

# AHA-MK Strategic Business Plan 2015 – 2018

## Appendices



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### APPENDIX 1: GOVERNANCE

For many years AHA-MK existed as an unincorporated organisation governed by Terms of Reference. However, when the Charities Commission announced a new, simplified approach to charity registration (Charitable Incorporated Organisation or CIO), AHA-MK decided to register. The AHA-MK CIO was set up using the ‘association model’, which allows a wider membership and voting rights beyond the trustees.

The Charity Commission requires a CIO:

- To have a constitution as the organisation’s governing document
- To register the CIO with the commission for it to legally come into existence
- To keep a register of its members and trustees
- To send its accounts and annual return to the commission each year, regardless of its income.

AHA-MK’s CIO Constitution can be found at Appendix 4. It requires that there be not less than three nor more than five elected trustees and two ex officio trustees (AHA’s chair and treasurer). AHA-MK currently has five trustees:

- Yaw Asiyama (elected)
- Kay Greenhalgh (elected)
- Euan Henderson (chair, ex officio)
- Laura Keen (treasurer, ex officio)
- Francesca Skelton (elected).

AHA-MK currently conducts one-hour business meetings quarterly at the beginning of each Forum and two-hour business meetings mid-way between the Forums. These are open to all members. Trustees are invited to all meetings and also meet quarterly in their own right.

#### 2.1 CURRENT MEMBERS

ORGANISATION	WEBSITE	TWITTER
Arts1 School of Performance	<a href="http://www.arts1.co.uk">www.arts1.co.uk</a>	@Arts1sop
Arts for Health Milton Keynes	<a href="http://www.mkartsforhealth.org.uk">www.mkartsforhealth.org.uk</a>	@artsforhealthMK
Arts Gateway MK	<a href="http://www.artsgatewaymk.org.uk">www.artsgatewaymk.org.uk</a>	@artsgatewaymk @artscentralmk
Black Sheep Collective	<a href="http://www.blacksheepcollective.co.uk">www.blacksheepcollective.co.uk</a>	@BlackSheepCIC
Bletchley Park	<a href="http://www.bletchleypark.org.uk">www.bletchleypark.org.uk</a>	@bletchleypark
Cowper and Newton Museum	<a href="http://www.cowperandnewtonmuseum.org.uk">www.cowperandnewtonmuseum.org.uk</a>	@CowpNewtMuseum
Destination Milton Keynes	<a href="http://www.destinationmiltonkeynes.co.uk">www.destinationmiltonkeynes.co.uk</a>	@DestinationMK
Festive Road	<a href="http://www.festiveroad.org">www.festiveroad.org</a>	@Festive_Road
Independent Cinema MK	<a href="http://www.ic-mk.org">www.ic-mk.org</a>	@vagabondcinema
Inter-Action MK	<a href="http://www.interactionmk.org.uk">www.interactionmk.org.uk</a>	@InterActionMK
Living Archive	<a href="http://www.livingarchive.org.uk">www.livingarchive.org.uk</a>	@livingarchive1
Milton Keynes Arts Centre	<a href="http://www.miltonkeynesartscentre.org">www.miltonkeynesartscentre.org</a>	@mkartscentre
Milton Keynes City Centre Management	<a href="http://www.mkccm.co.uk">www.mkccm.co.uk</a>	@MKCCM
Milton Keynes City Orchestra	<a href="http://www.mkco.org">www.mkco.org</a>	@MKCityOrchestra
Milton Keynes College	<a href="http://www.mkcollege.ac.uk">www.mkcollege.ac.uk</a>	@MKCollege
Milton Keynes Community Foundation	<a href="http://www.mkcommunityfoundation.co.uk">www.mkcommunityfoundation.co.uk</a>	@MKComFoundation
Milton Keynes Council Arts and	<a href="http://www.milton-keynes.gov.uk/leisure-tourism-">www.milton-keynes.gov.uk/leisure-tourism-</a>	@MKArtsHeritage

Heritage Teams and Music Service	<a href="http://and-culture/arts-and-heritage">and-culture/arts-and-heritage</a>	
Milton Keynes Festival Fringe	<a href="http://www.mkfestivalfringe.com">www.mkfestivalfringe.com</a>	@MKFringe
Milton Keynes Forum	<a href="http://www.miltonkeynesforum.org/mkforum/">www.miltonkeynesforum.org/mkforum/</a>	
Milton Keynes Heritage Association	<a href="http://www.mkheritage.co.uk">www.mkheritage.co.uk</a>	@MKHA1
Milton Keynes Islamic Arts, Heritage and Culture	<a href="http://www.mkiac.org">www.mkiac.org</a>	@MKIAC
Milton Keynes Museum	<a href="http://www.mkmuseum.org.uk">www.mkmuseum.org.uk</a>	@MKMuseum
Milton Keynes Theatre	<a href="http://www.atgtickets.com/venues/milton-keynes-theatre">www.atgtickets.com/venues/milton-keynes-theatre</a>	@MKTheatre
MK Gallery	<a href="http://www.mkgallery.org">www.mkgallery.org</a>	@MK_Gallery
MÓTUS Dance	<a href="http://www.motusdancefestival.wix.com/motusdancefestival">www.motusdancefestival.wix.com/motusdancefestival</a>	@motusdancefest
Public Arts Trust Milton Keynes	<a href="http://www.publicartstrust.org">www.publicartstrust.org</a>	
Stantonbury Arts and Leisure	<a href="http://www.stantonburyleisure.co.uk">www.stantonburyleisure.co.uk</a>	@SC1Theatre
The Drawing Machine	<a href="http://www.facebook.com/TheDrawingMachine">www.facebook.com/TheDrawingMachine</a>	@Drawing_Machine
The National Museum of Computing	<a href="http://www.tnmoc.org">www.tnmoc.org</a>	@TNMOC
The Play's the Thing Theatre Company	<a href="http://www.playsthethingtheatrecompany.co.uk">www.playsthethingtheatrecompany.co.uk</a>	@playsthethingmk
The Stables	<a href="http://www.stables.org">www.stables.org</a>	@StablesMK
Thames Valley Partnership	<a href="http://www.thamesvalleypartnership.org.uk">www.thamesvalleypartnership.org.uk</a>	@tvppartnership
The Venue	<a href="http://www.thevenuemk.com">www.thevenuemk.com</a>	@VenueMK
Westbury Arts Centre	<a href="http://www.westburyartscentre.co.uk">www.westburyartscentre.co.uk</a>	@westburyarts

## APPENDIX 2: CONTEXT

Designated in 1967 as the nation's last 'new town' under the 1946 New Towns Act, Milton Keynes is now approaching its 50<sup>th</sup> anniversary (2017).

The City and Borough host a vibrant range of arts and heritage organisations. Milton Keynes boasts a heritage going back 150 million years – the construction of the new town has revealed both prehistoric remains and artefacts from Roman, Saxon, Norse and Norman settlements. Milton Keynes' museums, listed monuments and heritage sites bear witness to these as well as to pioneers of stagecoach, canal, railway and motorway travel. The arts scene is similarly diverse including the Milton Keynes Gallery and a robust Festival Fringe, theatres (including Milton Keynes Theatre, one of the most successful in the country), carnival arts organisations, orchestras and choirs, arts centres, community arts initiatives, educational opportunities and a biennial International arts festival produced by The Stables, one of the UK's leading music venues.

The 50<sup>th</sup> anniversary of Milton Keynes and the exploration of the possibility of bidding to be European Capital of Culture in 2023 set a clear trajectory for the cultural sector over the next 5-10 years, and help define AHA-MK's priorities.

### 2.2 A CITY OF MANY CULTURES

Milton Keynes is an area now covering six towns, 41 villages and 1/4 million people (estimated 255,700 people in 2013)<sup>1</sup>. Key statistics provided by the MKi Observatory include:

- The population of Milton Keynes increased by 43,000 since 2001. This is a growth of 20.2% compared with a growth rate of 8.9% for England.

<sup>1</sup> MKi Observatory - <http://www.mkiobservatory.org.uk/>

- Milton Keynes had a younger age profile than England as a whole. 22.6% of the Milton Keynes population were aged under 16 compared with 19.0% in England.
- 65.3% of the Milton Keynes population were aged 16-64 compared with 63.8% in England as a whole.
- 12.1% of the Milton Keynes population were aged 65+ compared with 17.3% in England as a whole.
- There were slightly more females (50.5%) than males (49.5%) in Milton Keynes.
- 26.1% of the population in 2011 were from black and minority ethnic groups.<sup>2</sup>

As mentioned above, over a quarter of the Milton Keynes population are from a black and minority ethnic group, this proportion has risen from one eighth ten years ago. The black and minority ethnic groups that have grown the most are Black African (1.3% of the population in 2001 to 5.2% in 2011) and White Other (2.5% of the population in 2001 to 5.1% in 2011). In 2011 73.9% of the Milton Keynes population were White British, this is slightly lower than in England as a whole (79.8% in 2011).<sup>3</sup>

In Milton Keynes, 10.6% of households have at least one person whose main language is not English and 109 languages are reported to be spoken as first languages.<sup>4</sup>

## 2.3 PEST(C) ANALYSIS

The PEST(C) analysis below identifies the political, economic, social, technological and cultural factors that may affect AHA-MK's development.

### POLITICAL

- Implications of result of 2015 General Election for arts and culture
- Milton Keynes Council's Arts & Public Art Strategy and Heritage, Museum & Archives Strategy joint vision – "By 2023 we will be recognised as being World Class", with a focus on identity, celebration and opportunity
- Milton Keynes Council finding it hard to commit budgets to arts and heritage in the face of other competing demands – annual budgeting offers little security
- Arts and heritage sectors being urged to pull together to make a case for culture, both socially and economically

### ECONOMIC

- Implications of result of 2015 General Election for economic policy
- Continued central and local government cuts to funding
- Milton Keynes Council reluctant to invest greatly in arts and heritage due to other budget pressures
- Pressure to diversify funding streams as public funding continues to decrease
- Expectation that philanthropy, business partnerships and crowd-sourcing could become substantial sources of funding
- Charitable business rate relief becoming harder to secure

### SOCIAL

- Growing population of Milton Keynes
- Diverse nature of population of Milton Keynes
- Cultural diversity of Milton Keynes
- Requirement to understand how younger generation spend their leisure time and how they engage with culture

<sup>2</sup> MKi Observatory - <http://www.mkiobservatory.org.uk/>

<sup>3</sup> Ibid.

<sup>4</sup> MK Council JSNA - <http://www.milton-keynes.gov.uk/>

- Population of Milton Keynes show a high engagement with cultural activities
- Organisations need to adapt to keep up with and react to change and flux in Milton Keynes
- Milton Keynes' 50<sup>th</sup> anniversary a key opportunity for culture to play a central part in residents feeling proud and celebrating

## TECHNOLOGY

- Rise of social media and use of online resources to communicate with public, funders and possible partners
- Opportunities for innovation afforded by digital technologies
- Younger generation have different patterns of digital engagement
- Internet as a communication tool
- Rise of digital art and heritage collections, reducing need to visit galleries and museums
- Use of crowd-sourcing and online giving to provide finances, diversifying income streams

## CULTURAL

- Arts Council now responsible for museums and libraries, bringing arts and heritage closer together on a national scale
- Arts Council indicate that Milton Keynes is a priority area for funding
- Opportunity for exciting cultural activity as part of Milton Keynes' 50<sup>th</sup> anniversary, raising the bar for European Capital of Culture 2023 bid
- Marketing of Milton Keynes as a cultural centre and visitor attraction
- Continuing focus on social and economic benefits of arts and culture
- IF: Milton Keynes International Festival 2012 and 2014 is a catalyst for Milton Keynes attracting increased local, regional, national and international media coverage and visitor numbers
- Broad variety of arts and heritage opportunities available across Milton Keynes
- Regional positioning of Milton Keynes and ongoing work towards city status

## 2.4 MARKET RESEARCH

Desk research suggests that there are very few organisations that are comparable with AHA-MK, and none that directly combine the arts and heritage sectors. The most directly comparable organisations are trade or sector associations that bring together professionals, providing training and networking support, as well as advocacy activities and facilitating collaborations between organisations. These bodies are independent from government, but offer input and reactions to proposed policies, to ensure their sectors' needs are being voiced.

An example of such a body is Arts Development UK (AD:uk), a national professional association, with membership open to all within the arts and cultural sectors. AD:uk is a charity with two main objectives:

- To offer practical advice, networking and support to the profession, and
- To advocate for the important contribution that the arts and creative industries make to today's crosscutting agendas, such as social inclusion.

AD:uk's aim is the universal provision of high quality, effective local arts services that meet and reflect local needs and issues. This charity supports its members through initiatives such as:

- An annual conference attracting over 200 delegates
- An interactive website and weekly ezine
- A Professional Fellowship Programme
- Regional meetings addressing local and national issues and informing AD:uk strategy
- A developing programme of training and continuous professional development including informal mentoring, buddying and induction to new members, regional and national seminars, the magazine and conference, and day-to-day networking and benchmarking within the membership

- Research on issues which further the arts and creative industries in local government.

AD:uk has over 400 members and operates on a national level to support its members to succeed in their local areas. This organisation is funded in the most part from membership fees, with additional income from the conferences and seminars, it has also received project funding in the past.

On a local level, Arts Gateway Milton Keynes (AGMK) is an organisation that supports local artists through networking events, advice and e-newsletters, and studios. AGMK's remit encompasses literature, drama, visual arts, music and dance, and focuses on supporting arts practitioners rather than organisations.

Milton Keynes Heritage Association (MKHA) focuses on local and regional heritage groups and organisations. MKHA has 60 member organisations, ranging from passionate community groups to nationally-renowned Museums – based throughout South Bucks and South Northants as well as Milton Keynes and surrounding areas. MKHA acts as a portal into heritage for members of the public via their website; they hold an extensive database of the heritage and historical resources regarding Milton Keynes, and provide meetings, tours and talks on local areas and historical events. MKHA also distributes small grants for heritage projects.

There are several organisations existing in America and Canada that work very similarly to AHA-MK, perhaps due to the fact that organisations have always had to work harder in these countries to secure funding. For example, the Greater Philadelphia Cultural Alliance (GPCA) exists to 'lead, strengthen and give voice to a diverse cultural sector that is making Philadelphia a world-class region to live, work and play'<sup>5</sup>. Established in 1972, this organisation undertakes leadership, advocacy and audience development, has established a Cultural Fund and succeeded in fighting significant funding cuts. The GPCA's 2011 strategic priorities were:

- Integrate culture as a strategic competitive advantage for the Philadelphia region, and essential to community development, economic development and the personal growth of its residents
- Align our advocacy agenda with partners to build critical mass and integrate culture into broader community goals
- Lead by example and promote adaptive practices that move the cultural sector towards greater relevance and impact
- Unite and interconnect a cultural sector that is inclusive, diverse and collaborative
- Strengthen the sector by helping cultural enterprises to adapt, identify their unique value propositions, diversify their audiences and build engaging, high quality experiences<sup>6</sup>

This organisation has over 400 members and provides significant resources including case studies, mapping and research via its website, professional development and advice and regularly publishes research documents for advocacy. GPCA has been very successful at advocating for the cultural sector within its locale, persuading policy makers and funding bodies not to reduce the funding for the cultural sector due to its significant value to the economy. Other services offered by the GPCA include:

- Groundswell – a grassroots platform for people who want to take action to improve lives and communities
- Legislator look-up for the public to find their local representatives
- Phillyfunguide – website listing events, activities and things to do
- Funsavers – half price ticket scheme
- STAMP pass – offering free admission for one year to young people between the ages of 14 and 19, there is also a STAMP teen council
- Online resources such as: a job bank, audience analytics tools, space finder, clash calendar and fundraising resources

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<sup>5</sup> <http://www.philaculture.org/about>

<sup>6</sup> *ibid*

- Grants
- Professional Development<sup>7</sup>

## 2.5 STRATEGIC CONTEXT

As AHA-MK positions itself as a strategic body, it must understand and reflect the wider strategic context of Milton Keynes, ensuring that the AHA-MK Action Plan is both informed by, yet remains independent from, the wider strategic framework. The joint remit of AHA-MK demands that its planning takes into account the strategic priorities for both the arts and heritage sectors, as well as the local economy and national provision for arts and heritage. On the local and regional level, these are presented in the *Milton Keynes Arts and Public Art Strategy*, the *Milton Keynes Heritage, Museums and Archives Strategy* as well as the *Milton Keynes Corporate Plan* and *Milton Keynes Economic Development Strategy*. The aims of the South East Midlands Local Enterprise Partnership (SEMLEP) are also relevant as Milton Keynes falls within its remit. In addition the Arts Council's *Achieving Great Art for Everyone* and its companion document *Culture, Knowledge and Understanding* set out their wider strategy for the arts, as well as museums and libraries. These documents present the framework within which the arts and heritage sectors of Milton Keynes exist, and which impact the development of these sectors.

### 2.5.1 MK COUNCIL ARTS AND HERITAGE STRATEGIES

Milton Keynes Council have recently published a new *Arts and Public Art Strategy* and *Heritage, Museums and Archive Strategy*, both of which run from 2014-2023 and articulate this aim: 'by 2023 we will be recognised as being World Class'.

The *Milton Keynes Council Arts and Public Art Strategy* sets out a vision that 'Milton Keynes will flourish with artistic energy'<sup>8</sup> and the *Heritage, Museums and Archives Strategy* contains the vision of 'heritage at the heart of Milton Keynes and a force for social, economic and cultural vitality'<sup>9</sup>. These two visions for arts and heritage will be delivered through projects that aim to:

- Enhance Identity
- Increase Opportunities
- Celebrate

### 2.5.2 ARTS COUNCIL ENGLAND

The Arts Council England's (ACE) strategic framework for the arts, *Achieving Great Art and Culture for Everyone*, was written in 2010 and updated in 2013 to reflect the joint remit for arts, museums and libraries. This document identifies the ways in which ACE hopes to position England as "a world-leading creative and cultural nation"<sup>10</sup> and to ensure that everyone has access to the arts. The document sets out five goals for excellence and collaboration in the arts:

- Talent and artistic excellence are thriving and celebrated in the arts, museums and libraries
- More people experience and are inspired by the arts, museums and libraries
- The arts, museums and libraries are resilient and environmentally sustainable
- The leadership and workforce in the arts, museums and libraries are diverse and appropriately skilled

<sup>7</sup> <http://www.philaculture.org/services>

<sup>8</sup> Milton Keynes Council (2014) *Milton Keynes Council Arts and Public Art Strategy*

<sup>9</sup> Milton Keynes Council (2014) *Milton Keynes Council Heritage, Museums and Archives Strategy*

<sup>10</sup> Arts Council England (2013) *Achieving Great Art and Culture for Everyone*

- Every child and young person has the opportunity to experience the richness of the arts, museums and libraries.

These five goals provide the framework within which ACE operates, and support their three main strands of work – championing and advocacy, development and commissions, and investment in the arts. Awareness of ACE’s five goals is important for the arts and heritage sectors as they define ACE’s investment of public money into culture.

*The Arts Council Plan 2011-15* provides further information regarding the application of ACE’s five goals to their funding strategy over the next few years, defining 13 priority areas for this period. ACE have replaced their Regularly Funded Organisation (RFO) funding strand with the reduced National Portfolio Organisation (NPO) funding strand, which will see £1.4 billion distributed to diverse organisations through an open application process.<sup>11</sup> ACE has also created a strategic funding strand (*Catalyst*), and is maintaining its *Grants for the Arts* and *Renaissance in the Regions* programmes. It is worth noting that AHA-MK membership includes two organisations that have been granted NPO status – MK Gallery and The Stables. It is understood that ACE is currently working on its 2015-18 plan.

When it was announced in 2010 that the Museums, Libraries and Archives Council (MLA) would be abolished in 2012, responsibility for museums and libraries was passed across to ACE. Thus, for the first time, responsibility for arts and heritage in England is held by one organisation and funding body. In 2011, ACE published *Culture, Knowledge and Understanding: Great Museums and Libraries for Everyone* as a companion document to their long-standing arts strategy. This document is presented as a starting point for conversations and debate, and suggests that the strategic framework for museums and libraries should be adapted from the five goals set out in *Achieving Great Art for Everyone*.

*Culture, Knowledge and Understanding* suggests that, in the future, the strategies for arts, museums and libraries will have a combined outlook with common goals. It says that “a partnership approach is fundamental to the successful delivery of our strategy: serious engagement with long-term ambition requires shared purpose and joint effort.”<sup>12</sup> ACE has identified that excellence and quality are key to all areas within its responsibility and in order to achieve these goals across the arts, museums and libraries sectors, ACE also suggests that organisations will need to work together across the sector divides to explore “opportunities that can be grasped through an integrated approach.”<sup>13</sup> This publication was followed up by the release of the updated version of *Achieving Great Art and Culture for Everyone* in 2013 as discussed above.

It is understood that Milton Keynes is seen as a priority area for funding by ACE, as discussed by Headley Swain (ACE South East Director) at the December 2014 AHA-MK Forum.

### 2.5.3 LOCAL AND REGIONAL NON-ARTS AND HERITAGE STRATEGIES

The *Milton Keynes Corporate Plan 2012-16* is a key document for Milton Keynes, outlining the planning and budgetary priorities for the area. This document focuses on the development of the city and borough, the economy and the Milton Keynes community; setting out strategies for education, community wellbeing, safety, sustainability and quality of life. The core vision of the Corporate Plan describes Milton Keynes as a place ‘Where we think differently, create opportunity and believe in people’<sup>14</sup> and sets out five headline themes:

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<sup>11</sup> Arts Council England (2011) *The Arts Council Plan 2011-15*

<sup>12</sup> Arts Council England (2011) *Culture, Knowledge and Understanding: Great Museums and Libraries for Everyone*

<sup>13</sup> Ibid

<sup>14</sup> Milton Keynes Council (2012) *Corporate Plan 2012-2016*

- World Class MK,
- Living in MK,
- Working in MK,
- Visiting MK and
- Cleaner, Greener, Safer, Healthier MK.

Each theme then breaks down into inspirational outcomes that uphold the core vision. The theme World Class MK encompasses Milton Keynes' 'distinctive arts and heritage'<sup>15</sup> and the theme Visiting MK recognises the arts and heritage sectors as key visitor attractions, identifying the International Festival: Milton Keynes as a priority. The recognition of the importance of the arts and heritage sectors to Milton Keynes' economy and society is a direct reflection of the diversity and dynamism of the arts and heritage landscape of Milton Keynes.

The *Milton Keynes Economic Development Strategy 2011 – 2016* presents a vision of Milton Keynes as the 'can-do city of the 21<sup>st</sup> Century'<sup>16</sup>. This document references the 'thriving arts, cultural and heritage sectors which both underpin the visitor economy and contribute significantly to voluntary and community activities' – recognising these sectors' role in economic growth. Within the Action Plan, one of the objectives refers directly to the arts and culture of Milton Keynes, aiming to invest in these sectors to improve quality of life and the prosperity of Milton Keynes. AHA-MK is directly referenced in the Action Plan, identified as a leader for the objective 'promoting Milton Keynes' unique identity'<sup>17</sup>, recognising AHA-MK's reputation for, and ability to, promote the area through arts and heritage. The Action Plan also recognises the importance of Milton Keynes' cultural infrastructure and the Council Strategies that support and nurture the cultural landscape.

The South East Midlands Local Enterprise Partnership (SEMLEP) is a regional body concerned with the economic growth of the South East Midlands. Established in 2011 by the Coalition Government in an attempt to shift power to local communities, SEMLEP is operated by public and private sector representatives from the area. SEMLEP's key aim is 'to promote the South East Midlands as a prime growth location for business, investors and visitors'<sup>18</sup> through collective strategic leadership. The outcomes of SEMLEP's work will be positive impacts on businesses, jobs, homes and communities across the South East Midlands area. Although SEMLEP does not directly reference arts, culture or heritage, one of its six key objectives is the 'creative industries' sector, which has close links to the arts and heritage sectors and faces many of the same issues and problems

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<sup>15</sup> Ibid.

<sup>16</sup> Milton Keynes Council (2011) *Milton Keynes Economic Development Strategy 2011 - 2016*

<sup>17</sup> Ibid.

<sup>18</sup> SEMLEP (2012) *Getting Down to Business – Plan for growth April 2012 – March 2013*

*AHA-MK Draft Business Plan 2015 - 2018*

**APPENDIX 3: RISK REGISTER**

**Date:** Due for update by AHA-MK Exec Group

Risk No.	Identify Risk	Scope the potential consequences	Raw Risk Score Assume NO controls (score 1-5)			Risk Control Measures currently in place and working	Residual Risk Score WITH current controls working			Target Score
			Conse- quence C	Likeli- hood L	C x L		Conse- quence C	Likeli- hood L	C x L	
	A brief description of the risk, whether it is a negative or a positive for the project	What will happen if this succeeds / fails?				What are the mitigating steps being taken to control the risk? Square brackets [] denote developing or proposed controls, but not active yet.				
1.	<p>AHA-MK Governance:</p> <p>a) Appropriate independent chair not identified</p> <p>b) Membership not being seen as open and accessible</p> <p>c) Secretariat not provided by MKC/MKCLIP</p> <p>d) MKC officers not able to support project management</p> <p>e) Lack of routine or robust accountability. Fewer scrutiny processes in place for work programme</p>	<p>a) Loss of independent voice for lobbying</p> <p>b) Membership number dwindles</p> <p>c) Unable to sustain level of working</p> <p>d) Unable to sustain level of working</p> <p>e) Risk of criticism externally and lack of conviction internally as work is not scrutinised</p>	<p>4</p> <p>4</p> <p>4</p> <p>4</p> <p>3</p>	<p>2</p> <p>3</p> <p>3</p> <p>4</p> <p>3</p>	<p>8</p> <p>12</p> <p>12</p> <p>16</p> <p>9</p>	<p>a) Succession planning and appointment of 2 deputy chairs</p> <p>b) Every approach made by prospective new members is shared with the full membership. Regular consultation on programme, speakers and relevant subjects discussed.</p> <p>c) Working groups in place to ensure members not overwhelmed; recognition of people's capacity and programme developed accordingly.</p> <p>d) Recognition that pressures are increasing on reducing MKC staffing. Appointment of intern intended to provide some relief.</p> <p>e) Members have regular opportunities to scrutinise processes through working groups and open meetings; minutes available to membership and observers; work programme agreed by all</p>	<p>4</p> <p>4</p> <p>2</p> <p>2</p> <p>3</p>	<p>1</p> <p>1</p> <p>2</p> <p>2</p> <p>2</p>	<p>4</p> <p>4</p> <p>4</p> <p>4</p> <p>6</p>	

Risk No.	Identify Risk	Scope the potential consequences	Raw Risk Score Assume NO controls (score 1-5)			Risk Control Measures currently in place and working	Residual Risk Score WITH current controls working			Target Score
			Consequence C	Likelihood L	C x L		Consequence C	Likelihood L	C x L	
	A brief description of the risk, whether it is a negative or a positive for the project	What will happen if this succeeds / fails?				What are the mitigating steps being taken to control the risk? Square brackets [] denote developing or proposed controls, but not active yet.				
2.	<p>AHA-MK Clarity of Purpose:</p> <p>a) Membership unsure of purpose</p> <p>b) Loss of membership fees</p> <p>c) Stakeholders unclear of purpose</p> <p>d) Members' expertise and skills are not identified, recognised, utilised nor exploited for the benefit of the wider membership.</p>	<p>a) Disengagement of member organisations (thereby losing the capacity they offer)</p> <p>b) Speaker and workshop programme may become unsustainable</p> <p>c) Loss of voice at, e.g., MK CLIP, MKCCM</p> <p>d) Members feel they have nothing useful to offer others and lose interest; the wider membership loses a valuable source of skill development</p>	<p>4</p> <p>4</p> <p>4</p> <p>4</p>	<p>3</p> <p>4</p> <p>3</p> <p>3</p>	<p>12</p> <p>16</p> <p>12</p> <p>12</p>	<p>a) Regular review and restatement of purpose by members. Members input to, and agree, each year's Action Plan</p> <p>b) Benefits of membership clear and financial leverage for partnership enhanced</p> <p>c) Regular AHA representation at relevant bodies and ensuring that collective voice of AHA is heard on policy and documentation.</p> <p>d) Members make presentations / run workshops to share expertise and strategies. [A skills audit to be undertaken throughout the membership]</p>	<p>2</p> <p>4</p> <p>4</p> <p>4</p>	<p>2</p> <p>3</p> <p>2</p> <p>2</p>	<p>4</p> <p>12</p> <p>8</p> <p>8</p>	8
3.	<p>AHA-MK Relationship with MKC:</p> <p>a) Future of Arts and Heritage Units</p> <p>b) Non-alignment of AHA-MK Action Plan to targets within MKC key strategies</p> <p>c) Loss of all or most of MKC grant</p>	<p>a) Lack of support / visibility for the arts and heritage</p> <p>b) Less investment and allocation of MKC resources</p> <p>c) Projects (other than Forum meetings) unsustainable</p>	<p>4</p> <p>3</p> <p>4</p>	<p>3</p> <p>3</p> <p>4</p>	<p>12</p> <p>9</p> <p>16</p>	<p>(a) AHA's and members' support for the units; AHA's participation in activities that are part of MKC's arts and heritage strategies.</p> <p>(b) Relevant targets are kept high profile and monitored accordingly</p> <p>(c) Exploration of alternative sources of funding (thus far unpromising) and/or exploration of merger with other</p>	<p>3</p> <p>3</p> <p>4</p>	<p>2</p> <p>2</p> <p>4</p>	<p>6</p> <p>6</p> <p>16</p>	8

Risk No.	Identify Risk	Scope the potential consequences	Raw Risk Score Assume NO controls (score 1-5)			Risk Control Measures currently in place and working	Residual Risk Score WITH current controls working			Target Score
			Conse- quence C	Likeli- hood L	C x L		Conse- quence C	Likeli- hood L	C x L	
	A brief description of the risk, whether it is a negative or a positive for the project	What will happen if this succeeds / fails?				What are the mitigating steps being taken to control the risk? Square brackets [] denote developing or proposed controls, but not active yet.				
4.	<p>Intern Position</p> <p>(a) High turn-over of people</p> <p>(b) Inexperienced individuals</p> <p>(c) Poor Training</p> <p>(d) Lack of Management Structures</p> <p>(e) Insurances required</p> <p>(f) Negative PR for not paying positions</p> <p>(g) Succession Planning</p>	<p>(a) This is likely as positions are only 6-months and could result of no consistency and work unfinished</p> <p>(b) Work will take longer and may be a lower quality</p> <p>(c) Work will take longer and may not align to AHA needs</p> <p>(d) Intern would be unfocused and work outcomes not met</p> <p>(e) Lack of insurance would put Intern and AHA at risk</p> <p>(f) AHA reputation tarnished and future interns</p> <p>(g) Work doesn't have a legacy and work incomplete</p>	5	3	15	<p>arts/heritage organisation(s).</p> <p>a) Strong management and workplan/handover process implemented</p> <p>b) Strong management processes with workplan and weekly 1:1s</p> <p>c) Training within MKC processes including H&amp;S and inductions</p> <p>d) Place post within MKC to offer specialist and consistent support</p> <p>e) Covered through AGMK policies</p> <p>f) Follow Arts Council &amp; Creative Choices Intern Policy</p> <p>g) Strong management and workplan/handover process implemented</p>	2	2	4	

## APPENDIX 4: CIO CONSTITUTION

The AHA-MK CIO Constitution can be found here: [www.aha-mk.org/resources](http://www.aha-mk.org/resources)

### 5.1 CONFIDENTIALITY POLICY

#### Arts & Heritage Alliance Milton Keynes Confidentiality Policy

##### 1. General principles

- 1.1. Arts & Heritage Alliance Milton Keynes (AHA-MK) recognises that colleagues (employees, volunteers, trustees, secondees and students) gain information about individuals and organisations during the course of their work or activities. In most cases such information will not be stated as confidential and colleagues may have to exercise common sense and discretion in identifying whether information is expected to be confidential. This policy aims to give guidance but if in doubt, seek advice from your line manager.
- 1.2. Colleagues are able to share information with their line manager in order to discuss issues and seek advice.
- 1.3. Colleagues will avoid exchanging personal information or comments about individuals with whom they have a professional relationship.
- 1.4. Talking about the private life of a colleague is to be avoided at all times, unless the colleague in question has instigated the conversation.
- 1.5. Colleagues will avoid talking about organisations or individuals in social settings.
- 1.6. Colleagues will not disclose to anyone, other than their line manager, any information considered sensitive, personal, financial or private without the knowledge or consent of the individual, or an officer, in the case of an organisation.
- 1.7. There may be circumstances where colleagues would want to discuss difficult situations with each other to gain a wider perspective on how to approach a problem. The organisation's consent must be sought before discussing the situation, unless the colleague is convinced beyond doubt that the organisation would not object to this. Alternatively, a discussion may take place with names or identifying information remaining confidential.
- 1.8. Where there is a legal duty on AHA-MK to disclose information, the person to whom the confidentiality is owed will be informed that disclosure has or will be made.

##### 2. Why information is held

- 2.1. Most information held by AHA-MK relates to individuals, voluntary and community organisations, self-help groups, volunteers, students, employees, trustees or services which support or fund them.
- 2.2. Information is kept to enable AHA-MK colleagues to understand the history and activities of individuals or organisations in order to deliver the most appropriate services.
- 2.3. AHA-MK has a role in putting people in touch with voluntary and community organisations and keeps contact details which are passed on to any enquirer, except where the group or organisation expressly requests that the details remain confidential.
- 2.4. Information about students is given to the training organisation and the college, but to no one else.
- 2.5. Information about ethnicity and disability of users is kept for the purposes of monitoring our equal opportunities policy and also for reporting back to funders.

### **3. Access to information**

- 3.1. Information is confidential to AHA-MK as an organisation and may be passed to colleagues, line managers or trustees to ensure the best quality service for users.
- 3.2. Where information is sensitive, i.e. it involves disputes or legal issues, it will be confidential to the employee dealing with the case and their line manager. Such information should be clearly labelled 'Confidential' and should state the names of the colleagues entitled to access the information and the name of the individual or group who may request access to the information.
- 3.3. Colleagues will not withhold information from their line manager unless it is purely personal.
- 3.4. Users may have sight of AHA-MK's records held in their name or that of their organisation. The request must be in writing to the Chief Officer giving 14 days' notice and be signed by the individual, or in the case of an organisation's records, by the Chair or Executive Officer. Sensitive information as outlined in para 3.2 will only be made available to the person or organisation named on the file.
- 3.5. Employees may have sight of their personnel records by giving 14 days' notice in writing to the Chief Officer.
- 3.6. When photocopying or working on confidential documents, colleagues must ensure people passing do not see them. This also applies to information on computer screens.

### **4. Storing information**

- 4.1. General non-confidential information about organisations is kept in unlocked filing cabinets and in computer files with open access to all AHA-MK colleagues.
- 4.2. Personnel information on employees, volunteers, students and other individuals working within AHA-MK will be kept in lockable filing cabinets by line managers and will be accessible to the Chief Officer.
- 4.3. Files or filing cabinet drawers bearing confidential information should be labelled 'confidential'.
- 4.4. In an emergency situation, the Chief Officer may authorise access to files by other people.

### **5. Duty to disclose information**

- 5.1. There is a legal duty to disclose some information including:
  - 5.1.1. Child abuse will be reported to the Social Services Department
  - 5.1.2. Drug trafficking, money laundering or acts of terrorism will be disclosed to the police.
- 5.2. In addition colleagues believing an illegal act has taken place, or that a user is at risk of harming themselves or others, must report this to the Chief Officer who will report it to the appropriate authorities.
- 5.3. Users should be informed of this disclosure.

### **6. Disclosures**

- 6.1 AHA-MK complies fully with the DBS Code of practice regarding the correct handling, use, storage, retention and disposal of Disclosures and Disclosure information.

- 6.2 Disclosure information is always kept separately from an applicant's personnel file in secure storage with access limited to those who are entitled to see it as part of their duties. It is a **criminal offence** to pass this information to anyone who is not entitled to receive it.
- 6.3 Documents will be kept for a year and then destroyed by secure means. Photocopies will not be kept. However, AHA-MK may keep a record of the date of issue of a Disclosure, the name of the subject, the type of Disclosure requested, the position for which the Disclosure was requested, the unique reference number of the Disclosure and the details of the recruitment decision taken.

## **7. Data Protection Act**

- 7.1. Information about individuals, whether on computer or on paper, falls within the scope of the Data Protection Act and must comply with the data protection principles. These are that personal data must be:
- Obtained and processed fairly and lawfully.
  - Held only for specified purposes.
  - Adequate, relevant and not excessive.
  - Accurate and up to date.
  - Not kept longer than necessary.
  - Processed in accordance with the Act.
  - Kept secure and protected.
  - Not transferred out of Europe.

## **8. Breach of confidentiality**

- 8.1. Employees who are dissatisfied with the conduct or actions of other colleagues or AHA-MK should raise this with their line manager using the grievance procedure, if necessary, and not discuss their dissatisfaction outside AHA-MK.
- 8.2. Colleagues accessing unauthorised files or breaching confidentiality may face disciplinary action.

## **9. Whistle blowing**

- 9.1. Where the Finance Worker has concerns about the use of AHA-MK funds, he or she may refer directly to the Chair or Treasurer outside the usual grievance procedure.
- 9.2. All colleagues hold the right to inform either his or her manager or one of the trustees if they believe that AHA-MK is being brought into disrepute by the actions of another colleague or trustee.

**Date:**

**Date to be reviewed:**

## 5.2 EQUAL OPPORTUNITIES POLICY

### Arts & Heritage Alliance Milton Keynes Equality Opportunities Policy

#### 1. Introduction

The responsibility for ensuring equality and diversity among potential and actual service users, volunteers, members and workers rests ultimately with the management committee. Volunteers, workers and management committee members are responsible for the implementation of the policy, its observance, monitoring it on a day-to-day basis and reporting on its operation to the Trustee Board.

The policy consists of the following:

- Statement of intent
- The Policy

#### 2. STATEMENT OF INTENT

Arts & Heritage Alliance Milton Keynes (AHA-MK) recognises that certain individuals and groups are discriminated against on grounds of disability, race, ethnic origin, culture, socio-economic background, gender, sexuality, religion, creed, marital status and age. AHA-MK is committed to working towards eliminating all forms of discrimination both through its own work and through its employment policies and practices.

Recognising that passive policies will not achieve change, AHA-MK will, through regular monitoring of policies and practice, take active steps to combat discrimination.

#### 3. The Policy

**Service Provision:** Users must have easy access to information about AHA-MK's services which may involve making materials available where appropriate in a variety of media, e.g. in large print or electronically. In particular, all printed materials will be in a minimum of 10pt type. It is also recognised that AHA-MK will not be able to meet all the demands made upon its services. There will be a drawn up and publicly available list of priorities for the service which will be reviewed at least annually.

Additionally, it is recognised that there may from time to time be complaints against members of staff or the service. A notice will be displayed in the general office, giving details of how a complaint may be made. The procedure will also be regularly publicised in the newsletter.

**Recruitment and Selection:** AHA-MK aims to receive the widest response to recruitment of volunteers, workers or management committee members. All vacancies will be publicised widely. The range of publications and agencies chosen will attempt to reflect the aim of reaching all sections of society. Information sent to potential applicants will include the volunteer or management role description or a job description and a person specification in the case of paid employment and details of the Equal Opportunities Policy. It will be standard practice to supply information in large print when requested - this will be noted in advertisements.

**Terms and Conditions:** AHA-MK will endeavour to ensure that volunteers, workers and management committee members are not discriminated against through the terms and conditions under which they are have been engaged. Furthermore, AHA-MK recognises that from time to time family and social circumstances may change and consequently that volunteers or workers may need to change their conditions of work. AHA-MK will attempt, where circumstances and resources permit, to accommodate the needs of those volunteers and workers.

**Workers Support:** Volunteers and workers are entitled to support from management committee members. Volunteers and worker will receive regular supervision from a named management committee member

**Training:** AHA-MK recognises that training is an important factor in leading to job achievement and opportunity. Induction training is particularly important and will be made available to all volunteers, workers and management committee members. When other needs are identified, every effort will be made to ensure that training is provided.

**Purchasing:** AHA-MK will try to ensure that the goods and services it offers are accessible to all groups. It will not knowingly receive or purchase goods and services from agencies which practise discrimination.

**Monitoring:** Regular monitoring and reviews of all procedures will take place from time to time, to check the effectiveness of AHA-MK's Equal Opportunity Policy. Staff will be required to report the results of such monitoring to the management committee *annually* and to recommend such amendments as are needed to ensure that the Equal Opportunity Policy are effective at all levels of the organisation.

**Date:**

**Review Date:**

## 5.3 TRUSTEES CODE OF CONDUCT

### Arts & Heritage Alliance Milton Keynes Trustee Code of Conduct

#### 1. Selflessness

The trustees of Arts & Heritage Alliance Milton Keynes (AHA-MK) have a general duty to act in the best interests of AHA-MK as a whole. They should not do so to gain financial or other material benefits for themselves, their friends or the organisation they represent, if applicable.

#### 2. Integrity

The trustees of AHA-MK:

- Should not place themselves under any financial or other obligation to outside individuals or organisations that might seek to influence them in the performance of their role
- Should, as well as avoiding actual impropriety, avoid any appearance of improper behaviour
- Should avoid accepting gifts and hospitality that might reasonably be thought to influence their judgement

#### 3. Objectivity

In carrying out their role, including making staff and trustee appointments, awarding contracts or transacting other business, the trustees of AHA-MK should ensure that decisions are made solely on merit.

#### 4. Accountability

The trustees of AHA-MK:

- Have a duty to comply with the law on all occasions in accordance with the trust placed in them and in such a way as to preserve public confidence in AHA-MK
- Are accountable for their decisions and actions to the public, funders and service users and must submit themselves to scrutiny as appropriate to their role

#### 5. Openness

The trustees of AHA-MK:

- Should ensure that confidential material, including that about individuals, is handled with due care
- Should be as open as possible about their decisions and the action they take and give reasons for their decisions and restrict access to information only when the wider interest clearly demands

#### 6. Honesty

The trustees of AHA-MK:

- Have a duty to declare any interests relating to their trustee role and to take steps to resolve any conflicts that may arise
- Must resolve any conflict between his/her private interests and his/her trustee duties in favour of the trustee role
- Must make relevant declarations of interest in their different roles both within and outside AHA-MK

#### 7. Leadership

The trustees of AHA-MK:

- Should promote and support the principles of leadership by example
- Must respect the role of staff and volunteers

**Date:**

**Review date:**

## 5.4 CONFLICT OF INTEREST POLICY

### Arts & Heritage Alliance Milton Keynes Conflict of Interest Policy

All staff, volunteers, and management committee members of Arts & Heritage Alliance Milton Keynes (AHA-MK) will strive to avoid any conflict of interest between the interests of the Organisation on the one hand, and personal, professional, and business interests on the other. This includes avoiding actual conflicts of interest as well as the perception of conflicts of interest.

The purposes of this policy is to protect the integrity of the AHA-MK's decision-making process, to enable our stakeholders to have confidence in our integrity, and to protect the integrity and reputation of volunteers, staff and committee members.

Examples of conflicts of interest include:

1. A committee member who is also a user who must decide whether fees from users should be increased.
2. A committee member who is related to a member of staff and there is decision to be taken on staff pay and/or conditions.
3. A committee member who is also on the committee of another organisation that is competing for the same funding.
4. A committee member who has shares in a business that may be awarded a contract to do work or provide services for the organisation.

Upon appointment each committee member will make a full, written disclosure of interests, such as relationships, and posts held, that could potentially result in a conflict of interest. This written disclosure will be kept on file and I will be updated as appropriate.

In the course of meetings or activities, committee members will disclose any interests in a transaction or decision where there may be a conflict between the organisations best interests and the committee members best interests or a conflict between the best interests of two organisations that the committee members is involved with.

After disclosure, that committee member may be asked to leave the room for the discussion and may not be able to take part in the decision depending on the judgement of the other committee members present at the time.

Any such disclosure and the subsequent actions taken will be noted in the minutes.

This policy is meant to supplement good judgment, and staff, volunteers and management committee members should respect its spirit as well as its wording.

**Date:**

**Review date:**

## 5.5 WHISTLE BLOWING POLICY

### Arts & Heritage Alliance Milton Keynes Reporting a Suspected Malpractice (Whistle Blowing)

#### **POLICY**

It is the duty of every member of staff and volunteer to speak up about genuine concerns in relation to criminal activity, breach of a legal obligation (including negligence, breach of contract, breach of administrative law), miscarriage of justice, danger to health and safety or the environment, and the cover up of any of these in the workplace. It applies whether or not the information is confidential.

Arts and Heritage Alliance Milton Keynes (AHA-MK) is committed to ensuring that any staff concerns of this nature will be taken seriously and investigated. A disclosure to AHA-MK will be protected if the member of staff has an honest and reasonable suspicion that the malpractice has occurred, is occurring, or is likely to occur. Staff and volunteers who raise concerns reasonably and responsibly will not be penalised in any way.

#### **WHO THIS POLICY IS FOR?**

This policy is for people employed by or volunteering with AHA-MK. For the purposes of this policy only, this is someone who is:

- Employed on a permanent or fixed term contract of employment
- On secondment to AHA-MK
- On a temporary contract or employed through an agency to work for AHA-MK
- An independent consultant for AHA-MK
- A volunteer with AHA-MK
- Contractors and suppliers of services to AHA-MK

#### **PROCEDURE**

Any individual who has reasonable suspicions of malpractice should initially take their concerns to their line manager. If they do not feel that this is the appropriate person, they should approach the Chair or if their concern is related to the Chair, they should contact a trustee. It is recognised that for some individuals, raising a concern under this procedure may be a daunting and difficult experience. An individual may choose to be accompanied or represented by their trade union representative or colleague at any stage of this procedure. All reported incidents will be investigated. All reports will be dealt with in confidence, with only staff who need to know, being informed.

The Chair or trustee will establish and record the basis of the concerns that have been raised and establish what further actions are required. The individual raising the concern will be advised of the outcome of the investigation as soon as possible, normally within two weeks of the date of their disclosure. Where a longer period is needed for investigation, the member of staff will be informed in writing.

The Chair will be informed of all reported disclosures and the actions being taken. In the case of disclosures on alleged fraud and corruption, the Chair will inform AHA-MK's Treasurer and auditors.

If an individual is not satisfied with the response received and any subsequent action taken, they should put their concerns in writing to the Chair of trustees/ management committee (or another appropriate trustee/committee member) who will arrange any further investigation as he/she thinks appropriate. The Chair will send a written response to the individual concerned.

#### **GUIDING PRINCIP**

To ensure that this policy is adhered to, and to assure staff that the concern will be taken seriously, AHA-MK will:

- Not allow the person raising the concern to be victimised for doing so
- Treat victimisation of whistle blowers as a serious matter that may lead to disciplinary action that may include dismissal
- Not attempt to conceal evidence of poor or unacceptable practice
- Take disciplinary action if an employee destroys or conceals evidence of poor or unacceptable practice or misconduct

- Ensure confidentiality clauses in employment contracts do not restrict, forbid or penalise whistle blowing
- Liaise with the other organisations (see section below) to whom staff report malpractice.

### **Independent advice and further reading**

Further Information for charitable organisations can be found on the Charity Commission's website on:

[http://www.charity-commission.gov.uk/Our\\_regulatory\\_activity/Reporting\\_issues/Trustee\\_employee\\_and\\_volunteer\\_guidance\\_index.aspx](http://www.charity-commission.gov.uk/Our_regulatory_activity/Reporting_issues/Trustee_employee_and_volunteer_guidance_index.aspx)

Employees who feel unsure about whether or how to raise a concern or want confidential advice can contact the independent charity Public Concern at Work: <http://www.pcaaw.org.uk>, on 020 7404 6609, or email [helpline@pcaaw.co.uk](mailto:helpline@pcaaw.co.uk)

Their lawyers can give free confidential advice on how to raise a concern about serious malpractice at work.

Free information and advice can also be obtained from the Advice, Conciliation and Arbitration Service (ACAS):  
Telephone - 08457 47 47 47.

You may feel that it is more appropriate to report a matter to another organisation. Other organisations concerned with standards in the voluntary sector include:

The Charity Commission - 0845 300 0218

**Date:**

**Review date:**

## 5.6 FINANCIAL MANAGEMENT AND CONTROLS POLICY

### Arts & Heritage Alliance Milton Keynes Financial Management and Controls Policy

#### 1. INTRODUCTION

- 1.1. Financial records will be kept so that Arts & Heritage Alliance Milton Keynes (AHA-MK) can:
  - a. Meet its legal and other obligations, e.g., Charities Acts, HMRC, Customs & Excise, Companies Act, Common Law
  - b. Enable the Executive Committee to have control of the organisation's finances
  - c. Enable the organisation to meet contractual obligations and the requirements of funding bodies
- 1.2. The organisation will keep proper books of account, which will include:
  - a. A cash book analysing all the transactions in the organisation's bank account(s)
  - b. A petty cash book if cash purchases are being made
  - c. HMRC deduction cards will be undertaken by AHA-MK
- 1.3. The financial year for AHA-MK will end on 31 March.
- 1.4. Accounts will be drawn up after each financial year within three months of the end of the year and presented to the next annual general meeting (AGM).
- 1.5. Before the start of each financial year, the executive committee will approve a budgeted income and expenditure account for the following year.
- 1.6. A paper comparing actual income, and expenditure with the budget will be presented to the executive committee every three months and on a monthly basis to both the Chair and the Treasurer.

The AGM will appoint an appropriately qualified auditor to audit the accounts for presentation to the next AGM.

#### 2. BANK

- 2.1. AHA-MK will bank with the Co-operative bank where the accounts will be held in the name of Arts & Heritage Alliance Milton Keynes. The following accounts will be maintained: current and business, reserve, and any other project accounts as agreed and approved by the executive committee.
- 2.2. The bank mandate (list of people who can sign cheques on the organisation's behalf) will always be approved and minuted by the executive committee as will all changes to it.
- 2.3. AHA-MK will require the bank to provide statements every month and these will be reconciled with the cash book at every month and the Treasurer will spot check that this reconciliation has been done at least twice a year, and sign the cash book.
- 2.4. AHA-MK will not use any other bank or financial institution or use overdraft facilities or invest speculatively unless authorised, approved and minuted by the executive committee.

#### 3. RECEIPTS (INCOME)

The aim is to demonstrate that AHA-MK has received all the income to which it is entitled and that it is all reasonably evidenced.

- 3.1. All monies received will be recorded promptly in the cash analysis book and banked without delay (note this includes sundry receipts such as payments for telephone calls, photocopying, etc.) The organisation will maintain files of documentation.

## 4. PAYMENTS (EXPENDITURE)

- 4.1. The Treasurer will be responsible for holding the cheque book (unused and partly used cheque books).
- 4.2. Blank cheques will never be signed.
- 4.3. Whenever possible, the same person should not be responsible for ordering, processing and checking invoices as well as raising cheque requisitions, signing cheques and payments.
- 4.4. The relevant payee's name will always be inscribed on the cheque before signature, the cheque stub will always be filled in.
- 4.5. No cheques will be signed without original documentation.
- 4.6. Money will only be spent to meet conditions and requirements of the funding bodies and in pursuance of the objectives of the constitution.
- 4.7. The Chair and/or the Treasurer with (in either case) one other committee member shall not approve expenditure of more than £xxx nor an overspend on a particular budget heading of more than 10 per cent unless this approval should be written down, signed by both people approving it, and reported to and minuted at the next finance and general purpose sub-committee meeting and the next full executive committee meeting.

## 5. PAYMENT DOCUMENTATION

- 5.1. Every payment out of the organisation's bank account will be supported by an original invoice (never against a supplier's statement or final demand). That original will be filed and kept for seven years. The person who signs the cheque should ensure that the AHA-MK cheque requisition slip is fully completed. This includes the following:
  - Cheque number
  - Date cheque drawn
  - Amount of cheque
  - Who signed the cheque.
- 5.2. The only exceptions to cheques not being supported by an original invoice would be for such items as advanced booking fees for a future course, VAT, etc. Here a cheque requisition form will be used and a photocopy of the cheque kept.
- 5.3. Wages and salaries: There will be a clear trail to show the authority and reason for payment. Every payment will have a cheque requisition slip showing who has authorised the payment and what it was for ie salary, temporary work, HMRC, etc.
- 5.4. Petty cash will always be maintained on the imprest system where by the Chair is trusted with a float as agreed by the management committee. When that is more or less expended, a cheque will be drawn for sufficient bringing up the float to the agreed sum (currently agreed at £50.00), the cheque being supported by a complete set of expenditure vouchers and when possible receipts, totalling the amount spent. The expenditure will be analysed in the petty cash book.
- 5.5. Expenses/Allowances: AHA-MK will, if asked, reimburse expenditure paid for personally by staff, providing:
  - Fares are evidenced by tickets (where possible).
  - Other expenditure is evidenced by original receipts.
  - Car mileage is based on local authority scales.

## 6. CHEQUE SIGNATURES AND CASH CARDS

- 6.1. Each cheque will be signed by at least two people.
- 6.2. Hole in the wall type cash cards will not be used and if issued by the bank will be immediately cut in half.

## 7. OTHER UNDERTAKINGS

- 7.1. AHA-MK does not accept liability for any financial commitment unless properly authorised. Any orders placed or undertakings given, the financial consequences of which are, prima facie, likely to exceed in total £xxx must be authorised and minuted by the management committee. (This covers such items as the new service contracts, office equipment purchase and hire).
- 7.2. All fund raising and grant applications undertaken on behalf of AHA-MK will be done in the name of the organisation with prior approval of the management committee or in urgent situations the approval of the Chair, who will provide full details to the next management committee.

## 8. CONFIDENTIALITY

- 8.1. The confidentiality of employees' financial circumstances will be respected at all times.
- 8.2. Committee members, volunteers and employees will at all times act in the best interest of the organisation and if they experience a conflict of interest they will not divulge sensitive information.

## 9. OTHER RULES

- 9.1. The executive committee will consider the level of reserves that is prudent for AHA-MK to have at its first meeting after the AGM. Consideration will be given to redundancy liabilities, lease agreements and any other significant factors that should be taken into account were AHA-MK to close.
- 9.2. AHA-MK will adhere to good practice in relation to its finances at all times, eg when relevant it will set up and maintain a fixed met register stating the date of purchase, cost, serial numbers and normal location of the asset(s). If it holds stocks of goods eg books etc, of significant value, it will maintain proper records.
- 9.3. These controls will be reviewed at the first finance and general purposes sub-committee meeting after the AGM.

**Date:**

**Review date:**