

## NOTICE OF MEETING

# ALEXANDRA PALACE AND PARK BOARD

**Tuesday, 20th February, 2018, 7.30 pm - The Londesborough Room,  
Alexandra Palace Way, Wood Green, London N22**

**Members:** Councillors Joanna Christophides (Chair), Ann Waters (Vice-Chair), Bob Hare, Jennifer Mann, Anne Stennett and Charles Wright

**Co-optees/Non Voting Members:** Nigel Willmott (Friends of the Alexandra Palace Theatre) (Non-voting), Val Paley (Palace View Residents' Association) (Non-voting) and Duncan Neill (Muswell Hill and Fortis Green Association) (Non-voting).

**Observer:** Jason Beazley (Three Avenues Residents Association (TARA),

Quorum: 3

### HOUSEKEEPING

#### 1. FILMING AT MEETINGS

Please note that this meeting may be filmed or recorded by the Council for live or subsequent broadcast via the Council's internet site or by anyone attending the meeting using any communication method. Although we ask members of the public recording, filming or reporting on the meeting not to include the public seating areas, members of the public attending the meeting should be aware that we cannot guarantee that they will not be filmed or recorded by others attending the meeting. Members of the public participating in the meeting (e.g. making deputations, asking questions, making oral protests) should be aware that they are likely to be filmed, recorded or reported on. By entering the meeting room and using the public seating area, you are consenting to being filmed and to the possible use of those images and sound recordings.

The chair of the meeting has the discretion to terminate or suspend filming or recording, if in his or her opinion continuation of the filming, recording or reporting would disrupt or prejudice the proceedings, infringe the rights of any individual or may lead to the breach of a legal obligation by the Council.

#### 2. APOLOGIES FOR ABSENCE

#### 3. 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 16 & 32 below).

#### **4. DECLARATIONS OF INTERESTS**

A member with a disclosable pecuniary interest or a prejudicial interest in a matter who attends a meeting of the authority at which the matter is considered:

- (i) must disclose the interest at the start of the meeting or when the interest becomes apparent, and
- (ii) may not participate in any discussion or vote on the matter and must withdraw from the meeting room.

A member who discloses at a meeting a disclosable pecuniary interest which is not registered in the Register of Members' Interests or the subject of a pending notification must notify the Monitoring Officer of the interest within 28 days of the disclosure.

Disclosable pecuniary interests, personal interests and prejudicial interests are defined at Paragraphs 5-7 and Appendix A of the Members' Code of Conduct.

#### **5. QUESTIONS, DEPUTATIONS OR PETITIONS**

To consider any questions, deputations or petitions received in accordance with Part 4, Section B29 of the Council's Constitution.

#### **STANDING ITEMS**

##### **6. MINUTES (PAGES 1 - 6)**

- i. To confirm the unrestricted minutes of the Alexandra Palace and Park Board held on 2 November 2017 as an accurate record of the proceedings.

##### **7. CHIEF EXECUTIVE OFFICER'S REPORT (PAGES 7 - 14)**

#### **ITEMS FOR APPROVAL**

##### **8. 2018/19 BUDGET OVERVIEW (PAGES 15 - 20)**

#### **ITEMS FOR INFORMATION**

##### **9. TRUST'S FINANCIAL RESULTS (PAGES 21 - 30)**

- 10. ARTS FESTIVAL CONTENT PRESENTATION**
- 11. FUNDRAISING UPDATE (PAGES 31 - 34)**

#### **POLICIES FOR REVIEW**

- 12. HEALTH AND SAFETY POLICY (PAGES 35 - 38)**
- 13. COMPLAINTS POLICY (PAGES 39 - 50)**
- 14. CONFLICTS OF INTEREST POLICY (PAGES 51 - 62)**
- 15. POLICIES REVIEW REGISTER (PAGES 63 - 64)**
- 16. NEW ITEMS OF URGENT BUSINESS**

To consider any items admitted at item 2 above.

- 17. EXCLUSION OF THE PUBLIC AND PRESS**

Items 18 onwards are likely to be subject of a motion to exclude the press and public from the meeting as they contain exempt information as defined in Section 100a of the Local Government Act 1972 (as amended); Paragraph 3 - information relating to the business or financial affairs of any particular person (including the authority holding that information).

#### **EXEMPT ITEMS FOR APPROVAL**

- 18. GOVERNANCE (PAGES 65 - 90)**
- 19. STRATEGIC RISK REGISTER (PAGES 91 - 104)**

#### **EXEMPT ITEMS FOR INFORMATION**

- 20. PROCUREMENT POLICY (PAGES 105 - 110)**

#### **EXEMPT REPORTS FOR INFORMATION**

- 21. LEARNING AND PARTICIPATION ZONE CONTRACT AWARD (PAGES 111 - 130)**
- 22. EXEMPT 2017/18 BUSINESS PLAN PROGRESS REPORT Q3 (PAGES 131 - 140)**
- 23. PAY REVIEW**

Verbal update.

**24. PENSIONS**

Verbal update.

**25. STRATEGIC VISION**

Verbal update.

**26. DRAFT FRAC MINUTES - 1ST FEB 2018 (PAGES 141 - 148)**

**27. DRAFT APTL MINUTES - 23RD OCT 2017 & 1ST FEB 2018 (PAGES 149 - 154)**

**28. EAST WING RESTORATION PROJECT PROGRAMME BOARD (PAGES 155 - 188)**

**29. BOARD WORK PROGRAMME (PAGES 189 - 190)**

**30. BOARD DECISIONS TRACKER (PAGES 191 - 194)**

**31. MINUTES (PAGES 195 - 204)**

To confirm the exempt minutes of the Alexandra Palace and Park Board held on 2<sup>nd</sup> November 2017 as an accurate record of the proceedings

**32. NEW ITEMS OF EXEMPT URGENT BUSINESS**

To consider any items admitted at 2 above.

**33. AOB**

**34. FUTURE MEETINGS**

15<sup>th</sup> March 2018 (extraordinary meeting – TBC).  
26<sup>th</sup> March 2018.

Philip Slawther, Principal Committee Co-ordinator  
Tel – 0208 489 2957  
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Bernie Ryan  
Assistant Director – Corporate Governance and Monitoring Officer  
River Park House, 225 High Road, Wood Green, N22 8HQ

Monday, 12 February 2018

**MINUTES OF THE MEETING OF THE ALEXANDRA PALACE AND  
PARK BOARD HELD ON THURSDAY, 2ND NOVEMBER, 2017,  
19:30**

**PRESENT:**

**Councillors: Joanna Christophides (Chair), Ann Waters (Vice-Chair),  
Bob Hare, Anne Stennett, Charles Wright.**

**Non-Voting Members: Nigel Willmott, Duncan Neill Jason Beazley and  
Val Paley**

**ALSO ATTENDING: Louise Stewart (CEO, APPCT), Emma Dagnes (Deputy CEO,  
APPCT), Philip Slawther (Democratic Services Officer, Haringey Council), Natalie  
Layton (Executive Assistant, APPCT)**

**149. FILMING AT MEETINGS**

The Chair referred those present to agenda Item 1 as shown on the agenda in respect of filming at this meeting and asked that those present reviewed and noted the information contained therein.

**150. APOLOGIES FOR ABSENCE**

There were no apologies for absence.

**151. URGENT BUSINESS**

The Chair advised the Board that there was one item of exempt urgent business, which had been circulated to Board members via email. This report would be considered under Item 34.

**152. DECLARATIONS OF INTERESTS**

Cllr Waters advised that she was previously a trustee of CUFOS for around 20 years.

Cllr Mann and Cllr Waters advised that they were members of the Planning Committee and declared a prejudicial interest in relation to Item 23 on planning application responses.

**153. QUESTIONS, DEPUTATIONS OR PETITIONS**

There were no questions, deputations or petitions.

**154. UPDATE ON MEMBERSHIP OF COMMITTEES**

The Chief Executive, introduced a report which set out the membership of Alexandra Park and Palace Charitable Trust Board, as well as setting out the membership of other Committees and Boards related to the APPCT for the financial year 2017/18.

**RESOLVED**

- I. To note membership of the Alexandra Park and Palace Advisory Committee, as set out in appendix 1 of the report;
- II. To note the membership of the Alexandra Park and Palace Consultative Committee, as set out in appendix 2 of the report;
- III. To note the membership of the Alexandra Palace Trading Limited Board, as set out in appendix 3 of the report;
- IV. To note the membership of the Finance, Risk and Audit Committee, as set out in appendix 4 of the report.

**155. MINUTES**

**RESOLVED**

The Board agreed the unrestricted minutes of the Alexandra Palace and Park Board held on 18<sup>th</sup> July 2017 as an accurate record of the meeting.

**156. CHIEF EXECUTIVE'S REPORT**

Louise Stewart, Chief Executive introduced a report which provided an update on current issues and projects at Alexandra Park and Palace, as set out.

The following arose from the discussion of the report:

- The Board noted its congratulations to the Parks team on the achievement of several awards as part of the London in Bloom Awards.
- *East Wing Restoration Project* – In response to a query about the hidden features found, the Board was advised that this related to informing Haringey's Planning service of the hidden sleeper walls which Board members were aware of. The Board also noted that the contractors working on the ceiling were due to submit their methodology to the management team by the end of the week.
- *Parks Update* - In response to a question about the 'Quick Jump' free fall section of the Go Ape course, the Board was advised that this was a four-storey drop whilst attached to a zip line.

The Board noted the information contained in the report.

**157. RISK MANAGEMENT POLICY**

Louise Stewart, Chief Executive introduced the report which sought approval of the Risk Management Policy.

The following arose from the discussion of the report:

- a. The Board requested that a further workshop on risk management be held in future, it was suggested that this coincide with the new Board membership in 2018/19.
- b. The Board suggested that the policy should state that the Board had final approval of which risks were contained in the Risk Register. The CEO agreed to amend the report accordingly. **(Action: Louise Stewart).**

## **RESOLVED**

That the Board approved the Risk Management Policy, subject to the amendment outlined above.

### **158. WHISTLE BLOWING POLICY**

Louise Stewart, Chief Executive introduced the report which sought approval of an amendment to the Whistleblowing policy adopted by the Board on 18<sup>th</sup> July 2017. The amended Whistleblowing policy incorporated new guidance on the Code of Practice for Fundraising.

## **RESOLVED**

That the Board approved the amended Whistleblowing Policy at Appendix 1 of the report.

### **159. OUTDOOR EVENTS MONITORING FRAMEWORK**

Louise Stewart, Chief Executive introduced the report which proposed an outdoor events monitoring framework to monitor and record the effect of events on the parkland, and the Trust's management of those impacts.

The following arose from discussion of the report:

- a. In response to a query, the senior management team advised that returning the park to its original condition within 48 hours of an event had always been an informal timescale that staff had worked towards, and that the framework formalised this timescale in writing.
- b. It was clarified that the KPI target of 80% was for each individual event.
- c. Noise monitoring was undertaken independently for each event as required by the licence conditions. This was recorded separately from the monitoring framework. Noise monitoring would be reported back to the SAC as part of the monitoring of the Parks Licence.
- d. The Board noted concerns around an increase in the number of events and the potential that this would increase the number of days that the park was being put back to normal.

## **RESOLVED**

- I. To approve the outdoor event monitoring framework;

- II. That overall performance be reported to the Board annually, with updates throughout the year as necessary to the Board and the Statutory Advisory Committee/ the Consultative Committee.

## **160. TRUST'S FINANCIAL RESULTS**

The Board considered a report which set out the results for Alexandra Park and Palace Charitable Trust for July 2017, including the annual forecast of incoming and outgoing resources.

The following matters arose from the discussion of the report:

- a. The Board sought assurances around APPCT being able to meet its liabilities. In response, the Director of Finance and Resources advised that the claims due would be paid on time. In addition, the Board was advised that the £4.467m cash held against the HLF Project account was more than the remainder of financial obligations for the current year.
- b. The Board noted that the variance against the construction fees regeneration budget line was largely as a result of a time-lag arising between the enabling phase to the main works phase.
- c. The Board requested that energy efficiency savings as a result of the lighting loan be shared with the Board. **(Action: Emma Dagnes).**
- d. The Board requested that figures be provided for the previous year's income and expenditure, as per appendix 1 of the report, which will be provided for comparison in future reports. **(Action: Dorota Dominiczak).**
- e. The Board requested that the East Wing Project Cash flow graph at appendix 2 of the report be amended to better differentiate the information contained therein. The Board also requested that the axis be labelled. **(Action: Dorota Dominiczak).**

### **RESOLVED**

The Board noted the information contained in the report

## **161. POLICIES REVIEW REGISTER**

### **RESOLVED**

That the Board approved the amended policy review register.

## **162. NEW ITEMS OF URGENT BUSINESS**

None.

## **163. EXCLUSION OF THE PRESS AND PUBLIC**

### **RESOLVED**



That the press and public be excluded from the meeting as agenda items 17-36 contained exempt information as defined in Schedule 12A of Part 1 Local Government Act 1972; Paragraph 3 - information relating to the business or financial affairs of any particular person (including the authority holding that information).

**164. FUNDRAISING UPDATE**

The Board received and noted the update.

**165. BBC WING FORWARD PLAN**

The recommendations in the report were approved.

**166. COST OF LIVING PAY AWARD**

The recommendations in the report were approved.

**167. CUFOS LEASE REPORT**

The recommendations in the report were approved.

**168. COLLECTIONS STRATEGY**

The recommendations in the report were approved.

**169. STRATEGIC RISK REGISTER**

The recommendations in the report were approved.

**170. GOVERNANCE REVIEW**

Noted

**171. PLANNING APPLICATION RESPONSES**

The recommendations in the report were approved.

**172. COLLECTIBLES**

Noted.

**173. ARTS FESTIVAL**

Noted

**174. EXEMPT 2017/18 BUSINESS PLAN PROGRESS REPORT Q2**

The recommendations in the report were approved.

**175. PENSIONS UPDATE**

Noted.

**176. BOARD WORK PROGRAMME**

Noted.

**177. BOARD DECISIONS TRACKER**

Noted.

**178. DRAFT FRAC MINUTES**

Noted.

**179. DRAFT APTL MINUTES**

Noted.

**180. EAST WING RESTORATION PROJECT PROGRAMME BOARD**

Noted.

**181. MINUTES**

The Board agreed the exempt minutes Alexandra Palace and Park Board held on 18<sup>th</sup> July 2017 as an accurate record of the proceedings

**182. NEW ITEMS OF EXEMPT URGENT BUSINESS**

Noted.

**183. ANY OTHER BUSINESS THE CHAIR CONSIDERS TO BE URGENT**

None

**184. FUTURE MEETINGS**

Future meeting dates are noted as:

- 20<sup>th</sup> February 2018
- 26<sup>th</sup> March 2018

CHAIR: Councillor Joanna Christophides

Signed by Chair .....

Date .....

# Alexandra Palace

## **ALEXANDRA PARK AND PALACE** **CHARITABLE TRUST BOARD** **20 FEBRUARY 2018**

**Report Title:** Chief Executive's Report

**Report Authorised by:** Louise Stewart, Chief Executive Officer, Alexandra Park and Palace Charitable Trust (APPCT)

Contact: Natalie Layton, Executive Assistant, APPCT  
Email: [Natalie.layton@alexandrapalace.com](mailto:Natalie.layton@alexandrapalace.com) , Telephone: 020 8365 4335

**Purpose:** To update the Board of Trustees on current issues and projects at Alexandra Park and Palace. It also provides additional information on the events programme and a range of activities of the Charitable Trust.

### **Local Government (Access to Information) Act 1985**

N/A

#### **1. Recommendations**

1.1 To note the report.

#### **2. East Wing Restoration Project**

2.1 Works are progressing with the delivery of the Project to the East Court, Theatre, Theatre Foyer and North East Tower. The completion date remains as summer 2018.

2.2 Following the completion of the Collections Strategy the team have now commenced work on an Interpretation Strategy. This will establish a framework and methods for encouraging public engagement and connection with our heritage; the archive, objects, stories and the property itself. Having a clear documented strategy will assist with funding applications to trusts and foundations.

2.3 The Creative Learning Team continue to deliver the extensive programme of activities funded by HLF.

2.4 The Trust continues to work with the Principal Conservation Officer and Historic England, keeping them up to date on progress, and informing them of any discoveries

made on site (i.e. hidden features). The Principal Conservation Officer has recently visited the Palace to inspect the progress of works. Working with the Contractor, the Trust provides a monthly update to the Economic Development Team at Haringey Council on employment and training figures, particularly with regard to the number of local people on site.

- 2.5 Listed Building consent conditions continue to be discharged as the project progresses.
- 2.6 Listed Building Consent for the lighting of the mast was granted in October with a condition of it being lit no more than 120 times per calendar year. The Trust keeps a record of dates the mast is lit.
- 2.7 Learning and Participation (Creative Learning Team) Update

Following workshops exploring vision and values for the department it has been agreed that the team is renamed as the Creative Learning Team.

### 2.7.1 Learning Zone Thinking Day

The Creative Learning Team have been working with the architects FCBS on the plans for the Learning Zone in the East Court. The team held a session with the architects and potential users for the Learning Zone, including representatives from the Alzheimer's Society, Primary and Secondary school teachers, learning practitioners, Haringey Shed, and Disabled Go, amongst others. It was really useful for representatives from FCBS to hear from users to help shape the design.

The team have also been visiting other sites such as the Learning Zones at Samsung, Dulwich Picture Gallery, Horniman, and the V&A.

### 2.7.2 Future Planning

- a. The department is working through the Arts Council Evaluation for Quality Learning For All training, Quality Principals and Self Evaluation Toolkit to be completed in January 2018.
- b. The Creative Learning Team are currently exploring best practice evaluation techniques – for example Sara Assadulla Associate at InsightShare who has developed a participatory method for engagement using participatory video and storytelling for monitoring, evaluation and learning.
- c. Staff have continued to develop networks within the cultural learning sector including attending;
  - Museums as Spaces for Wellbeing - 2 Day Training London Region, Geffrye Museum
  - The Creative Role of Research - Launch event, King's College
  - Influencing and advocacy training, Museum of London
  - Exploring Outreach Workshop with flourishing lives coalition, Claremont Project.

- d. The team have visited a number of organisations to explore best practice; particularly South Bank L&P team, London Transport Museum, RADA outreach, National Portrait Gallery, The Guardian Learn Discovery Learning and the V&A.
- e. The team have staff representation on the following professional forums and steering groups, including Haringey Music Services, Haringey Volunteer Forum, Museums of North London, Haringey Health and Wellbeing Forum, Creative Barking and Dagenham Steering Group and Barking and Dagenham Cultural Partnership, Barking and Dagenham Cultural Education Partnership (CEP) and London Heritage Volunteers Managers Network.

### 2.7.3 Projects, Activities and Events

#### a. Schools Programme Highlight

The team ran our first Creative Careers Session on the 21st November with a Fake News Conference with Jonathan Freedland (Guardian), Mark Frankel (BBC) and James Rodgers (City University). Feedback from the schools attending was really positive and there is definitely an appetite for these types of events moving forward. 110 pupils attending from 4 schools (3 Haringey & 1 Barnet)

#### b. Wellbeing Programme Highlights

- The team are working with Abigail Hirsch (designer for the Sensory Backpacks at the V&A) to develop a sensory suitcase to take into care homes. Launch is planned for February 2018. This will be a volunteer led activity.
- In October, Wave (We are All Valued Equally) Café pop up launched on the 16th of November. 100 people attended. This will develop into a monthly pop up in the B&K until East Court opens.

### 2.7.4 Volunteer Programme

- a. A new steering group led by volunteers has been set up to draft and review the volunteering policies and procedures at APPCT.
- b. The Volunteer Coordinator is developing a new partnership with Harington SEN college unit to develop an Assisted Volunteer programme.
- c. Four training sessions have been offered to support our ongoing volunteering programme. These were: customer service, tour guiding in challenging spaces and two collections research training. Total number of volunteers trained so far is 28.

## 2.8 BBC Studios

2.8.1 The Board have agreed in principle an outline high level plan for the next steps in relation to the BBC Studios, attached at Appendix 1. However the Board agreed that due to the limited capacity of the team and lack of confirmed resource to progress the BBC Studios the plan could not commence or be developed further until the current East Wing and West Yard capital projects were completed. The workshop/s mentioned at the last SAC/CC are included in that plan, but there is no detail underneath that at present.

2.8.2 However there is an element of HLF funding within the re-scoped East Wing project that is for the development of the BBC Story and its interpretation. The team are exploring different interpretation techniques such as virtual and augmented reality, working with software partners to test the suitability and capability of the different technologies.

## 3. **West Yard Storage Project**

3.1 The North West Tower is nearly complete. Many of the windows have been restored and will be fully working again.

3.2 The main storage area is slightly behind programme but was watertight by Christmas and aims to be ready for use early in the New Year.

3.3 The project has experienced further delays as a result of a number of issues. The Project is expected to be complete in March 2018.

3.4 Consent was granted in December 2017 to our Contractor to relocate the storm water drainage attenuation tank from beneath the West Yard to the North Yard.

## 4. **Events**

### 4.1 Park Licence

4.1.1 Alexandra Palace has received the park premises license with agreed conditions, which cover all points noted at the licensing hearing.

4.1.2 Since the external event licence was granted around 130,000 people have attended events within Alexandra Park. Over this time there have been 7 recorded noise complaints from residents, four of these were from the Red Bull Soap Box Derby in July, two from the Alexandra Palace Summer Festival and one from the Fireworks Festival. No action was deemed to be necessary as a result of these complaints.

## 4.2 Q3 Events

- 4.2.1 In October we held two major exhibitions Knitting & Stitching and Mind, body & Soul attracting over 55,000 visitors
- 4.2.2 Alexandra Palace annual Fireworks Festival took place on 3<sup>rd</sup> & 4<sup>th</sup> November and was attended by over 90,000 people. Of those surveyed 83.4% would recommend the event to a friend and 89% rated the display either excellent or good. In addition more than 100,000 music fans enjoyed 12 concerts including performances from Liam Gallagher and Royal Blood plus the annual PDC darts tournament broadcast live on Sky Sports.

## 4.3 Future Events

- 4.3.1 Although reported in previous meetings, the organisation is not pursuing zip wire proposals at this time.
- 4.3.2 The Kaleidoscope Arts Festival will take place on 21<sup>st</sup> July 2018 across the south slopes and within the venue. A letter has been sent to local residents giving a basic summary of the event and stating that more information will be available nearer the time. The event launched to the public on 18<sup>th</sup> January, with tickets on sale on 6<sup>th</sup> February.
- 4.3.3 The table attached at Appendix 1 summarises the public events scheduled until the end of Q4 (end of March 2018). All special requirements are discussed in detail at production meetings and at Safety Advisory Group meetings, as appropriate. Updates since the last report are highlighted in bold type.

## 4.4 New Year's Eve Road Closure

- 4.4.1 In light of anti-social behaviour and the blocking of Alexandra Palace Way previously on New Year's a road closure was put in place this year from 21.00-02.00. This eradicated the on site congestion caused by vehicles stopping and parking. Antisocial behaviour was down on previous years but there were some incidents of people letting off fireworks across the site. Police support was available to assist the road closure. There were no reported issues at the road closure points at either end of AP Way. No complaints were received about any parking issues in neighbouring streets.
- 4.4.2 Using the data logger on the Avenue gate as a proxy measure of visitor numbers on New Year's Eve it is estimated that there was a 15% increase in visitors on 2016 and a 92% increase since the data logger was installed in 2013.

## 5. **Park Update**

- 5.1 Go Ape have opened their second Tree Top Adventure Course. Reinstatement of the ground should take place in the early spring, if weather permits.
- 5.2 The very wet and stormy weather has been challenging, worsening the existing problem caused by poor drainage. More swales have been created in an attempt to

direct the water and reduce the inconvenience it causes, but substantial investment is required to provide long-term solutions.

- 5.3 Park visitor numbers have increased. Using a set of assumptions to estimate visitor numbers from the data collected by the automatic loggers the number of Park visitors in 2017 was 3.33 million, this is an increase from 2.88 million in 2016.
- 5.4 Improvements have been made in the children's play area. The rubber surfacing has been repaired and replaced, spare parts for the climbing frames have been installed and the rear of the embankment has been soiled, seeded and fenced to combat erosion problems.
- 5.5 Two substantial repairs have been made on Alexandra Palace Way. At the east end of the road, a manhole cover was displaced in late October. The frame, cover and brickwork had to be replaced. Adjacent to the Palace a 25 square metre area was excavated, pipework reconnected and the speed hump repaired. Some of the excavated macadam was recycled on site to improve ground conditions in the depot.
- 5.6 The Park Manager and the Friends of Alexandra Park have been working on a mini-action plan for the Butterfly Meadow on the south slope. This area is a sheltered, acidic open area, populated with yellow-ants and interesting meadow plants. Volunteers from the Friends Group have been digging out the roots of the invading brambles and removing undesirable tree saplings. Students from Capel Manor College may be undertaking tree removal as part of their training (at no cost to the Trust) in January-February 2018.
- 5.7 Four new commemorative benches have been secured, continuing the gradual improvement of the quality of the stock of Park benches around site.

## **6. Legal Implications**

- 6.1 The Council's Assistant Director of Corporate Governance has been consulted in the preparation of this report, and has no comments.

## **7. Financial Implications**

- 7.1 The Council's Chief Financial Officer has been consulted in the preparation of this report, and has no comments.

## **9. Use of Appendices**

Appendix 1 – Events Schedule Q4



## Appendix 1 – CEO’s Report – Quarter 4 Events

Event	Event Type	Date (tenancy)	Date (event open)	Special requirements
World Snooker	Sport	9 - 23.1.18	14 – 21.1.18	
Model Engineering	Exhibition	18 – 21.1.18	19 – 21.1.18	Box Office in the West Corridor
Ping Pong	Sport	24 – 29.1.18	27 – 28.1.18	
Excursions	Exhibition	26 – 27.1.18	27.1.18	
Toolfair	Exhibition	29 – 1.2.18	31.1.18	
Commercial (Car)	Film Shoot	Feb	Provisional enquiry	Partial road closure in front of building. Vehicle access will still be maintained.
Architects	Concert	03.02.18	03.02.18	
Vegan	Exhibition	08 – 11.02.18	10 – 11.2.18	
Chain Smokers	Concert	14.2.18	14.2.18	
Antiques	Exhibition	17 – 18.02.18	18.2.18	
Fatboy Slim	Concert	24.2.18	24.2.18	
RYA	Exhibition	1 – 4.3.18	3 – 4.3.18	
Rag n Bone Man	Concert	8.3.18	8.3.18	
Morrissey	Concert	9.3.18	9.3.18	No meat products in the venue
Everything Everything	Concert	10.3.18	10.3.18	
ASOS Conference	Conference	13 – 15.3.18	14.3.18	
All Time Low	Concert	17.3.18	17.3.18	
Festival of Railway Engineering	Exhibition	22 – 25.3.18	24 – 25.3.18	
Springfest	Internal Event	29 – 31.3.18	30 – 31.3.18	
Wombats	Concert	27.3.18	27.3.18	

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# Alexandra Palace

## **ALEXANDRA PARK AND PALACE** **CHARITABLE TRUST BOARD**

**20<sup>th</sup> February 2018**

**Report Title:** Alexandra Park and Palace Charitable Trust Financial – 2018-19 draft Budget overview

**Report of:** Dorota Dominiczak, Director of Finance and Resources

**Report Authorised by:** Louise Stewart, Chief Executive Officer, Alexandra Park and Palace Charitable Trust (APPCT)

**Purpose:** This paper sets out the draft 2018-19 Budget for Alexandra Park and Palace Charitable Trust.

### **Local Government (Access to Information) Act 1985**

N/A

#### **1. Recommendations**

To note and comment on the draft APPCT Budget. The final 2018-19 Budget for approval will be presented to the Board in March 2018.

#### **2. Executive Summary of 2018-19 Budget**

- 2.1 The Statement of Incoming and Outgoing Resources (Table 1) illustrates various activities undertaken by the Trust, including revenue and capital, funded from unrestricted income, restricted grants and loans. The table demonstrates changes in the level of different activities and their financial impact on the Trust.
- 2.2 The 2018-19 incoming resources are £4,765,000; included in this amount are unrestricted funds of £3,545,000; £470,000 is for restricted use to support capital maintenance of the Palace and Park; and £750,000 is the underwritten balance of the fundraising campaign for the Restoration project. In addition to these sources of annual funding the Trust will also draw funds from its reserves which at the end of 2017-18 are estimated to be £9.7m. The reserves brought forward (estimated at £9.7m in total) are represented mainly by the HLF funds committed to the Regeneration Project (restricted). The unrestricted reserves remain at a very low level as the Trust expends all of its unrestricted funding on the maintenance of the Park and Palace.

- 2.3 Against these reserves the Trust has budgeted a spend of £10.7m on direct charitable expenditure, fundraising activities, strategic leadership and support costs and capital projects.

### 3. Table 1 - Statement of Incoming and Outgoing Resources – 2017-18 forecast

APPCT At Month Ending 30th November 2017	Year 2017/18 Budget £	Year 2017/18 Forecast £	Year 2018/19 Budget £
<b>Income</b>			
Unrestricted	3,409,217	3,413,297	3,545,052
Capital Fund	470,000	470,000	470,000
East Wing & Activity Plan	0	153,066	750,000
<b>Total Incoming Resources</b>	<b>3,879,217</b>	<b>4,036,363</b>	<b>4,765,052</b>
<b>Direct Charitable Expenditure</b>			
Running and maintaining the Park	(528,704)	(534,440)	(556,125)
Running and maintaining the Palace	(2,239,463)	(2,218,714)	(2,186,650)
Creative Learning	(23,042)	(20,304)	(25,024)
Regeneration	(219,494)	(223,276)	(251,629)
West Yard Storage	(1,664,912)	(1,665,761)	(108,000)
East Wing & Activity Plan	(15,925,780)	(15,828,450)	(6,863,407)
<b>Direct Charitable Expenditure</b>	<b>(20,601,395)</b>	<b>(20,490,946)</b>	<b>(9,990,826)</b>
<b>Raising funds</b>	<b>(115,079)</b>	<b>(115,106)</b>	<b>(132,700)</b>
<b>Strategic Leadership</b>	<b>(349,095)</b>	<b>(351,850)</b>	<b>(352,041)</b>
<b>Support Costs</b>	<b>(177,139)</b>	<b>(192,295)</b>	<b>(214,701)</b>
<b>Total Outgoing Resources</b>	<b>(21,242,708)</b>	<b>(21,150,196)</b>	<b>(10,690,267)</b>
<b>Net Movement in Trust Funds</b>	<b>(17,363,491)</b>	<b>(17,113,833)</b>	<b>(5,925,215)</b>
<b>Balance Sheet extract:</b>	<b>1 April 2017</b>	<b>30 Nov 2017</b>	<b>31 Mar 2018</b>
	£	£	£
<b>Resources available as total Reserves</b>	<b>27,052,451</b>	<b>20,464,620</b>	
<b>Including:</b>	£	£	
HLF Grant Claims due	18,674,168	13,529,891	
<b>Estimated Reserves at 31 March 2018</b>			<b>£9,688,960</b>

## 4. Incoming, Funding and Loans

### 4.1 Table 2 – 2017-18 Income - breakdown

APPCT	Trust's total income		
	Budget	Forecast	Budget
	2017-18	2017-18	2018-19
<b>Trust Income</b>	£	£	£
HC Grant - Operational	1,950,000	1,950,000	1,950,000
HC Grant - Capital	470,000	470,000	470,000
Palace APTL Licence	300,000	300,000	300,000
Palace Leases and recharges	67,000	67,577	67,000
Park Leases and recharges	160,517	167,634	172,052
Creative Learning	11,700	8,086	6,000
Donations – Regeneration Project	0	153,066	750,000
Gift Aid	920,000	920,000	1,050,000
	<b>3,879,217</b>	<b>4,036,363</b>	<b>4,765,052</b>

- 4.2 The 2018-19 annual operational grant (unrestricted) from our Corporate Trustee is £1,950,000.
- 4.3 The 2018-19 Capital grant (restricted) from our Corporate Trustee is £470,000.
- 4.4 The APTL licence fee is receivable from the Trading Company (APTL) and is set at £300,000 for 2018-19. The licence permits APTL's commercial use of the Palace.
- 4.5 Park and Palace leases and recharges represent annual lease income receivable from the tenants and recharged facilities costs as well as accidental repairs if the Trust is entitled to recharge these costs under the terms of the lease. The 2018-19 annual income from this source (unrestricted) is budgeted at £239,000. The increase on 2017-18 is due to renegotiated lease from Cufos and rental income from Go Ape.
- 4.6 Creative Learning income represents fees receivable from events and fees charged to schools for workshops and educational activities and such activities are not expected to break even. The budget accommodates a loss of £20,000 annually.
- 4.7 Donations are a restricted source of income for The Regeneration Project. Up to the end of December 2017 all voluntary funding secured for the project amounted to £345,184. The target of the Trust's fundraising required to balance the spending on the Regeneration Project is £1,094,000. This therefore means that the Trust will now request that Haringey Council underwrite a balance of £750,000 as agreed by the Council in their Letter to HLF dated 15 February 2016.

**5. Direct Charitable expenditure**

- 5.1 Running and maintenance of the Park includes the Park maintenance contract and its management as well as maintenance and repairs of properties in the Park leased to the tenants and accidental other repairs in the Park area. The total annual cost is budgeted at £556,000; this is £22,000 higher on 2017-18 because of an additional provision for Park security (for example on New Year's Eve) and a provision for legal costs for re-negotiations with tenants.
- 5.2 Palace running costs include the in-house maintenance team, third party contracts for maintenance of specialist areas for example the lifts, shutters, catering equipment, Ice Rink plant; it also covers the building insurance and rates. The annual cost is budgeted at £2.2m.
- 5.3 Creative Learning costs represent a proportion of salaries paid to the staff delivering these activities which are not funded by the HLF (Master Plan). The total annual cost is budgeted at £25,000.
- 5.4 Regeneration spending represents costs for directly supporting the East Wing Project but not funded from the HLF budget, for example the Project Director fees and partly the salaries of the team and also various marketing and PR expenditure. The 2018-19 cost is £251,000 and is higher on previous year as it now includes a provision for professional fees of a Curator (cost not supported by the HLF funding).
- 5.5 West Yard Project construction works started in 2016-17 and the project is due to be completed by the end of 2017-18. £108,000 represents annual depreciation on a completed storage unit and loan interest payable on £2.5m loan which financed the Project.
- 5.6 East Wing and Masterplan was budgeted to be fully funded by the HLF grant, the Corporate Trustee's grant and fundraising. At this point the fundraising has only raised £345k against a target of £1,094k. The shortfall is to be met through drawing on a reserve. The main construction works have taken place in 2017-18 with a budgeted cost of £15.9m. As the Project is progressing towards its completion (expected in summer 2018) the 2018-19 budgeted costs are significantly lower on 2017-18 and are £6.8m.

**6. Fundraising costs**

This covers the costs of fundraising activities to raise funds for the Regeneration Project. The budget of £132,000 (£17,000 increase on 2017-18) has been allocated for fundraising costs as the Trust remains committed to fundraising and a need to invest in this activity for the future.

**7. Strategic Leadership costs**

This represents the costs of the leadership team as well as costs of the Governance review Project and the Strategic Review Project; in total £352,000 with an allowance for legal and consultancy fees as the governance review is progressing; both projects have started in 2016-17;

**8. Support costs**

This represents the costs of running the office including IT support and office administration and supplies.

**9. Annual Capital Expenditure**

- 9.1 Capital Projects (outside the East Wing Project and the West yard Project) are funded from Haringey Council's capital grant. The 2018-19 capital grant agreed by the Council is £470,000. The works planned for 2018-19 are being costed and a schedule of proposed projects will be available in March as part of the final 2018-19 Budget for approval.

**10. Loan commitments**

APPCT 2018-19 Budget	capital amount due	annual interest	annual repayment	remaining term of loan	instalment payment due date
West Yard Loan	2,500,000	83,000	122,000	33 years	Due August 2018
Ice Rink main loan	1,576,000	52,000	164,000	8 years	Due April 2018
Lighting loan (SIF)	233,583	-	44,417	5 years	Due April 2018
	4,322,583	135,000	340,000		

The Trust has annual loan commitments of £340,000.

**11. Legal Implications**

- 11.1 The Council's Assistant Director of Corporate Governance has been consulted in the preparation of this report, and has no comments.

**12. Financial Implications**

- 12.1 The Council's Chief Financial Officer has been consulted in the preparation of this report. The report sets out the anticipated expenditure and income to the Trust for the coming financial year as well as information on the anticipated year end position for this financial year. The overall position is one of a balanced budget, albeit one that relies upon the drawing down of a reserve due to the failure to achieve the fundraising target for the East Wing Restoration Project.

**13. Use of Appendices**

Appendix 1- Income and Expenditure – unrestricted funds

## Appendix 1 – Unrestricted – Budget 2018-19

## APPCT

## 2018-19 Budget

Unrestricted Income and Expenditure		
Budget	Forecast	Budget
2017-18	2017-18	2018-19

**Trust Income**

	£	£	£
HC Grant - Operational	1,950,000	1,950,000	1,950,000
Palace APTL Licence	300,000	300,000	300,000
Palace Leases	67,000	67,577	67,000
Park Leases	160,517	167,634	172,052
Learning & Community	11,700	8,086	6,000
Gift Aid	920,000	920,000	1,050,000

**Total Incoming Resources**

3,409,217	3,413,297	3,545,052
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**Overheads**

Cost of Sales	0	4,715	0
Wages & Salaries (including pension & Ni)	749,756	736,590	771,007
Other Wage Costs (Agency,Welfare,Travel)	5,916	12,609	17,595
Maintenance and Repairs - Palace	329,004	327,248	329,004
Maintenance Contract Park	329,550	329,555	329,556
Maintenance and Repairs - Park	178,794	189,231	195,860
Security Control Contract	488,100	500,677	507,800
Pest Control	9,000	9,000	6,000
Rates & Insurance	381,891	372,350	375,000
Office costs (tel, postage, stationery, copiers)	96,150	112,837	120,000
Utilities (15% allocation)	80,556	80,573	86,596
Software & IT	48,842	47,854	51,910
Sundries, Meeting & Subscriptions	35,725	35,709	45,930
Marketing, Advertising & Design	26,868	26,441	28,900
Legal & Professional	199,096	197,947	267,850
Depreciation (Unrestricted are loan Assets)	120,468	120,468	120,468
Interest on Loan Assets	52,356	48,648	44,820
Banking Costs	600	267	1,500
APTL Cost recharges	78,060	78,060	78,060

**Total Outgoing Resources**

3,210,732	3,230,779	3,378,212
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**Result**

198,485	182,518	166,840
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# Alexandra Palace

## **ALEXANDRA PARK AND PALACE** **CHARITABLE TRUST BOARD**

**20<sup>th</sup> February 2018**

**Report Title:** Alexandra Park and Palace Charitable Trust Financial Results with annual forecast

**Report of:** Dorota Dominiczak, Director of Finance and Resources

**Report Authorised by:** Louise Stewart, Chief Executive Officer, Alexandra Park and Palace Charitable Trust (APPCT)

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**Purpose:** This paper sets out the results for Alexandra Park and Palace Charitable Trust for November 2017 including the annual forecast of Incoming and Outgoing resources.

### **Local Government (Access to Information) Act 1985**

N/A

#### **1. Recommendations**

To note the financial performance of the Trust.

#### **2. Executive Summary of 2017-18 Forecast**

2.1 The Statement of Incoming and Outgoing Resources (Table 1) illustrates various activities undertaken by the Trust, including revenue and capital, funded from unrestricted income, restricted grants and loans.

2.2 In 2017-18 the Trust's reserves were £27m in total of which £23.6m were represented by cash at bank and the HLF committed grant funding for the Restoration Project. We are reporting receipts of £153,000 of restricted grants and donations in addition to the budgeted funds for the year of £3.8m.

2.3 Against these reserves the Trust has budgeted a spend of £21.2m on direct charitable expenditure, fundraising activities, strategic leadership and support costs and capital projects. The expenditure is currently tracking with some immaterial variances which are fully explained in Section 5 of this report.

## 3. Table 1 - Statement of Incoming and Outgoing Resources – 2017-18 forecast

APPCT At Month Ending 30th November 2017	Year 2017/18 Budget £	Year 2017/18 Forecast £	Year 2017/18 Diff £
<b>Income</b>			
Unrestricted	3,409,217	3,413,297	4,080
Capital Fund	470,000	470,000	0
East Wing & Activity Plan	0	153,066	153,066
<b>Total Incoming Resources</b>	<b>3,879,217</b>	<b>4,036,363</b>	<b>157,146</b>
<b>Direct Charitable Expenditure</b>			
Running and maintaining the Park	(528,704)	(534,440)	(5,736)
Running and maintaining the Palace	(2,239,463)	(2,218,714)	20,749
Creative Learning	(23,042)	(20,304)	2,738
Regeneration	(219,494)	(223,276)	(3,782)
West Yard Storage	(1,664,912)	(1,665,761)	(849)
East Wing & Activity Plan	(15,925,780)	(15,828,450)	97,330
<b>Direct Charitable Expenditure</b>	<b>(20,601,395)</b>	<b>(20,490,946)</b>	<b>110,449</b>
<b>Raising funds</b>	<b>(115,079)</b>	<b>(115,106)</b>	<b>(27)</b>
<b>Strategic Leadership</b>	<b>(349,095)</b>	<b>(351,850)</b>	<b>(2,755)</b>
<b>Support Costs</b>	<b>(177,139)</b>	<b>(192,295)</b>	<b>(15,156)</b>
<b>Total Outgoing Resources</b>	<b>(21,242,708)</b>	<b>(21,150,196)</b>	<b>92,512</b>
<b>Net Movement in Trust Funds</b>	<b>(17,363,491)</b>	<b>(17,113,833)</b>	<b>249,658</b>
<b>Balance Sheet extract:</b>	<b>1 April 2017</b>	<b>30 Nov 2017</b>	
	£	£	
<b>Resources available as total Reserves</b>	<b>27,052,451</b>	<b>20,464,620</b>	
<b>Represented by:</b>	£	£	
HLF Grant Claims due	18,674,168	13,529,891	
Cash at bank:			
Main account - unrestricted	591,347	1,100,610	
HLF Project account - restricted	2,106,619	817,234	
West Yard Project account - restricted	2,217,353	1,089,065	
HC Capital Grant account - restricted	-	336,507	
<b>Fixed assets/liabilities</b>	<b>3,462,964</b>	<b>3,591,313</b>	
<b>Resources available as total Reserves</b>	<b>27,052,451</b>	<b>20,464,620</b>	

## 4. Incoming, Funding and Loans

### 4.1 Table 2 – 2017-18 Income - breakdown

APPCT	30/11/2017			Year 2017/18		
	Budget	Actual	Diff	Budget	Forecast	Diff
<b>All Activities</b>						
<b>Trust Income</b>	£	£	£	£	£	£
HC Grant - Operational	1,950,000	1,950,000	0	1,950,000	1,950,000	0
HC Grant - Capital	470,000	470,000	0	470,000	470,000	0
Palace APTL Licence	200,000	200,000	0	300,000	300,000	0
Palace Leases and recharges	55,750	56,327	577	67,000	67,577	577
Park Leases and recharges	96,078	99,897	3,819	160,517	167,634	7,117
Creative Learning Donations – restricted for Regeneration Project	7,400	4,746	(2,654)	11,700	8,086	(3,614)
Gift Aid	0	138,782	138,782	0	153,066	153,066
	0	0	0	920,000	920,000	0
	<b>2,779,228</b>	<b>2,919,752</b>	<b>140,524</b>	<b>3,879,217</b>	<b>4,036,363</b>	<b>157,146</b>

- 4.2 The annual operational grant (unrestricted) from our Corporate Trustee in 2017-18 is £1,950,000. A schedule of drawdown has been agreed with the Council's Treasury before the start of the year and the grant was received in full by the end of November 2017 to enable the Trust's to cash flow its operations between April and December. (Post December 2017 months are cash-flowed from a transfer of Gift Aid from the trading subsidiary).
- 4.3 The Capital grant (restricted) in 2017-18 from our Corporate Trustee is £470,000 and all monies have been received. £200,000 has been allocated for the completion of the West Yard Project leaving £270,000 to fund the programme of annual repairs and maintenance.
- 4.4 The APTL licence fee is receivable from the Trading Company (APTL) and is set at £300,000 for 2017-18. The licence permits APTL's commercial use of the Palace.
- 4.5 Park and Palace leases and recharges represent annual lease income receivable from the tenants and recharged facilities costs as well as accidental repairs if the Trust is entitled to recharge these costs under the terms of the lease. The 2017-18 annual income from this source (unrestricted) is budgeted at £227,000 and is currently tracking 3% higher than anticipated on repairs recharged to tenants.
- 4.6 Learning and Participation (renamed 'Creative Learning') income represents fees receivable from events and fees charged to schools for workshops and educational activities (2017-18 budget £11,000). The set budget was too high considering a very limited space available for the chargeable community events in 2017-18 as many areas available previously in the Palace were not accessible due to construction works.
- 4.7 Donations are a restricted income for The Regeneration Project. To date we have received £100,000 grant from the Garfield Weston Foundation and just over

£38,000 from individual donors. In the second half of 2017-18 we anticipate no more income from trusts and foundations and an additional £15,000 from individual donors. There was no budget set for Donations in 2017-18 as the receipts remain uncertain and speculative.

- 4.8 Since the start of the Project in spring 2015 and to the end of December 2017 the total of grants and donations secured for the East Wing Project is £345,184 against a target of £1,094,000. This leaves a shortfall of £750,000. In February 2016 the Council has agreed to underwrite any fundraising shortfall and, as the construction works are near completion, the shortfall will have to be met through drawing on a reserve.  
The Trust will continue its fundraising efforts.

## **5. Direct Charitable expenditure**

- 5.1 Running and maintenance of the Park includes the Park maintenance contract and its management as well as maintenance and repairs of properties in the Park leased to the tenants and accidental other repairs in the Park area. The total annual cost is budgeted at £529,000 with a small variance of £6,000 which is mainly due to overspend on road repairs (budgeted £12,000 vs actual cost £23,000). Year to date (see Appendix 1) reports underspending of £20,000 due to delayed road lighting maintenance £9,500 and delayed gully cleaning £9,000.
- 5.2 Palace running costs include the in-house maintenance team, third party contracts for maintenance of specialist areas for example the lifts, shutters, catering equipment, Ice Rink plant; it also covers the building insurance and rates. The annual cost is budgeted at £2.2m and is currently tracking with a saving of £20,000, or less than 1%, for a number of reasons: unutilised provision for insurance claims, staffing changes in Facilities department which temporarily reduced salaries costs but also cause a delay in committing to some maintenance works.
- 5.3 Creative Learning costs represent a proportion of salaries paid to the staff delivering these activities which are not funded by the HLF (Master Plan). The total annual cost is budgeted at £23,000 with a small cost variance reported as some activities had not taken place as planned due to lack of available spaces.
- 5.4 Regeneration spending represents costs for directly supporting the East Wing Project but not funded from the HLF budget, for example the Project Director fees and partly the salaries of the team and also various marketing and PR expenditure. The annual cost is £220,000 with no significant variance reported.
- 5.5 West Yard Project costs of £1,665,000 represent the costs budgeted for 2017-18. (The total cost of the Project is budgeted at £2.7m over the two years of construction works) As per the Construction contract with Kier the contract is to be delivered within budget or all risks of additional costs are passed on to Kier. To date the original programme had been significantly delayed and as a result the additional costs and liquidated damages rebates have been quantified at £52,750. There is no impact of these damages on the cost of the Project.
- 5.6 East Wing and Masterplan was budgeted to be fully funded by the HLF grant, the Corporate Trustee's grant and our own fundraising campaign (see 4.8 for

explanation). Due to changes in phasing of construction works the current projection of cost in 2017-18 shows that £97,000 will be delayed to 2018-19; this is subject to on-going revisions of schedules works over the next few months.

**6. Fundraising costs**

This covers the costs of fundraising activity to raise funds for the East Wing Project. The budget of £115,000 has been allocated to fundraising with no significant variance reported.

**7. Strategic Leadership costs**

This represents the costs of the leadership team as well as costs of the Governance review Project and the Strategic Review Project; both projects have started in 2016-17; no significant cost variance is reported.

**8. Support costs**

This represents the costs of running the office including IT support and office administration and supplies. A budgeted saving in the office running costs (telephone and photocopying) have been budgeted but will not be achieved in 2017-18 – this has resulted in overspend on budget of £15,000. However going forward we have procured a new supplier for these services and a new arrangement will result in an annual saving of £12,000.

**9. Annual Capital Expenditure**

9.1 Capital Projects (outside the East Wing Project and the West yard Project) are funded from Haringey Council's capital grant. The 2017-18 capital grant is £470,000 and after a commitment to the West Yard and Regeneration Projects the available monies for capital works in 2017-18 is £417,155.

9.2 The works scheduled for the last quarter of 2017-18 are mainly at a stage of obtaining quotes or tendering – the amounts shown in the Table are provisional and likely to vary slightly when the final tenders are submitted.

West Hall Duct works – we are obtaining prices at present and works should be able to go ahead in February/March 2018.

Roof access – Tenders due on 16/1 to obtain a final cost of the roof access installation and the Great Hall glazing and roof repairs in February/March 2018 and to assess what allowance in 2018-19 is needed for redecorations of the Great Hall spaceframes.

Basement works schedule is almost complete and due to go out for quotes, in small packages (clearance, structural investigations, asbestos testing etc.). It is most likely that from the estimate of £59,230 a spend will be up to £30,000 in February/March 2018, with enhancements to drainage, ventilation and damp proofing in spring 2018 at approx. £29,000.

South West Colonnade survey as part of the works will be carried out in February 2018.

**Table – capital works**

Balance of funds available at 1/4/2017		182,155
2017-18 HC capital grant		470,000
		652,155
Allocated to the West Yard Project	-	200,000
Allocated to Regeneration Project	-	35,000
<b>Funds available till 31/3/2018</b>		<b>417,155</b>
Works completed already in 2017-18:	2,295	
Park drainage repairs	12,285	
Hard surface repairs	8,570	
Palace basement works	2,100	
Level 3 additional works	70,103	
4th boiler replaced	11,915	
roof access works	63,043	
works completed to 30/11/2017	170,311	
<b>works scheduled for December 2017 to March 2018:</b>		
West Hall Duct	14,000	
Roof access installation	172,504	
Basement works	59,230	
SW Colonnade	2,500	
	248,234	
<b>Capital works against available budget</b>		<b>418,545</b>

## 10. Loan commitments

APPCT 2017-18 Budget	capital amount due	annual interest	annual repayment	remaining term of loan	instalment payment due date
West Yard Loan	2,500,000	83,000	122,000	34 years	Paid 16th August 2017
Ice Rink main loan	1,576,000	52,000	164,000	9 years	Paid 25th May 2017
Ice Rink SIF loan	13,000	-	13,000	nil	Paid 25th May 2017
Lighting loan (SIF)	233,583	-	44,417	6 years	Paid 25th May 2017
	4,322,583	135,000	340,000		

All Trust's loan commitments are up to date with the next annual repayments due in 2018-19.

**11. Legal Implications**

- 11.1 The Council's Assistant Director of Corporate Governance has been consulted in the preparation of this report, and has no comments.

**12. Financial Implications**

- 12.1 The Council's Chief Financial Officer has been consulted in the preparation of this report. The overall results appear to be in line with the budgeted position. A continued focus on budget management will be needed to deliver the results forecast.

**13. Use of Appendices**

Appendix 1 - Income and Expenditure – unrestricted funds

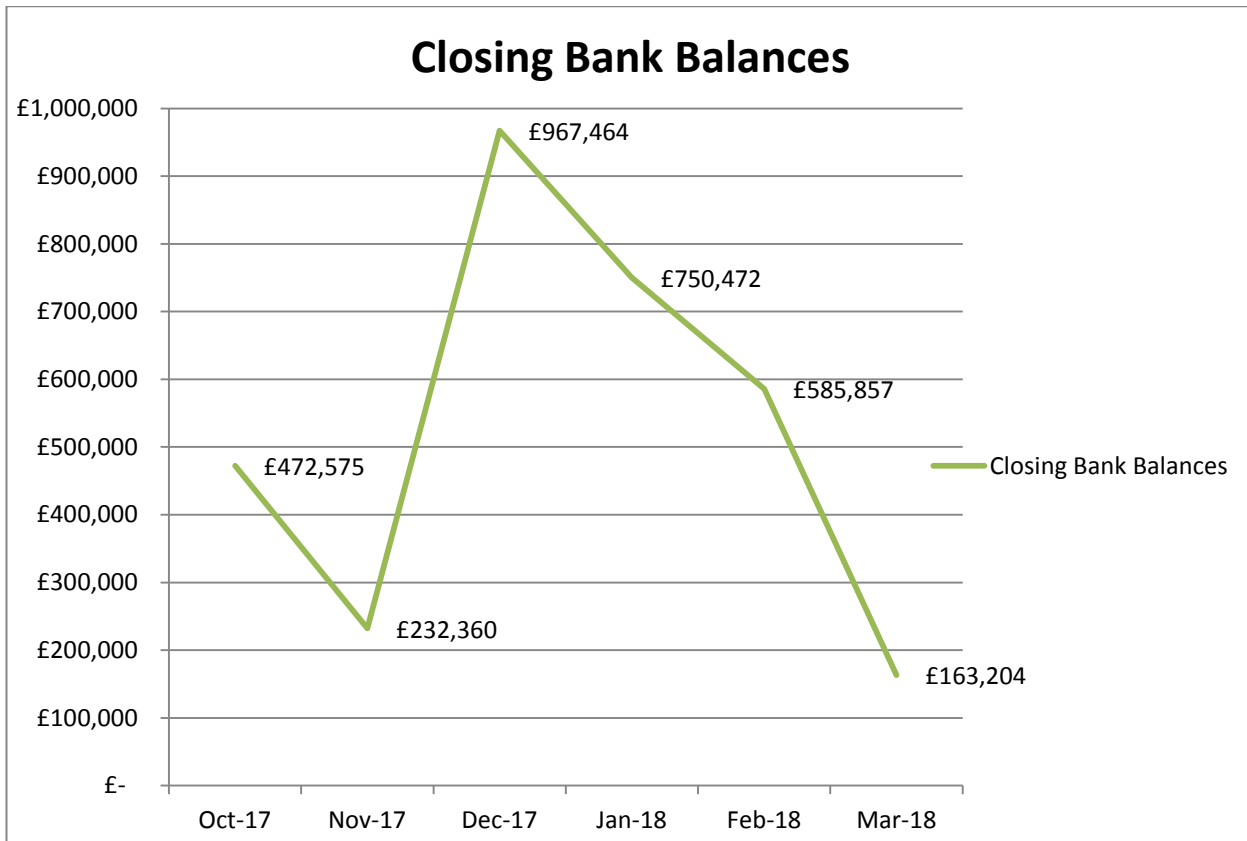
Appendix 2 - Unrestricted funds cash flow

## Appendix 1 – Income and Expenditure – unrestricted funds only

APPCT YTD and Forecast For 8 Months Ending 30th November 2017	Cumm 30/11/2017			Year 2017/18		
	Budget	Actual	Diff	Budget	Forecast	Diff
<b>Unrestricted Activities</b>						
<b>Trust Income</b>	£	£	£	£	£	£
HC Grant - Operational	1,950,000	1,950,000	0	1,950,000	1,950,000	0
Palace APTL Licence	200,000	200,000	0	300,000	300,000	0
Palace Leases	55,750	56,327	577	67,000	67,577	577
Park Leases	88,752	93,970	5,218	125,846	131,564	5,718
Learning & Community	7,400	4,228	(3,172)	11,700	7,418	(4,282)
Gift Aid	0	0	0	920,000	920,000	0
Recharges of costs to Park tenants	7,326	12,387	5,061	34,671	42,680	8,009
<b>Total Incoming Resources</b>	<b>2,309,228</b>	<b>2,316,912</b>	<b>7,684</b>	<b>3,409,217</b>	<b>3,439,239</b>	<b>10,022</b>
<b>Overheads</b>						
Cost of Sales	0	4,335	4,335	0	4,715	4,715
Wages & Salaries (including pension & Ni)	499,832	500,826	994	749,756	736,590	(13,166)
Other Wage Costs (Agency,Welfare,Travel)	1,042	332	(710)	5,916	12,609	6,693
Maintenance and Repairs - Palace	215,336	223,230	7,894	329,004	327,248	(1,756)
Maintenance Contract Park	241,670	241,675	5	329,550	329,555	5
Maintenance and Repairs - Park	88,825	68,853	(19,972)	178,794	189,231	10,437
Security Control Contract	327,000	336,107	9,107	488,100	500,677	12,577
Pest Control	6,000	2,620	(3,380)	9,000	9,000	0
Rates & Insurance	259,843	256,238	(3,605)	381,891	372,350	(9,541)
Office costs (tel, postage, stationery, copiers)	66,236	65,969	(267)	96,150	112,837	16,687
Utilities (15% allocation)	49,279	48,360	(919)	80,556	80,573	17
Software & IT	32,698	32,004	(694)	48,842	47,854	(988)
Sundries, Meeting & Subscriptions	18,364	7,659	(10,705)	35,725	35,709	(16)
Marketing, Advertising & Design	9,701	25,316	15,615	26,868	26,441	(427)
Legal & Professional	108,664	139,798	31,134	199,096	197,947	(1,149)
Depreciation (Unrestricted are loan Assets)	80,312	80,312	(0)	120,468	120,468	(0)
Interest on Loan Assets	34,904	32,432	(2,472)	52,356	48,648	(3,708)
Banking Costs	400	217	(183)	600	267	(333)
APTL Cost recharges	52,040	52,040	0	78,060	78,060	0
<b>Total Outgoing Resources</b>	<b>2,092,146</b>	<b>2,118,324</b>	<b>26,178</b>	<b>3,210,732</b>	<b>3,230,779</b>	<b>20,047</b>
<b>Result</b>	<b>217,082</b>	<b>198,588</b>	<b>(18,494)</b>	<b>198,485</b>	<b>208,459</b>	<b>(10,026)</b>



Appendix 2 – Unrestricted Funds cash flow



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# Alexandra Palace

## **ALEXANDRA PARK AND PALACE** **CHARITABLE TRUST BOARD**

**20<sup>th</sup> February 2018**

**Report Title:** Fundraising Update

**Report of:** James Atkinson, Director of Fundraising

**Report Authorised by:** Louise Stewart, Chief Executive Officer, Alexandra Park and Palace Charitable Trust (APPCT)

Contact: Natalie Layton, Executive Assistant, APPCT  
Email: [Natalie.layton@alexandrapalace.com](mailto:Natalie.layton@alexandrapalace.com) , Telephone: 020 8365 4335

**Purpose:** To update on the fundraising campaign to support the East Wing Restoration Project and wider charitable objectives.

### **Local Government (Access to Information) Act 1985**

N/A

#### **1. Recommendations**

To note the content.

#### **2. Introduction**

As part of the Heritage Lottery Funding (HLF) agreement for the East Wing Restoration Project Alexandra Park and Palace Charitable Trust must raise £1 million. The Charity is also developing a longer term fundraising approach, to support its aim to become more financially self-sustaining.

#### **3. Where we are now**

- 3.1 The total sum raised to date is £337.5k against a £1,094,128 target. In addition to this sum £150k has been confirmed against the new Creative Learning Zone in East Court. An additional £355k of fundraised income is contracted although has not yet been received. (This is to fund critically important projects – Learning Zone and roof access – outside the scope of the original project). Although the

fundraised amounts are below target and ordinarily show as red, as reported later, the underwriting of the outstanding sum brings this back to Amber. For the Theatre campaign, £127,079 has been raised to date with 106 seats taken against 630 available. £1,321 in bucket collections / donation box this financial year, with £15,000 in optional donations via ticket buyers.

- 3.2 Work continues on approaching Trusts & Foundations, complicated by two factors. The external risk is an extremely competitive environment, especially for London cultural organisations. Two very large capital campaigns for new cultural projects in London have failed in the past 6 months, and many other high profile institutions are running both large and smaller scale capital campaigns. The other risk is a disappointing initial response from Trusts in 2015. Although we have gone back to these grant givers to ask them to reconsider the project, many are unwilling to do so.
- 3.3 Aside from the capital works, we have had modest success in attracting additional funding for the activity plan, with a view to building a long-term fundraising strategy to support this work. Following feedback from potential funders for our interpretation and collections work, we have drafted a collections management strategy and will look to see how we can engage funders with this early stage work.
- 3.4 The individual fundraising campaign continues to attract support but progress has slowed. APPCT as an organisation is under-resourced in terms of marketing and communications and keeping the profile of this campaign up has proved challenging.
- 3.5 Due to slow ticket sales the fundraising dinner which was scheduled for Wednesday 21 March, hosted by Sandi Toksvig, has been postponed until later in the year. The decision was taken before major expenditure on this event had been incurred. All tickets buyers have been informed and offered a refund. Any future event will have a longer lead time and full marketing support.
- 3.6 Attracting corporate support for the restoration project has proved challenging. We have had meetings with a number of companies with direct links to the Palace but they have proved reluctant to give financial support. Again, we are asking companies to support the fundraising dinner and this may help to change minds. Working with M&C Saatchi, we have had productive discussions with a number of companies which we hope will lead to beneficial longer-term partnerships.
- 3.7 Work continues on a strategy to engage supporters with the restoration of the former television studios and ancillary spaces. It is clear that good preparation is required to ensure this project is a success.
- 3.8 We have identified a number of individuals for the Development Board. We are proceeding slowly as we want to be sure we have the right balance of skills and experience for this Board.

**4. Legal Implications**

- 4.1 The Council's Assistant Director of Corporate Governance has been consulted in the preparation of this report, and has no comments.

**5. Financial Implications**

- 5.1 There are no legal implications but failure to meet the agreed target of £1m may affect our ability to attract major funding in the future and from a range of sources.
- 5.2 The Council's Chief Financial Officer has been consulted in the preparation of this report. The failure to meet the fundraising target is a matter of concern as the failure to meet the target means that a call on reserves will be made. Efforts to raise funds should be continued to minimise the call on reserves.

**6. Use of Appendices**

None

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# Alexandra Palace

## **ALEXANDRA PARK AND PALACE** **CHARITABLE TRUST BOARD**

**20<sup>th</sup> February 2018**

**Report Title:** Health & Safety Policy Review

**Report of:** Graeme Timms, Head of Health & Safety

**Report Authorised by:** Louise Stewart, Chief Executive Officer, Alexandra Park and Palace Charitable Trust (APPCT)

Contact: Natalie Layton, Executive Assistant, APPCT  
Email: [Natalie.layton@alexandrapalace.com](mailto:Natalie.layton@alexandrapalace.com) , Telephone: 020 8365 4335

**Purpose:** This report seeks the Board's approval of the Health and Safety Policy Statement attached at Appendix 1.

### **Local Government (Access to Information) Act 1985**

N/A

#### **1. Recommendations**

That the APPCT Board approves the updated Health & Safety Policy attached at Appendix 1.

#### **2. Background**

- 2.1 The Trust Board approved a Health & Safety Policy Statement on 19<sup>th</sup> December 2016, as recommended by FRAC on 22<sup>nd</sup> November 2016.
- 2.2 This policy has been reviewed in-line with current legislation and best practice and as such no substantial changes have made and only minor amendments as follows:
- 2.3 Section 2: Replacement of "We" with "The Directors of APCCT and APTL" to reinforce the personal responsibilities linked with being a controlling mind of an organisation.
- 2.4 This policy was considered and recommended to the Board for approval by FRAC on 1<sup>st</sup> February 2018.

**3. Legal Implications**

- 3.1 Organisations such as Alexandra Palace are required by law (Health and Safety at Work Act 1974 s3(2) and the Management of Health and Safety at Work Regulations 1999 s5) to have a written Health and Safety Policy Statement. This is a summary document which communicates to a wide range of both internal and external stakeholders how health and safety arrangements are managed within the company and details the responsibilities for discharging those requirements. Given the intrinsic links between APPCT and APTL, a common health and safety policy statement has been written that covers both organisations and its employees.
- 3.2 It should be noted that legislation requires this to be effectively communicated to all employees. This requirement will be discharged through an agenda item at the next All Staff Meeting.
- 3.3 Health and safety is a regular area of discussion at periodic meetings across all levels of the business and in the monthly CEO bulletin to all staff.

**4. Legal Implications**

- 4.1 The Council's Assistant Director of Corporate Governance has been consulted in the preparation of this report, and in noting that the policy is said to adopt current legislation and best practice, has no comments.

**5. Financial Implications**

- 5.1 The Council's Chief Financial Officer has been consulted in the preparation of this report, and has no comments.

**6. Use of Appendices**

Appendix 1– Health & Safety Policy Statement



# Alexandra Palace

<b>Alexandra Park and Palace Charitable Trust</b>  <b>and</b>  <b>Alexandra Palace Trading Ltd</b>  <b>Health &amp; Safety Policy Statement</b>	<b>Date Approved:</b>  <b>ET – 25 January 2018</b> <b>FRAC – 1 February 2018</b> <b>APPCT – 20 February 2018</b>
	<b>Issue Date:</b>  <b>December 2018</b>
	<b>Review Date:</b>  <b>December 2019</b>

## 1. Introduction

Alexandra Park and Palace Charitable Trust (APPCT) and its trading subsidiary APTL, hereafter known as 'Alexandra Palace', is committed to managing health, safety, wellbeing and environmental issues effectively.

## 2. Policy

While APPCT and APTL are two separate legal entities, given their intrinsic links, a joint health and safety policy statement demonstrates a coordinated approach to safety management and an efficient and effective method to achieve compliance with all relevant legislation and achieve best practice.

The Directors of both APCCT and APTL and the Board of Trustees for APPCT collectively accept personal responsibility for:

- Protecting the health, safety and wellbeing of employees
- Protecting the health and safety of everyone who can be affected by the Palace, Park, events or leisure facilities
- Protecting and enhancing the environment.

Managing health, safety, wellbeing and environmental issues appropriately is a key contributor to the continuing success of Alexandra Palace and Park as both an attraction and company. We do this by:

- putting the necessary focus on these issues
- valuing our employees through consulting them on significant decisions
- working together at all levels in APPCT and APTL, and with everyone who helps to create and manage events and provide leisure facilities
- assessing and adequately managing all significant risks under our control
- providing appropriate training, information and supervision for employees
- monitoring, auditing and reviewing our health, safety and environmental performance, in order to learn and make sure we continually improve.

The overall responsibility for making sure that health, safety, wellbeing and environment issues are properly managed is with the Chief Executive Officer of APPCT and APTL. For day to day operations this responsibility is delegated through the line management structure, with all

managers being responsible for actively managing health, safety, wellbeing and environment within their team, including setting a good example

All employees are responsible for:

- working safely, taking care of themselves, others and for the environment
- co-operating with all health, safety, wellbeing and environmental requirements at APPCT and APTL
- reporting hazards and other health, safety, welfare and environmental problems promptly

Should any employee feel that any work activity or task is being undertaken in a manner likely to expose themselves, colleagues or others to unacceptable or unnecessary risks, then this one individual is empowered to stop the work activity. A suitable manager will then immediately review the concerns raised, with support from the health and safety team as required. Work will recommence when the individual's concerns have been suitably addressed and all involved agree the work activity is safe to continue.

No member of the team working at Alexandra Palace will be negatively impacted or adversely treated for raising a genuine concern about the safety of themselves, work activity or others in the workplace.

We also need our employees and everyone involved in creating and managing events to actively participate in improving health and safety. We can only achieve and maintain a good performance with the co-operation and support of everyone involved.

**Version Control:**

This policy statement is reviewed annually, upon significant change within the organisation or upon change in appropriate legislation.

Date	Version	Author	Amendments
04.12.2017	2.0	Graeme Timms, Head of Health and Safety	Minor – non substantive changes to introduction. Adjustments in Section 2 to explicitly state directors and trustees responsibilities

Alexandra Palace is committed to the fair treatment of its staff, potential staff or users of its services, regardless of race, gender, religion, sexual orientation, responsibilities for dependents, age, physical/mental disability or offending background.

Signed By	Name	Position	Date
	Joanna Christophides	Chair of Board of Trustees, Alexandra Park and Palace Charitable Trust	
	Louise Stewart	Chief Executive Officer, Alexandra Park and Palace Charitable Trust & APTL	

# Alexandra Palace

## **ALEXANDRA PARK AND PALACE** **CHARITABLE TRUST BOARD**

**20<sup>th</sup> February 2018**

**Report Title:** Complaints Policy

**Report of:** Louise Stewart

**Report Authorised by:** Louise Stewart, Chief Executive Officer, Alexandra Park and Palace Charitable Trust (APPCT)

Contact: Natalie Layton, Executive Assistant, APPCT  
Email: [Natalie.layton@alexandrapalace.com](mailto:Natalie.layton@alexandrapalace.com) , Telephone: 020 8365 4335

**Purpose:** This report seeks Board approval of the Complaints Policy attached at Appendix 1.

### **Local Government (Access to Information) Act 1985**

N/A

#### **1. Recommendations**

That the APPCT Board approves and supports the implementation of the proposed Complaints Policy attached at Appendix 1.

#### **2. Background**

- 2.1 It is recommended that a new Complaints Policy, attached at Appendix 1, is put in place to replace the version approved by the Trust Board on 18<sup>th</sup> July 2017.
- 2.2 The previously approved version was specific to complaints relating to the Trust and it was agreed that the CEO would prepare a joint policy to reflect that stakeholders and beneficiaries would not always be able to separate a complaint against the Trading Company and a complaint against the Charity.
- 2.3 The policy has been tested against complaints received in December.
- 2.4 This policy will be published in summary on our website.
- 2.5 The policy was considered and recommended to the Board for approval by FRAC on 1<sup>st</sup> February 2018, and subject to any amendments relating to operational detail.

**3. Legal Implications**

- 3.1 The Council's Assistant Director of Corporate Governance has been consulted in the preparation of this report, and has no comments.

**4. Financial Implications**

- 4.1 The Council's Chief Financial Officer has been consulted in the preparation of this report, and has no comments.

**5. Use of Appendices**

Appendix 1 – Alexandra Palace Complaints Policy

# Alexandra Palace

## Appendix 1

<b>Alexandra Park and Palace Charitable Trust</b>  <b>Customer Complaints Policy</b>	<b>Date Approved:</b>  <b>ET – 27 Nov 2017</b> <b>FRAC &amp; APTL – 1 February 2018</b> <b>APPCT – 20 February 2018</b>
	<b>Issue Date:</b>  <b>February 2018</b>
	<b>Review Date:</b>  <b>February 2019</b>

### 1. Introduction

Alexandra Park and Palace Charitable Trust (APPCT) and its trading subsidiary APTL, hereafter known as 'Alexandra Palace', view complaints as an opportunity to explain our actions, to put things right for the person or organisation that has made the complaint, if appropriate, and as an opportunity to learn and improve what we do and how we do it.

### 2. Scope

This policy covers complaints about Alexandra Palace's provision of services and public benefit. The scope of the policy does not include internal complaints or grievances, or complaints of a whistleblowing nature, which are dealt with under separate policies. Employee complaints should be dealt with under the Grievance or Whistleblowing Policies.

### 3. Policy

A complaint is any expression of serious dissatisfaction, whether justified or not, about any aspect of Alexandra Palace. For this reason the complaints policy applies both to the Trust and its Trading Subsidiary.

Alexandra Palace outsource some delivery to contractors, if the complaint is about or involves a contractor this is considered to be a complaint about Alexandra Palace.

Alexandra Palace organises hires of the Park and the Palace to external clients for events and activities. In this instance customers of those events are customers of the external client and complaints will be forwarded to them, as appropriate, for resolution.

We aim to:

- provide a fair complaints procedure which is clear and easy to use
- publish the complaints procedure so that people know how to make a complaint
- respond to all complaints in a timely manner and investigate them appropriately and fairly
- resolve complaints and repair relationships, wherever possible
- gather information and take action when necessary to help us to improve
- to handle all complaints and complaint information sensitively, telling only those who need to know, following principles of relevant data protection legislation

- ensure everyone at Alexandra Palace knows what to do if a complaint is received.

## 4. Complaints handling

It is recognised that complaints may arrive through channels publicised for that purpose or through any other contact details or opportunities the complainant may have. Once recognised as a complaint, all complaints will be handled according to this policy and will be treated confidentially.

We will;

- acknowledge complaints within five working days
- tell the complainant what will happen next and give an indication of timescale
- make the complainant aware of our complaints policy

For complaints received by telephone or in person, the person receiving the complaint will aim to capture and record the information outlined above. When appropriate, we will ask the complainant to send a written account by post or by email so that the complaint is recorded in the complainant's own words.

## 5. Making a Complaint

We encourage the swift reporting of dissatisfaction, whilst on site, to the staff at the facility being used or at one of the designated receptions so that we have the opportunity to put things right at the time.

If this is not possible, or you are not satisfied with the response received:

in writing to 'Feedback' at Alexandra Park & Palace Charitable Trust, Alexandra Palace Way, Wood Green, London N22 7AY

or by e-mail to [feedback@alexandrapalace.com](mailto:feedback@alexandrapalace.com)

or by telephone 020 8365 2121

When you make a complaint it is helpful if you could include the following information,

- Describe clearly what happened, (Include the date, time and location of the incident. Please be as specific as possible about the location within the Palace or the Parkland)
- Tell us why you are making a complaint
- Tell us what you would like us to do
- Please provide your full name, email address and contact phone number
- Tell us how you would prefer us to contact you
- If appropriate, please send us any documents that support your complaint.

We cannot guarantee that complaints made via social media will be seen and responded to within the timescales set out in this policy. We do not have the resources to monitor the wide range of social media channels available. We will aim to acknowledge complaints made via these channels but refer the complainant to an alternative method of communication so that the complaints policy can be followed.

If you have asked someone to contact us on your behalf, please make sure they provide evidence of their authority to act on your behalf.

If you wish to make a complaint anonymously please be assured that we will look into it, but our ability to address it fully will be limited. We would encourage you to consider our Whistleblowing policy as a more appropriate way to make your complaint and protect your identity.

We would encourage a complainant to contact us directly with their complaint. However a complaint can be made to the Charity Commission at any stage. Information about the kind of

complaints the Commission can involve itself in can be found on their website at:

[www.charitycommission.gov.uk/publications/cc47.aspx](http://www.charitycommission.gov.uk/publications/cc47.aspx)

Alexandra Palace is registered with The Fundraising Regulator and we abide by standards set out in the Code of Fundraising Practice. Complaints in relation to our fundraising activities will be dealt with in accordance with this complaints policy. However a complaint can be made to the Fundraising Regulator if you are not satisfied with the outcome of our complaints procedure <https://www.fundraisingregulator.org.uk/>

## 6. Resolving Complaints

The Trust recognises that some complaints will be made directly to individual staff members or departments for resolution. In many cases, a complaint is best resolved by the person responsible for the issue being complained about. If the complaint has been received directly to an individual they will assess if they are able to resolve it swiftly, and should do so if possible and appropriate. This is our opportunity to apologise, explain and rectify if we can.

If the individual cannot resolve the complaint or the issue is regarded to be sensitive or significant, the complaint information should be recorded and passed to the Head of Department as soon as possible.

The person who receives a complaint should capture:

- the facts of the complaint including date and time
- Take the complainant's name, address and telephone number
- Note down the relationship of the complainant to Alexandra Palace
- Tell the complainant that we have a complaints procedure and where to find it
- Tell the complainant what will happen next and how long it will take
- Where appropriate, ask the complainant to send a written account by post or by email so that the complaint is recorded in the complainant's own words.

The Head of Department will assess:

- If the complaint can be handled at department level or whether it needs to enter the formal complaints procedure, below
- If the complaint is a recurring complaint that needs to be escalated to a Director to identify and implement actions to prevent future complaints
- What further evidence may be available to assess the complaint e.g. CCTV evidence, security logs, event incident logs. In the case of CCTV, will inform security to save the recording for the appropriate timings.

Complaints received via the 'feedback' route will be logged and also handed to the Head of department responsible, for assessment.

Anonymous complaints should be logged as such and treated in as similar way as possible. If at all possible the complainant should be encouraged to consider the whistleblowing policy as a way to make their point whilst protecting their identity.

## 7. Formal complaints procedure

### *Stage One - Process*

On receiving the complaint into the formal procedure, internally or via the 'feedback' route, it is recorded in the complaints log by a complaints administrator or by the Head of Department.

The complaints administrators are,

- Customer Service Assistant
- Ice Rink Reception Manager
- CEO Executive Assistant

The CEO will call a Complaint Panel to assess the complaint, the issues it raises and to resolve and respond to the complainant; or determine whether the complaint warrants an 'internal investigation'. If an internal investigation is called for, the CEO will appoint an appropriately independent and senior member of staff to investigate.

The panel will agree the scope, method and timescale for the investigation. The investigation procedure will be tailored to each complaint but follow the principles outlined in appendix 1.

### *Stage One - Outcomes*

The outcome of stage 1 will be a response to the complaint to explain our actions or the situation and whether we agree with their complaint and what we are doing about it; or the outcome of the investigation.

There are three outcomes of an investigation:

- a) complaint upheld - the complaint is justified in full or in part and the organisation needs to take remedial action
- b) complaint not upheld – the organisation acted in accordance with its standard operating policies and procedures and that these are in accordance with legal requirement and industry best practice .
- c) complaint not upheld – as b) but there are lessons for the organisation.

### *Stage One - Communication*

Ideally complainants should receive a definitive reply within four weeks. If this is not possible because, for example, an investigation has not been fully completed, a progress report should be sent with an indication of when a full reply will be given.

Whether the complaint is justified or not, the reply to the complainant should describe the action taken to assess or investigate the complaint, the conclusions from the investigation, and any action taken as a result of the complaint.

If the complaint relates to a specific member of staff or volunteer, they will be informed and given a fair opportunity to respond. Complaints will be acknowledged within five working days. The acknowledgement should say who is dealing with the complaint and when the person complaining can expect a reply.

A copy of this complaints procedure should be attached.

### *Stage Two - Process*

If the complainant feels that the problem has not been satisfactorily resolved at Stage One, they can request that the complaint is reviewed at Board level. At this stage, the complaint will be passed to the Chair of the Alexandra Palace Trustee Board. The Chair may undertake the review themselves or delegate to another board member of Alexandra Palace.

The aim of stage two is to establish if the,

- process was undertaken in accordance with the complaints policy
  - process was appropriately thorough
- that the evidence supported the conclusions reached

This may involve reviewing the paperwork and speaking with the individuals who dealt with the complaint at level one. No new evidence should be submitted at this stage.

### *Stage two – Outcomes*

There are three outcomes of a review

- a) The investigation conclusion – was not justified in full or in part and the organisation needs to take remedial action
- b) The investigation conclusion - was justified and the complaint remains 'not upheld'.



- c) The investigation conclusion – was justified but there are lessons for the organisation

## *Stage Two Communication*

The request for Board level review should be acknowledged within five working days of receipt. The acknowledgement should say who will deal with the case and when the complainant can expect a reply.

If the complaint relates to a specific member of staff or contractor, they should be informed and given a further opportunity to respond. The person who dealt with the original complaint at Stage One should be kept informed of what is happening.

Ideally complainants should receive a definitive reply within four weeks. If this is not possible because for example, an investigation has not been fully completed, a progress report should be sent with an indication of when a full reply will be given.

Whether the complaint is upheld or not, the reply to the complainant should describe the action taken to investigate the complaint, the conclusions from the investigation, and any action taken as a result of the complaint.

The decision taken at this stage is final, unless the Board decides it is appropriate to seek external assistance with resolution.

## **8. Variation of the Complaints Procedure**

The Board may vary the procedure for good reason. This may be necessary to avoid a conflict of interest, for example, a complaint about the Chair should not also have the Chair as the person leading a Stage Two review.

In the case of multiple complaints from beneficiaries about the same issue (customers, visitors, users of the Park and Palace) the complaint will be assessed as a single complaint but each individual complainant will be responded to.

## **9. Recording, Monitoring and Learning from Complaints**

Complaints are recorded on entering the official complaints procedure and the recorded information detailed above is allocated a complaint reference number. For further details on information recorded and held see appendix 2.

Complaints are reviewed annually to identify any trends that may indicate a need to take further action.

## **Responsibility**

Overall responsibility for this policy and its implementation lies with the Board of Trustees.

## **Appendices**

Appendix 1 – Internal Complaints Investigations

Appendix 2 – Complaint Recording

## **Associated documentation and further information**

N/A

**Status of policy**

This procedure is a statement of current Alexandra Palace policy taking into account current legislation. Alexandra Palace therefore reserves the right to amend the procedure as necessary to meet any changing requirements.

The organisation will review and ensure compliance with this policy at regular intervals.

Date	Version	Author	Amendments

Alexandra Palace is committed to fair treatment of customers and users of its services and will handle all complaints fairly regardless of race, gender, religion, sexual orientation, responsibilities for dependents, age, physical/mental disability or offending background.

## **APPENDICES**

### **Appendix 1 - Internal Complaints Investigations**

An investigation may be necessary because it involves accusations of discrimination, personal injury, inappropriate staff members conduct, the involvement or interest of the media or police involvement.

An investigation may be called if it is assessed that the complaint could escalate if not given this level of treatment at this stage.

The purpose of an internal investigation is to,

- establish facts and evidence and other relevant information about an incident or complaint from the organisations perspective,
- to identify what remedial action or improvements, if any, need to be made

An investigation will be led by a suitably experienced individual, who is or was not directly involved in the issue being investigated and is not in a position of direct line management of an individual being complained about or providing witness statement.

The investigation lead will agree with the CEO

- the scope of the investigation
- the key questions that need to be answered
- how to collect, document and file information
- how information should be reported
- the timescale for completion

The investigation lead will have authority to call for CCTV evidence, request witness statements and/or the meeting attendance of employees and employees of third party contractors, as appropriate.

## **Appendix 2 – Complaint recording**

### **Complaint record keeping**

A complaint register is held by the organisation. All acknowledged complaints will be recorded on the complaints register. The Executive Assistant to the CEO holds the complaints register.

The complaint register records:

- the complaint reference number
- The date the complaint was made
- The name of the complainant
- The nature of the complaint
- What action is or has been taken
- The date of action being taken
- The outcome of the complaint
- If the complaint corresponds with an incident logged by the onsite security team (on the 'Incident or Issue log' known as the IOI) the relevant reference number will also be recorded.

### **Complaint file (Paper and electronic)**

A complaint file will be opened for each complaint and will include,

- A copy of the complaint - such as the letter, email, or recorded information from social media or complaint phone call
- All correspondence in relation to the complaint, including written communication within the organisation
- A copy of the investigation report and supporting evidence.

### **Investigation reports**

All internal investigations will produce an investigation report in the agreed organisational format. The report will include;

- The nature, process, and findings of the investigation and its conclusion.
- The witness statements and supporting evidence.
- Any points of learning for the organisation and any action required

### **Complaint document retention**

The complaint register information will be held on a restricted access file for a maximum of five years so that trend data can be established for performance management purposes.

This complaint file will be held on a restricted access file for a maximum of two years or until the complaint is fully resolved. Full resolution includes any subsequent action being taken by the complainant or any third party such as the charity regulator, ombudsman, Health and Safety Executive (HSE) or UK Courts.

After these stated time periods the documentation will be deleted and/or placed in confidential waste disposal.

### **Complainant access to stored information**

If a complainant requests access to their personal data through a formal Subject Access Request (SAR) under the Data Protection Act (DPA) the information will be provided in accordance with the

requirements of the legislation and guidance from the regulator, the Information Commissioners Office (ICO).

However information will be anonymised and redacted as deemed necessary to protect and safeguard employees, and the employees of third party contractors, of APPCT and APTL

The Charity and its trading subsidiary are not public bodies and therefore not subject to Freedom of Information (FOI) legislation. If information is requested the Chief Executive will consider each request on its own merit, assessing whether it is in the best interests of the charity to release any information and the terms on which the information will be provided.

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# Alexandra Palace

## **ALEXANDRA PARK AND PALACE** **CHARITABLE TRUST BOARD** **20<sup>th</sup> February 2018**

**Report Title:** Conflicts of Interest Policy

**Report of:** Louise Stewart

**Report Authorised by:** Louise Stewart, Chief Executive Officer, Alexandra Park and Palace Charitable Trust (APPCT)

Contact: Natalie Layton, Executive Assistant, APPCT  
Email: [Natalie.layton@alexandrapalace.com](mailto:Natalie.layton@alexandrapalace.com) , Telephone: 020 8365 4335

**Purpose:** This report seeks Board approval of the Conflicts of Interest Policy attached at Appendix 1.

### **Local Government (Access to Information) Act 1985**

N/A

### **1. Recommendations**

- 1.1 That the Board approve the Conflicts of Interest Policy.
- 1.2 That individual Board Members complete the Conflict of Interests Disclosure Form taking into account the list of suppliers attached at Appendix 2.

### **2. Introduction**

The attached Conflict of Interest Policy has not changed significantly since adopted by Trustees at the Trustee Strategy Day on 19<sup>th</sup> November 2016 but are asked to review the document as part of its annual policy review schedule.

This policy was considered and recommended to the Board for approval by FRAC on 1<sup>st</sup> February 2018.

**3. Legal Implications**

- 3.1 The Council's Assistant Director of Corporate Governance has been consulted in the preparation of this report, and has no comments.

**4. Financial Implications**

- 4.1 The Council's Chief Financial Officer has been consulted in the preparation of this report, and has no comments.

**5. Use of Appendices**

Appendix 1 – Conflict of Interests Policy

Appendix 2 – Conflict of Interests Disclosure Form



# Alexandra Palace

<b>Conflicts of Interest Policy</b>	<b>Date Approved:</b>  FRAC – 1 <sup>st</sup> February 2018 APPCT – 20 <sup>th</sup> February 2018
	<b>Issue Date:</b>  20 February 2018
	<b>Review Date:</b>  February 2019

## 1. Introduction

1.1 Each Member of Alexandra Park and Palace Charitable Trust (APPCT) and its trading subsidiary APTL, hereafter known as 'Members of Alexandra Palace', has an obligation to act in the best interests of the Alexandra Park and Palace Charitable Trust ("the Charity") in relation to their duties and activities.

1.2 Members of the Alexandra Palace have a personal responsibility to declare conflicts of interest if they are to fulfil their legal duty to act only in the best interests of the Charity.

1.3 Definitions:

A conflict of interest is a situation where a trustee's or director's personal (or other) interests and that of the Charity appear to clash and could be seen to prevent the trustee from making a decision only in the best interests of the Charity.

A conflict of loyalty is a situation where a trustee's or director's loyalties or duties to another individual or organisation can be seen to prevent the trustee/director from making a decision in the best interests of the Charity.

1.4 The existence of an actual, perceived or potential conflict of interest does not imply wrongdoing on the part of the person concerned. However, any private, personal or commercial interests, duties or obligations which give rise to such a conflict of interest must be recognised, disclosed (at an early stage) and recorded appropriately and either eliminated or properly managed.

1.5 The Charity recognises that its Members have diverse interests and contacts within the local and national communities. Those links can often be in the public interest and potentially beneficial to the Charity. However, it also recognises that it is possible that such connections may give rise to conflicts of interest or duty. Conflicts of interest and conflicts of duty (or conflicts of loyalty and potential conflicts of interest) are the subject of legal requirements in both charity and company law, both of which are binding on Members.

Under charity law:

- Members must declare any conflict.
- Members may not act when there are conflicts unless authorised.
- Members cannot receive any benefit (broadly defined) directly or indirectly unless explicitly authorised (in the Charity's governing document or by the Charity Commission).

- 1.6 Under company law, directors are required to declare any interest in transactions or proposed transactions and are generally not permitted to purchase property or take loans from the company. In addition to such conflicts of interest, company law also regulates “conflict of interest situations”. These are generally referred to as conflicts of duty or conflicts of loyalty and these must be managed by appropriate decisions being taken by the APTL Board as to how they are dealt with.
- 1.7 The Charity expects individuals to recognise conflicts of interest and to ensure that their decision making ability in their role is not or could not be perceived to be affected by any other interest.

The purpose of this policy is to:

- assist Members of the APPCT Board and the Directors APTL Board in identifying any conflicts of interest, conflicts of duty or potential conflicts
- enable the disclosure of conflicts or potential conflicts
- provide guidance to those responsible for dealing with conflicts
- assist in the management of conflicts in order to protect the Charity and its Members and Directors

## 2. What is a Conflict of Interest or Conflict of Duty?

- 2.1 For the purpose of this policy, the term 'conflict' includes conflicts of interest and conflicts of duty or loyalty (perceived, potential and actual).
  - **A perceived conflict** is one which a reasonable person could consider likely to compromise the relevant individual's ability to make a decision only in the best interests of the Charity.
  - **A potential conflict** is a situation which could develop into an actual or perceived conflict although no conflict currently exists. For example your partner works for a firm that provides services which the Charity does not currently use but could use in future.

As defined in section 1.3 **Conflicts of interest** are any situation in which a Member of Alexandra Palace has a personal interest in any transaction with the Charity or its subsidiary which could or could appear to prevent the Member from making a decision only in the best interests of the Charity.

- 2.2 Conflicts of interest generally involve financial interests i.e. anything of monetary value including, but not limited to, pay, commission, consultancy fees, shareholdings, equity interests, debt, property, royalties and intellectual property rights.
- 2.3 Examples of financial interests include:
  - the employment of a Members of Alexandra Palace, or a connected person (see section 2.7), by the Charity as an employee, consultant or advisor;
  - a situation where a company of which a Member of Alexandra Palace is a director or shareholder may be considered for a contract by the Charity;
  - the sale of assets or the use of the Charity's property or rights;
  - the Charity's action relating to Members of Alexandra Palace receiving a benefit from a third party.
- 2.4 Conflicts of interest in such cases are particularly serious and any financial benefit requires authorisation by the Charity Commission. Such matters will generally be considered relevant conflicts of interest even if a Member resigns prior to seeking such a contract or employment or

entering into a transaction with the Charity. Legal advice will generally be taken in these circumstances.

2.5 Conflicts of interest may also arise from a non-financial benefit or advantage, including, but not limited to, enhancement of an individual's career or professional reputation, access to information or facilities that could be used by others, advancing a cause or reputation or improving access to any beneficial connection or other advantage. For example, making use of information learned at a meeting of Members of Alexandra Palace to assist a client who employs the relative of a Member of a Member of Alexandra Palace.

2.6 Conflicts of duty or conflicts of loyalty are any interests, duty, role or loyalty, relationship or conviction which could directly or indirectly affect that person's ability to make decisions solely in the best interests of the Charity. These include:

- where a relationship of the Members of the APPCT Board or APT Ltd Board, for example, to a relative or close friend may be felt to influence the decisions of the Members of the APPCT Board and APT Ltd Board ;
- Other roles, for example, as a Members of the APPCT Board or APT Ltd Board of another charity;
- Other significant relationships;
- Employment by another organisation, for example, one with which the Charity contracts, or collaborates or competes;
- Providing advice or support to another body;
- Active membership of a body;
- Strongly-held beliefs. For example, anti-Royalist.

## 2.7 Connected Persons

A conflict can arise because of a Member's relationship with or connection to a third party or organisation (a connected person). These must be dealt with in the same way as personal conflicts. Examples of connected persons:

- close members of family
- a business partner or colleague
- anyone whose finances are interdependent with the Members of Alexandra Palace (e.g. joint bank accounts, joint mortgages or property held in joint names, one party financially dependent on the other, joint beneficiaries of a trust)
- employer/employee or contractual relationship or anyone receiving a benefit where it could otherwise be perceived that such benefits could lead to a conflict of interest, i.e. by influencing the Member's decisions other than in the best interests of the Charity.

## 3. **Disclosure of a conflict of interest**

### 3.1 When must you disclose?

There are five occasions when conflicts should be declared using the relevant form (attached):

- a) pre-selection: any prospective Member of Alexandra Palace should complete a declaration of interests form prior to confirmation of appointment in order that any relevant issues may be taken into account in confirming their appointment.
- b) on arrival: every new Member of Alexandra Palace should complete a declaration form (or amend an earlier declaration) at the time of appointment.
- c) Annually: the conflicts of interests should be reviewed and confirmed each year when anything significant changes.

- d) as a new conflict arises: new matters should not await an annual declaration before being notified.
- e) verbally at any meeting where a conflict may arise: conflicts of interest should be a standard agenda item at the beginning of each meeting. Such declaration will be minuted.

This information would be held by the Charity on a register of interests. It will be disclosed to the Board and made available so that the relevant matters can be managed properly.

### 3.2 What must be disclosed?

The law requires that the nature and scope of any conflict must be disclosed. The disclosure must include sufficient information to enable appropriate decisions to be taken as to its seriousness and its management. This is likely to include: the type of potential conflict, the nature of the activity, a description of all parties involved and their relationship, the potential financial or non-financial interests or benefits, or duties or obligations and any other relevant information.

### 3.3 Responsibility to declare

- a. This Policy includes examples to assist Members of Alexandra Palace in determining which interests need to be declared. Ultimately, it is not possible to define all the circumstances which may lead to a potential conflict of interest. It is therefore the responsibility of each individual to declare any matters which they feel may present actual or potential conflicts, or the perception of such conflicts. Members of Alexandra Palace may seek the advice of the Chair of the APPCT Board and APTL Board, who may seek legal advice as appropriate. If in doubt about any matter, it is always better to make a declaration given the reputational risks to the Charity of being perceived not to have properly managed conflicts.
- b. If anyone becomes aware of a possible conflict of interest, which the relevant person appears not to have considered, they should raise it.
- c. Some personal information about third parties can only be held with their agreement. Generally the limited information needed to declare a conflict will not require such consent. If consent was needed it would be the responsibility of the person providing the information to ensure that this consent is given. Should a third party decline to consent, then it is the responsibility of the Member of Alexandra Palace to nevertheless ensure that a potential conflict is declared. Any declaration where data is held in relation to a third party will be dealt with in a manner consistent with the General Data Protection Regulation.

## 4. Managing conflicts

- 4.1 Once a conflict has been disclosed it must either be removed or managed. Until the conflict has been resolved in either of these ways, the relevant person should take no part in the matter(s) relating to that interest.
- 4.2 The way in which conflict of interest is managed must be decided by the relevant Board. The Board may delegate elements of this management; normally to the Chair. Generally, the Board will evaluate the level of conflict. This may require further details to be obtained.

The Board may decide that the interest:

- a. is not significant and does not create a real danger of bias or conflict (Category A);
- b. creates a significant but not substantial danger of bias or conflict of duty or might reasonably cause others to think it could influence a decision (Category B);

- c. creates a substantial danger of bias or conflict of duty (Category C); or
- d. creates a severe or substantial and recurring conflict of duty (Category D).

4.3 Once a decision is reached on the severity of the conflict the Board must resolve how it is to be managed. Generally the following will be appropriate:

- a. Category A - the Member must declare the interest but not vote or be counted in the quorum.
- b. Category B - it shall be at the discretion of the Chair or other Members of Alexandra Palace (who do not themselves have an interest in the matter) whether the person declaring the interest may contribute information to the meeting, but that person must not participate in the discussion, or vote on the matter and will not be counted in the quorum for that issue.
- c. Category C - the Member must leave the meeting and not participate in the discussion or vote on the matter. Steps will need to be taken to ensure sensitive information is not available to the Member.
- d. Category D - Other steps will need to be taken to manage the conflict. An example of such a step could include:
  - The Member agreeing to obtain consent from the other party creating the conflict, for example his client or employer, that the Member be relieved of his or her obligation to disclose relevant information to that other party where the information was obtained from or relates to the Charity.
  - Withholding all other papers that relate to the conflict from that Member.
  - The Charity ceasing to undertake the activity giving rise to the conflict.
  - The conflicted Member of Alexandra Palace Board resigns.

4.4 In each case the Board may consider that other steps are necessary. These may include agreeing to relieve the Member of Alexandra Palace of his or her obligation to disclose information obtained elsewhere to the Charity. The Charity might also decide not to continue with the issue or project creating the conflict.

4.5 Once the Board has resolved how to manage a particular conflict that response may be again used on each recurrence of a situation of conflict where the factual background has not changed.

4.6 Members of Alexandra Palace must comply with any provisions in the Charity's governing documents and any policy or other requirement relating to conflicts of interest.

## 5. **Managing Information**

The Board should endeavour to ensure that Members of the APPCT Board and APT Ltd Board with a conflict of interest is not provided with information in that capacity which enables him or her to obtain any advantage. In particular, the person who is responsible for sending information to the Members of the APPCT Board and Directors of APT Ltd Board prior to a meeting should check the register of interests and take any other reasonable steps to ensure that no information is sent to a Member or Director who may have a significant conflict of interest relating to that information.

**6. Recording steps taken**

In all cases, in order to protect the interests of the Members of the APPCT Board and Directors of the APTL Board and the Charity, the Charity will keep a record of the disclosure and steps taken to manage the conflict. This should generally be recorded in the minutes.

**7. Review**

Review of the effectiveness of the policy and compliance with it will be the responsibility of the Chair and reported to the Board for consideration on its self review process.

**8. Transparency**

This policy will be available to all staff, Members of the APPCT Board and Directors of the APTL Board s and to third parties where appropriate.

**9. Verification**

The Charity may undertake appropriate steps to verify information provided.

**10. Other policies and documents to consider:**

- Code of Conduct
- Whistle-blowing Policy
- Gifts and Hospitality Policy
- Board Role Descriptions

Further information:

<https://www.gov.uk/government/publications/conflicts-of-interest-a-guide-for-charity-trustees-cc29/conflicts-of-interest-a-guide-for-charity-trustees>

<b>Date</b>	<b>Version</b>	<b>Author</b>	<b>Amendments</b>
15.01.2018	V2	Louise Stewart	Formatted in house-style and new declaration form.

Alexandra Palace is committed to the fair treatment of its staff, potential staff or users of its services, regardless of race, gender, religion, sexual orientation, responsibilities for dependents, age, physical/mental disability or offending background.

# Alexandra Palace

## Alexandra Park and Palace Charitable Trust Trustee Board Member Disclosure of Interests Statement

This form should only be completed after having read and understood the Conflict of Interests Policy. Please raise any questions with the APPCT Chair. This form should be returned to the Executive Assistant, APPCT, and will be kept on file

Conflicts of Interest ("Col"): See paras 1 and 2 in Col policy for definitions of Conflicts of Interest and connected persons.

Name	
------	--

1. List companies, businesses, charities or other organisations of which you or a person connected to you are involved, for example as a member, director, consultant or adviser or have another role which is relevant for the purpose of determining whether a conflict may exist.

Please provide details of the nature of the connection and state whether each position is remunerated (salary, fees, pensions, honoraria, dividend share option etc)

**You:**

**A connected person:**

2. List of companies, charities or organisations in which you or a connected person have directly or indirectly shareholdings or beneficial ownership or other financial interest or expectation of such an interest. Shareholdings of less than 1% of the issued share capital need not be declared. State the nature and extent of the interest.

**You:**

**A connected person:**

3. Membership of or roles or activity in professional bodies or associations, campaigning or special interest groups. State the extent and nature of the involvement.

**You:**

**A connected person:**

4. Any other potential conflict of which APPCT should be aware e.g. collaborators in academia or industry, involvement with other education-related organisations, political or other pressure groups.

**You:**

**A connected person:**

5. Are you or a connected person in receipt of or likely to become in receipt of any benefits, grants, loan or service from the APPCT or any direct or indirect pecuniary benefit from the APPCT other than expenses as a Trustee? If so, provide details.

**You:**

**A connected person:**



6. In respect of any interest or potential interest declared are you aware of any circumstances where that interest may result in any transaction, competition or collaboration with the APPCT or where the interest of the APPCT may in any way interact with that interest? If so please provide details

***Please refer to attached list of APTL suppliers***

**You:**

**A connected person:**

7. Any other situations or relationships that might create conflicts that have not been covered above. For example, ownership of land adjoining APPCT property or intellectual or other property rights in the APPCT's area of operation.

**You:**

**A connected person:**

8. Is there any further action required by you to identify other potential conflicts? If yes, please summarise concerns and actions below:

**DECLARATION**

I have entered the required responses to the best of my knowledge and belief.

Signature:

Date:

**Additional Information**

Full Name (as per passport):

Residential addresses covering the past 4 years, including any time spent abroad:

Date of Birth:

Nationality:

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# Alexandra Palace

## ALEXANDRA PALACE AND PARK CHARITABLE TRUST

20<sup>th</sup> February 2018 – Agenda Item 15

### Board Level Policy Review Register

Policy	Reviewed	Date approved by Board	Review Date	Notes
Risk Management	Annually	02.11.2017	Autumn 2018	
Reserves	Annually	12.04.2016	Spring 2018	
Health & Safety	Annually	<i>Feb 2018</i>	Spring 2019	
Complaints	Annually	<i>Feb 2018</i>	Summer 2019	
Conflict of Interest	Annually	<i>Feb 2018</i>	Spring 2019	Trustees to review their declarations of interests, and eligibility to act as Trustee forms on 20 Feb
Whistleblowing	Annually	18.07.2017	Summer 2018	Amendments approved 02.11.2017
Safeguarding	Annually	18.07.2017	Summer 2018	
Serious Incident Reporting	Annually	18.07.2017	Summer 2018	
Board Member Expenses Policy	Annually		Summer 2018	To be drafted
Investment	Annually		Summer 2018	Not appropriate for the Charity at this time

Note: Any Policies arising from the Governance Review and Strategic Vision will be added to this register

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