



One East Midlands

Forward Strategy and Business Plan

2013 -2016

Introduction

This document sets out the Strategic objectives for One East Midlands (One EM) for the years April 2013 to March 2016. It identifies the changes and outcomes that One EM aims to achieve over the period and the approaches that the organisation will take in order to help achieve these goals. The approach has been developed after listening to our members.

The objectives set within the plan reflect both existing contractual obligations and other priorities currently identified as gaps within the region. The approach taken by One EM has been developed in consultation with the sector and our key stakeholders with the view to delivering long term strategic benefit to the Voluntary and Community Sector (VCS) in the East Midlands. Direct stakeholder consultation on the strategic aims was undertaken from November 2012 until January 2013.

Fiona White
Chair, One East Midlands

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1. Who We Are and What We Do



One East Midlands is the regional network and infrastructure organisation for the Voluntary and Community Sector (VCS) in the East Midlands.

One EM exists to ensure that the VCS and wider third sector (which includes partners in faith, social enterprise, sport, culture and environment) are actively engaged with key regional bodies and other partners, from across the public, statutory, business and social enterprise sectors. We bring together organisations that support third sector groups across the region to influence and shape policy, improve services and provide a strategic interface between the sector and key stakeholders at a regional level.

We are the point of contact for regional and national bodies with the VCS in the East Midlands, including both generic and specialist organisations. In its creation, One East Midlands was the result of the drawing together of the generic and BME networks in the region, marking a unique strategic relationship with the BME network. As a result of this unique position, the governance of One EM reflects its important role in the delivery and support for regional BME policy influence. This complements our broader commitment to supporting, developing and embedding equality principles across the region.

1.1. Our Vision and Mission

One East Midlands is committed to realising the potential of the voluntary and community sector in the region. The contribution of the VCS to individuals, communities, the economy, the environment and to the future of the region is vital. The sector is directly linked to and informed by the communities we serve. Our task is supporting the sector to become more effective and influential for the benefit of those communities and is summarised in our strap-line:

Getting voices heard; shaping change

Our vision for the future is:

'Strong, sustainable, inclusive and empowered communities in the East Midlands'

Our Mission sets out our role in achieving our vision:

'Maximise the role of the VCS as an influential, valued and equal partner in all policy development'

1.2. Our Values

One East Midlands commits to always work in the best interests not of ourselves, but of those we serve, represent and care about. We will achieve this by adhering to our principle values:

- Be democratic and inclusive.
- Challenge and overcome inequality.
- Be transparent in our approach to all decision-making.
- Remain true to our Vision and Mission.
- Respect the people we rely upon and who rely upon us.
- Continually review what we do and how we do it to be as effective as possible.
- Be accountable to the sector, those we serve and those who invest in us.
- Have respect for and minimise our impact on the environment.

1.3. Equality and diversity

One EM is committed to challenging discrimination and lack of opportunity in its own policy and practice and will help other organisations and individuals to do the same.

One EM aims to create a culture that respects and values each others' differences. One EM sees these differences as an asset to our work as they improve our ability to meet the needs of the organisations and people we serve.

Full details of our Equality and Diversity Policy can be found in Appendix I

4.1. Our Structure and Membership

4.1.1. Structure and Governance Arrangements

One East Midlands is a membership organisation comprising members, a Board of 16 Trustees and a Secretariat.

Our Full members form The Assembly which is the governing body of One East Midlands. The Assembly sets the overall strategic direction, identifies key policy themes and monitors overall performance and impact of One East Midlands.

The Board of Trustees has overall responsibility for ensuring that One East Midlands stays true to its mission, values and strategic aims and that it

functions in accordance with principles of good governance. *Board structure and membership is detailed in Appendix II.*

The day to day operation of One EM is carried out by the staff team in the Secretariat and led by the Chief Executive. *Staffing structure is explained in Appendix III*

4.1.2. Membership

It is through our membership that One East Midlands works with, represents and is accountable to the organisations and groups it serves.

4.1.3. Membership Eligibility

Membership of One East Midlands is open to all third sector and stakeholder organisations in the East Midlands that share or support our vision and values. There are three categories of membership:

Full Membership

This category forms the One East Midlands Assembly and is open to all third sector infrastructure organisations in the region. Full members are the only category of membership with voting rights. Full members have access to all the additional benefits and services offered by One East Midlands.

Affiliate Membership

This category is open to all third sector organisations that support the aims and values of One East Midlands. Affiliate members do not have voting rights but have access to all the additional benefits and services offered by One East Midlands.

Friend of One East Midlands

For organisations, companies or individuals that support the aims and values of One EM, who want to show their support for the VCS in the East Midlands. Friends of One East Midlands have access to all the additional benefits and services offered by One East Midlands but do not have voting rights.

A list of our current membership by category can be found in Appendix IV

2. Our Operating Environment

2.1. Overview of the East Midlands

The East Midlands is one of the 9 English regions and comprises the counties of Derbyshire, Leicestershire, Lincolnshire, Northamptonshire, Nottinghamshire and Rutland.

2.1.1. Population trends

The region holds a total population of 4.3 million. This is expected to rise to 4.8 million by 2028. Between 1994 and 2004 the population of the East Midlands grew significantly faster than the national average. Of particular note the 8.8% increase in pensionable age group is the second largest of all regions behind East of England. Population growth is focussed primarily on rural and suburban areas whereas the cities of Nottingham and Leicester have experienced population decline. This gradual ageing is countered by a reduction in the child population and has led to numerous school closures, particularly across rural parts of the region.

Child poverty in the East Midlands has remained roughly in line with national average. However the proportion of children in poverty living in 'in-work' households has grown reflecting the economic climate of low-pay.

2.1.2. Urban: Rural trends

The East Midlands is the third most rural of the English regions, with 29.5% of the population living in rural settlements. Diversity of rural communities varies widely from the Peak District national park to former coalfields in the north and the Lincolnshire coastline to the east.

2.1.3. Population diversity

The non-UK born population of the East Midlands is 6.2% (7.3% of total working age population) which includes a growing number of economic migrants, primarily from the EU.

The BME population of the East Midlands (both UK and non-UK born) is 9% making it the 3rd most ethnically diverse in England. The spread of BME populations across the region is uneven, ranging from negligible populations in the coalfield districts of the north to a Leicester population fast approaching majority non-white (Census 2001).

2.1.4. Health and wellbeing

East Midland's residents have slightly poorer health than the national average. However, variances within the region show great disparity between districts and neighbourhoods with life expectancy varying by 17 years between individual wards. Residents in the East Midlands are more likely to suffer circulatory diseases, accidents, obesity or suicide than the national average but

have lower than average mortality from cancer. The East Midlands is the only region in Europe to launch a dedicated platform for combating obesity.

2.1.5. Employment and skills

Employment in the East Midlands has consistently remained higher than the national average, even through recession. This is primarily linked to the presence of multiple economic centres in the region (e.g. Derby, Nottingham and Leicester) which support a more stable economy than areas with a single economic centre. However, variances across the region also highlight areas of weak local labour markets, particularly in rural areas.

2.1.6. Economy

Raising productivity is the primary objective for economic policy makers at regional level in addressing the effects of recession in the region and preparing for the upturn. Over recent years the economic performance of the East Midlands has remained relatively consistent compared with other regions. Innovation, enterprise and inward investment have also remained relatively buoyant however the full impact of the economic downturn is unlikely to be felt for another 2-3 years.

2.1.7. Housing

Housing prices in the East Midlands, along with all other regions, rose sharply between 1997 and 2007 with an overall doubling of value. However the diversity of rural: urban mix, the existence of multiple urban centres and levels of extreme deprivation in the region has led to wide variances in both quality and affordability of housing stock. An above average level of households live in 'non-decent' dwellings, with unemployed and lone-persons being most likely to be affected by poor housing. As the region with the highest predicted population growth between 2006 and 2016, the East Midlands has seen a number of designated housing 'growth areas' in the region which have implications for community sustainability, transport, employment and education.

Homelessness in the East Midlands has followed the national trend for gradual increase with increasing overall population size. However, the proportion of overall homelessness in the UK that is registered in the East Midlands has fallen from 4.5% to 1.8% since 1997.

Travelling communities in the East Midlands show a lower than national average number per year but are increasing in numbers faster than most other regions.

2.1.8. Environment

Global research provides overwhelming evidence of climate change. In the East Midlands rising temperatures and sea levels are likely to result in flooding

along the flat Lincolnshire Coastline. This risk has required the development of a Coastal Action Plan to protect and prepare for flooding in the future. More positively the East Midlands has experienced the greatest improvement in river quality and the highest levels of municipal waste recycling.

2.2. Size and scope of the VCS

There are approximately 400 Third Sector infrastructure (support) organisations within the East Midlands operating at both local and regional level. These organisations are diverse in their nature and objectives and collectively support a wider network of approximately 35,000 front line organisations which in turn reflect the needs and diversity of the communities across the region. Support organisations can be classified into generalist infrastructure organisations, specialist infrastructure (such as rural community councils and skills partnerships), and volunteering brokerage services. Their areas of work include group development, training and support, policy influence, leveraging and distributing funding for the sector, advice, sector updates and communication. They operate in specific spheres of expertise including welfare of children and families, equalities, health and wellbeing, employment, education, rural issues, immigration and civil rights.

OEM works through VCS infrastructure organisations at a strategic regional level to aid planning, policy influencing and development. This arrangement provides a critical linkage between the voluntary and community sector, local and national infrastructure and the public sector. The regional network was created primarily to facilitate this strong, coherent and coordinated voice for the voluntary and community sector at regional level.

Key factors affecting the regional social economy and VCS include:

- Trends and patterns in migration and immigration which, along with demographic change, the composition and dynamics of society and its needs and expectations in terms of housing, employment, matters of culture and faith, and social welfare.
- The impact of the economic decline and the challenge of significant public sector spending cuts in the post 2010 election period.
- Environmental challenges arising from concerns over climate change, pollution, transportation, and the mismanagement of natural resources such as land, waterways and air.
- Issues affecting community cohesion reflecting concerns about anti-social behaviour, investment in community resources and community safety as well as other factors which are important in developing social capital within and between communities.
- Variable trends with regard to the health of the region's population and equality dimensions of the different age, gender, ethnic and other groups which comprise it.

2.3. The policy context

Research from a variety of regional and sub-regional sources highlights a series of key issues and requirements, affecting the VCS in the East Midlands, and how infrastructure services might help in addressing them. These issues frame the strategic priorities for One EM and include:

- Infrastructure organisations have an important role in championing the diversity of contribution of the whole sector and ensuring that this is sustained and supported. This may require campaigning for a balanced model of funding including the retention of grants and approaches that will provide the best chance of long term sustainability.
- The need to ensure that the equalities agenda is effectively represented in policy work, particularly in those sub-sectors where existing regional, sub-regional or local infrastructure is under developed or fragmented.
- Promoting the role of community based organisations in helping to give a voice to diverse communities and to support their development.
- VCS organisations require increasingly diverse and sophisticated support services to reflect the different types of legal structures, approaches to funding and opportunities created by procurement and commissioning.
- With the need for increasingly diverse and sophisticated support services, infrastructure bodies will need to look creatively at how to ensure effective delivery. This may mean increased collaboration, lead providers, the use of expertise within the sector etc.
- New approaches may be required to stimulate volunteering and to provide opportunities that suit new lifestyle patterns.
- Effective and robust approaches to research will be required to underline the importance of the sector and to track its development and impact.
- Information to VCS organisations on developments and opportunities will continue to be essential. More may need to be done to help organisations anticipate developments and their implications.
- Infrastructure must be able to engage with the full diversity of the sector. This does not only mean the hardest to reach aspects of the sector but also parts that traditionally have not accessed mainstream infrastructure provision such as sports and arts organisations.
- Ensuring that the VCS is engaged in inter-sectoral structures designed to develop and deliver policy at all levels. This will include mechanisms such as Local Strategic Partnerships and processes which drive the transformation of public services. Key to this will be developing effective representative processes and bringing forward learning and social innovation led by the sector.
- Supporting the sector to develop alternative delivery and income generation models that support their development and sustainability.

- Infrastructure organisations will need to take a lead in developing the range of skills necessary to ensure an effective VCS. This will need to include leadership and management skills development in both paid staff and trustees. They may also have a role to play in ensuring that support is available to help organisations deal with the implications for staff and volunteers of new working patterns and lifestyles.
- Infrastructure can play a part in helping frontline organisations understand and take advantage of new technological developments.

Addressing the need of the sector at regional level requires sophisticated approach that incorporates national, regional and local mechanisms.

2.3.1. National

At a national level, One EM works alongside other regional VCS networks to deliver an effective voice and influence on behalf of the sector. This network is known as Regional Voices. At national level this network influences central government departments directly and works with other national partners such as NAVCA and NCVO. Regional networks are the critical connection linking local activity with national government and infrastructure. At national level we seek to influence the decisions of central government departments, national funders and other specialist national third sector organisations.

2.3.2. Regional

The primary function of One EM is to engage and influence the work of stakeholders and policy makers for the benefit of the VCS. At a regional level One EM works closely with other specialist third sector organisations to enable this function to be realised. We engage with our members through 3 primary mechanisms:

- Direct engagement through the use of targeted communications based on members interests
- Local Infrastructure – providing information and intelligence to local infrastructure organisations to inform their own onward communication systems;
- Policy networks and forums – a series of specialist thematic networks which provide the mechanism for raising sector expertise from both local and regional level on key issues such as health & social care (Wellbeing East Midlands), volunteering, learning & skills and BME.

The regional remit of One EM is defined by a need for the VCS to engage at regional level for the following reasons:

- National policy is interpreted and implemented at a wide variety of spatial levels which are rarely co-terminus with operational social and economic communities.
- National policies, strategies and initiatives may require consultation and engagement with VCS bodies at various spatial levels and within sub-sectors.

- The policies and practices of national voluntary organisations and charities are sometimes promoted and coordinated at sub-national as well as sub-regional and local levels.
- The need for the voluntary and community sector to share information, learning and good practice beyond local confines in order to improve performance and influence.

2.3.3. Local

At the local level One EM works to share good practice and experience from across the region to support local groups and infrastructure organisations to engage more effectively with their local stakeholders. Examples of issues supported at regional level to achieve local benefit include:

- Engagement with Local Enterprise Partnerships and the delivery of LEP European Funding Investment Strategies
- Informing and supporting local authority and health commissioning processes including relationships with Clinical Commissioning Groups and Health & Wellbeing Boards
- Supporting local public service transformation by sharing intelligence and good practice from across the regional and national e.g. health and social care transformation and integration

3. Our Strategic Priorities

We have 4 core strategic aims for the organisation; each of which is underpinned by a series of objectives to enable the aim to be realised. Our aims are guided by our mission and delivery is shaped by the values of the organisation.

The strategic aims for One EM are:

Strengthening

We will lead the development of a strong and robust VCS, structured for efficiency, impact and influence.

Influencing

One EM will create an environment for the VCS to exert strategic influence and shape future policy.

Communicating

We will ensure greater understanding of emerging issues through clear and effective routes

Enabling

We will develop the sector landscape to enable and support collaboration, develop consensus and raise collective voice.

4. Our aims and objectives

The four strategic priorities for One EM are translated into a series of operational objectives:

Aim 1: Influencing One EM will create an environment for the VCS to exert strategic influence and shape future policy.		
Objectives	Activities	Measures of success
a. Develop and maintain strategic links with key stakeholders.	<ul style="list-style-type: none"> Identify and map all relevant stakeholders and key contacts Develop and maintain regular communication with stakeholders Broker relationships between the VCS and stakeholders 	<ul style="list-style-type: none"> Meetings and engagement with stakeholders Representation on key strategic bodies by One EM members or employees 50% of members have greater understanding of the role of relevant stakeholders and how to influence them
b. Shape policy for the benefit of communities in the East Midlands.	<ul style="list-style-type: none"> Coordinate responses to priority policy consultations Actively shape policy formation with stakeholders Develop a series of policy networks to support VCS engagement in policy development 	<ul style="list-style-type: none"> Policy responses prepared and submitted 60% of members feel informed and engaged in policy issues 50% of members feel enabled to participate in policy development
c. Advocate the unique role that the VCS has between communities and other sectors.	<ul style="list-style-type: none"> Ensure VCS voice on cross-sector forums and bodies Promote the role of the VCS as a strategic partner 	<ul style="list-style-type: none"> VCS contribution to the region understood and valued by 50% of stakeholders
d. Embedding equality and inclusion principles across the region.	<ul style="list-style-type: none"> Work strategically with EHRC and other equality partners Support engagement of individual equality networks in policy work Inform the VCS and stakeholders on equality developments and best practice. Identify and address gaps in equalities representation at regional level Deliver a programme of work to support BME voice in policy development 	<ul style="list-style-type: none"> 50% of equality networks feel actively engaged in policy work 50% of members report greater understanding of equality policy developments 15% growth in number of BME groups participating in policy work

Objectives	Activities	Measures of Success
e. Link national to local	<ul style="list-style-type: none"> • Maintain a watching brief on national policy issues of significant relevance to local VCS • Support and develop the role of Regional Voices in coordinating responses to national policy issues • Commit and adhere to the Regional Voices Memorandum of Understanding • Actively seek opportunities to increase voice and influence through the Regional Voices vehicle 	<ul style="list-style-type: none"> • Attendance and active contribution to a minimum of 4 Regional Voice meetings / event pa • EM VCS contribute to a min of 2 Regional Voices consultation activities per year • Maintain active voice of EM VCS in the Regional Voices Department of Health Strategic Partner programme – delivery monitored against annual workplan

Aim 2: Enabling		
We will develop the sector landscape to enable and support collaboration, develop consensus and raise collective voice.		
Objectives	Activities	Measures of Success
a. Develop forums and networks to identify VCS consensus on issues or policy.	<ul style="list-style-type: none"> • Undertake continuous horizon scanning for shifts in policy development • Identify policy priorities in consultation with members • Ensure engagement with existing policy networks and understanding of priority issues • Establish new networks and forums to enable VCS participation in development of policy priorities where there are identified gaps 	<ul style="list-style-type: none"> • Policy priorities reviewed and updated annually • 75% of members feel engaged in shaping priorities for One EM • Networks in place to deliver policy priorities • Development of policy networks to meet identified gaps • Mapping of existing network priorities
b. Support routes for campaigning and lobbying activity.	<ul style="list-style-type: none"> • Maintain effective mechanisms for current campaigning activity to be identified • Support campaigns in favour of One EM identified policy priorities 	<ul style="list-style-type: none"> • Membership campaigning activity achieving greater reach and influence
c. Levering resources to the region for sector support and development.	<ul style="list-style-type: none"> • Delivery of a programme of funded activity with direct benefit to VCS • Outsourcing delivery to VCS where possible 	<ul style="list-style-type: none"> • 'Green' rated delivery with all funding providers • Funding (£) passed to VCS and third sector organisations
d. Broker cross-sector dialogue to develop stronger combined regional voice.	<ul style="list-style-type: none"> • Promote the use of Partnership events in aiding cross-sector dialogue • Increase 'friends' membership of One EM • Represent the VCS on cross-sector forums and bodies 	<ul style="list-style-type: none"> • Host 2 well attended and highly rated Partnership events per year • 'Friends' membership increased by 15% per year • VCS contribution to the region understood and valued by 50% of stakeholders

Aim 2 continued

Objectives	Activities	Measures of Success
e. Support sector representatives to deliver their role effectively and with accountability.	<ul style="list-style-type: none"> • Ensure network terms of reference support routes for VCS representation and accountability • Provide capacity building and training for representatives where required 	<ul style="list-style-type: none"> • 30% of network members actively participating in strategic forums • 75% of network representatives provide regular feedback
f. Provide support to the development of BME voice and policy influence in the region through a BME policy forum.	<ul style="list-style-type: none"> • Increase BME membership of One EM • Provide policy information and updates to BME groups • Develop a programme of work to ensure effective BME engagement in policy development • Support a network of BME groups to participate in One EM activities • Create links between BME groups and other specialist networks to embed BME priorities 	<ul style="list-style-type: none"> • Growth in membership of the BME Policy forum by 15% year on year • 50% of BME groups feel better informed on policy issues • BME issues are identified as priorities by other networks

Aim 3: Communicating		
We will ensure greater understanding of emerging issues through clear and effective communication routes for the VCS.		
Objectives	Activities	Measures of Success
a. Listening to the views, experiences and perspectives from the VCS.	<ul style="list-style-type: none"> • Develop a communications strategy to enable the effective gathering of VCS views • Produce case studies of VCS experiences from across the region 	<ul style="list-style-type: none"> • 75% of members feel engaged in shaping priorities for One EM • 5 high quality case studies produced per year.
b. Provision of regular and timely high quality information and intelligence.	<ul style="list-style-type: none"> • Relevant news and information provided regularly through a variety of methods • Publication of Insight magazine themed to reflect current policy priorities 	<ul style="list-style-type: none"> • 15% year on year increase in website hits • 10% increase in year on year subscriptions to e-bulletins • 75% of members rate online information services highly • 3 issues of Insight published per year and rated highly by members and stakeholders
c. Policy monitoring, analysis and interpretation.	<ul style="list-style-type: none"> • Undertake continuous horizon scanning for shifts in policy development • Development of a policy calendar and tracking tools • Production of high quality policy briefings • Submission of informed responses to policy consultations 	<ul style="list-style-type: none"> • Policy priorities reviewed and updated annually • 60% of members feel better informed about policy developments • 12 policy briefings per year on identified policy priorities
d. Event development and facilitation	<ul style="list-style-type: none"> • Host at least two themed Partnership events per year on a key policy priority • Facilitate networks and meetings of policy fora • Arrange events and meetings to support policy outcomes as required 	<ul style="list-style-type: none"> • Partnership events well attended and highly rated • Policy work is driven by policy network priorities

Aim 4: Strengthening

We will lead the development of a strong and robust VCS, structured for efficiency, impact and influence.

Objectives	Activities	Measure of Success
a. Develop clear purpose and direction for One EM as the single platform for sector dialogue in the East Midlands.	<ul style="list-style-type: none"> • Identify and promote clear strategic aims for One EM in consultation with members and stakeholders • Develop a forward strategy and business plan for One EM to deliver strategic aims 	<ul style="list-style-type: none"> • 80% of members and stakeholders understand and support the strategic aims of One EM
c. Underpin the sector by providing leadership and support where needed.	<ul style="list-style-type: none"> • One EM will actively advocate the role and strengths of the VCS • Development of new programmes, activities in response to changing VCS needs • Inform and educate the VCS on future risks and opportunities • One EM actively encourages new VCS and stakeholder participation in our work 	<ul style="list-style-type: none"> • 60 % of members and stakeholders see One EM as leading VCS dialogue in the region • 10% average growth in membership and network participation year on year • 60% of members know how to engage in networks and activities

These objectives and measures of our success are drawn together with our project activities and resources to form our annual workplan. This workplan is reported against on a quarterly basis to the Board of Trustees.

5. Resourcing our activities

During the 2012/13 financial year One EM produced a deficit for the year of approximately £10,000 leaving anticipated end of year reserves of £48,000

An indicative financial model for One EM for 1st April 2013 to 31st March 2016 is summarised below. Key observations on the financial forecast are as follows:

- A forecast deficit for the year of £4,000.
- Salary related costs for the year of 70% of total expenditure.
- Overheads have been reduced significantly to 9.5% of total expenditure.

Income	£
ERDF	145,000
Department of Health	
• Strategic Partner Programme	15,000
• Innovation and Excellence	9,300
Big Lottery (BASIS)	19,700
Network support	5,000
Learning and skills	10,000
Earned income	35,000
Total Income	239,000
Expenditure	£
Staffing costs	170,000
Overheads	23,000
Project delivery costs	50,000
Total Expenditure	243,000
Surplus / (Deficit)	(4,000)

5.1. Assumptions

The analysis is based on the following assumptions:

- All funding is secured and drawn down within the financial year
- Salary levels increase in line with the approved budget and that employer NI costs and pension contributions remain static.
- Funding from Department of Health and earned income can be secured within the year

5.2. Financial management

One EM manages financial information using the Quickbooks system. Financial procedures are developed and implemented with the support of Community Accounting Plus who provide the following services to One EM:

- Review and develop financial systems and processes in line with current best practice
- Assist in the production of financial accounts
- Retained as an ongoing source of advice and expertise

On a day-to-day basis financial processing is undertaken by the Finance and HR Administrator with oversight by the Chief Executive and Treasurer.

5.3. Financial strategy

One EM has adopted three core strategies to ensure long term sustainability for the organisation. These are:

- Excellence in delivery and demonstrating impact
- Income diversification and
- Efficiencies

Full details of our approach is laid out in the One EM Sustainability Statement attached as Appendix V

6. Monitoring and evaluation

As a membership organisation the success of One EM relies heavily on our ability to meet the needs and expectations of our members and stakeholders. Ongoing monitoring and evaluation of our activities is an essential tool to ensure this is effective. Monitoring and evaluation is undertaken in a variety of ways:

6.1. Organisational planning and monitoring

One EM undertakes an annual planning cycle with a full review against workplan being undertaken at 6 monthly intervals. Strategic priorities are set through numerous consultations with members and stakeholders and effectiveness of our delivery is evaluated through an annual members and stakeholders survey. Delivery against the One EM workplan is reported quarterly to the One EM Board of Trustees alongside the latest member research.

6.2. Project and contract monitoring

As a recipient of public funds One EM is required to account for both financial propriety of funds and outcomes resulting from those income streams. One EM provides regular, accurate and timely monitoring reports to all funders and undertakes evaluation activity at the end of each major project.

6.3. Events and activities

One EM undertakes formal evaluation of all activities and events led by us. Evaluation forms are provided and collated following every event to assess equalities issues, impact and ideas for future improvement.

6.4. Human resources

Monitoring of staffing activity is key to ensuring delivery which is in line with our organisational aims. To achieve this One EM has clear lines of supervision and implements a system of regular monthly staff supervision sessions and an in depth annual appraisal. The appraisal evaluates both staff member and line manager performance in relation to the relevant work programme.

6.5. Financial monitoring

Adherence to financial protocols is monitored on a quarterly basis by the Treasurer by scrutinising a random sample of recent transactions to ensure compliance. The results of this scrutiny are reported to Board. Despite having an overall income below the legal threshold, One EM continues to be the subject of external audit and verification to ensure that financial propriety is met. Overall income, expenditure and cashflow against budget are reported to the Board on a quarterly basis.

6.6. Risk management and evaluation

Review and monitoring of risk forms part of the One EM Risk Management Plan (*see Appendix VI*). The plan is formally reviewed on a 6 monthly basis as part of the ongoing organisational monitoring and evaluation programme.

Appendix I: Equality and Diversity Policy

2.1 Statement of intent

One East Midlands (One EM) recognises that many people in our society experience discrimination or lack of opportunity for reasons which are not fair. These include: race, religion, creed, colour, national and ethnic origin, political beliefs, gender, sexual orientation, age, disability (including mental illness), HIV status, marital status, responsibility for dependants, appearance, geographical area, social class, income level or criminal record.

One EM will challenge discrimination and lack of opportunity in its own policy and practice and will help other organisations and individuals to do the same.

One EM aims to create a culture that respects and values each others' differences. One EM sees these differences as an asset to our work as they improve our ability to meet the needs of the organisations and people we serve.

All volunteers, employees, board members and member organisations must declare their support for the objectives of this Equality and Diversity policy. Failure to do so may result in disciplinary action and/or ineligibility for membership.

2.2 What is discrimination?

One EM believes that discrimination can take one or more of the forms set out below.

2.2.1 Direct discrimination is treating one person less favourably than another in the same or similar circumstances or segregating them from others solely because they are, for example, a lesbian, a gay man or because they have a disability or illness. Refusing to employ someone who has the required skills because they are deaf or because they are pregnant would constitute such discrimination.

2.2.2 Indirect discrimination occurs where there is a requirement or condition which applies equally to everyone but which, in practice, has an adverse impact on a particular group and cannot be justified.

For example an unnecessary physical or age requirement can discriminate against women or disabled people. The setting of language tests, where language skills or fluency are not really needed for a job, is another example.

2.2.3 Abuse and/or harassment – Discrimination also covers actions which amount to abuse and/or harassment of people or groups of people because for example they are a member of a national, racial or ethnic minority group, a woman, a lesbian, a gay man or have a disability or illness.

2.2.4 Victimisation occurs when a person is treated less favourably or is discriminated against because she/he has pursued or intends to pursue their rights in respect of alleged discrimination.

2.2.5 Institutional racism (Macpherson Report, 1999)

The collective failure of an organisation to provide an appropriate and professional service to people because of their colour, culture or ethnic origin. It can be seen in the processes or attitudes and behaviour, which amount to discrimination, to unwitting prejudice, ignorance, thoughtlessness and racist stereotyping which disadvantages minority ethnic people.

2.2.6 Racist incident (Macpherson Report, 1999)

Any incident which is perceived to be racist by the victim or any other person. If the victim doesn't want to complain, another person may do so.

Discrimination in any of the forms stated above is unacceptable, regardless of whether there was any intention to discriminate or not.

2.3 Staff development

Decisions about learning and development opportunities will be made in accordance with the One EM learning policy and all staff will have access to opportunities to enable them to develop in line with One EM aims and objectives.

2.4 Service provision

All One EM services are covered by this policy.

One EM will promote equality and diversity in its work with other agencies or individuals.

One EM services will be reviewed regularly and changed where needed.

All trainers, facilitators and consultants contracted to work for One EM will be required to support our Equality and Diversity policy.

2.5 Recruitment and selection

One EM believes that no person or group should be treated less favourably in employment because of the reasons given in the Statement of Intent.

Staff appointments will be monitored to ensure no discrimination is occurring at the point of selection.

A separate recruitment policy gives full details of this process.

2.6 Miscellaneous

2.6.1 Office accommodation

One EM will make every effort to ensure that premises used in relation to its work are accessible and inviting for all members of the community.

2.6.2 Purchasing

One EM reserves the right not to purchase goods and services from agencies whose activities are contrary to the principles outlined in this policy.

2.6.3 Promotion of policy

Copies of this policy will be freely available to staff, volunteers, members and any other interested parties. A laminated copy of the Statement of Intent, together with a named contact for more information, will be placed in a prominent position in One EM offices.

2.6.4 Travel

One EM recognises that not everyone has access to personal transport or is able to use it and will plan its services and activities with this in mind.

2.7 Implementation and monitoring

Monitoring of the Equality and Diversity policy and its implementation is the responsibility of the Board.

The Board will review the policy annually.

Induction for Board members and new staff will include a briefing on the Equality and Diversity policy.

A copy of the Equality and Diversity policy and Equality action plan will be given to all new staff, Board members, new members of One EM and to any member on request.

Training will be provided for employees, board members and volunteers on cultural awareness, disability awareness and other subjects that will develop of equality and diversity

2.8 The Board

All Board members will affirm their commitment to the Equality and Diversity policy.

The Board's membership (including co-opted members) should aim to reflect a fair balance and representation of the local community and should endeavour to redress any imbalance of under-represented groups.

2.9 One EM policies and procedures

Other One EM policies support our commitment to equality and diversity. These include flexi-time, childcare contributions, parental and dependants leave, annual leave, recruitment, discipline, grievance, harassment, statement of terms and conditions and induction.

2.10 Age Equality

2.10.1 Age Discrimination:

One East Midlands (One EM) will not discriminate against individuals in respect of age either directly or indirectly and will not tolerate the harassment or

victimisation of individuals or groups on the grounds of age. OEM adheres to the national default retirement age of 65

2.10.2 Employment Equality (Age) Regulations 2006:

The regulations cover all areas of employment: recruitment, terms and conditions, promotions, termination of employment, references etc

The Act covers all employees including contract workers, agency workers, unpaid volunteers who are volunteering as part of a course, freelance workers, directors, non elected office holders and partners in firms, as well as people in training and in education.

Employers cannot force an employee to retire below the age of 65 unless they follow the correct procedure (e.g. redundancy).

Employees have the right to request to continue working after the date the employer wants them to retire. Employers must consider that request but do not have to agree.

Upper age limit for redundancy payment is removed.

Upper age limit for unfair dismissal is removed – but the new default retirement age (65) would allow dismissal on the grounds of retirement.

Statutory sick pay entitlement continues for over 65 as for other employees.

Exemptions:

- 1 Length of service benefits are not discriminatory if service less than 5 years
- 2 Genuine occupational requirements – an employer can set an age requirement for a job if there is a genuine need for a person to have a characteristic related to a certain age
- 3 Statutory authority: an employer can discriminate on the grounds of age if current legislation allows
- 4 Positive action is allowable to compensate for current disadvantages of a particular age group
- 5 Employers can refuse to hire someone who is 65 or within 6 months of their 65th birthday

The Employment Equality (Age) Regulations 2006

On 1st October 2006 the above regulations came into force prohibiting age discrimination in employment and vocational training.

As part of an on-going commitment to create a culture that respects and values each others' differences, One EM will strive to uphold these regulations.

The regulations will have the effect of protecting people of all ages from discrimination on the grounds of age.

This document sets out the requirements of the regulations. The regulations will make it unlawful on the grounds of age to:

- Discriminate directly against anyone, i.e. treat them less favourably because of their age, unless this can be objectively justified.
- Discriminate indirectly against anyone, i.e. using selection criteria, policies, benefits, employment rules or any other practices that have the effect of disadvantaging people of a particular age group, unless the practice can be justified.
- Subject someone to harassment, which is defined as unwanted conduct that violates a person's dignity or creates an intimidating, hostile, degrading, humiliating or offensive environment for them. Examples include nicknames, teasing, name calling or other behaviour or comments based on a person's age.
- Victimise someone because they have made or intend to make a complaint or allegation or have given or intend to give evidence in relation to a complaint of discrimination on grounds of age.
- Discriminate against someone, in certain circumstances, after the working relationship has ended.

In summary, the regulations provide the following:

- Employers could be responsible for the acts of employees who discriminate on grounds of age. This makes it important to train staff about the regulations.
- The upper age limits on unfair dismissal and redundancy will be removed.
- The national default retirement age will be 65, making compulsory retirement below 65 unlawful unless objectively justified.
- Employees will have the right to request to work beyond 65 or any other retirement age set by the company. The employer has a duty to consider such requests.

Objective Justification

An employer may treat people differently on the grounds of age if they have an objective justification. An objective justification allows an organisation to set requirements that are directly age discriminatory, although this different treatment will only be possible in exceptional circumstances for good reasons.

Companies will need to provide real evidence to support any claim of objective justification.

Both direct and indirect discrimination will be justified if it is a 'proportionate means of achieving a legitimate aim' – this is explained as follows:

What does proportionate mean?

- What you are doing must actually contribute to a legitimate aim, for example if your aim is to encourage loyalty, then you should have evidence that the provision you introduce is actually doing this.
- The discriminatory effect should be significantly outweighed by the importance and benefits of the legitimate aim.
- You should have no reasonable alternative to the action you are taking; if the legitimate aim can be achieved by less or non-discriminatory means then these must take precedence.

What is a legitimate aim?

A legitimate aim might include:

- Economic factors such as business needs and efficiency
- The health, welfare and safety of the individual
- The particular training requirements of the job.

A legitimate aim must correspond with a real need of the employer. Economic efficiency may be a real aim but it will not be legitimate to discriminate just because discrimination is cheaper than non-discrimination.

What practical steps should organisations take to comply with the Age Discrimination Regulations?

If a discrimination claim on the grounds of age is brought against an organisation, the organisation must be able to prove that discrimination did not occur; the employee does not have to prove that discrimination did occur.

It is therefore very important to create a paper trail for as many processes as possible in order to assist you in proving non-discrimination if required.

Recruitment

Base decisions about recruitment on the skills required to do the job and not on the length of experience you feel a candidate should have had in order to carry out the job.

Application form: remove age/date of birth from the main application form and include it in a diversity monitoring form; ensure you are not asking for unnecessary information about periods of work experience and dates.

Job description and person specification: Avoid references to age in both documents, for example avoid asking for 'a minimum of 2 years experience';

only ask for specific qualifications if you can justify their need and make it clear you will consider equivalent or similar level alternative qualifications.

Advertising: Your job advert should be based on the information within the job description and person specification, avoid using words such as 'young', 'mature' or 'youthful'; if using pictures in the advert try to use images that will appeal to or attract all age ranges; advertise in publications or sites that are likely to be read or accessed by a wide range of individuals.

Short listing: Use the job description and person specification and make decisions based purely on the fit of the skills and ability of the individual; record all short-listing decisions and keep the records for up to 12 months.

Interviewing: base interview questions on the requirements of the role using the job description and person specification; avoid any questions or comments relating to age; record all decisions and keep the records for up to 12 months.

Recruitment agencies: Make sure that you give any recruitment agency the job description and person specification for the role; make it clear to them that your organisation is an equal opportunities employer; if you fail to provide the agency with clear non-discriminatory information you could be held liable if they act in a discriminatory manner.

Vocational Training

Vocational training providers will not be able to set age limits or age related criteria for entry to training or in the terms under which they provide training, for example when offering to help with costs of training.

Motivating and Retaining Staff

Employees are more likely to feel positive about an organisation and motivated if they feel they are treated fairly and with consideration.

Promotion and training:

Make sure all employees are made aware of opportunities for promotion, development and training, and make these available to everyone regardless of age.

Performance appraisal: ensure any performance appraisal system is fair and transparent; employees of all ages should be assessed on their actual performance and their appraisal must not be influenced by judgements of how it is perceived they should perform based on their age.

Redundancy selection: Make sure that any selection processes for redundancy are unrelated to age. This means that using length of service and last in first out as selection criteria in a redundancy situation is likely to be age discriminatory.

Age discrimination awareness: it is good practice to have an equality policy and to train all employees in it. In particular, make all employees aware

of the meaning of the terms 'discrimination' and 'harassment' and make it clear why these are hurtful, unlawful and unacceptable.

Retirement

The regulations set a default retirement age of 65; this is due to be reviewed in 2011. Organisations can therefore retire employees or set a retirement age at or above 65; if the employer's normal retirement age is below the age of 65, it must be objectively justified (see above for the definition of this). Retirement is a form of dismissal; a dismissal on the grounds of retirement will be fair if it takes effect on or after the default retirement age and when the employer has given the employee written notice of the date of their intended retirement, and told them of their right to request to continue working (see below a suggested process for this).

Please note that where a dismissal is for reasons of retirement, the statutory dismissals procedure does not apply.

Process for Retirement

- Notify the employee in writing of their intended retirement date and their right to request to go on working beyond this date – this should be done at least 6 months in advance but no more than 12 months before the intended date.
- The employee must notify you no less than 3 months before the intended retirement date that they want to request working beyond the retirement age.
- The request from the employee must be in writing and state whether they want to continue to work indefinitely, for a stated period or until a certain date.
- The employee can only make one request in relation to their intended retirement date. If you fail to notify the employee of their intended retirement date six months before that date, the employee can still make a request not to retire at any time before the retirement date.
- When you receive a request to continue working from an employee, you must normally hold a meeting with the employee to discuss the request. If you accept the request, you may not need to hold a meeting; you should amend the employee's contract of employment to reflect the new intended retirement date and if necessary, the new employment pattern.
- If you consider the request and decide that it is likely that you wish to continue with the retirement, you should hold a meeting with the employee in order to enable the employee to put their case to you. The employee has the right to be accompanied at this meeting by a companion, who can be a worker or trade union representative employed by you or the organisation.

- The companion can address the meeting but cannot answer questions on behalf of the employee. They can also confer with the employee during the meeting.
- The meeting is an opportunity for the employee to put their case to you. At the end of the meeting you may decide that although you cannot agree to the employee's stated request, you may be able to find a compromise solution. You can propose alternative working patterns and retirement dates for the employee to consider.
- Remember that there are positive reasons for agreeing to the employee working beyond their intended retirement date. These include retaining the experience and knowledge of the employee and a saving in recruitment and training costs necessary to replace the employee.
- Following the meeting, if you decide to accept the employee's request you should inform them that you have accepted it and state the new employment pattern and the new retirement date.
- If you decide to refuse the request from the employee then you should confirm with them that you still wish to retire them, either on the original intended retirement date or an alternative later date.
- Any decision should be given to the employee in writing and should be dated. The employee has the right to appeal against your decision.
- You are not required to give a reason for your decision to refuse their request to continue working.
- If the employee does appeal, the appeal meeting is their final opportunity to put their case before you. You may decide that although you cannot agree to the employee's stated request, you may be able to find a compromise solution. You can propose alternative working patterns and retirement dates for the employee to consider.
- If after the meeting, you decide to accept the employee's request, you should inform them that you have accepted the appeal and state the new employment pattern and the new intended retirement date.
- If you decide to reject the appeal you should confirm with the employee that you still wish to retire them and the date that the retirement is to take effect.
- Any decision should be given in writing and should be dated.

It is in the best interest of both you and your employees to handle all retirements sensitively and with care. It is also important to remember that retiring an employee is a form of dismissal and therefore following the correct procedure will lessen the risk of you facing an unfair dismissal claim.

If you fail to notify the employee six months in advance of retirement of their intended retirement date and their right to request to carry on working, you may be liable for compensation and you have an ongoing duty (up until 2 weeks before the intended retirement date) to give them this information. If you fail to do this, the dismissal will be automatically unfair.

Further, if an employee does request in writing not to be retired at the intended date, you must consider this request as explained above. Failure to do so will make the dismissal automatically unfair.

Exceptions to and exemptions from the age regulations

There are exceptions to or exemptions from the age regulations for certain areas, including the following:

- Pay and other employment benefits based on length of service
- Pay related to the National Minimum Wage
- Enhanced redundancy

Exceptions based on length of service: Many employers require a certain length of service from employees before increasing benefits such as holiday entitlement. This could amount to age discrimination, as older employees are more likely to have completed the required length of service than younger employees.

Any benefit earned by 5 years service or less will be exempt from the regulations. Therefore companies can continue to enhance benefits based on length of service of up to 5 years without risk of age discrimination claims.

Enhancing benefits using a length of employment of longer than 5 years will also be lawful if:

- Awarding or increasing the benefit is meant to reflect a higher level of experience of the employee, or to reward loyalty, or to increase or maintain the motivation of the employee;
- The employer has reasonable grounds for concluding that using length of service in this way fulfils a business need.

In order to meet these requirements, employers should provide evidence to show that there is a benefit to the organisation in enhancing benefits based on service of longer than 5 years. This could include information obtained from monitoring, staff attitude surveys, employee focus groups etc.

National Minimum Wage: nothing in the regulations will alter the provisions of the National Minimum Wage. The exemption linked to the National Minimum Wage will allow employers using exactly the same age bands, i.e. 16 and 17, 18 to 21 and 22 and over, to pay at or above the national minimum rates, provided those in the lower age groups are paid less than the adult minimum wage.

This will allow an employer to pay those aged 22 and over more than those aged under 22, as long as those under 22 are paid less than the minimum adult rate. Similarly an employer may pay those aged 18 to 21 more than those under 18 as long as those under 18 are paid less than the minimum adult rate.

The exemption does not allow employers to pay different rates to those in the same age category.

Enhanced redundancy payments: The statutory redundancy scheme will not substantially change, except in respect of the years worked when an employee was aged below 18 or above 64; even though statutory redundancy payments are calculated using age-related criteria, the regulations state that this is still lawful.

Many employers make redundancy payments to employees that are greater than the employee's entitlement to Statutory Redundancy Pay. Employers usually either modify the Statutory Redundancy Pay formula or adopt their own formula based on a multiple of weeks pay per year of service completed by the employee at the date of termination.

Under the regulations, an enhanced redundancy payment based on the following will be lawful:

1. Removal or raising the cap on weekly pay; and/or
2. Applying a multiplier of more than one to the statutory redundancy payment

Appendix II: Board structure and membership

The Board of Trustees consists of a maximum of 16 and minimum of 5 Trustees elected directly by the Assembly. All Trustees retire at each AGM and are eligible for re-election.

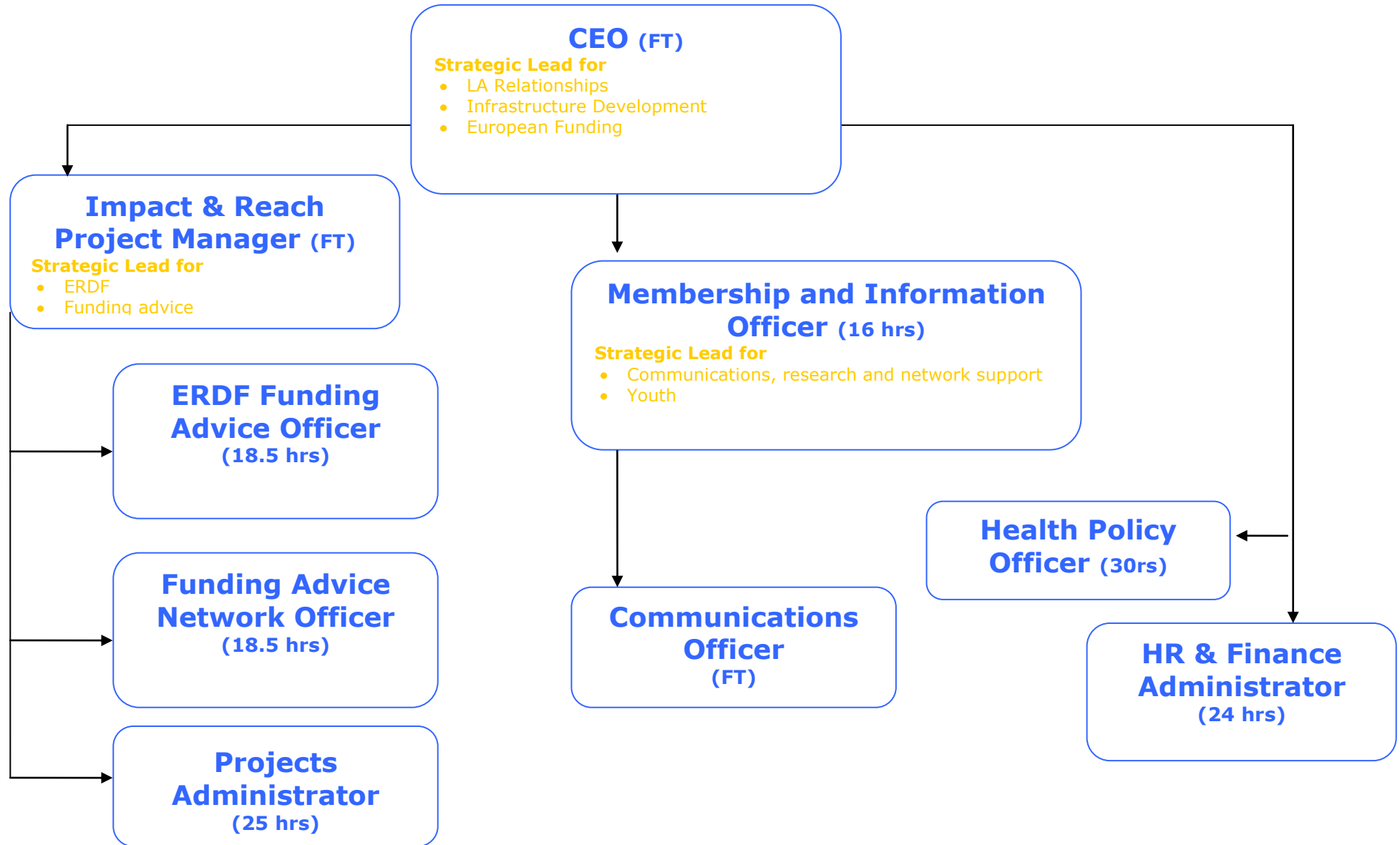
At any given time the Board of Trustees must ensure that at least one quarter of the Trustees are the appointed representatives of organisations led by and working to support the needs of black and minority ethnic people living in the East Midlands. To ensure this is achieved, open elections following the AGM are held for 12 Trustee positions. The elected Trustees have the powers to appoint additional Trustees to achieve this target or to address any particular skills or knowledge gaps within the Board of Trustees.

Board membership and population is managed by the Information and Communications Officer within the secretariat team and overseen by the Chair and Chief Executive.

Current members of the Board of Trustees are:

Name	Organisation	Position	Status
Fiona White	Community Lincs	Chair	Elected
Laurie Moran	CEFET	Vice-Chair	Elected
Ilyas Mohammed Aziz	Pakistan Centre	Trustee	Elected BME
Will Wakefield	Nottinghamshire YMCA	Treasurer	Co-opted
Terry Kirby	EM Transport Activists Roundtable	Trustee	Elected
Dawn Elliott	Voluntary Action Broxtowe	Trustee	Elected
Pat Smith	East Midlands Federation of Sport and Recreation	Trustee	Elected
Sandra Hopkins	The University of Leicester		Co-opted
Angela Kandola	AWAAZ	Trustee	Elected BME
Karon Phillips	Citrus Consultancy	Trustee	Co-opted
Hassan Yaqoob	Lincolnshire Research Observatory/NHS Lincolnshire BME Network	Trustee	Elected BME
Simon Richards	None	Trustee	Co-opted
Ron Simpson	East Midlands Neighbourhood Watch	Trustee	Elected
Vacant			
Vacant			
Vacant			

Appendix III: Organisational Chart



Appendix IV: Membership of One East Midlands

At 1st April 2013 One EM membership had a total of 78 full member organisations:

Full members:

A Place To Call Our Own APTCOO
Action Deafness
Action Homeless (Leicester) Ltd
African Institute for Social Development (AISD)
Age UK Lincoln
Asian Tower Club
Attend
Base 51
Bellinge Community House
Business in the Community (Nottingham)
Children's Links
Communities in Partnership (CIP)
Community & Voluntary Partners (Bolsover)
Community Accounting Plus
Community Action Derby
Community Lincs
Confederation of Indian Organisations
Corby VCS
Daventry Volunteer Centre
Derby and Derbyshire Race and Equality Commission
Derby Diocese Mission and Ministry Team
Derby Toc H Childrens Camp
Derbyshire Learning & Development Consortium
Diocese of Southwell and Nottingham
East Midlands Federation of Sport and Recreation
East Midlands Neighbourhood Watch Forum
East Midlands Transport Activists Roundtable (EMTAR)
EMPOWER
Enterprise Solutions Northamptonshire
Erewash Voluntary Action CVS Ltd
High Peak Community and Voluntary Support (CVS)
Home Start South West Lincolnshire
Hostels Liaison Group (HLG)
Jasmine House
Leicestershire AIDS Support Services
Lincolnshire Action Trust
Lincolnshire Community and Voluntary Service (CVS)
Lincolnshire Dance
Links: The Chesterfield & NE. Derbyshire CVS & Action Ltd
Mansfield Woodhouse Community Development Group
Mowmacre Tenants & Residents Association
NAVO - Networking Action with Voluntary Organisations

Newark & Sherwood Community & Voluntary Service and Volunteer Centre (CVS)
NGO Solutions Limited
North Derbyshire Voluntary Action (NDVA)
Northampton Volunteering Centre
Nottingham Community and Voluntary Service (NCVS)
Nottingham Elders Forum
Nottinghamshire Deaf Society
Nottinghamshire Wildlife Trust
Nottinghamshire YMCA
Now Unlimited Ltd
Open Doors Forum
Pakistan Centre
Playworks Nottingham
Real Lives
Real Partners CIC
Rural Action Derbyshire (RAD)
Rushcliffe Community and Voluntary Service (CVS)
Saffron Resource Centre
SEEM (Social Enterprise East Midlands)
Self Help Nottingham
SERVE
South Derbyshire Council for Voluntary Service (CVS) and Volunteer Centre
South Northamptonshire Volunteer Bureau (SNVB)
The Mighty Creatives (T.M.C.)
The Mindful Community
Transcend
TravelWatch East Midlands
University of Leicester
Uppingham Neighbourhood Forum
Vinefruits Community Interest Company
VISTA - the Royal Society for the Blind
Voluntary Action South Leicestershire (VASL)
Volunteer Centre - Chesterfield and North East Derbyshire
Volunteer Centre Buxton & District
Volunteer Centre Services
Wellbeing Works

Appendix V: One East Midlands Sustainability Statement

One EM has adopted three core strategies to support achievement of long term sustainability. These strategies are:

1. Excellence in delivery and demonstrating impact

The greatest risk to future funding is reputation to deliver. One EM has worked hard over the last 5 years to improve the way in which it delivers projects and programmes, undertakes dialogue and communications with the sector, reports on successes and works collaboratively with others.

Our developing strategic plan will ensure that One EM will be committed directly to delivery of sector identified issues. We will be an example of good practice in organisational management and will promote good practice and success within the region.

One EM is moving quickly towards an outcome based planning and monitoring system which will help significantly in demonstrating the impact that the organisation brings. This approach will help explain the value and worth of One EM to funders, stakeholders and members.

In addition we will work in partnership with other regional networks to advocate the role and value of regional infrastructure and seek to work collectively to improve performance, impact and efficiency.

2. Income diversification

One EM is focussing on a wider range of funders and key stakeholders with whom joint working and strategic relationships with the third sector are essential for effective future delivery. We are focussing closely on attaching a value to the services that we provide and charging for those services where possible and not already covered by existing funding relationships.

We are currently delivering significant pieces of work for the Department of Health at both national and regional level. At regional level we are already considering ongoing support for this work.

We are working closely with ncvo on delivery of training activities in the region which also support the core aims of the network.

One EM has worked to develop clear priorities in consultation with the sector and stakeholders. The organisation is now developing relevant delivery programmes and building strong relationships to ensure understanding of the strategic importance of the networks are enhanced. We always work collaboratively with partner organisations to ensure, transparency, accountability, improved reach and wider sector sustainability for the future. In addition we are also delivering a programme of activities which can be charged for in part to ensure that funding available to us can be spread further.

3. Efficiency

One EM has undertaken research with the sector and has found that in some areas we are seen as being more expensive than the relative benefit that we provide. In order to maintain credibility with the sector that we represent it is vital that we are 'lean and fit-for-purpose'.

To achieve this One EM has now adopted much more stringent financial procedures and improved accounting tools. In addition we have also undertaken the following cost saving measures:

- Moved premises to much cheaper offices.
- Restructured staffing to complement contractual and strategic aims.
- Re-tendered for audit and other services to ensure cost savings

Future cost saving measures also included:

- Renegotiating expensive elements of staffing contracts.
- Programme of re-tendering for services including IT support, accountancy support, insurance and other supplies.
- Investigating cost sharing opportunities with other organisations

Appendix VI: One East Midlands Risk Management Plan

	Possible Risk	L	S	R	Potential impact	Possible Controls	Bi- Annual Monitoring Activity Next Review Due: September 2013
Governance & Management	One East Midlands lacks direction, strategy or forward planning.				<ul style="list-style-type: none"> • OEM drifts with no clear objectives, priorities or plans. • Issues are addressed piecemeal with no strategic reference. • Needs of stakeholders not fully addressed. • Financial management difficulties. • Loss of reputation. 	<ul style="list-style-type: none"> • Creation of a strategic plan which sets out the key aims, objectives and policies. • Creation of financial plans and budgets. • Use of work-plans and targets. • Monitoring of financial and operational performance. • Feedback from stakeholders and funders 	
	Board of Trustees lacks relevant skills or commitment				<ul style="list-style-type: none"> • OEM declines and fails to achieve its purpose. • Decisions are made bypassing the Board. • Resentment or apathy amongst staff. • Poor value for money on service delivery 	<ul style="list-style-type: none"> • Skills review. • Competence framework and job descriptions. • Trustee training. • Recruitment processes. 	


<p>Board of Trustees dominated by one or two individuals, or by connected individuals.</p>			<ul style="list-style-type: none"> • Trustee body cannot operate effectively as strategic body. • Decisions made outside of trustee body. • Conflicts of interest. • Pursuit of personal agenda. • Culture of secrecy or deference. • Arbitrary over-riding of control mechanisms 	<ul style="list-style-type: none"> • Mechanisms agreed to deal with potential conflicts of interest. • Recruitment and appointment processes and constitutional validity. • Procedural framework for meetings and recording decisions. 	
<p>Conflicts of interest/trustee benefit from OEM delivery</p>			<ul style="list-style-type: none"> • Reputation, moral and ethos. • Impact on overall control environment. • Regulatory action. • OEM unable to pursue its own interests and agenda. • Decisions may not be based on relevant considerations. 	<ul style="list-style-type: none"> • Protocol for disclosure of potential conflicts of interest. • Procedures for standing down on certain decisions. • Recruitment and selection processes. • Ensure legal authority for payment or benefit. • consideration of alternative staffing arrangements. • Terms and procedures to authorise/ approve expenses and payments. 	

Organisational structure	<ul style="list-style-type: none"> • Lack of information flow and poor decision making procedures. • Remoteness from operational activities. • Uncertainty as to roles and duties. • Decisions made at inappropriate level or excessive bureaucracy. 				<ul style="list-style-type: none"> • Organisation chart and clear understanding of roles and duties. • Delegation and monitoring consistent with good practice and constitutional or legal requirements. • Review of structure and constitutional change. 	<ul style="list-style-type: none"> •
	Activities potentially outside funding or constitution	<ul style="list-style-type: none"> • Liabilities to repay funders. • Loss of funder confidence. • Loss of sector confidence 			<ul style="list-style-type: none"> • Protocol for reviewing new projects to ensure consistency with purpose and terms of funding. • Ensure all planned activities are within the publicized remit of OEM • Financial systems to identify restricted funds and their application. 	<ul style="list-style-type: none"> •
	Loss of key staff	<ul style="list-style-type: none"> • Experience or skills lost. • Organisational knowledge lost • Operational impact on key projects and priorities. • Loss of contact base and key relationships/goodwill 			<ul style="list-style-type: none"> • Succession planning. • Documentation of systems, plans and projects. • Regular Team and SMT meetings to include updates on activity • Notice periods and handovers. 	<ul style="list-style-type: none"> •

Operational					<ul style="list-style-type: none"> Recruitment processes. 	
	Reporting to trustees (accuracy, timeliness and relevance)			<ul style="list-style-type: none"> Inadequate information resulting in poor quality decision making. Failure of Board to fulfil its control functions. Board becomes remote and ill informed. 	<ul style="list-style-type: none"> Proper strategic planning, objective setting and budgeting processes. Timely and accurate project reporting. Timely and accurate financial reporting. Proper project assessment and authorisation procedures. Regular contact between trustees and CEO 	<ul style="list-style-type: none">
	Contract risk			<ul style="list-style-type: none"> Onerous terms and conditions. Liabilities for non performance. Loss of core funding 	<ul style="list-style-type: none"> Cost/project appraisal procedures. Authorisation procedures. Professional advice on terms and conditions. Performance monitoring arrangements. Insurable risks cover. 	<ul style="list-style-type: none">
	Service provision –			<ul style="list-style-type: none"> Membership complaints. Negligence claims. 	<ul style="list-style-type: none"> Quality control procedures. 	<ul style="list-style-type: none">

Customer satisfaction				<ul style="list-style-type: none"> • Reputational risks. 	<ul style="list-style-type: none"> • Complaints procedures. • Benchmarking of service. • Quality Audit toolkit implementation 	
Membership				<ul style="list-style-type: none"> • Membership becomes disengaged • Mandate to operate brought into question 	<ul style="list-style-type: none"> • Regular provision of relevant information • Frequent interaction with networks • Activity based on the needs of the sector 	•
Competition				<ul style="list-style-type: none"> • Loss of contract income • Reduced profile 	<ul style="list-style-type: none"> • Maintain funder relationships • Quality audit • Explore new methods of service provision (new media?) 	•
Project or service development				<ul style="list-style-type: none"> • Compatibility with objects, plans and priorities. • Funding and financial viability. • Project viability. • Skills availability. 	<ul style="list-style-type: none"> • Project appraisal and costing procedures. • Authorisation procedures. • Monitoring and reporting procedures. 	•
Suppliers, dependency, bargaining power.				<ul style="list-style-type: none"> • Dependency on key supplier. • Lack of supplier to meet key operational objectives. • Non-competitive pricing/quotes. 	<ul style="list-style-type: none"> • Use of competitive tendering for larger contracts. • Procedures for obtaining quotations. • Authorised suppliers 	•

				<ul style="list-style-type: none"> • Insufficient buying power. 	<ul style="list-style-type: none"> listing. • Monitoring of quality/timeliness of provision. • Use of service level agreements. • Use of buying consortia. 	
Capacity and use of resources including tangible fixed assets.				<ul style="list-style-type: none"> • Under-utilised or lack of building/office space. • Equipment obsolescence impacting on operational performance. • Mismatch between staff allocations and key objectives. • Spare capacity not being utilised 	<ul style="list-style-type: none"> • Building and equipment inspection • Repair and maintenance process in place. • Consideration of capital expenditure budgets. • Efficiency review as part of quality audit 	<ul style="list-style-type: none"> •
Security of assets				<ul style="list-style-type: none"> • Loss or damage. • Theft of assets. • Infringements of intellectual property rights. 	<ul style="list-style-type: none"> • Review of security. • Asset register and inspection programme. • Facility management arrangements. • Safe custody arrangements for title documents. • Relevant policies include section on IPR (e: secondment). • Insurance reviews. 	<ul style="list-style-type: none"> •

	<p>Employment issues</p>			<ul style="list-style-type: none"> • Employment disputes. • Health and Safety issues. • Claims for injury, stress, harassment, unfair dismissal. • Equal opportunity issues. • Adequacy of staff training. • Child protection issues. • Low morale. 	<ul style="list-style-type: none"> • Recruitment processes. • Robust HR policies in place and complied with • Job descriptions, contracts of employment, appraisals and feedback procedures. • Job training and development. • Health and safety training and monitoring. • Staff vetting, reference & legal requirement checks. 	<ul style="list-style-type: none"> •
	<p>High staff turnover</p>			<ul style="list-style-type: none"> • Loss of experience or technical skills. • Recruitment costs and lead time. • Training costs. • Operational impact on staff moral and service delivery. 	<ul style="list-style-type: none"> • Interview and assessment processes. • Fair and open competition appointment for key posts. • Job descriptions, performance appraisal and feedback • Conduct "exit" interviews • Consider rates of pay, training, working conditions, job satisfaction. 	<ul style="list-style-type: none"> •
	<p>Health, safety and</p>			<ul style="list-style-type: none"> • Staff injury. • Product or service liability. 	<ul style="list-style-type: none"> • Compliance with law and regulation. 	<ul style="list-style-type: none"> •

environment				<ul style="list-style-type: none"> Ability to operate (see Compliance risks). 	<ul style="list-style-type: none"> Responsible person identified Monitoring and reporting procedures. 	
Disaster recovery and planning				<ul style="list-style-type: none"> Computer system failures or loss of data. Destruction of property, equipment, records through fire, flood or similar damage. 	<ul style="list-style-type: none"> IT recovery plan. Data back up procedures and precautions. Insurance cover. Disaster recovery plan for alternative accommodation. 	<ul style="list-style-type: none">
Procedural and systems documentation				<ul style="list-style-type: none"> Lack of awareness of procedures and policies. Actions taken without proper authority. 	<ul style="list-style-type: none"> Proper documentation of robust policies and procedures. Audit and review of systems and compliance as part of quality audit 	<ul style="list-style-type: none">
Information Technology				<ul style="list-style-type: none"> Systems fail to meet operational need. Failure to innovate or update systems. Loss/corruption of data eg donor base. Lack of technical support. 	<ul style="list-style-type: none"> Appraisal of system needs and options. Security and authorisation procedures. Implementation and development procedures. Use of service and support contracts. Disaster recovery procedures. 	<ul style="list-style-type: none">

Financial	Budgetary control and financial reporting				<ul style="list-style-type: none"> • Outsourcing. • Insurable loss. 		
	Reserves policies				<ul style="list-style-type: none"> • Budget does not match key objectives and priorities. • Decisions made on inaccurate financial projections or reporting. • Decisions made based on unreliable costing data. • Inability to meet commitments or key objectives. • Poor credit control. • Poor cash flow and treasury management. • Ability to function as going concern. 	<ul style="list-style-type: none"> • Budgets linked to business planning and objectives. • Timely and accurate monitoring and reporting. • Proper costing procedures for product or service delivery. • Adequate skills base to produce and interpret budgetary and financial reporting. • Procedures to review and action budget/cash flow variances. 	•
					<ul style="list-style-type: none"> • Lack of liquidity to respond to new needs or requirements. • Inability to meet commitments or planned objectives. • Reputational risks if policy cannot be justified. 	<ul style="list-style-type: none"> • Reserves policy linked to business plans, activities and identified financial and operating risk. • Regular review of policy. 	•

Cashflow sensitivity				<ul style="list-style-type: none"> • Inability to meet commitments. • Lack of liquidity to cover variance. • Impact on operational activities. 	<ul style="list-style-type: none"> • Adequate cash flow projections (prudence of assumptions). • Identification of major sensitivities. • Adequate information flow from operational managers. • Monitoring arrangements and reporting. 	•
Dependency on income sources				<ul style="list-style-type: none"> • Cash flow and budget impact of loss of income source. 	<ul style="list-style-type: none"> • Identification of major dependencies. • Adequate reserves policy. • Income diversification strategy 	•
Pricing policy				<ul style="list-style-type: none"> • Reliance on subsidy funding. • Cash flow impact on other activities. • Loss of contracts/grants if uncompetitive. 	<ul style="list-style-type: none"> • Consistent costing of services and contract. • Comparison with other service providers. • Procedures to notify and agree price variations with funders. • Monitoring of funder satisfaction. 	•
Borrowing				<ul style="list-style-type: none"> • No structured/planned approach to sourcing loan income • Interest rate movements. 	<ul style="list-style-type: none"> • Appraisal of future income streams. • Appraisal of terms (rates available, fixed, capped, 	•

				<ul style="list-style-type: none"> • Ability to meet repayment schedule. • Security given over assets. • Regulatory requirements. 	<ul style="list-style-type: none"> • variable etc.). • Appraisal of return on borrowing. • Proper advice procedures. 	
Pension commitments				<ul style="list-style-type: none"> • Under-funded defined benefit scheme. • Impact on future cash flows. • Failure to meet due dates of payment. • Regulatory action or fines. 	<ul style="list-style-type: none"> • Actuarial valuations. • Review of pension scheme arrangements (eg money purchase schemes). • Procedures for admission to scheme and controls over pension administration. 	•
Investment policies				<ul style="list-style-type: none"> • Financial loss though inappropriate or speculative investment. • Financial loss through lack of investment advice, lack of diversity. • Cash flow difficulties arising from lack of liquidity. 	<ul style="list-style-type: none"> • Investment policy. • Proper investment advice or management. • Diversity, prudence and liquidity criteria. • Adequate reserves policy. • Regular performance monitoring. 	•
Fraud or error				<ul style="list-style-type: none"> • Financial loss. • Reputational risk. • Regulatory action. 	<ul style="list-style-type: none"> • Financial control procedures. • Segregation of duties. • Authorisation limits. 	•

				<ul style="list-style-type: none"> • Impact on funding. 	<ul style="list-style-type: none"> • Security of assets. • Insurable risks 	
Environment/External	Adverse publicity			<ul style="list-style-type: none"> • Loss of funder confidence or funding. • Loss of influence. • Impact on moral of staff. • Loss of membership confidence. 	<ul style="list-style-type: none"> • Complaints procedures (both internal and external). • Proper review procedures for complaints. • Crisis management strategy for handling, consistency of key messages, nominated spokesperson etc. 	•
	Relationship with funders			<ul style="list-style-type: none"> • Deterioration in relationship may impact on funding and support available. 	<ul style="list-style-type: none"> • Regular contact and briefings to major funders. • Project reporting. • Meeting funders terms, conditions and requirements. 	•

	<p>General Election/change of Government policy</p>				<ul style="list-style-type: none"> • Continued existence of organisation • Availability of contract and grant funding. • Impact of general legislation or regulation on activities undertaken. • Role of voluntary sector. 	<ul style="list-style-type: none"> • Monitoring of proposed legal and regulatory changes. • Membership of umbrella bodies. 	<ul style="list-style-type: none"> •
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<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Compliance & the Law</p>	<p>Compliance with legislation and regulations</p> <p>Charity law Companies Act OEM constitution Data Protection Act Disability Discrimination Act Employment Law Trustees Act Human Rights Act Race relations Health and Safety law (Fire regulations etc)</p>			<ul style="list-style-type: none"> • Fines, penalties or censure from licensing or activity regulators. • Employee or consumer action for negligence. • Reputational risks. 	<ul style="list-style-type: none"> • Identify key legal and regulatory requirements. • Allocate responsibility for key compliance procedures. • Compliance monitoring and reporting. • Preparation for compliance visits. • Compliance reports from Regulators, auditors and staff considered and actioned at appropriate level. 	<ul style="list-style-type: none"> •
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	Tax			<ul style="list-style-type: none"> • Penalties, interest and "back duty" assessments. • Loss of mandatory or discretionary rate relief. • Failure to utilise tax exemptions and reliefs. 	<ul style="list-style-type: none"> • PAYE compliance procedures. • VAT review procedures. • Understanding of exemptions and reliefs available (direct tax and VAT). • Advice on employment status and contract terms. • Budget and financial reporting identifying trading receipts, and tax recoveries 	<ul style="list-style-type: none"> •
	Professional advice			<ul style="list-style-type: none"> • Lack of financial management strategy • Failure to optimise fiscal position. • Contract/grant risks. • Failure to address compliance risks. 	<ul style="list-style-type: none"> • Identification and access to professional advice. • Identification of issues where advice is required. • Compliance reviews. 	<ul style="list-style-type: none"> •

