drains, etc.) £90k
- Maintenance of the private road Alexandra Palace Way £60k
- Fireworks display costs £144k

Expenditure in these areas clearly has a direct impact on APTL's ability to secure business and generate a profit from the site as well as a long term impact on the sustainability of the building and park.

7.8 The draft budget for 2011/12 assumes that the fireworks will be self-funded; sponsorship income of £73k has been included within the Trust's income budget to offset the net cost of the event. Failure to secure the necessary funding will therefore result in an additional call on the Trust's budget if the fireworks go ahead.

7.9 The draft budget for 2011/12 also includes £116k depreciation on the capital value of the ice rink refurbishment works. This is an estimate and discussions are being held with the Trust's auditors, Deloitte, regarding how depreciation will be accounted for. It is envisaged that the depreciation charges will be covered by increased profit from the updated facility being transferred to the Trust via gift aid.

7.10 The draft budget currently shows an increase in the Trust's net funding requirement of £129k when compared with the previous year. Depending on the amount of funding allocated by the Council, this shortfall will need to be met by budget cuts and/or an increase in the gift aid received from APTL.

## **8. Legal and Financial Comments**

8.1 The Trust solicitor's advice has been taken into account in the preparation of this report.

8.2 The LBH Head of Legal Services has no specific comment on this report.

8.3 The London Borough of Haringey Chief Finance Officer notes the contents of the report and directs trustees to paragraph 7.1 of this report which comments on the Council's funding constraints and pressures expected in 2011/12.

## **9. Equalities Implications**

9.1 There are no perceived equalities implications.

## **10. Use of Appendices / Tables / Photographs**

10.1 Appendix I – Draft Trust budget for the financial year ended 31<sup>st</sup> March 2012

**DRAFT TRUST BUDGET 2011/12**

<b>INCOME</b>	<b>Proposed 2011/12</b>	<b>Approved 2010/11</b>	<b>Variance</b>
	<b>£</b>	<b>£</b>	<b>£</b>
SUNDRY SALES	150	100	50
COMMUNITY EVENTS INCOME	29,095	29,245	(150)
CONCESSION INCOME	4,000	10,000	(6,000)
LEASE INCOME	146,993	145,445	1,548
APTL LICENCE FEE	175,000	170,000	5,000
FIREWORKS - DONATIONS, FUNFAIR & CONCESSIONS	39,671	29,500	10,171
FIREWORKS - SPONSORSHIP	73,329	0	73,329
SERVICE CHARGES	12,000	12,000	0
<b>TOTAL INCOME</b>	<b>480,238</b>	<b>396,290</b>	<b>83,948</b>
<b>FIXED COSTS</b>			
PARK CONTRACT - FIXED ELEMENT	270,000	258,000	(12,000)
SECURITY/MAINTENANCE CONTRACT	676,356	777,139	100,783
<b>SUBTOTAL - CONTRACTED COSTS</b>	<b>946,356</b>	<b>1,035,139</b>	<b>88,783</b>
<b>OTHER FIXED COSTS</b>			
GENERAL RATES	53,903	50,000	(3,903)
GENERAL INSURANCES	256,314	248,325	(7,989)
AUDIT	15,648	14,750	(898)
DEPRECIATION	86,963	128,533	41,570
DEPRECIATION - ICE RINK	116,600	0	(116,600)
LBH CENTRAL SUPPORT	5,000	10,000	5,000
<b>SUBTOTAL - OTHER FIXED COSTS</b>	<b>534,427</b>	<b>451,608</b>	<b>(82,819)</b>
<b>TOTAL FIXED COSTS</b>	<b>1,480,783</b>	<b>1,486,747</b>	<b>5,964</b>
<b>SEMI VARIABLE COSTS</b>			
SALARIES	367,922	350,102	(17,820)
LEGAL AND PROFESSIONAL FEES	130,000	171,895	41,895
IT EXPENDITURE	25,000	12,000	(13,000)
PARK SECURITY	12,000	12,000	0
UTILITIES	80,371	72,876	(7,495)
PRINTING, POSTAGE, STATIONERY	8,779	8,565	(214)
CONTRACT CLEANING park toilets	13,838	13,500	(338)
REFUSE REMOVAL	1,025	1,000	(25)
<b>SUBTOTAL - SEMI VARIABLE COSTS</b>	<b>638,935</b>	<b>641,938</b>	<b>3,003</b>
<b>VARIABLE COSTS</b>			
R&M - VARIABLE ELEMENT	517,173	387,280	(129,893)
REPAIRS - ROAD	60,000	60,000	0
PARK CONTRACT - VARIABLE	5,000	0	(5,000)
INTERNAL AUDIT	6,400	6,175	(225)
MAINTENANCE - PARK	90,000	90,000	0
FIREWORKS	144,000	100,000	(44,000)
GOVERNANCE COSTS	70,000	30,000	(40,000)
RECRUITMENT EXPENSES	10,000	10,000	0
OTHER VARIABLE COSTS	25,353	22,350	(3,003)
<b>TOTAL VARIABLE COSTS</b>	<b>927,926</b>	<b>705,805</b>	<b>(222,121)</b>
<b>TOTAL COSTS</b>	<b>3,047,644</b>	<b>2,834,490</b>	<b>(213,154)</b>
<b>TOTAL INCOME</b>	<b>480,238</b>	<b>396,290</b>	<b>83,948</b>
<b>TOTAL EXPENDITURE</b>	<b>3,047,644</b>	<b>2,834,490</b>	<b>(213,154)</b>
<b>TRUST OPERATING LOSS</b>	<b>(2,567,407)</b>	<b>(2,438,200)</b>	<b>(129,207)</b>

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Report Title: **Capital Projects Update December 2010**

Report of: **Andrew Gill, Interim General Manager, Alexandra Palace & Park Charitable Trust**

### **1. Purpose**

1.1 To update the Board of the progress on Capital Projects during 2010/11.

### **2. Recommendations**

- 2.1 The Board is asked to note the progress report on the Capital projects.
- 2.2 The Board is asked to approve the allocation of £30k capital monies to the APTL Marketing team to implement signage improvements across the site as part of the brand adopted at the 30th November 2010 meeting.
- 2.3 The Board is asked to note that it will receive further updates on the matters covered by this report at future Board meetings.

Report Authorised by: **Andrew Gill, Interim General Manager**



Contact Officer: John Barnett, **Interim Facilities Management Consultant, Alexandra Palace & Park, Alexandra Palace Way, Wood Green N22 7AY**  
**Telephone Number: 020 8365 4334**

### **3. Executive Summary**

- 3.1 The Principle Contractor (Lengard) has given notice that the ice rink project has slipped past the scheduled completion date of the 10<sup>th</sup> December 2010 and is currently projected to be handed back before Christmas
- 3.2 Works are progressing on the £500k programme of dilapidation works as detailed in the main body of the report.
- 3.3 . To improve customer experience, profile and demonstrate to customers and local community changes and investment are happening at Alexandra Palace the Board approved a new brand on the November 30th 2010. This paper seeks Board approval to implement the signage proposals at a cost of £30k

### **4. Reasons for any change in policy or for new policy development (if applicable)**

Not applicable

**5. Local Government (Access to Information) Act 1985**

5.1 No specific background papers were used in compiling this report.

**Progress Report on 2010/11 Capital Expenditure**

**6 Ice Rink Replacement**

- 6.1 Since the report to the Board on the 30<sup>th</sup> November 2010 the Principle Contractor (Lengard) has given notice that the project has slipped past the scheduled completion date of the 10<sup>th</sup> December 2010 and is currently projected to be handed back before Christmas.
- 6.2 The reason stated is due to a delay in the installation of the new Ammonia based Ice Rink chiller being manufactured and installed by a subcontractor of Lengard Ltd.
- 6.3 The main ice rink base, barriers, lighting and low emissivity ceiling have all been installed and are substantially completed.
- 6.4 The toilets, changing rooms and front kiosk are all moving towards their final stages of refurbishment.
- 6.5 Mobilisation and training of staff on the new installation are scheduled.

**7 Dilapidation Works**

As detailed in the previous reports to the Board, APPCT obtained a capital grant from the Council for 2010/11 of £500,000.

The following is a progress report on these works:-

**7.1 Internal Dilapidations**

- 7.1.1 Tenders have been reviewed and orders have now been placed with Moyglen Ltd to carry out refurbishment of the Palm Court West Entrance, Phoenix Bar Toilets and Palm Court meeting rooms. Works will commence early in the New Year once the work programmes have been finalised with the Events Teams.

**7.2 External Building Dilapidations (South Face Adjacent to Panorama Room)**

- 7.2.1 The design solution and necessary approval for the underpinning of the arches on the South facing walls adjacent to the Panorama room has continued. Contracts to carry out the works will be awarded in the New Year and works will be completed during this financial year.

**7.3 Fire Alarm Upgrade/Replacement**

7.3.1 The design and specification for the fire alarm system replacement has continued. Tendering will take place early in 2011 and the works form part of the capital bid to the Council for 2011/12.

#### 7.4 **Theatre**

7.4.1 Tenders for mitigating the affects of the dry rot, making safe some areas of structural decay plus the removal of old debris/ pigeon guano from areas has been tendered. An order has been placed with Sovereign Preservation to carry out these works which will be completed in the New Year

7.4.2 Discussions have taken place with English Heritage and an agreement in principle has now been established on the works that has been historically completed to the stage. We are now optimistic that EH may release some of the outstanding grant that was previously agreed before the Interim General Manager was appointed.

#### 7.5 **Upgrade of the Data/Comms Cabling Infrastructure.**

7.5.1 An IT system review has been tendered and an order has been raised with Coherent IT to carry out the work. The work has commenced and the report is due in early January 2011

#### 7.6 **Other Funding: Signage**

7.6.1 The Board allocated £30k of capital money to APTL in 2009/10 to improve signage across the site. Owing to Alexandra Palace not having a brand, mission or vision statement (plus lack of visual identity) in 2009/10 the monies were re-allocated to pump prime the Ice Rink Project. This was on the basis that these monies would be realigned in the 2010/11 financial year.

7.6.2 The proposed new signage would incorporate the launch of the new brand and improve customer experience by making it easier to locate key facilities on site and demonstrate active and real improvements for the local community and our other millions of visitor's p.a. to Alexandra Palace and the park. This will also help promote Alexandra Palace as *the* Iconic North London venue. Improved signage would also allow APTL to sell advertising space to clients which is currently not possible.

7.6.3 Reducing the budget below £30k would reduce the visual impact of change and limit the amount of revenue potential to be generated from 2011/12 and beyond.

7.6.4 The marketing team of APTL have targeted a £10k income stream from advertising and secondary income for 2011/12; £15k in 2012/13 and £20k in 2013/14. This amounts to a return of £45k over a period of 3 years.

7.6.5 The scope of the project covers the following areas; (see appendix 1)

- Phoenix – new and replacement signage outside the pub to ensure passing trade know that there is a pub open including the sign on the grass verge.

- Road Signs – replace like for like road signs. This improves customer information and removes old dilapidated signage.
- Welcome and Exit Signs replace and improve with the potential to build in advertising space
- Replace 10 lampposts signs on Alexandra Palace Way - currently the fixtures are owned by Bay media with no contract in place this company dictate a very high replacement cost. This would allow Alexandra Palace to install our own fixtures with lower replacements costs and the control to charge clients for advertising space.
- Banners on Alexandra Palace Way – installing fixtures that fit 10m x 2m that covers every other panel on the South Terrace which look cleaner and give passing traffic the opportunity to see what events are going on at Alexandra Palace.
- Internal signages – install consistent functioning and operational signage across the site and remove the current signage across the building that confuses customers.
- hoardings – cover as much hoarding as possible with a design that looks like windows are in place and use the old BBC studios and hoarding along the south terrace to show customers ‘you are here’ signs with information about the history of Alexandra Palace and advertising space for clients.

### **Structural Steelwork Survey at Basement Level**

- 7.6.6 A recent fracture of a load bearing truss under the South Terrace has highlighted the poor condition of the Victorian cast beams in the basement area.
- 7.6.7 Following the failure an initial survey has been carried out by a qualified structural engineer. This has resulted in a 3.5 tonne load limit being imposed on the terrace. Special bracing systems have also been installed in the area of the fracture.
- 7.6.8 A full survey of this area is to be commissioned through the Haringey Framework Consultants at an estimated cost of £5k. The results of this survey will be reported in a later paper.

### **8. 2011/12 Capital Bid to the Council**

- 8.1 This will be considered as part of the council’s budget setting process

### **9. Consultation**

- 9.1 Progress on capital and major revenue works are reviewed on a monthly basis at the Facilities Meetings between senior management of the Trust and APTL.
- 9.2 Regular progress reports will continue to be submitted to the APPCT Board throughout the year.

**10. Legal and Financial Comments**

10.1 The Trusts Solicitor had no comments on this report.

10.2 The Council's Head of Legal Services had no specific comments on this report.

10.3 The LBH CFO notes the contents of this report.

**11. Equalities Implications**

11.1 There are no perceived equalities implications in this report.

**12. Use of Appendices / Tables / Photographs**

Appendix 1: Sample signage.

Photographs – to be tabled at the meeting

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*underscore*

**design.**

**brand.**

**customer.**

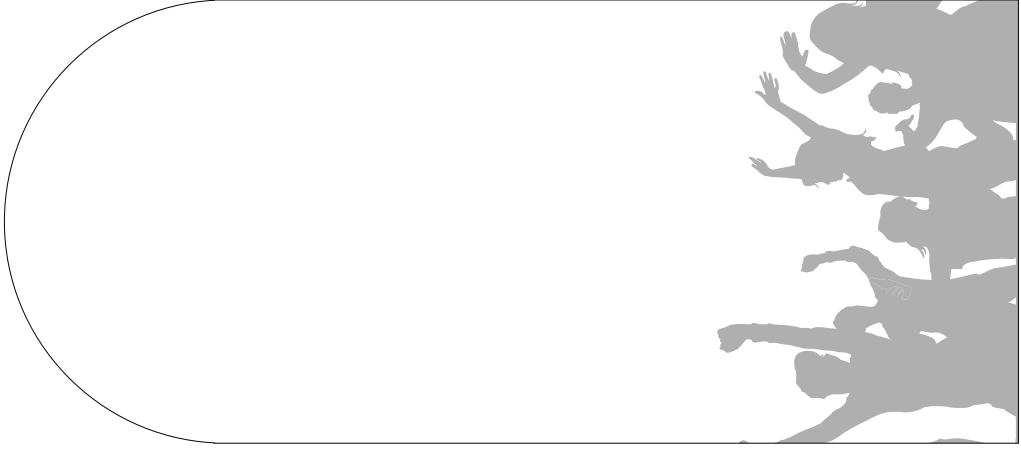
**engagement.**

---

# alexandra palace signage







Painted panel, Vinyl to be laid over the top.

# options:

Alexandra  
Palace the  
people's palace.



## Visitor Car Parking

Grove Car Park  
(80 Spaces) →

Paddock Car Park  
(840 Spaces) ↑

Discover your Ally Pally.

1

Alexandra  
Palace the  
people's palace.



## Visitor Car Parking

Grove Car Park  
(80 Spaces) →

Paddock Car Park  
(840 Spaces) ↑

Discover your Ally Pally.

2




# option 2: over two panels

Alexandra Palace the people's palace.

Great Hall ←

West Hall ←

Palm Court ←

Toilets    ←

The Pheonix ←

Ice Rink →

Discover your Ally Pally.

Alexandra Palace the people's palace.



Key.

- Palm Court Entrance
- Great Hall Entrance
- Café
- Bar
- Ice Rink
- Rink Entrance
- Parking
- Playground
- Field of Flowers
- East Car Park
- West Car Park
- Lower Road Car Park
- London Underground
- Bus Stop
- Devon Car Park
- Pavilion Car Park

# options:

Alexandra  
Palace the  
people's palace.

Hello &  
Welcome.

Discover your Ally Pally.

2a

Discover your Ally Pally.

Alexandra  
Palace the  
people's palace.

2b

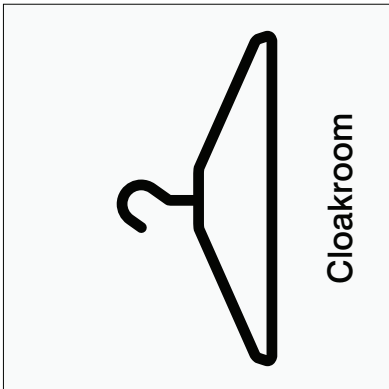
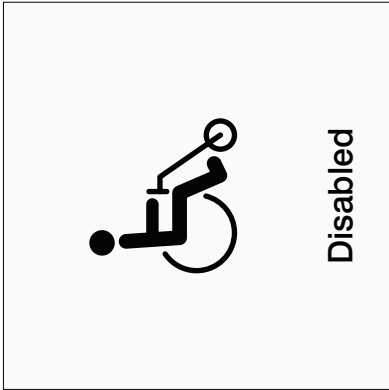
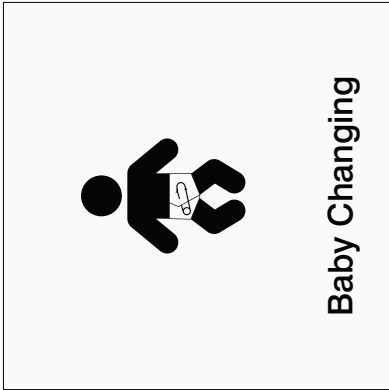
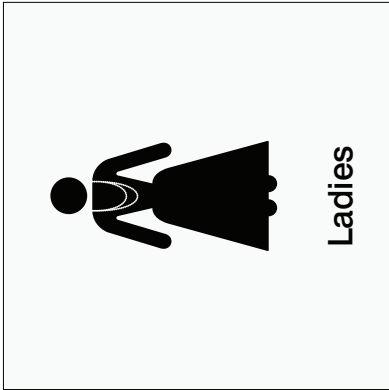
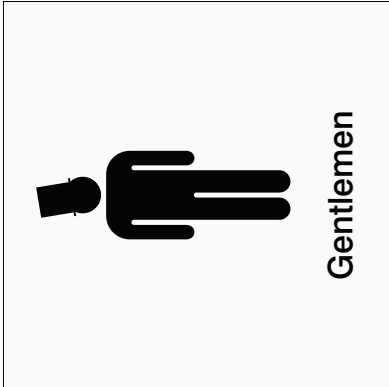
Hello & Welcome.

Alexandra  
Palace the  
people's palace.

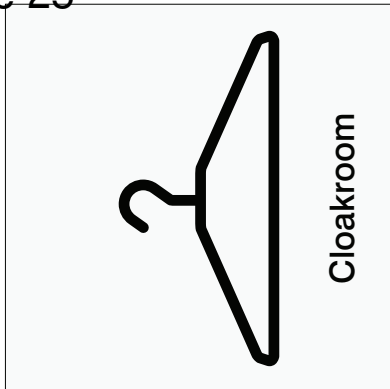
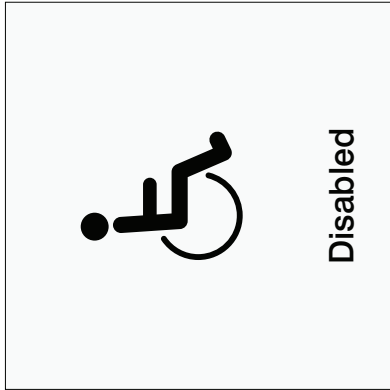
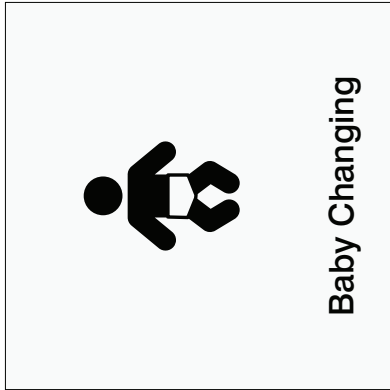
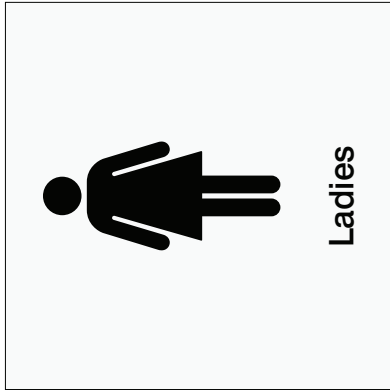
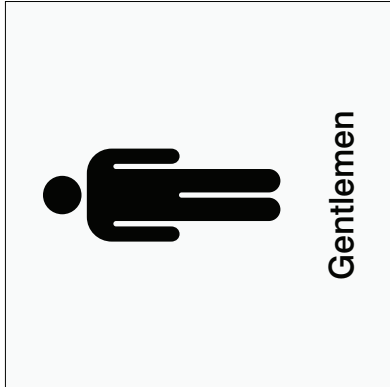
2c

# option 3: grey and black

3a



3b



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Agenda item:

**ALEXANDRA PALACE & PARK BOARD****On 21<sup>st</sup> December 2010**Report Title: **INTERNAL AUDIT REPORT**Report of: **Helen Downie, Head of Finance, Alexandra Palace & Park****1. Purpose**

1.1 To inform the Board of the outcome of the recent internal audit of Alexandra Park and Palace Charitable Trust

**2. Recommendations**

- 2.1 The Board is asked to note the outcome of the internal audit work for 2010/11 and the 'substantial assurance' given in the areas of budget setting and control and health and safety.
- 2.2 The Board is asked to support the Interim General Manager in implementing the recommendations in the context of other priorities for the Trust.

Report Authorised by: **Andrew Gill, Interim General Manager**

A handwritten signature in blue ink, appearing to be 'A. Gill', is written next to the name Andrew Gill.

Contact Officer: Helen Downie, Head of Finance, Alexandra Palace & Park, Alexandra Palace Way, Wood Green, London N22 7AY. Telephone number 0208 365 4310.

**3. Executive Summary**

- 3.1 The summary report from the Trust's internal auditors, Mazars, is attached at Appendix 1.
- 3.2 Mazars conducted a follow up review of the Council's internal audit report from 2008, together with a review of the Trust's arrangements for budget setting and control and health and safety.
- 3.3 Of the twelve recommendations in the original Council report, six have been fully implemented, five are in progress and one has been superseded. In relation to the latter two audits, Mazars raised two minor recommendations and concluded that a 'substantial' level of assurance exists in each area. This is covered in more detail in the Mazars report.

**4. Reasons for any change in policy or for new policy development (if applicable)**

4.1 N/A

**5. Local Government (Access to Information) Act 1985**

5.1 No specific background papers were used in compiling this report.

**6. Legal and Financial Comments**

6.1 The Trust's solicitor has no specific comment on this report

6.2 The London Borough of Haringey Head of Legal Services has no specific comment on this report.

6.3 The London Borough of Haringey Chief Financial Officer notes the internal audit work undertaken in 2010/11. I would ask the Board to ensure that the recommendations made are implemented in accordance with the agreed timetable. It is important for the work of the internal auditors to be conveyed to the Council's Head of Audit to enable appropriate reporting to the Council's Audit Committee. That reporting also needs to include follow up work on the recommendations made by the Council's Audit Section when they undertook work prior to Mazars being appointed.

**7. Equalities Implications**

7.1 There are no perceived equalities implications.

**8. Use of Appendices / Tables / Photographs**

8.1 Report of Mazars, internal auditors to the Trust





# Internal Audit Progress Report

For the year ended 31 March 2011

Presented to Board Meeting of: 21 December 2010



## Contents

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2. Summary of internal audit activity to date	1
3. Key issues arising from the internal audit programme to date	1
4. Comparison to Detailed Audit Timetable for 2010/11	5

In the event of any questions arising from this report please contact Graeme Clarke, Director, [graeme.clarke@mazars.co.uk](mailto:graeme.clarke@mazars.co.uk) or Richard Bott, Partner, [richard.bott@mazars.co.uk](mailto:richard.bott@mazars.co.uk).

### **Status of our reports**

*This report is confidential and has been prepared for the sole use of Alexandra Park and Palace Charitable Trust.*

*This report must not be disclosed to any third party or reproduced in whole or in part without the prior written consent of Mazars LLP. To the fullest extent permitted by law, no responsibility or liability is accepted by Mazars LLP to any third party who purports to use or rely, for any reason whatsoever, on this report, its contents or conclusions.*

## 1. Introduction

- 1.1 The purpose of this report is to update the Board as to the progress in respect of the Internal Audit Strategy and Operational Plan for the period to 31 March 2011.
- 1.2 The Internal Audit Strategy was considered and approved by the APPCT Board at its meeting on 12 January 2010.

## 2. Summary of internal audit activity to date

2.1 There have been three reports issued since the last Board meeting. These relate to:-

- Follow Up (Report reference number - 01.10/11);
- Budget Setting and Control (reference 02.10/11); and
- Health and Safety/DDA Compliance (reference 03.10/11).

2.2 The review of Facilities/Contract Management commenced on 15 November 2010. Due to management availability, the debrief had to be delayed and is currently planned for 16 December 2010.

2.3 As part of the Internal Audit Plan, there are two days set aside for an advisory review to assist the Trust in devising and implementing a Risk Management Framework. These resources have not been called on to date, although we understand this will be by the end of the year.

## 3. Key issues arising from the internal audit programme to date

3.1 Further to section 2 of the report, the key issues arising from the three reports issued since the last meeting of the Board are as follows:

*Follow Up (01.10/11)*

3.2 This was a review to follow up progress made by Alexandra Park and Palace Charitable Trust (APPCT) in implementing internal audit

recommendations arising from previous audits. There were a total of 12 recommendations accepted by Management which we followed up on. Six were categorised as '1' (High); and six were categorised as '2' (Medium).

3.3 Of these recommendations, six were classified as having been implemented and five recommendations are considered to be 'in progress', all of which were originally categorised as category '1' (High). One of the "in progress" recommendations concerns the need to develop a Code of Governance which, whilst the Trust has adopted and approved the NVC Code of Governance, still needs to be adapted to APPCT requirements. The second such recommendation refers to the development of a Risk Management Framework and, although there is a Business Risk Register and a Health and Safety Risk Register in place, the framework still requires developing. The third recommendation identifies the need to develop an operating framework between the Trust and Haringey Council, which is being produced as part of the Trust's Code of Governance work. The fourth and fifth 'in progress' recommendations relate to the need for the Trust to develop and a contract management framework and a three year business plan, respectively.

3.4 One recommendation is considered superseded. This related to the performance of the Development Manager being subject to a formal appraisal. This has been superseded as the contract for the Development Manager has since ended.

#### *Budget Setting and Control (02.10/11)*

3.5 This was a review of the controls and processes for budget setting and control within APPCT. It is recognised, that due to the current state of repair of the Palace, APPCT's ability to generate revenue through its commercial subsidiary Alexandra Palace Trading Limited (APTL) is limited and, consequently, APPCT has run at a revenue deficit for a number of years. The Council, as corporate trustee, has an obligation to provide funds to meet this deficit. The dependency of APPCT on revenue funding from LBH and gift aid of profits from APTL requires there to be close links in the budget setting processes for all parties. As a result, the timetable for business planning and budget setting of APPCT and APTL has been aligned to coincide with that of LBH and, each year, the Trust submits a formal bid for revenue funds, as well as any identified capital bid items.

3.6 Overall we provided a 'substantial' assurance in this area. One minor recommendation was made as part of this review, relating to the need to ensure that controls identified in its Risk Register relate to activities undertaken by APPCT rather than APTL.

#### *Health and Safety/DDA Compliance (03.10/11)*

3.7 This review looked at the adequacy and effectiveness of the Health and Safety (H&S) arrangements within APPCT. We also considered arrangements in place to ensure compliance with the Disability Discrimination Act (DDA). This area was included in the Audit Plan due to the significance of the risk associated with this area on the APPCT Risk Register, specifically, 'Health and Safety risks/non-compliance with H&S regulations' (Risk Reference 1). This area has also been a major area of focus for the Trust with a number of improvements made over the past year.

- 3.8 Overall, we provided 'substantial' assurance in this area and one minor recommendation was made in total. This related to the need to determine whether a full-time permanent Health & Safety and/or Fire Officer position is required or whether duties can be split between existing post-holders. Job descriptions should be updated as appropriate.
- 3.9 The following table provides a summary of assurances and the number and categorisation of recommendations in reports finalised to date.

Report Reference	Auditable Area	Audit Approach	Level of Assurance (If appropriate)	Recommendations				
				Fundamental	Significant	Minor	Total	Total agreed by Management
01.10/11	Follow Up	N/a	Not applicable	-	-	-	-	-
02.10/11	Budget Setting and Control	Systematic	Substantial	-	-	1	1	1
03.10/11	Health and Safety/DDA Compliance	Key Controls	Substantial	-	-	1	1	1
Totals				0	0	2	2	2
%				0%	0%	100%	100%	100%

3.10 We use the following levels of opinion and recommendation classifications within our audit reports

<i>Levels of Opinion</i>	<i>Control Environment</i>	<i>Effectiveness of Controls</i>
<b>Full Assurance:</b>	The controls fully mitigate the specific risks.	The controls are operating effectively.
<b>Substantial Assurance:</b>	Some key controls do not fully mitigate the specific risk.	Some key controls are not operating effectively and compensating controls are not adequately documented.
<b>Adequate Assurance</b>	In the main, the controls mitigate the risks, but not fully.	Partial effective operation exists over key controls to a material degree.
<b>Limited Assurance:</b>	The controls are not adequately mitigating the risks in the majority of instances or in areas of key controls.	The operational effectiveness of the controls is poor.
<b>No Assurance:</b>	No controls in place.	Controls are ineffective or it is not possible to assess their effectiveness.

<i>Recommendation Classifications</i>	<i>Description</i>
<b>Fundamental (Priority 1):</b>	Recommendations represent fundamental control weaknesses, which expose APPCT to a high degree of unnecessary risk.
<b>Significant (Priority 2):</b>	Recommendations represent significant control weaknesses, which expose APPCT to a moderate degree of unnecessary risk.
<b>Minor (Priority 3):</b>	Recommendations show areas where we have highlighted opportunities to implement a good or better practice, to improve efficiency or further reduce exposure to risk.

## 4. Comparison to Detailed Audit Timetable for 2010/11

Auditable Area	Planned Days	Actual Days billed to date	Target Review Start Date	Actual Review Start Date	Target Board Meeting	Actual Board Meeting	Comments
Corporate Risk Management	2	-	As required.	tbc	As completed.		See 2.3.
Core Financial Controls – Budget Setting and Control	1	1	September/October 2010	16 September 2010	December 2010	21 December 2010	See 2.1. Final Report issued
Health and Safety/DDA Compliance	3	3	September/October 2010	11 October 2010	December 2010	21 December 2010	See 2.1. Final Report issued
Facilities/Contract Management	4	-	November 2010	15 November 2010	February 2011		See 2.2. Fieldwork completed awaiting debrief
Follow Up	1	1	March 2010	19 May 2010	<del>June 2010</del> December 2010	21 December 2010	See 2.1. Final Report issued.
Audit Management	2	1.5	n/a	n/a	n/a	n/a	
<b>Totals</b>	<b>13</b>	<b>6.5</b>					

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**Alexandra Palace & Park Board**

**on 21st December 2010**

Report Title: **Park Update**

Report of: **Mark Evison, Park Manager**

**1. Purpose**

1.1 To inform the Alexandra Palace and Park Board of the matters pertaining to the park at the current time.

**2. Recommendations**

2.1 That the Board considers whether the park is entered for the various award schemes.

2.2 That the Board agree to a site visit to the Garden Centre and the Pitch and Putt Course in view of the tenant's proposals for those sites.

2.3 That the Board notes the remainder of the report.

Report Authorised by: **Andrew Gill, Interim General Manager**.....

Contact Officer: **Mark Evison, Park Manager, Alexandra Palace & Park, Alexandra Palace Way, Wood Green N22 7AY Tel No. 020 8365 2121**

**3. Executive Summary**

3.1 This report summarises current matters relating to the park

**4. Reasons for any change in policy or for new policy development (if applicable)**

4.1 N/A

**5. Local Government (Access to Information) Act 1985**

5.1 N/A

**6. Park Award Schemes**

- 6.1 Giving due regard to recent efforts to curtail spending, the board are asked whether the park should be entered into the Green Flag Award, Green Heritage Award or London in Bloom competitions on 2011. The direct entry costs this financial year are around £500. There are indirect costs in officer time, administrative support and printing costs. At inspection time (financial year 2011-12) there would be a targeted spend of variable parks budget to prepare the site for the judges, this could reach around £3,000.
- 6.2 The benefits of achieving the awards are:
- the Heritage Lottery Fund are satisfied that their investment is being protected according to the park development contract
  - public confidence in a site that reaches the national standard for green space
  - positive press coverage.

**7. Park Tenants**

- 7.1 Board Members will recall that a Planning Enforcement notice was served on Little Dinosaurs in April 2010. A Planning Inspector carried out a site visit on 22<sup>nd</sup> November. The Park Manager has requested an update on this case for the Board as landlord of Little Dinosaurs. The usual timetable for determining a case is five weeks from an inspection date. The timescale has been extended due to the snowy weather and forthcoming holiday period.
- 7.2 The Board will recall a deputation by Golfwise regarding a development project for the pitch and putt course. A planning application was lodged in early 2010 but this has now been withdrawn. They are planning a smaller planning application for the mini-golf part of their proposal. A site visit is recommended to meet the tenant and discuss the proposals.
- 7.3 The Garden Centre tenant, Capital Gardens Ltd has plans for a development on their site. The Advisory and Consultative Committees have considered the proposals. Similarly, a site visit is recommended to meet the tenant and discuss the proposals, this can be carried out in conjunction with the visit to the pitch and putt course suggested in 7.2 above.
- 7.4 345 preschools development project for the islands building was approved by the Board on 30<sup>th</sup> November. This is proceeding according to the timetable presented at that meeting.

**8. Car Park Charging: Data collection**

- 8.1 Following the Board's consideration of alternative methods of generating income the Interim General Manager was asked to report back with a feasibility study regarding Car Park Charging.
- 8.2 In order to determine the vehicle numbers using the car parks traffic counters were installed at nine locations on 26 November 2010 and will remain in place until early February 2011. They will collect data for a number of the key event-types during that period, for example:
- Music Concert and darts
  - 'non event' weekend
  - Large public exhibitions and trade shows
  - Private balls and banquets
- 8.3 The period of operation will also show the difference between the traffic before and after the ice rink is opened.
- 8.4 Staff cars, deliveries, operational vehicles have been monitored in order to remove non-chargeable traffic.
- 8.5 It is hoped that a preliminary view of the data will be available to the Board for the meeting in February 2011.

**9. Recommendations**

- 9.1 That the Board considers whether the park is entered for the various award schemes
- 9.2 That the Board agree to a site visit to the Garden Centre and the Pitch and Putt Course in view of the tenant's proposals for those sites.
- 9.3 That the Board notes the remainder of the report.

**10. Legal Implications**

- 10.1 The Trust solicitor was consulted and had no specific comments on this report.
- 10.2 London Borough of Haringey's Head of Legal Services was consulted and had no specific comments.

**11. Financial Implications**

- 11.1 London Borough of Haringey's Chief Financial Officer notes the contents of the report.

**12. Use of Appendices/Tables/Photographs**

N/A

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Agenda item:

**Alexandra Park & Palace Board****on 21<sup>st</sup> December 2010**

Report Title: **Alexandra Park & Palace Outline 3 Year Business Plan**

Report of: **Andrew Gill, Interim General Manager**

### **1. Purpose**

1.1 For the Board to consider the content of the rolling 3 year Business Plan to cover the period April 2011 to March 2014 and to provide strategic guidance on its contents.

### **2. Recommendations**

2.1 That the Board considers the proposed content of the Business Plan and provides strategic guidance on its objectives for the period 2011 to 2014.

2.2 That the Board notes that it will receive a draft Business Plan for approval in March 2011 when the Trust's revenue and capital allocation is known and for the final Business Plan to be approved by the Board at its next meeting in April 2011.

Report Authorised by: **Andrew Gill, Interim General Manager**

Contact Officer: **Andrew Gill, Interim General Manager, Alexandra Palace & Park, Alexandra Palace Way, Wood Green N22 7AY Tel No. 020 8365 2121**

### **3. Executive Summary**

3.1 The Trust had a Business Plan for 2009/10 Board which set out a number of aims and objectives for 2009/10. The Board received a report at its meeting on 29 June 2010 concerning a draft 3 year Business Plan.

3.2 The draft 3 year Business Plan contained a proposed Work Plan for the Trust's officers for 2010/11 which was approved by the Board. Progress on the Work Plan is ongoing with many objectives achieved or near completion to date. It is envisaged that the majority of the Business Objectives will be achieved by 31 March 2011.

3.3 The Business Plan is intended to be a strategic overarching document which sits above existing Plans including APTL's Business Plan, the AP Park Management Plan, Conservation and Heritage Management Plan and Action Plans of key

partners.

- 3.4 The Board has not yet been asked to approve a final Business Plan owing to ongoing development a number of factors concerning the Trusts' structure, organisation, staffing and its capital programme which have been or are under review during 2010/11.
- 3.5 Both APPCT and APTL are committed to working towards a 3 to 5 year Business Plan and during 2010 both parties have been working closer together on a number of strategic and operational interdependencies at AP&P. Preparations for the next versions of both Business Plans have commenced
- 3.6 At the time of writing the Trust is reviewing its revenue budget for 2011/12 and the amount of forecast Gift Aid for 2011/12 is unknown. The result of the Trust's requests to Haringey Council for revenue and capital funding will not be known until March 2011.
- 3.7 At this stage in the business planning process, the Board is asked to consider at a strategic level what it wishes to achieve during the period 2011 to 2014.

**4. Reasons for any change in policy or for new policy development (if applicable)**

- 4.1 The adoption of a 3 year Business Plan reflects the practice of the Corporate Trustee, the London Borough of Haringey.

**5. Local Government (Access to Information) Act 1985**

**Description**

- 6.1 The Trust had a Business Plan for 2009/10 Board which set out a number of aims and objectives for 2009/10. The Board received a report at its meeting on 29 June 2010 concerning a draft 3 year Business Plan.
- 6.2 The Business Plan is intended to be a strategic overarching document which sits above existing Plans including APTL's Business Plan, the AP Park Management Plan, Conservation and Heritage Management Plan and Action Plans of key partners
- 6.3 The draft 3 Year Business Plan contained a review of the Aims and Objectives in the 209/10 Business Plan and a proposed Work Plan for the Trust's officers for 2010/11 (containing 20 Business objectives) which was approved by the Board.
- 6.4 The draft Business Plan made the following assumptions;
  - that the current organisational and committee/board structure will prevail until 31 March 2011
  - that the current executive management structure of the Trust is unchanged until 31 March 2011
  - that the Board will approve a permanent staffing structure for AP during 2010/11
  - that the Trust's revenue budget as approved by the Board on 2 March 2010 will not be reduced during the current financial year
  - that the £500K capital grant awarded by the Council for dilapidations will be spent by the Board during the current financial year
  - that Prudential Borrowing of £2M+ is available to the Trust from the Council for replacement of the Ice Rink
- 6.5 Progress on the Work Plan is ongoing with many objectives achieved or near completion to date. The delivery of the Objectives is monitored through regular monthly 1-2-1 meetings between officers and their line managers and performance appraisals in line with the Trust's Human Resources policy. At the time of writing it is envisaged that the majority of the Business Objectives will be achieved by 31 March 2011. The Board will receive a further report on this matter at a future meeting.
- 6.6 The Board has not yet been asked to approve a final Business Plan owing to ongoing development a number of factors concerning the Trusts' structure, organisation, staffing and its capital programme which have been or are under review during 2010/11.
- 6.7 The draft Business Plan was therefore of necessity very much a draft document pending the adoption by the Board of a new strategy and objective and the deliberations of the Board on the Future Vision for Alexandra Palace and Park.
- 6.8 Both APPCT and APTL are committed to working towards a 3 to 5 year Business Plan and during 2010 both parties have been working closer together on a number of strategic and operational interdependencies at AP&P.

- 6.9 Preparations for the next versions of both Business Plans have commenced and the IGM and MD of APTL have been liaising to ensure that the interdependence of the two parties is reflected in greater synergy and correlation between the respective Business Plans.
- 6.10 Crucial factors in the Business Planning process are the Trust's revenue budget and the extent to which Gift Aid payment is available from the trading company's profits that offsets the amount of deficit funding the Trust requires from Haringey Council.
- 6.11 The operability of the site to an extent may depend on capital funding for dilapidations being available and its availability or otherwise may have an effect on the business that APTL can attract and deliver.
- 6.12 At the time of writing the Trust is reviewing its revenue budget for 2011/12 and the amount of forecast Gift Aid for 2011/12 is unknown. The result of the Trust's requests to Haringey Council for revenue and capital funding will not be known until March 2011.
- 6.13 It is clear that following the Comprehensive Spending Review, the Council has to make significant savings in 2011/12 and beyond. With this in mind Officers of the council have asked officers of the Trust to identify options for reducing the net budget allocation to the Trust.
- 6.14 The draft Business Plan for 2011 to 2014 contains the following sections;
- Introduction and Background
  - The Trustees' Vision
  - Key Strategic Priorities for 2011 to 2013 categorised by –
    - Resources
    - Infrastructure
    - Vision and Regeneration
    - Visitor and Staff experience
    - Systems
  - Service Context
  - Service Delivery
  - Challenges to the Service, including key risks
  - Annual Performance Review
  - Human Resources Plan
  - Finance and Resources Plan (including Capital Programme)
- 6.15 At this stage in the business planning process, the Board is asked to consider at a strategic level what it wishes to achieve during the period 2011 to 2014.
- 6.16 The Board may wish place the Regeneration work being undertaken by the Alexandra Park & Palace Regeneration Working Group leading to the development of a new strategy for AP&P as its foremost objective.
- 6.17 The Board may also wish to consider and provide guidance on the ongoing development of its own effectiveness through the implementation of the Good



Governance Code, the Trust's permanent staffing structure, stakeholder engagement and the development of its revenue and capital budgets.

- 6.18 It is intended to bring a draft version of the Business Plan to the Board's meeting March 2011 when the Trust's revenue and capital allocation is known in and for the final Business Plan to be approved by the Board at its next meeting in April 2011.

## **7. Consultation**

- 7.1 The IGM will consult on the content of the Business Plan with APPCT and APTL staff and the Council's Director of Corporate Resources.
- 7.2 The Board may wish to ask the Statutory Advisory Committee to comment on the issues to be covered in the Business Plan.

## **8. Recommendations**

- 8.1 That the Board considers the proposed content of the Business Plan and provides strategic guidance on its objectives for the period 2011 to 2014.
- 8.2 That the Board notes that it will receive a draft Business Plan for approval in March 2011 when the Trust's revenue and capital allocation is known and for the final Business Plan to be approved by the Board at its next meeting in April 2011.

## **9. Legal Implications**

- 9.1 The Trust's solicitor was invited to comment on this report.
- 9.2 LBH Head of Legal Services was invited to comment on this report.

## **10. Financial Implications**

- 10.1 LBH Chief Financial Officer notes the contents of the report.


## **11. Use of Appendices/Tables/Photographs**

- 11.1 None





Agenda item:

<b>Alexandra Palace &amp; Park Board</b>	<b>on 21<sup>st</sup> December 2010</b>
Report Title: <b>Bespoke Code of Governance (Part 2)</b>	
Report of: <b>Andrew Gill, Interim General Manager, Alexandra Palace &amp; Park Charitable Trust</b>	
<p><b>1. Purpose</b></p> <p>1.1 To update the Board on progress in making the NCVO Code of Governance bespoke to Alexandra Park &amp; Palace Charitable Trust in the form of the Trustee Handbook.</p> <p>1.2 To advise the Board of the publication of a new version of the NCVO Code of Good Governance.</p>	
<p><b>2. Recommendations</b></p> <p>2.1 That the Board approves the proposal that it does not adopt the refashioned NCVO Code of Good Governance at this juncture.</p> <p>2.2 That the Board considers whether to adopt the refashioned Code at a future date and that this may be the subject of a "Good Governance" Away Day for the Board following the induction of any new Trustees in May or June 2011.</p> <p>2.3 That the Board approves the proposed approach to continuing work on the remainder of the documents comprising the Trustee Handbook including the Trustee Code of Conduct and Declaration of Interest, a new Conflict of Interest Policy and terms of reference for a new Sub-Committee of the Board centring on Audit, Finance and Human Resources issues</p> <p>2.4 That the Board provides guidance to the IGM as it deems appropriate regarding the further development of the Trustee Handbook.</p>	
Report Authorised by: <b>Andrew Gill, Interim General Manager</b>	
Contact Officer: <b>Andrew Gill, Interim General Manager, Alexandra Palace &amp; Park, Alexandra Palace Way, Wood Green N22 7AY Tel No. 020 8365 4340.</b>	
<p><b>3. Executive Summary</b></p> <p>3.1 This report updates the Board on progress in making the NCVO Code of Governance bespoke to Alexandra Park &amp; Palace Charitable Trust.</p> <p>3.2 A refashioned version of the Code was published on 19 October 2010. The refashioned version broadly reflects the same key principles as the previous 2005 version.</p> <p>3.3 Reviewing governance should be an ongoing process, and good practice is always</p>	

evolving.

- 3.4 It is proposed that the Board does not adopt the refashioned Code at this juncture, but that work continues by the IGM on the remainder of the documents including the Trustee Code of Conduct and Declaration Of Interest and a new Conflict of Interest Policy.
- 3.5 A sample of the Trustee Handbook will be available for Board Members to inspect at the meeting on 21 December.
- 3.6 The key documents that comprise the Trustee Handbook are all in final form and will be available to download from the Alexandra Park & Palace web site.
- 3.7 The Board may wish to consider adopting the refashioned Code at a future date and the IGM proposes that this be the subject of a “Good Governance” Away Day for the Board following the induction of any new Trustees in May or June 2011.

**4. Reasons for any change in policy or for new policy development (if applicable)**

- 4.1 Resolutions made by the Board on 2 March 2010 and 14 October 2010.

**5. Local Government (Access to Information) Act 1985**

- 5.1 NCVO Code of Good Governance
- 5.2 Codes of Conduct for Trustees by Charity Trustee Networks

**6. Description**

- 6.1 Following its work with Stakeholders during the Review of Governance and Vision in 2009 and early 2010, the Board at its meeting on 2 March 2010 resolved that the NCVO Good Governance Code (henceforth referred to as “the Code”) and the Key Principles of the Code be endorsed and adopted subject to the provisions of Haringey Council’s Constitution as they apply to the Alexandra Palace and Park Board and its officers.
- 6.2 At its meeting on 14 October 2010 the Board resolved;
  - 6.2.1 That approval be given to the proposed exemptions from the NCVO Code of Governance as listed at section 6.9 of the report;
  - 6.2.2 That approval be given to the proposed approach to the integration of the NCVO code with the existing governing documents of APPCT and ancillary documents as listed in the report and that the suite of documents shall collectively be known as the Trustee Handbook;
  - 6.2.3 That approval be given in principle to the adoption of a Code of Conduct for Trustees and the provision of such guidance as appropriate on the content of such a code.
  - 6.2.4 That approval be given to the creation of a Sub-Committee of the Alexandra Palace and Park Board to enable compliance with the Code of Good Governance as outlined in section 6.10 of the report, with the terms of reference to be drawn up centring on Audit, Finance and Human Resources issues, and that the matter be further reported to the Board for consideration.
  - 6.2.5 That the Interim General Manager Alexandra Palace be instructed to progress the development and further drafting of the documents as necessary to present the Trustee Handbook to a future meeting of the Board for consideration.
- 6.3 Since the Board last considered this matter a refashioned version of the Code has been published. The revised version broadly reflects the same key principles as the previous 2005 version but it was felt that the language and style of the Code needed to be more accessible to a wider range of organisations, and that there should be a clearer separation between principles and examples of how to put those principles into practice. The Code steering group has prepared a frequently asked questions document about the Code and this is attached at Appendix 1 to this report.
- 6.4 The revised Code itself is attached at Appendix 2. The table below compares the key principles in both codes;

Table 1

	Key Principles 2005 Code	Key Principles 2010 Code
1	Board Leadership	Understanding their role
2	The Board in control	Ensuring delivery of organisational purpose
3	The High Performance Board	Working effectively both as individuals and as a team
4	Board Review and Renewal	Exercising effective control
5	Board Delegation	Behaving with integrity
6	Board and trustee Integrity	Being open and accountable
7	Board Openness	

- 6.5 It is proposed that the Board does not adopt the refashioned Code at this juncture.
- 6.6 The draft Code of Conduct for Trustees (based on the Code suggested by the Charity Trustee Networks) has been amended to reflect the constitutional position regarding the appointment and removal of Trustees from the Board.
- 6.7 The key documents that comprise the Trustee Handbook are all in final form and will be available to download from the Alexandra Park & Palace web site. A sample of the Trustee Handbook will be available for Board Members to inspect at the meeting on 21 December.
- 6.8 Reviewing governance should be an ongoing process, and good practice is always evolving. As it would be good practice to do so it is proposed by the IGM that work continues on the remainder of the documents including the Trustee Code of Conduct and Declaration Of Interest, a new Conflict of Interest Policy and terms of reference for a new Sub-Committee of the Board centring on Audit, Finance and Human Resources issues.
- 6.9 The Board may wish to consider adopting the refashioned Code at a future date and the IGM proposes that this be the subject of a “Good Governance” Away Day for the Board following the induction of any new Trustees in May or June 2011.

## 7 Consultation

- 7.1 There has been no specific consultation on this report beyond the work done by the Board with stakeholders during the Review of Governance and Vision in 2009 and early 2010.
- 7.2 Both the APP Statutory Advisory Committee and APP Consultative Committee have welcomed the adoption of the Code.

## 8 Recommendations

- 8.1 That the Board approves the proposal that it does not adopt the refashioned Code of Good Governance at this juncture.
- 8.2 That the Board considers whether to adopt the refashioned Code at a future date and that this may be the subject of a “Good Governance” Away Day for the Board following the induction of any new Trustees in May or June 2011.

- 8.3 That the Board approves the proposed approach to continuing work on the remainder of the documents comprising the Trustee Handbook including the Trustee Code of Conduct and Declaration of Interest, a new Conflict of Interest Policy and terms of reference for a new Sub-Committee of the Board centring on Audit, Finance and Human Resources issues.
- 8.4 That the Board provides guidance to the IGM as it deems appropriate regarding the further development of the Trustee Handbook.

## **9 Legal Implications**

- 9.1 The Trust's solicitor was invited to comment on this report.
- 9.2 LBH Head of Legal Services was invited to comment on this report.

## **10 Financial Implications**

- 10.1 LBH Chief Financial Officer notes the contents of the report.
- 10.2 There are no significant financial implications of this report. Most of the work involved in implementing the new Governing Documents will fall to the Trust's officers.

## **11 Use of Appendices/Tables/Photographs**

- 11.1 Table 1 – Key Principles in the 2005 and 2010 versions of the Code
- 11.2 Good Governance: a Code for the Voluntary and Community sector - Q and A sheet
- 11.3 Appendix 2 - NCVO Code of Good Governance (October 2010)

## **APPENDIX 1**

### **Good Governance: a Code for the Voluntary and Community sector- Q and A v1.0**

As at 12<sup>th</sup> October 2010

#### **What is the Code?**

Good Governance: a Code for the Voluntary and Community sector (the Code) is a code of governance written specifically for voluntary and community organisations. It is a voluntary code which voluntary and community organisations are encouraged to sign up to show they are working towards a high standard of governance.

#### **Whose Code is it? Who wrote it?**

The Code was produced by the sector, for the sector. The original version was written in 2005 by the Code Steering Group and was published and promoted through the Governance Hub. The second version of the Code was published in October 2010, and once again has been written by the Code Steering Group following consultation with the sector.

#### **Why is there a new version of the Code?**

The Code published in 2005 was a 'first edition'. It was always the intention of the Code Steering Group to review its effectiveness after about 18 months. NFP Synergy was commissioned to carry out a review of the Code, which provided some important feedback about the strengths and weaknesses of the first edition. In particular, it was felt that the language and style of the Code needed to be more accessible to a wider range of organisations, and that there should be a clearer separation between principles and examples of how to put those principles into practice. Following a consultation with the wider sector in Autumn 2009 the Code steering group has 'refashioned' the Code.

#### **Who is the Code for?**

It is intended to be for all voluntary and community organisations, including charities, in England. The new version reflects the governance of organisations with employees, although the principles are generic and apply to all organisations. The Code Steering Group are also starting work on a new version for smaller, unstaffed voluntary and community organisations, due for launch in Spring 2011.

#### **Does it only apply in England, or does it apply to the rest of the UK?**

For historic reasons, the original Code was only promoted in England. We hope it will also prove useful to voluntary and community organisations in Wales, Scotland and Northern Ireland, but so far the Code has not been endorsed by any sector umbrella bodies in those countries. This is a possibility that we would like to explore in future.

#### **What if I want to create a Code specifically for my organisation or subsector?**

The Steering Group would love to hear from you! We hope that you will not need to change the principles, which are intended to work for all organisations, but we recognise that they will apply in different ways to each organisation and to groups of organisations that have purposes or structures in common. We aim to recognise and signpost sub-sectoral Codes that are based on the Code principles, as part of a wider 'Code family'. Recognition of the subsector Codes does not however mean that we will 'endorse' or accredit the individual Codes.

#### **What is the Code Steering Group?**

The Code Steering Group is made up of representatives of the organisations behind the Code, which have a particular interest in governance in the voluntary and community sector. These organisations (known as the Code Founding Group) are ACEVO, Charity Trustee Networks, ICOSA

and NCVO. The Steering Group has an independent chair, Lindsay Driscoll, and is attended by a representative the Charity Commission.

**How many organisations are using the Code?**

NFP Synergy's review of the Code (Review and development of the Code of Good Governance – June 2008) identified that 71% of CEOs and trustees who responded to their survey were aware of the Code, and 42% had used it.

**What has happened to the Code since the closure of the Governance Hub?**

Representatives from the organisations that originally wrote the Code have continued to work together as a Steering Group. Lindsay Driscoll was appointed as the Steering Group's independent Chair. They have worked to consult the sector and 'refashion' a new version of the Code which was published in October 2010. The Code Steering Group, are also starting work on a new version for small, unstaffed voluntary and community organisations, due for launch in Spring 2011. They are also creating a new website to host the Code and supporting information.

**How has the Code changed?**

The Steering Group has always aimed to retain the ethos and key principles underpinning the original Code, building on and developing them. We have been informed by the NFP Synergy review and consultation with Code users as well as recent economic events and new thinking in governance. As a result, the second edition looks very different – the principles are worded differently; there is also less emphasis on *what* to do, and more on *why* good governance matters and *why* you should tailor it to fit your organisation.

**We comply with the original version of the Code. How do we transfer to the new Code?**

Reviewing your governance should be an ongoing process, and good practice is always evolving. Nothing you are currently doing will suddenly become 'wrong', but next time you use the Code, hopefully the new edition will help you to look at things in a different way. [see also the answer to the next question]

**Is the original version now invalid? How does this affect my own charity?**

Our intention is to make the Code easier to use and understand. We don't believe that we are fundamentally changing the key principles on which it is based. Any organisations that have adopted the Code and are used to the 'first edition' are welcome to continue using it, but we will no longer be providing or developing supporting documentation (e.g. toolkits) based on it. We will continue to recognise adopters of the 'first edition' for the foreseeable future, and adoption of the Code is a purely voluntary process.

**What if I have feedback about the new version of the Code?**

The Steering Group always welcomed feedback on the Code. We will consider any feedback and aim to answer any questions. We are hoping, however, that we won't need to make any further revisions to the Code for at least a couple of years!

**We signed up to the original Code. Can we sign up to the new Code?**

We are hoping to have this facility again once the website is [fully] up and running, together with case studies submitted by Code users. We need to think through some of the practicalities though; watch this space!

**What help and support can we get to comply with the Code?**

The Steering Group recognises that it would be desirable to develop toolkits and signpost guidance on good governance, but at present we have no resources and no staff – everything has been done by voluntary effort and through the good will of the Founding Group organisations and other Code supporters, for which we are all very grateful. This will be something that we need to consider further in the near future.



# Good Governance

A Code for the  
Voluntary and  
Community Sector



Second edition:  
October 2010

**Produced by the Code Steering Group  
on behalf of:**

Association of Chief Executives of Voluntary  
Organisations  
Charity Trustee Networks  
Institute of Chartered Secretaries  
and Administrators  
National Council for Voluntary Organisations

With thanks to the Charity Commission

The Governance Code Steering Group  
would like to offer their thanks to all those that  
kindly contributed to the development of this  
second edition

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# Good Governance

A Code for the  
Voluntary and  
Community Sector



# Foreword

**Dame Suzi Leather**  
**Chair, Charity Commission**

Charities and other voluntary and community organisations play a vital role in our lives and they command enormous public trust and confidence. This is reflected in the generosity with which people in Britain give their time and money to charities they support.

Trustees and board members therefore carry an important responsibility to manage their organisations and deliver on their objectives in a way that enhances that public trust and support.

The central importance of good governance to all sectors of the economy is now clearer than ever. The crisis which beset our financial system has highlighted how dangerous a tick-box approach can be. Truly good governance has to be lived. Each and every trustee and board member needs to embrace its values, and apply them to the particular needs and circumstances of their organisation.

This is why I'm delighted to support the second edition of Good Governance: a Code for the Voluntary and Community sector, which focuses on the key principles that trustees and board members should follow and provides clear information about what those principles imply in practice.

Like the first edition, this code is drafted by the sector, for the sector. It therefore carries genuine authority and authenticity. This is reflected by the large number of charities and other voluntary organisations that welcomed and adopted the first edition. Given the size, range and diversity of the sector, that is a great achievement.

I am confident that this edition will reach an even wider audience, not least because it is more accessible to smaller, volunteer-run organisations and to less experienced boards. I commend the authors for their use of clear, jargon-free language and the intuitive way in which they summarise the key principles of good governance.

# Development of the Code of Governance

**Governance is high on the agenda in all sectors – public, private and voluntary. As voluntary and community organisations driven by altruistic values and working for public benefit, we are increasingly expected to demonstrate how well we are governed. Good governance is a vital part of how voluntary and community organisations operate and are held accountable.**

Other sectors have developed codes over the past decade, including those prepared by the National Housing Federation, Co-operatives UK and HEFCE. In the public sector, the Good Governance Standard for Public Services was introduced in 2004. And the private sector has its UK Corporate Governance Code, which builds on the work of the Cadbury, Greenbury and Higgs inquiries and continues to be developed in light of recent governance failures.

The original Good Governance: a Code for the Voluntary and Community sector (the Code) arose from directly expressed needs in the sector. These came from organisations which wanted guidance to clarify the main principles of governance and to help them in decision making, accountability and the work of their boards. In response to these demands, a group of voluntary sector infrastructure associations, with the Charity Commission, came together and decided to work towards developing the Code. Vitally, the Code was developed by and for voluntary and community organisations.

The first Code was published in 2005 as a living document, with a commitment to update it as a result of feedback from those organisations that engaged with it. The Governance Hub acted as guardian of the Code and developed a number of activities to raise awareness of, promote and support the principles of the Code and its implementation by the sector. A major contribution by the Governance Hub was the commissioning of research into the Code and recommendations for its ongoing development.

There has also been new governance thinking arising out of the economic downturn; proportionate governance and behavioural governance. This has led the original code founders to consult on, and publish, a second edition of the Code incorporating new thinking and comments from sector users. As before, feedback is welcomed as to how the Code is being used and how it could be improved.

# Using the Code

## TERMINOLOGY:

In the Code we have used the term “the board” to mean the organisation’s governing body. In your organisation it may be called the board (or board of directors or board of governors), the trustees, the management committee or some other name. It is the body with overall responsibility for governing the organisation, overseeing and controlling its management.

**The principles of good governance have been designed to be valid for the entire voluntary and community sector. All board members will need to have access to more detailed guidance on their legal duties. Charity trustees will also need to refer to Charity Commission guidance on charity law and regulation.**

The good governance characteristics included in this document enable organisations to assess whether they are following sound practice. Given the diversity of the sector, the good governance characteristics may not be applicable to every organisation. They are for guidance and for use in a way that encourages appropriate flexibility – but we anticipate that the ‘apply or explain’ principle will be adopted. If one good governance characteristic appears not to be valid in a particular setting; then an alternative may be sought, but organisations should be prepared to give reasons for that decision.

Other generic principles, for example Nolan (see Principle 5), applicable to virtually all organisations, are recognised as expected good practice and are complementary to these principles.

Specific types of organisations may want to develop this Code and amend it to suit their structure and activities. We welcome this, but urge that modified codes are validated by peer review to ensure they reflect good practice for that type of organisation.

This Code recognises that all organisations should (and frequently must) follow principles and practices that fully recognise diversity in all its forms including age, gender, faith, race, sexual orientation, disability, experience and thinking. Such principles do not feature separately; they are an integral part of good practice throughout any community or voluntary sector organisation.

This version of the Code includes references to employees and their roles in relation to governance. The principles have a universal application but we will develop a separate version in consultation with organisations that have no paid staff.

# Introduction

**Lindsay Driscoll**  
**Independent Chair,**  
**Governance Code Steering Group**

Good governance is essential for the success of any organisation and is now more important than ever. Board members play a vital role in serving their causes and communities. They bring passion and commitment as well as skills and experience to the organisations they lead.

Boards set the long term vision and protect the reputation and values of their organisations. To make a difference a board needs to have proper procedures and policies in place but it also needs to work well as a team and have good relationships within the organisation. The purpose of these principles is to assist board members to provide strong leadership, enhance their decision making and demonstrate their accountability. This will in turn assist the people and causes their organisations were set up to benefit.



The principles set out good practice but these are closely linked with the responsibilities of charity trustees and other legal requirements that may be imposed on board members. Under each principle we have highlighted the areas of law which we consider to be the most relevant.

The six high level principles are designed to be universal and applicable to all voluntary and community organisations. It is the practice and procedures which will vary according to the type and size of the organisation. To support the principles we have included good governance characteristics and set out why we consider the principles to be essential for good governance.

Underlying each principle is the additional principle of equality – that of ensuring equality, diversity and equality of treatment for all sections of the community. We believe that this is fundamental and an essential element of all six principles.

# The Principles

## – a summary

### Principle 1

*An effective board will provide good governance and leadership by understanding their role.*

**Members of the board will understand their role and responsibilities collectively and individually in relation to:**

- their legal duties
- their stewardship of assets
- the provisions of the governing document
- the external environment
- the total structure of the organisation

**and in terms of**

- setting and safeguarding the vision, values and reputation of the organisation
- overseeing the work of the organisation
- managing and supporting staff and volunteers, where applicable.

### Principle 2

*An effective board will provide good governance and leadership by ensuring delivery of organisational purpose.*

**The board will ensure that the organisation delivers its stated purposes or aims by:**

- ensuring organisational purposes remain relevant and valid
- developing and agreeing a long term strategy
- agreeing operational plans and budgets
- monitoring progress and spending against plan and budget
- evaluating results, assessing outcomes and impact
- reviewing and/or amending the plan and budget as appropriate.

### Principle 3

*An effective board will provide good governance and leadership by working effectively both as individuals and as a team.*

**The board will have a range of appropriate policies and procedures, knowledge, attitudes and behaviours to enable both individuals and the board to work effectively. These will include:**

- finding and recruiting new board members to meet the organisation's changing needs in relation to skills, experience and diversity
- providing suitable induction for new board members
- providing all board members with opportunities for training and development according to their needs
- periodically reviewing their performance both as individuals and as a team.

**An effective board will provide good governance and leadership by:**

1. understanding their role
2. ensuring delivery of organisational purpose
3. working effectively both as individuals and a team
4. exercising effective control
5. behaving with integrity
6. being open and accountable.

**Principle 4**

*An effective board will provide good governance and leadership by exercising effective control.*

**As the accountable body, the board will ensure that:**

- the organisation understands and complies with all legal and regulatory requirements that apply to it
- the organisation continues to have good internal financial and management controls
- it regularly identifies and reviews the major risks to which the organisation is exposed and has systems to manage those risks
- delegation to committees, staff and volunteers (as applicable) works effectively and the use of delegated authority is properly supervised.

**Principle 5**

*An effective board will provide good governance and leadership by behaving with integrity.*

**The board will:**

- safeguard and promote the organisation's reputation
- act according to high ethical standards
- identify, understand and manage conflicts of interest and loyalty
- maintain independence of decision making
- deliver impact that best meets the needs of beneficiaries.

**Principle 6**

*An effective board will provide good governance and leadership by being open and accountable.*

**The board will lead the organisation in being open and accountable, both internally and externally.**

**This will include:**

- open communications, informing people about the organisation and its work
- appropriate consultation on significant changes to the organisation's services or policies
- listening and responding to the views of supporters, funders, beneficiaries, service users and others with an interest in the organisation's work
- handling complaints constructively, impartially and effectively
- considering the organisation's responsibilities to the wider community, e.g. its environmental impact.

# Principle 1

*An effective board will provide good governance and leadership by understanding their role*

**Members of the board will understand their role and responsibilities collectively and individually in relation to:**

- their legal duties
- their stewardship of assets
- the provisions of the governing document
- the external environment
- the total structure of the organisation

**and in terms of:**

- setting and safeguarding the vision, values and reputation of the organisation
- overseeing the work of the organisation
- managing and supporting staff and volunteers, where applicable.

## Why?

Board members have a duty to act within the legal and regulatory frameworks that apply to them and the organisation. A full understanding of their role and responsibilities, the purpose and structure of the organisation itself and the external environment will help them to fulfil their legal duties and to lead and govern the organisation effectively.

The board should consider how it will set the culture of the organisation. They should lead by example, ensuring that individuals representing the organisation in any capacity do so in a way that positively reflects its values. The ethos and culture of the organisation should underpin the delivery of its activities or services and the achievement of its objects.

## Supporting material

**For charity trustees, this **must** include:**

- accepting ultimate responsibility for the way the organisation is directed and run in meeting its purposes
- being alert to those matters that cannot be delegated to individual board members or others
- acting at all times in the best interests of the organisation and its beneficiaries (see also Principle 5)
- ensuring the solvency and financial strength of the organisation



- safeguarding the organisation's assets and using them only in furtherance of its purposes
- taking a considered, proportionate and balanced approach to risk management
- acting reasonably in their decision making and leadership of the organisation
- recognising and respecting that all board members are equally responsible in law for the board's decisions
- complying with all relevant legislation and regulation applicable to the organisation and the activities it undertakes and making appropriate public statements to confirm that this is the case (see also Principle 4)
- ensuring that all board members are properly appointed and are not disqualified from so acting (see also Principle 3).

**Other important things to consider include:**

1. ensuring that the organisation provides every board member with all relevant information, including:
  - appropriate induction and training
  - copies of key documents such as the governing document and financial information
  - a generic role description for board members and further descriptions for any specific roles or functions (e.g. chair, treasurer, secretary)
  - guidance produced by regulators and other organisations
  - handbook of other helpful information, including a code of conduct

2. understanding and ensuring independence of board decision making and action (regardless of how individual board members were appointed) and putting the needs of beneficiaries ahead of any other interests (see also Principle 5)
3. establishing and periodically reviewing statements setting out the vision, mission and values of the organisation. Ensuring that these statements are developed in consultation with the organisation's stakeholders, that they accurately reflect the objects in the organisation's governing document, and are effectively communicated and easily understood outside the organisation
4. ensuring that all board members understand their relationship with, and responsibilities towards (as applicable):
  - beneficiaries or service users
  - staff, particularly senior staff
  - members
  - volunteers
  - committees, working groups and advisory groups
  - central office, branches, and local or regional offices
  - subsidiary trading companies
  - other organisations with which the organisation formally collaborates

5. being clear about what matters are strategic and what matters are operational in relation to board oversight of the organisation. Avoiding inappropriate involvement in operational matters but taking responsibility for challenging and holding to account senior managers (e.g. the chief executive, senior management team) or other persons, organisations or agencies to whom they have delegated implementation of their strategic decisions
6. where the organisation has a chief executive, following proper and formal arrangements for the chief executive's appointment, supervision, support, appraisal and remuneration. Being clear which board members are responsible for day to day communication with, and supervision of, the chief executive. Ensuring that the relationship between the board and the chief executive retains an appropriate balance of support, scrutiny and challenge
7. where board members also act as volunteers or employees, being clear about the capacity in which they are acting at any given time
8. ensuring that individual board members do not act on behalf of the board without authority
9. strategically reviewing all aspects of the organisation's work and functioning to ensure its overall effectiveness.

# Principle 2

*An effective board will provide good governance and leadership by ensuring delivery of organisational purpose.*

**The board will ensure that the organisation delivers its stated purposes or aims by:**

- ensuring organisational purposes remain relevant and valid
- developing and agreeing a long term strategy
- agreeing operational plans and budgets
- monitoring progress and spending against plan and budget
- evaluating results, assessing outcomes and impact
- reviewing and/or amending the plan and budget as appropriate.

## **Why?**

The organisation's aims or purposes are its reason for existing; it should aim to secure the optimum means of fulfilling them. To do otherwise would be failing its beneficiaries, funders and supporters. If board members are committed to the organisation's purpose, this should drive them to aim to do better for the organisation's beneficiaries or service users. The board should always bear this in mind, and make decisions in the best interests of the people or cause it aims to help. The board must also ensure that the organisation remains focussed on delivering its purposes and avoids "mission drift".

# 2

## Supporting material

### This **must** include:

- ensuring that all activities, services and functions, particularly new ones, match the stated objects of the organisation as defined primarily in the governing document
- for registered charities, having regard to the Charity Commission's guidance on public benefit and reporting on the organisation's public benefit in the statutory Annual Report.

### Other important things to consider include:

1. identifying and considering the range of data and information from both internal and external sources to help meet the needs of beneficiaries in line with the organisation's stated purposes
2. setting short, medium and long term goals and ensuring that organisation-wide strategies are in place to monitor and implement these

3. ensuring that the organisation's stakeholders are supportive of, and committed to, achieving these goals
4. aligning management reports of organisational activities to the appropriate powers and objects in the governing document
5. assessing service provision against relevant comparators (e.g. similar organisations, suitable quality standards), undertaking periodic reviews of services, and seeking stakeholder feedback where appropriate
6. providing board members with timely and regular management accounts, ensuring that all board members are in a position to read and understand them, in order to make informed decisions

7. the board and senior management team (where applicable) remaining alert to external and environmental factors that could result in the board having to consider whether –
  - the needs of beneficiaries are being met by the state, or the organisational purpose has been achieved in some other way, and therefore the organisation can be wound up or the purposes changed
  - the purposes could be better achieved through collaboration, or where appropriate, merging with one or more other organisation(s) with similar objectives
  - different ways of working may be required to meet the opportunities and challenges presented by developments within the field of operation, including the risk of missing opportunities
8. having systems in place to measure outcomes, assess impact and enable the board to ensure the organisation delivers its purpose and identify:
  - successes that the organisation can celebrate
  - areas for improvement
  - new opportunities.

# Principle 3

*An effective board will provide good governance and leadership by working effectively both as individuals and as a team.*

**The board will have a range of appropriate policies and procedures, knowledge, attitudes and behaviours to enable both individuals and the board to work effectively. These will include:**

- finding and recruiting new board members to meet the organisation's changing needs in relation to skills, experience and diversity
- providing suitable induction for new board members
- providing all board members with opportunities for training and development according to their needs
- periodically reviewing their performance both as individuals and as a team.

## Why?

To work in the best interests of the organisation and its beneficiaries, the board needs to recruit individuals who:

- together have a mixture of knowledge, skills and experience that is relevant to the organisation's circumstances and needs
- have the requisite characteristics and skills to work as a committed, effective and supportive team, whilst retaining independence of thought and the maturity and ability to challenge constructively
- embody diversity in its widest sense, strengthening decision making by bringing a broad range of backgrounds and perspectives.



3



## Supporting material

### This **must** include:

- complying with any qualifications and all requirements in the governing document concerning who/how many may be appointed as board members, terms of office and manner of appointment
- complying with any requirements in the governing document concerning board meetings
- ensuring that board members are, and remain, eligible to act and that appropriate checks have been carried out (this may include minimum age, statutory disqualification, and CRB checks where applicable; and requiring new board members to sign a declaration of eligibility and willingness to act).

### Other important things to consider include:

1. ensuring that the board meets often enough to be effective, that board members are well-prepared and committed to attending and contributing constructively, and that meetings have a well-structured agenda and good chairmanship
2. adhering to a code of conduct which sets out expected standards of behaviour and the consequences of inappropriate behaviour, ensuring that any potential sanctions are in line with the governing document
3. maintaining a strategy for board renewal that will meet the organisation's changing needs. This will cover maximum terms of office and succession planning, particularly for the chair and other key positions/skills
4. ensuring that beneficiaries and other stakeholders can contribute appropriately and meaningfully to decision making
5. ensuring that the board:
  - collectively provides a mixture of skills, experience, qualities and knowledge appropriate to the organisation and its beneficiaries' needs, using skills audit and other relevant tools as appropriate
  - takes an active and intelligent approach towards diversity, understanding the term in its widest sense, avoiding tokenism and using board diversity to support its effectiveness
  - is big enough to provide the skills and experience needed, but not so large that decision making becomes unwieldy
  - invests sufficient time in developing positive working relationships amongst themselves and (where applicable) between the board and senior staff, particularly the chief executive
  - acts quickly and positively to deal with any relationship strains or breakdowns, using external facilitation or mediation where appropriate
6. (where it is permitted by the governing document), using a range of ways to recruit board members (such as advertising) to encourage diversity; including formal recruitment procedures and making appointments based on merit, objectively measured against the agreed skills audit and role description
7. using provisions in the governing document for appointing board members effectively and intelligently, so that (where applicable) elections by members and nominations by external bodies are informed by the skills needs identified by the board, and any power of co-option is used to fill key gaps in board skills
8. where staff are permitted to become board members by the governing document or other legal power, ensuring that:
  - staff are only appointed as board members where this can be shown to be in the interests of the charity
  - conflicts of interest are identified and properly managed
  - there is clarity about individuals' roles as staff members and board members
9. setting aside time to reflect on performance and functioning of the board and its committees as teams, and identifying and dealing with any areas for improvement
10. supporting board members in their training and development, and to facilitate this, periodically reviewing the performance and development needs of each board member.

# Principle 4

*An effective board will provide good governance and leadership by exercising effective control.*

**As the accountable body, the board will ensure that:**

- the organisation understands and complies with all legal and regulatory requirements that apply to it
- the organisation continues to have good internal financial and management controls
- it regularly identifies and reviews the major risks to which the organisation is exposed and has systems to manage those risks
- delegation to committees, staff and volunteers (as applicable) works effectively and the use of delegated authority is properly supervised.

## Why?

The board are ultimately responsible for the decisions and actions of the organisation. Board members need to be assured that everyone acting in the organisation's name is complying with the board's directions and the requirements of law or regulation. Boards should provide direction, leadership and oversight without inappropriate involvement in operational matters. Delegation needs to be effectively supervised and monitored.



## Supporting material

### This **must** include:

- ensuring, through appropriate policies, procedures and reporting mechanisms, that the organisation understands and complies with all legal and regulatory requirements which apply to the organisation, including where applicable:
  - charity law and the requirements of charity regulators in any country where it operates
  - trust law
  - company law and the requirements of Companies House and other regulators (e.g. CIC regulator)
  - industrial and provident society law <sup>1</sup>
  - employment law
  - health and safety regulations
  - data protection legislation
  - equality legislation
  - legislation applying to particular activities, such as fundraising, protection of children or vulnerable adults, provision of health or care services, provision of financial advice, housing and tenancy law
- complying with relevant provisions in the governing document and relevant law concerning the exercise of powers of delegation by the board

- acting prudently to protect the reputation, assets and property of the organisation
- ensuring that the organisation's assets and property are used only to deliver its stated objects and aims.

### Other important things to consider include:

1. regularly reviewing the range and impact of risks the organisation faces, including the risk of missed opportunities and the potential of small risks to snowball into higher impact risks. Considering the impact of each identified risk on beneficiaries or service users, staff and volunteers, long term plans and income generation, and putting in place strategies to manage those risks. This will include having and regularly reviewing a risk register and appropriate risk policy outlining the board's appetite for risk and how it will manage and limit the impact of identified risks
2. maintaining and regularly reviewing the systems of financial controls, internal controls, performance reporting, policies and procedures, with the board periodically taking steps to assure itself of their effectiveness and relevance to the activities the organisation undertakes and the risks it faces
3. recognising and maximising the value of diversity within the board as a means of identifying and managing risks, especially as a way of challenging institutional assumptions and thinking
4. having clear written terms of reference for committees of the board, advisory groups and panels, and for all delegated authority, which provide sufficient delegated authority and clear boundaries to allow officers, committees, staff, volunteers, consultants and agents to discharge their duty effectively and which are regularly reviewed and updated
5. periodically reviewing the organisation's committee, advisory group and panel structure to ensure that it continues to meet the organisation's governance needs
6. allowing the proper exercise of delegated authority by the chief executive and/or other staff and volunteers without inappropriate interference, whilst being sufficiently involved and engaged to properly supervise, hold to account and retain ultimate responsibility for decisions and actions taken, through appropriate systems of monitoring and reporting back
7. taking appropriate professional advice where necessary before making important decisions, especially those involving material risk.

<sup>1</sup> To be known as Co-operative and Community Benefit Society Law in the future

# Principle 5

*An effective board will provide good governance and leadership by behaving with integrity.*

## The board will:

- safeguard and promote the organisation's reputation
- act according to high ethical standards
- identify, understand and manage conflicts of interest and loyalty
- maintain independence of decision making
- deliver impact that best meets the needs of beneficiaries.

## Why?

The board, both individually and collectively, have ultimate responsibility for the organisation's funds and assets, including its reputation. They take the lead in setting and championing the values and ethos of the organisation (see Principle 1). It is vital, therefore, that they maintain the respect of beneficiaries, other stakeholders and the public at large, by behaving with integrity both when acting as trustees and more generally. To behave otherwise risks bringing the charity and its work into disrepute.



5

## Supporting material

### This **must** include:

- having in place and scrupulously following governing document provisions, policies and procedures for identifying, declaring and managing conflicts of interest and conflicts of loyalty. Where board members have a material conflict of interest, managing this may include:
  - not voting on, or participating in, discussion of a matter
  - not being counted towards the quorum
  - withdrawing from that part of the meeting at which a matter is discussed
- if the organisation is a company, ensuring that it complies with company law on the management of conflicts of interest and conflicts of loyalty
- ensuring that the organisation complies with the requirements of ‘whistleblowing’ legislation
- managing relations and boundaries between the organisation and any subsidiary companies, especially where individuals act as board members for both entities
- always taking decisions in the best interests of the organisation and its beneficiaries, ensuring that
  - the decision is within the board’s powers
  - the board is acting in good faith
  - the board has adequately informed itself and is basing its decision on a range of data and information that provides sound understanding of all relevant factors
  - the board is not allowing itself to be swayed by irrelevant factors
  - the decision is within the range of reasonable options open to the board and can be justified as such to stakeholders and regulators

- complying with laws against bribery, including implementing policies and clear guidelines concerning hospitality or gifts, the declaration and recording of offers of gifts or hospitality, and in what circumstances such offers may be accepted or must be refused.
- complying with any statutory or regulatory requirements concerning reporting or disclosure of payments, expenses or other benefits that board members receive from the organisation

### Other important things to consider include:

1. ensuring that the organisation’s values and ethos are enshrined in its policies and practices
2. including standards of ethical behaviour, for example the Nolan Principles,<sup>2</sup> in the code of conduct for board members (see Principle 3)
3. fostering a working environment that supports constructive challenge and welcomes different points of view
4. maintaining a register of interests and declaring an interest even if the board member is unsure of its relevance and potential impact
5. being open and honest in all matters presented to the board where a personal or business relationship may be perceived to impact adversely on (or simply influence) the work of the board or the organisation
6. where possible, seeking to diversify income streams to help ensure that no single funder can exercise undue influence over the actions and decisions of the board
7. where board members or others act as spokespersons for the organisation, ensuring that their personal views are never confused with, or represented as being, those of the organisation
8. Board members and other representatives of the organisation should never accept gifts or hospitality where this could be perceived as being likely to influence their decisions
9. ensuring that any statement made on behalf of the organisation is consistent with its mission, vision and values
10. where board members are nominated or appointed by other bodies, being clear that the responsibility as a board member of this organisation is to act and make decisions in the interests of this organisations and its beneficiaries, and not as a delegate or representative of the appointing body
11. ensuring that all board members understand and accept the need to be transparent and honest in all dealings with or on behalf of the organisation, to avoid any public perception of improper conduct. This will include the establishment of an expenses policy and procedures to claim legitimate expenses incurred (see also Principle 6)
12. having in place appropriate policies and procedures for whistleblowing, including safeguards to protect individuals who whistleblow.

<sup>2</sup> The Seven Nolan Principles of Public Life are: selflessness, integrity, objectivity, accountability, openness, honesty and leadership

# Principle 6

*An effective board will provide good governance and leadership by being open and accountable.*

**The board will lead the organisation in being open and accountable, both internally and externally.**

**This will include:**

- open communications, informing people about the organisation and its work
- appropriate consultation on significant changes to the organisation's services or policies
- listening and responding to the views of supporters, funders, beneficiaries, service users and others with an interest in the organisation's work
- handling complaints constructively, impartially and effectively
- considering the organisation's responsibilities to the wider community, e.g. its environmental impact.

## **Why?**

Making accountability real, through genuine and open two-way communication that celebrates successes and demonstrates willingness to learn from mistakes, helps to build trust and confidence with stakeholders and to demonstrate legitimacy when representing them.

## 6

## Supporting material

### This must include:

- fully complying with any legal requirements to produce annual reports and accounts. These should present a balanced and accurate assessment of the organisation's performance
- holding an annual meeting for members or other stakeholders if required by the organisation's governing document
- complying with equality legislation
- complying with any applicable legal or regulatory requirements concerning membership records.

### Other important things to consider include:

1. identifying those with a legitimate interest in the organisation's work (users or beneficiaries, staff, volunteers, members, and other stakeholders) and ensuring that there is a strategy for regular and effective communication with them about the organisation's achievements and work, including the board's role and the organisation's objects and values
2. ensuring that these people have the opportunity to hold the board to account and know how to do this appropriately, and that their views inform the organisation's planning, decision making and strategic reviews
3. demonstrating that the organisation learns from mistakes and errors and how that learning is used to improve organisational performance and internal decision making. This could be by having clear and effective complaints procedures, implementing them constructively and using the process as a valuable source of management information
4. ensuring that the organisation upholds principles of equality and diversity in every sphere of activity, going beyond the legal minimum where appropriate. Information and meetings should be accessible to all sections of the community e.g. by using plain language, offering communications in formats such as audio and Braille and in languages commonly spoken in the communities served
5. in organisations where board members are appointed by a wide membership, ensuring that the organisation:
  - has clear policies on who is and is not eligible for membership of the organisation
  - has clear and accurate and up-to-date membership records
  - keeps members informed about the organisation's work
  - actively seeks, values and takes into account the views of members on key issues
  - encourages members to participate in the governance of the organisation, clearly informing them about the responsibilities of board membership
6. recognising and acting on broader organisational responsibility towards communities, wider society and the environment, in so far as this does not divert the organisation from achieving its objects.

# Founding group contacts

## Association of Chief Executives of Voluntary Organisations (ACEVO)

ACEVO connects, develops and represents the third sector's leaders which include chief executives, chairs, trustees, directors and senior managers.

1 New Oxford Street  
London, WC1A 1NU  
T: +44 (0) 20 7280 4960  
F: +44 (0) 20 7280 4989  
E: [info@acevo.org.uk](mailto:info@acevo.org.uk)  
W: <http://www.acevo.org.uk>

3 Albion Place  
Leeds, LS1 6JL  
T: +44 (0) 113 243 2333  
F: +44 (0) 207 280 4989

## Charity Commission

The Charity Commission for England and Wales is established by law as the regulator and registrar of charities in England and Wales. It aims to provide the best possible regulation of these charities in order to increase charities' efficiency and effectiveness and public confidence and trust in them.

Charity Commission Direct  
PO Box 1227, Liverpool  
L69 3UG  
T: 0845 3000 218  
F: 0151 7031 555  
E: [enquiries@charitycommission.gsi.gov.uk](mailto:enquiries@charitycommission.gsi.gov.uk)  
W: <http://www.charity-commission.gov.uk>

## Charity Trustee Networks (CTN)

CTN's vision is of positive, effective trustees governing voluntary and community sector organisations. It works to achieve this by:

- Increasing trustees' access to information, guidance and support through networks, a website, signposting and services
- Developing understanding and awareness of trusteeship and governance.

2nd Floor  
The Guildford Institute  
Ward Street, Guildford  
GU1 4LH  
T: 01483 230280  
W: <http://www.trusteenet.org.uk>

## Institute of Chartered Secretaries and Administrators (ICSA)

ICSA is the international qualifying and membership body for the Chartered Secretary profession and the world's leading authority on corporate governance.

16 Park Crescent  
London  
W1B 1AH  
T: (+44) 020 7580 4741  
F: (+44) 020 7323 1132  
E: [info@icsa.co.uk](mailto:info@icsa.co.uk)  
W: <http://www.icsa.org.uk>

## National Council for Voluntary Organisations (NCVO)

NCVO is the largest umbrella body giving voice and support to civil society in England. NCVO's Governance and Leadership team champions, supports and enables good governance and effective leadership in civil society organisations. They provide information and support, high quality publications, consultancy and a range of training and events.

Regent's Wharf  
8 All Saints Street  
London  
N1 9RL  
T: 020 7713 6161  
F: 020 7713 6300  
E: [ncvo@ncvo-vol.org.uk](mailto:ncvo@ncvo-vol.org.uk)  
W: <http://www.ncvo-vol.org.uk>



# Useful contacts

## bassac (British Association of Settlements and Social Action Centres)

Organise training and events, highlight funding opportunities, and offer tailored support to members. With members they drive social change by raising local issues at a regional and national level.

33 Corsham Street  
London  
N1 6DR  
T: 020 7336 9442  
F: 0845 241 0376  
E: [info@bassac.org.uk](mailto:info@bassac.org.uk)  
W: <http://www.bassac.org.uk>

## Black Training and Enterprise Group (BTEG)

The Black Training and Enterprise Group (BTEG) is a national organisation providing a voice to government for black and minority ethnic service providers.

2nd Floor, Lancaster House  
31-33 Islington High Street  
London  
N1 9LH  
T: 020 7843 6110  
F: 020 7833 1723  
E: [info@bteg.co.uk](mailto:info@bteg.co.uk)  
W: <http://www.bteg.co.uk>

## Centre for Effective Dispute Resolution (CEDR)

The Centre for Effective Dispute Resolution is an independent non-profit organisation with a public mission and supported by multinational business, law firms and public sector organisations.

International Dispute Resolution Centre  
70 Fleet Street  
London  
EC4Y 1EU  
T: +44 (0)20 7536 6000  
F: +44 (0)20 7536 6001  
E: [info@cedr.com](mailto:info@cedr.com)  
W: <http://www.cedr.co.uk>

## Charities Aid Foundation (CAF)

The Charities Aid Foundation is a registered charity that works to create greater value for charities and social enterprise. We do this by transforming the way donations are made and the way charitable funds are managed.

25 Kings Hill Avenue  
Kings Hill  
West Malling  
Kent ME19 4TA  
T: 03000 123 000  
F: 03000 123 001  
E: [enquiries@cafonline.org](mailto:enquiries@cafonline.org)  
W: <http://www.cafonline.org>

## Charities Evaluation Services

Charities Evaluation Services is the UK's leading provider of support and advice on quality and evaluation systems for the voluntary sector.

4 Coldbath Square  
London EC1R 5HL  
T: 020 7713 5722  
F: 020 7713 5692  
E: [enquiries@ces-vol.org.uk](mailto:enquiries@ces-vol.org.uk)  
W: <http://www.ces-vol.org.uk>

## Charity Commission for Northern Ireland

The Charities Act (Northern Ireland) 2008 created a new body: the Charity Commission for Northern Ireland which will have Commissioners and staff. It will establish a compulsory charity register of all charities operating in Northern Ireland. It will provide a charity test of who is and who isn't a charity.

W: <http://www.dsdni.gov.uk>

## Charity Finance Directors' Group (CFDG)

The Charity Finance Directors' Group is a membership organisation set up in 1987 and specialises in helping charities to manage their accounting, taxation, audit and other finance related functions.

3rd Floor  
Downstream Building  
1 London Bridge  
London  
SE1 9BG  
T: +44 (0)845 345 3192  
F: +44 (0)845 345 3193  
E: [info@cfdg.org.uk](mailto:info@cfdg.org.uk)  
W: <http://www.cfdg.org.uk/cfdg>

## Companies House

The main functions of Companies House are to incorporate and dissolve limited companies examine and store company information delivered under the Companies Act and related legislation and make this information available to the public.

Crown Way  
Maindy  
Cardiff  
CF14 3UZ  
T: +44 (0)303 1234 500  
F: 029 20380900  
E: [enquiries@companies-house.gov.uk](mailto:enquiries@companies-house.gov.uk)  
W: <http://www.companieshouse.gov.uk>

## Community Matters

Community Matters is the nationwide federation for community associations and similar organisations across the UK. Originally established as the National Federation of Community Associations in 1945, it has played a key role in promoting and supporting action by ordinary people in response to social, educational and recreational needs in their neighbourhoods and communities.

12-20 Baron Street  
London  
N1 9LL  
T: 020 7837 7887  
F: 020 7278 9253  
E: [info@communitymatters.org.uk](mailto:info@communitymatters.org.uk)  
W: [www.communitymatters.org.uk](http://www.communitymatters.org.uk)

## Directory of Social Change (DSC)

Directory of Social Change is an independent charity with a vision of an independent voluntary sector at the heart of social change. It provides essential information and training to the voluntary sector to enable charities to achieve their mission and runs courses and publishes charity and voluntary sector books on fundraising, management, organisational and personal development, communication, finance and law.

24 Stephenson Way  
London, NW1 2DP,  
T: 020 7391 4800  
F: 020 7391 4808  
E: [training@dsc.org.uk](mailto:training@dsc.org.uk)  
W: [www.dsc.org.uk](http://www.dsc.org.uk)

Federation House  
Hope Street, Liverpool, L1 9BW  
T: 0151 708 0117  
F: 0151 708 0139  
E: [research@dsc.org.uk](mailto:research@dsc.org.uk)

# Useful contacts continued

## Ethnic Minority Foundation (EMF)

The Ethnic Minority Foundation is a national registered charity created to improve the lives of Britain's minority ethnic communities and bring about social change. It aims to eradicate poverty, injustice and prejudice wherever they exist and promote instead prosperity, fairness and understanding.

Forbes House  
9 Artillery Lane  
London E1 7LP  
T: 020 7426 8950  
F: 020 7426 8429  
E: [enquiries@ethnicminorityfund.org.uk](mailto:enquiries@ethnicminorityfund.org.uk)  
W: [www.ethnicminorityfund.org.uk](http://www.ethnicminorityfund.org.uk)

## Institute of Fundraising

The Institute of Fundraising is the professional membership body for UK fundraising. Its mission is to support fundraisers, through leadership, representation, standards-setting and education, and it champions and promotes fundraising as a career choice.

Park Place  
12 Lawn Lane  
London  
SW8 1UD  
T: 020 7840 1000  
F: 020 7840 1001  
W: [www.institute-of-fundraising.org.uk](http://www.institute-of-fundraising.org.uk)

## Institute of Fundraising Scotland

22/1A Calton Road  
Edinburgh  
EH8 8DP  
T: 0131 557 2100

## Institute of Fundraising Cymru

1st Floor, 21 Cathedral Road  
Cardiff  
CF11 9HA  
T: 0292 034 0062

## National Association of Councils for Voluntary Action (NACVA)

NAVCA is the national voice of local third sector infrastructure in England. It aims to ensure communities are well served by the local third sector by supporting members and their work with over 160,000 local groups and organisations.

The Tower, 2 Furnival Square  
Sheffield, S1 4QL  
T: 0114 278 6636  
F: 0114 278 7004  
E: [navca@navca.org.uk](mailto:navca@navca.org.uk)  
W: <http://www.navca.org.uk>

## The Office of the Scottish Charity Regulator (OSCR)

OSCR is the independent regulator and registrar for Scottish charities. It regulates over 23,500 Scottish charities including community groups, religious charities, schools, universities, grant giving charities and major care providers.

2nd Floor, Quadrant House  
9 Riverside Drive, Dundee  
DD1 4NY  
T: 01382 220446  
E: [info@oscr.org.uk](mailto:info@oscr.org.uk)  
W: <http://www.oscr.org.uk>

## Public Concern at Work (PcaW)

Public Concern at Work is the independent authority on public interest whistleblowing.

Suite 301, 16 Baldwins Gardens  
London, EC1N 7RJ  
T: 020 7404 6609  
F: 020 7404 6576  
E: [whistle@pcaw.co.uk](mailto:whistle@pcaw.co.uk)  
W: <http://www.pcaw.co.uk>

## Skills – Third Sector

Skills - Third Sector is a sector-led, independent charity which helps ensure the third sector has the skills and learning it needs to do the best possible job.

Centre Court, Atlas Way  
Sheffield, S4 7QQ  
T: 0845 450 3860  
E: [info@skills-thirdsector.org.uk](mailto:info@skills-thirdsector.org.uk)  
W: <http://www.skills-thirdsector.org.uk>

## Volunteering England

Volunteering England works to support and increase the quality, quantity, impact and accessibility of volunteering throughout England.

Regents Wharf  
8 All Saints Street  
London N1 9RL  
United Kingdom  
T: +44 (0)845 305 6979  
F: +44 (0) 20 7520 8910  
E: [volunteering@volunteeringengland.org](mailto:volunteering@volunteeringengland.org)  
W: [www.volunteering.org.uk](http://www.volunteering.org.uk)

## The Work Foundation

The Work Foundation is the leading independent authority on work and its future. It aims to improve the quality of working life and the effectiveness of organisations by equipping leaders, policymakers and opinion-formers with evidence, advice, new thinking and networks.

W: [www.theworkfoundation.com](http://www.theworkfoundation.com)

# About the Code

The Code Steering Group provides stewardship for the Code. It is made up of representative of the original founders, the Association of Chief Executive Officers (ACEVO), Charity Trustee Networks (CTN), the Institute of Chartered Secretaries and Administrators (ICSA), the National Council for Voluntary Organisations (NCVO) with support from the Charity Commission and an independent chair.





**ACEVO**

1 New Oxford Street  
London WC1A 1NU

Charity Registration: 1114591

**CTN**

2nd Floor  
The Guildford Institute  
Ward Street  
Guildford GU1 4LH

Charity Registration: 1110979

**ICSA**

16 Park Crescent  
London W1B 1AH

**NCVO**

Regent's Wharf  
8 All Saints Street  
London N1 9RL

Charity Registration: 22592

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

Document is exempt

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