

Board Report

26th November 2018

Report of: **Carol Gaskarth, Chief Executive, Pioneering Care Partnership (PCP)**

Report Background

This report provides an update for PCP's Board of Trustees to ensure that they have sufficient information to confidently govern whilst ensuring that organisation complies with all legal requirements. It outlines information to enable Trustees to contribute to PCP's continued improvement and development. It aims to aid the effective management of resources, provide financial assurance and recognises the duty of prudence.

The report acknowledges that meeting PCP's public benefit, as stated in the governing documents, is an ongoing requirement of Trustees. In addition to ensuring synergy with the organisations Business or Strategic Plans the report is presented in a format to meet recommended practice for good governance as outlines in the Charity Governance Code of Conduct for larger charities, 2017.

It is not possible to cover everything during each Board meeting, therefore a cycle has been developed to support the Board and ensure that information is timely.

PCP Mission

PCP's Mission is: **Health Wellbeing and Learning for All**

PCP Purpose

PCP's Purpose is:

To improve health and wellbeing through the development and provision of:

- **Services that build capacity with individuals and communities to improve their own health & wellbeing and have greater choice and control**
- **Services that tackle health inequalities**
- **Locally accessible services in community settings**

PCP Outcomes

The long term outcomes PCP seeks for disadvantaged people in order to achieve its aims are to:

- **promote independence, choice & control**
- **improve lifestyle**
- **increase knowledge & skills**
- **improve physical health**
- **improve confidence, self-esteem & well-being**
- **improve economic well-being**
- **build community capacity**
- **improve access to services for disadvantaged communities & groups**
- **promote social inclusion**

1.0 Organisational Purpose

1.1 Charitable Purpose – New projects

After the success of Quarter 1 and continuation of a number of projects and services Quarter 2 has been relatively slow in relation to new projects. There are less suitable opportunities advertised on the various funding portals and the focus has shifted to relationship building (see section 1.3.2 and 1.3.3) with a view to piloting activities.

A short term Dementia Friendly Therapeutic Horticulture project will be delivered in PCP's community garden following an award of £7,322 from the GAMP area budget.

There have been some small awards/successes:

- 1.1.1 Additional funding for Together 21 has also been secured through a Bailey Thomas Grant awarded to PCP for the sum of £20,000.
- 1.1.2 GAMP small grant scheme has provided £600 funding to support the Options Social Club.

All funding applications submitted are in line with the organisations mission of Health, Wellbeing and Learning for All.

1.2 Measuring Impact

Quarter 2 was an award winning period for PCP. As well as Carol Briggs achieving the highly sought after "Outstanding Contribution Award" at the Regional Charity Awards, Healthwatch County Durham was successful on the national platform.

Healthwatch County Durham won the Healthwatch England "It Starts With You" award. The award acknowledges the care home work carried out by volunteers. In addition the project was Highly Commended in the "Helping people have their say" category for their work engaging vulnerable women in health screening programme and safeguarding adult's reviews.

Congratulations also to Together 21 who were Finalists in the Group Making a Difference category at the North East Equality Awards.

Thanks were expressed to the staff and volunteers who contributed to the above accolades.

In relation to the impact of individual projects, services and infrastructure there is nothing significant to report or any major concerns. A timetable for issuing questionnaires ensures that departments are aware when their outcome monitoring is due so that information is ready for the end of year reporting. Outputs are reported quarterly and an overview is below:

1.2.1 Projects

All projects submitted quarter 2 impact plans and reports which have been reviewed by Senior Management Team. Operational queries were raised in respect of:

- Both Building Better Opportunities (BBO) projects continue to have low client numbers, this is a result of the eligibility criteria and referral mechanisms which are out of PCP's control. Outcomes with clients who have engaged are good and improving.

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- Health Buddies project ended on 31st October 2018 and whilst it was anticipated that client numbers would not meet the target the end of project position was strong

1.2.2 Services

Centre services submitted quarter 2 impact plans and reports which have been reviewed by Senior Management Team. Operational queries were raised in respect of:

- **Walking & Cycling groups** – participants continue to be less than targeted and promotion has commenced.

1.2.3 Management/Infrastructure Support Services

Management support services submitted quarter 2 impact plans and reports which have been reviewed by Senior Management Team and there were no issues raised at Quarter 2.

1.3 External Environment

1.3.1 Income Sources

Please see funding report – [Appendix 1](#).

Discussions have commenced with regard to an extension of the Workplace Health Contract for Durham and also the additional support for the Local Authority to progress with their award at the Gold Level. Further details to follow once confirmation is received.

After 7 or 8 months of the new team structure questions have been posed around productivity, grant application success rates and income generation levels. In order to sustain the business development and fundraising team significant additional income needs to be forthcoming and the likelihood of this is fairly low. The Business Development Lead is aware that this is a concern and that work flow rates need to increase dramatically.

1.3.2 Partnerships/Joint Working/Competition

During Quarter 2 we have worked on marketing and PR and less so on strategic relationships, however this work is ongoing including:

- a. **Finchale** – in addition to a potential joint Big Lottery Bid we are looking at an Armed Forces Covenant bid, deadline 31st December 2018.
- b. **Social Prescribing Competency and Training** – PCP still plans to progress this with a potential to work regionally (or in other regions). It is not anticipated that this will occur quickly and may take until 2021 to mobilise.
- c. **Better Together Forum** a partnership application to the Building Connections Fund, led by PCP was submitted but unfortunately it was unsuccessful. Irrespective this was a good piece of work that can be further developed and the willingness to work in partnership across the Sector is clear in County Durham.
- d. **County Durham Sport** – work continues to explore opportunities on a broader scale. A small application to fund outdoor gym equipment is pending.
- e. **Western Area** – work is ongoing to support physical regeneration of the Western area and PCP are supporting livin's application to the Big lottery Fund.

- f. **DCC Engagement Team** – conversations ongoing however the DCC lead is now absent due to long term sickness. This will be picked up on his return (December 2018).
- g. **Investing in Children** – relationships have been developed with Investing in Children and we are part of a Big Lottery Bid to develop Young Person's Community Café space at the Centre on a Wednesday evening.

Challenges

- a. Unfortunately PCP's partnership application for the **Challenge Fund** was not successful. Over 180 applications we received and funding only available for a small number of pilot areas. The concept to develop corporate wellbeing angels will continue through work around our offer to businesses.
- b. **Counselling** provision will cease being delivered by PCP in March 2019. Opportunities were explored however the size and scale of the new model was prohibitive. After over 12 years of delivering Primary Care Counselling this is very disappointing and we may look at other models of delivery to sustain some aspects of the work.

1.3.3 Stakeholders & Community

We are continuing to pursue funding from Public Health England or the National Institute of Health Research Design Service North East at Durham University for a whole scale research/evaluation of the impact of PCP. The research question and methodology would be agreed as part of the evaluation design work and it is envisaged that this could take 2-3 years to secure.

There are a number of opportunities to explore over the next few months:

- a. **Older Persons Themed work** – as the Buddies befriending service comes to an end PCP needs to carefully consider what the opportunities are for working with older people. An internal meeting will be scheduled to progress and a Big Lottery bid submitted by end of January 2019.
- b. **Children's Services** – there is potential to grow and develop working with children, particularly special educational needs and we should review what this could look like and explore funding models for the future.
- c. **County Durham Mental Health** – following from the Mental Health at Scale work PCP needs to be more involved in the broader anti stigma work across communities and in workplaces.
- d. **Stockton, Navigation and Health and Wellbeing Group Work** – time should be devoted to further developing relationships in Tees, commencing in Stockton.
- e. **The Auckland Project** – joint working opportunities to be explored further.
- f. **HealthWORKs Newcastle** – continue to review the possibilities of future joint working around social prescribing, cancer awareness workers and workplace health in Newcastle/Gateshead.
- g. **HMP Low Newton & DCC Public Health** – this is likely to progress in 2019-20.
- h. **County Durham and Darlington Community Services** - PCP as a partner will be supporting this work, again this will be in 2019-20.
- i. **Mental Health at Scale Update** - Durham County Council is part of a Local Government Association (LGA) Prevention at Scale pilot programme aimed at reducing death by suicide. Following a 5 day

training programme a small working group (including PCP) is considering approaches around this work.

Organisational Purpose Recommendations

- a. Partnership and external environment considerations to be included in business planning.
- b. Further work to explore the stakeholder/community direction to be factored into business planning processes.
- c. Whole-scale research programme funding to be included on the action log as a long term plan, not to be forgotten.

2.0 Leadership

2.1 Governance Review

Charitable Incorporated Organisation (CIO) – Conversion

During 2017-18 the Board undertook a full review and concluded that the governance arrangements should move to the CIO model, this motion was passed by PCP Voting Members in July 2018. Upon further investigation there is a query around whether becoming a CIO would prohibit PCP from holding a secured loan in the future. General information is conflicting:

“The CIO has power to do anything which is calculated to further its object[s] or is conducive or incidental to doing so. In particular, the CIO has power to: (1) borrow money and to charge the whole or any part of its property as security for the repayment of the money borrowed. The CIO must comply as appropriate with sections 124 and 125 of the Charities Act 2011, if it wishes to mortgage land.” *Source: Charity Commission.*

“Unlike Companies House in respect of companies, the Charity Commission does not maintain a register of charges secured against CIOs assets. This means that a bank has less information and protection when lending to a CIO. However, this issue is less likely to apply to loans secured against land because the bank can register a charge at HM Land Registry.” *Source: Muckle LLP*

“It is likely that CIOs will be unable to take on secured borrowing as the Charity Commission does not have the ability to establish or maintain a register of charges over CIO property. Lenders, therefore, are reluctant to grant CIOs secured debt.” *Source: Arnold & Porter (UK) LLP*

PCP does not currently have a loan or mortgage, but it may in the future, therefore further work should be undertaken, and specialist advice taken, prior to progressing with the change of arrangements. Further information to be brought to the February meeting.

Communication – Chair/Chief Executive

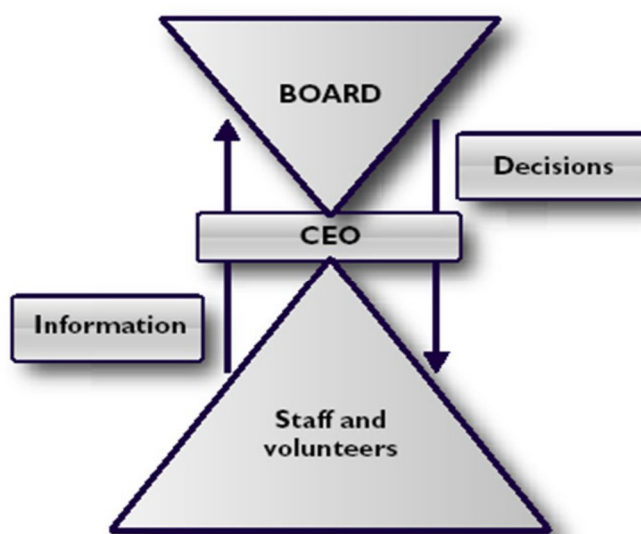
Bi-monthly meetings with the Chair and Treasurer have been introduced to aid planning but to also assist to ensure that discussions at Board and sub-committees are governance orientated.

Monthly Chair/Chief Executive catch-ups take place along with pre-meeting planning meetings.

Dynamic Duo Training has been complete which outlined the importance of good governance and the relationship between the Chair and Chief Executive. The training focused on trusting relationships and being:

- open communication demonstrating mutual respect,
- constructive tone of independent, supportive challenge
- forward looking, courageous, willing to take risks
- Willingness to give each other feedback

It was acknowledge that the relationship is slightly 'strange' because of the dynamic of paid member of staff and volunteer trustee and shared responsibility to hold one another to account, whilst the Chief Exec is also the funnel for communication (see below).



The training wasn't the most inspiring (and the trains to Leeds and back were a nightmare) but it was heartening to hear that everything PCP has put in place to monitor Chair, Board and Chief Executive effectiveness was seen as best practice.

One point to for further consideration is that of Chief Executive or Senior Management Trustees. The concept of paid staff with voting rights is becoming more popular where there is a balance between the executive – who has detailed knowledge of the organisation – and the non-executive who can challenge and ask questions – no side then dominates the decision-making process. By making senior management trustees, organisations can end up with a stronger, better governed more focused, efficient, accountable and resilient boards.

Trustee Recruitment

Trustee recruitment has led to two applications, both strong candidates, with interviews held early November 2019 and observations of meeting held on 26th November 2018. Should the Board approve for the candidates to be Co-opted his would take Trustee numbers to 10.

Company Secretary

When reviewing other organisations as part of the Company Auditors it was noted that the Chief Executive is usually the named person as 'Company Secretary'. PCP recently had a bid rejected that was submitted in my name, because I wasn't listed with Companies House. In order to rectify this it is suggested that the listing is changed with immediate effect.

2.2 Board Values, Commitment and Learning

Work to refresh the organisational values is ongoing (see 3.3 below) and the Board will continue to have an input into shaping the values for the future. Board learning and skills development will also be considered as part of the business planning process.

2.2.1 Time to Change Pledge

PCP is incredibly proud to be joining the Time to Change campaign. We are an award-winning charity whose mission is, “Health, Wellbeing and Learning for All” this commitment extends also to our staff and volunteers. The nature of what we do means we are well placed to champion change and tackle stigma in the communities we serve. PCP’s Chief Executive will officially sign the Employer Pledge and publically show our commitment to helping end mental health discrimination in the workplace and Trustees are asked to do the same.

2.2.2 Trustee Week

The 2018 Trustee Week commenced on 12th November 2018 and during the week PCP was active on social media, sharing posts and biographies of our Trustees. Next year the intension is to make much more of the week and potentially hold Trustee training, meet the trustee session and more. Any ideas please forward to Kath.

Leadership Recommendations

It is recommended that the Board agree to:

- a. Seeking specialist advice regarding conversion to CIO specifically around secured loans
- b. Add “senior management trustee” investigation to the Action Log
- c. Agreeing co-option of both Vijaya and Dela to the Board, pending full vote at the July 2018 AGM.
- d. Approve the change in Company Secretary.
- e. Sign the Time to Change Pledge
- f. Forward Trustee Week 2019 ideas to Kath

3.0 Integrity

3.1 Safeguarding

Protecting people and safeguarding responsibilities is a governance priority for PCP and as part of fulfilling trustee duties, we must take reasonable steps to protect people who come into contact with the charity from harm. This includes the people who benefit from PCP’s work, staff and volunteers.

Safeguarding of vulnerable adults (or adults at risk) and children is everyone’s responsibility so all must have an awareness and understand how to report concerns using PCP procedures, no matter how minor they may seem and training is in place to ensure that this is effective, PCP Safeguarding procedures are also reviewed annually.

Every quarter the number of significant safeguarding concerns are reported to Board. **There are no safeguarding issues to report to PCP Board of Trustees for the quarter.**

It is worth noting that local safeguarding week starts on 26th November 2018. This is an ideal time to refresh understanding with regard to safeguarding responsibilities. Helpfully, Durham County Council have put together a series of events and presentations, see [Appendix 2](#).

3.2 Core Values

See Core Value presentation.

3.3 Publicity and PR

Positive feedback has been received from internal and external colleagues about PCP's Media Apprentice, El Murphy. This includes Pixel Media and her training provider, ITEC. El received an Apprentice Award at the beginning of October in recognition of her hard work and commitment shown towards her advanced apprenticeship in digital marketing.

The appointment on a short term basis of a consultant has also been positive on a number of fronts and feedback from staff has been excellent to date. Work includes:

- a. A plan of suggested fundraising events has been developed.
- b. Mentoring of staff around concept development has commenced (Sandra, El, Ethan)
- c. Hydrotherapy fundraising and PR plan in progress, linked to 20th Anniversary
- d. Corporate supporters offer and tailored packs under development
- e. Press release and creative writing skills sharing ongoing
- f. Sponsorship of marketing materials being explored.

PCP's new website is almost ready to launch. This has been designed and developed by Pixel Media who have also provided training to PCP staff to enable the management and updating internally.

Corporate press and publicity has increased greatly during Q2 and Q3 has commenced with some high profile events/awards. (NE Charity Awards, NE Equality Awards, TB visit). Radio coverage has also begun with the Chief Executive featuring on Community Connect, a 2 hour show on Aycliffe Radio. This momentum needs to be maintained.

In addition to the central publicity work project and service publicity targets will be closely considered as part of the Q2 Impact Plan review. All areas will be encouraged to use a range of mediums, including printed press and social media without over reliance on one or the other.

3.4 Legislation Update

There are no health and safety or human resources legislation updates that require Board consideration.

Integrity Recommendations

- a. Trustees are recommended to attend the safeguarding Roadshow at County Hall for information updates.
- b. Values work is ongoing, therefore if Trustees have any specific suggestions for values statements or terms these should be forwarded to Kath by Friday 14th December 2018.
- c. The Board is asked to note the significant increase in publicity and press coverage and thanks passed to El and Sandra.

4.0 Decision Making, Risk and Control

4.1 Sub Committee Update

All 3 Sub Committees met during Quarter 2 and have meetings planned for Quarter 3. Terms of Reference for all sub committees will be reviewed during the next two meetings to ensure that they complement the new business plan once it is fully developed.

The Compliance Sub Committee name has been amended to be the Compliance and Best Practice Sub Committee to reflect that the emphasis should be on maintaining standards but also continuous development.

4.2 Key Policy Review

It is important that the Board has oversight of key governance policies. These include:

- a. Trustee Code of Conduct
- b. Employment Policy
- c. Health and Safety Policy
- d. Clinical Governance Policy
- e. Information Governance Policy
- f. Complaints Policy
- g. Investment Policy
- h. Reserves Policy
- i. Speaking Out Policy
- j. Equality and Diversity Policy

These policies are reviewed periodically by Senior Management Team and then brought to Board for discussion. The Investment Policy was due in November 2018, however this has been deferred pending further work at the Sub Committee.

As part of the organisations activity cycle the following is due for consideration at this meeting:

- Equal Pay Review Report [Appendix 3](#)

4.3 Finance & Forecasting

PCP's Finance Manager will attend for this item of the agenda to present the quarter 2 position and forecasted end of year position and answer any questions.

Please see attached Quarter 2:

- Finance Report [Appendix 4](#),
- Management Accounts Summary, [Appendix 5](#)
- Cashflow Forecast, [Appendix 6](#)
- Bank and Cash Balances, [Appendix 7](#)

4.4 Investment Performance

Current Position

Investment PCP's Fund Value as at 30th September 2018 is £263,812. PCP invested £250,000 over a medium term (circa 5 years) and therefore fluctuation is expected over the investment period. Information suggests that markets remain unsettled due to a range of factors (including pre-Brexit concerns, trade issues with the US and US interest rate rises) and the uncertainty is likely to continue, which may result in a reduction in market value short term.

Asset Class	Percentage	Value
Fixed Interest	24.0%	£63,301
UK Equities	20.1%	£53,118
Overseas Equities	35.2%	£92,734
Alternatives	17.0%	£44,727
Cash	3.8%	£9,933
Total		£263,812

Investment Quarterly Performance

Quarter Period	Market Value at end of quarter £	Estimated Income £	Estimated Yield %
Quarter 1 April - June 2018	£262,524	£4,408	1.7
Quarter 2 July - September 2018	£263,812	£4,643	1.8
Quarter 3 October - December 2018			
Quarter 4 January - March 2019			

4.5 2019-20 Budget setting process

Early work on the 2019-20 Budget has commenced with SMT scheduled to review the potential position in December. First drafts will be discussed with Finance and Investment Sub Committee early February prior to full Board on 25th February 2019.

Consideration is being given to PCP's full cost recovery model and the percentage charged for management and other overheads.

The Pioneering Care Centre Service Charge calculation is under-review which could lead to a slight increase. Tenants meetings are ongoing on a quarterly basis and all will be informed that the service charge may potentially be increased. If this is the case formal notification will take place in January 2019.

4.6 Risk Register

An exercise took place at SMT to consider risks from the previous risk register and all have either:

- transferred to the Compliance and Best Practice Sub Committee operational risk register;
- been removed because were no longer considered to be a risk; or
- remained a governance risk and therefore transferred onto the new model (attached [Appendix 8](#)).

The fully populated new format of PCP's Risk Register is attached for comment, query and approval.

4.7 Health & Safety

During the quarter the following has been achieved:

- a. Production of an organisational wide Health and Safety Action Plan which outlines the strategic priorities for PCP.
- b. Development of a more robust Risk Assessment process to be rolled out during quarter 3.

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- c. Development of an operational Health and Safety Action Plan for the Pioneering Care Centre detailing priority areas and key actions. Currently being implemented.

Health and Safety competent person support continues to be provided by a consultant and there were no significant challenges to report.

The tender documentation for ongoing Health and Safety Support is currently being finalised in readiness for external advertising.

Decision Making Risk and Control Recommendations

It is recommended that PCP Board:

- a. Receives the reviewed Investment Policy at the next Board Meeting.
- b. Accepts the Equal Pay Report, which outlines that there are no organisational concerns in relation to quality of pay.
- c. Approves the new Risk Register, which will be reviewed bi-annually.

5.0 Board Effectiveness

5.1 Board Training/CPD/Knowledge

No requests or ideas for training or continuing professional development have been received. If there are areas of learning and development the Board feels would be appropriate please let Kath know.

Business planning will aid to organisational and Trustee learning and during this process potential areas of skills development might become apparent.

Dynamic Duo Training – Delivered by the Association of Chief Executives of Voluntary Organisations (ACEVO), PCP Chair and Chief Executive attended November which aimed to explore how to balance the roles and bring out the best in each other (see 2.1). Topics included:

- What does the relationship look like when it works well
- How to establish and develop a supportive culture
- How to deal with conflict.

5.2 Trustee and Chair Annual Review

The Chief Executive and Chair will explore the process for Trustee and Chair annual reviews during quarter 4. As previously mentioned this should be linked to the organisational values, the business plan and individual aspirations of trustees.

Board Effectiveness Recommendations

It is recommended that Trustees:

- a. Consider learning and skills development requirements for the coming year.

6.0 Diversity (items on the Board Cycle)

6.1 Voluntary Sector Trends

This item is deferred and will be included in Business Planning sessions. Information from NCVO (National Council for Voluntary Organisations), ACEVO (Association of Chief Executives of Voluntary Orgs), the Charity Commission and publications such as Third Sector and those produced by the Chartered Institute of Personnel and Development will be used to produce an analysis of the trend information.

6.2 Meeting Accessibility

Meeting accessibility is more than purely about the room and physical layout, although that is important too, it also includes whether trustees feel that they can contribute, if there is space in the meeting for discussion and if your needs as a trustee are being met. This type of questioning will be incorporated into the trustee annual review sessions.

Diversity Recommendations

There are no specific recommendations at this time, except review meeting accessibility during trustee review sessions.

7.0 Openness and Accountability

7.1 Volunteers

Daniel Fletcher took on the role of Volunteer and Systems Development Worker in May/June 2018 and has made significant improvements to PCP's volunteer management systems and processes. A comprehensive action plan is in place with a number of items already complete such as:

- Review of the Volunteer Handbook
- Refresh of all volunteer recruitment process
- Clarification of volunteer roles and clear role descriptors
- Improvements in the volunteer review processes
- Better communication with volunteer supporters.

The work continues and the focus moving forward is to improve volunteer training. Due to the synergy between volunteer management, human resources and quality line management has moved, therefore this post now sits as part of the Business Excellence Team (Claire Todd's team).

7.2 Consultation and User Feedback

We continue to review PCP's Customer Charter, this needs to be considered in conjunction with organisational values and therefore the new charter will be launched at the same time as the refreshed values statements.

During the quarter PCP has received no complaints and comments using both comments cards and service/project questionnaires continue to be received. An analysis of comments is received by the Board annually.

7.3 20th Anniversary Events

Following discussion with the staff team and Board a fundraising events timetable has been prepared, see [Appendix 9](#). If Trustees would like to assist with the planning and delivery of any of the events or activities please let Kath know.

The planned Birthday Ball has now change – **please can you remove the date of 8th March 2019 from your diaries**. Both Workplace Health contracts (Durham and Sunderland) were keen to hold a celebration event for workplaces therefore we have agreed to have a joint celebration and fundraising evening in March. This will ensure that local business are present and will potentially be a more lucrative fundraiser for the Hydrotherapy pool appeal.

Openness and Accountability Recommendations

It is recommended that:

- a. Trustees acknowledge the work of Daniel Fletcher and thanks are expressed to him for his work.
- b. Trustees consider which events or activities they would like to assist with and inform Kath.
- c. Dairies are updated and as soon as we know the new date for the Ball we will inform Trustees.

8.0 References & further reading

Charitable Incorporated Organisations

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/731633/foundation_model_constitution.pdf

Charity Governance

Charity Governance Code for Large Charities 2017 <https://www.gov.uk/guidance/charity-trustee-whats-involved#trustees-6-main-duties>

<https://www.gov.uk/guidance/automatic-disqualification-rule-changes-guidance-for-charities>

Trustee Guidance

The Essential Trustee <https://www.gov.uk/government/publications/the-essential-trustee-what-you-need-to-know-cc3>

Charity trustee: what's involved <https://www.gov.uk/guidance/charity-trustee-whats-involved#trustees-6-main-duties>

Association of Chairs

<https://www.associationofchairs.org.uk/wp-content/uploads/2016/07/AoC-Chairs-survey-highlights-July-2016v2.pdf>

Training & Development

www.associationofchairs.org.uk/future-events/
<https://www.acevo.org.uk/networking-events/dynamic-duo>

Contact: Carol Gaskarth carol.gaskarth@pcp.uk.net
