



## SaTH Charity Policy

# Policy and procedure on the receipt and use of charitable funds for the benefit of patients, their relatives and our staff

**Ref No. GOV10**

**Additionally refer to:**

- Managing Conflicts of Interest in the NHS
- Health and Safety Policy
- Volunteer Policy
- Food Safety Policy Code of Practice & Procedure
- Standing Financial Instructions
- Marketing Communications, Commercial Sponsorship and Advertising Policy
- Reimbursement of Travel, Accommodation & Subsistence Expenses

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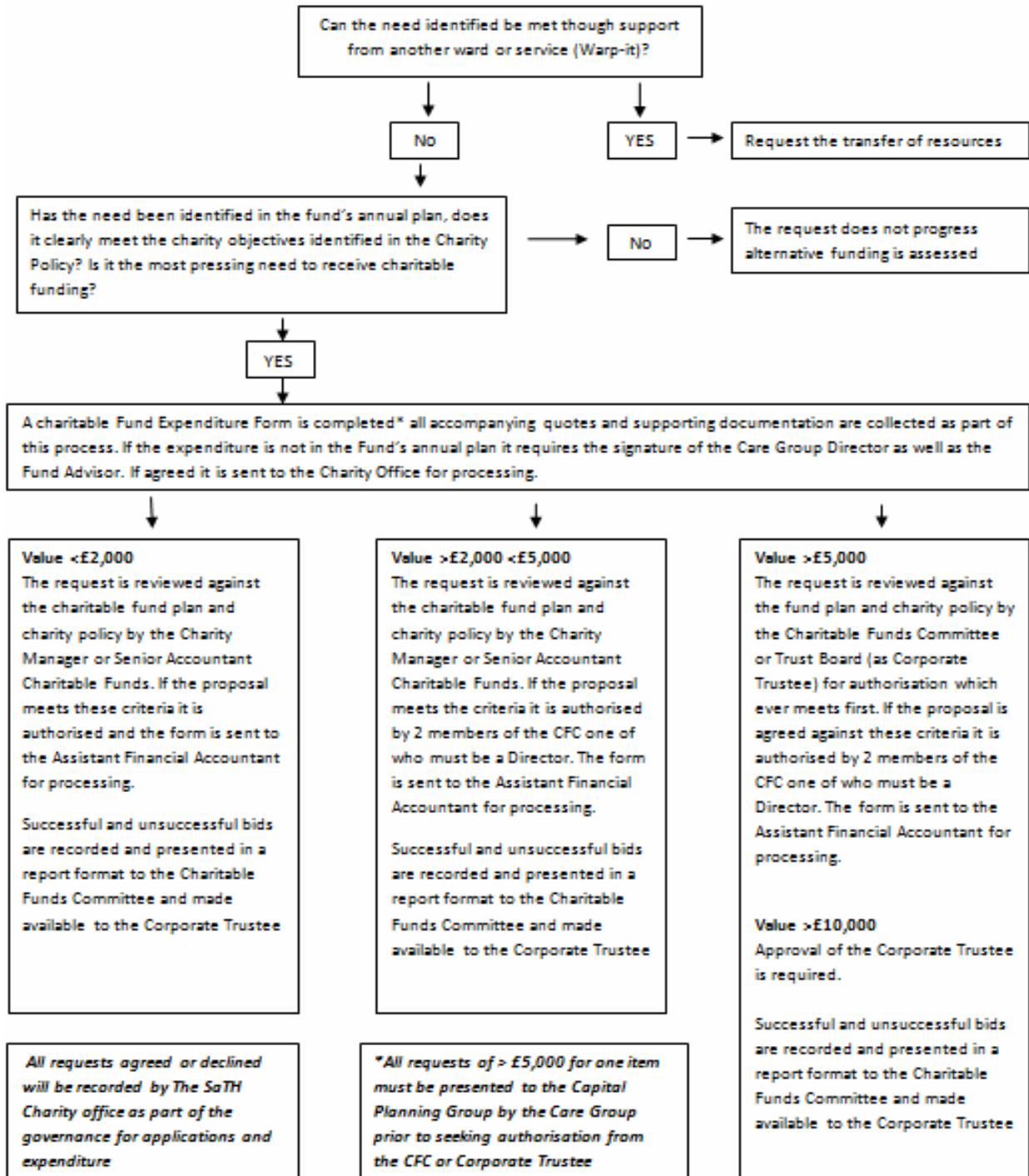
**Charity Sign-off**

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### SaTH Charity Sign Off Procedure

Charitable expenditure is planned annually by the Fund Advisor and is approved by the Care Group and the Charitable Funds Committee (the representative of the Corporate Trustee who is legally responsible for governance of all funds)



## 1 Policy on a Page

### Purpose

This policy aims to help all staff and supporters involved in fundraising or who face questions on SaTH's approach to charitable activities understand the legal and social responsibilities relating to fundraising. It also clarifies what areas and services are supported and how the Trust undertakes fundraising and how to register fundraising activity. It covers responsibilities and who to contact, and how, for guidance and support.

This policy helps to ensure that all fundraising activities undertaken by the Trust satisfy all legal requirements; this protects the Trust, Corporate Trustee, our staff and fundraisers and the Charity's reputation. The wide range and scope of fundraising activities makes it difficult to incorporate specific advice on every event or activity undertaken, but, rather, this seeks to set out overriding principles which should be followed.

### Strategic Aims

The over-arching aims of the fundraising strategy are:

- To help raise funds to meet the ever demanding need for new and innovative medical equipment and to improve the clinical knowledge of our workforce to improve patient outcomes
- To build and develop the Trust's fundraising capacity
- To integrate cohesive fundraising and communication methods, throughout the Trust
- To provide support and guidance to existing charitable partners, including our Charity
- To stipulate what is and will not be funded from charitable funds
- To develop and implement corporate fundraising priorities that are aligned with the Trust's strategic objectives and the charitable objectives of the Charity
- To progress towards having a charity team to develop the methods of support required to meet the changing funding environment within the NHS

### Applicable to:

- All Trust staff
- Supporters of Trust fundraising
- Partner organisations involved with fundraising

### Financial implications:

- Charitable funds – collection, management and the use of funds.

### Corporate Trustee

The Board of the Trust is responsible as the Corporate Trustee for the management of funds it holds on trust for SaTH Charity. It must comply at all times with applicable law, latest Charities Commission guidance and best practice.

The discharge of the Board's corporate trustee responsibilities in respect of monies held on trust for the Charity are distinct from its responsibilities for exchequer funds and may not necessarily be discharged in the same manner, but there must still be adherence to the overriding general principles of financial regularity, prudence and propriety. Trustee responsibilities cover both charitable and non-charitable purposes, recognising that these are distinct responsibilities.

**Charitable fund donations, whether cash or cheques, should be receipted and taken to the Cashier's Office as soon as possible.**

**Staff must not hold cash/cheques on wards or in departments.**

**Staff should not handle donations on behalf of external charities / funds unless permission has been given in advance by the CFC or their representative.**

## 2 Document Statement

In a climate of considerable financial restraint, the Shrewsbury and Telford Hospital NHS Trust (“the Trust”) needs to ensure that its Charity is fulfilling its potential and maximising income in order to support its charitable objects while supporting the needs of its patients, service users and staff by helping to provide those extras that cannot be met from exchequer funds.

This policy aims to give a general overview of how charitable fundraising for Shrewsbury and Telford Hospital NHS Trust Charity (“SaTH Charity”) is managed and developed and how this is then used to benefit patients and staff in their clinical duties. Under the **SaTH Charity** brand a cohesive approach is taken, it guides and helps all Trust staff understand their general duties and legal responsibilities in relation to any fundraising activities undertaken. It also provides guidance in relation to fundraising involving volunteers, partner organisations and third parties.

Individuals, companies and organisations that make donations and fundraise in support of the Charity which benefits the Trust, its services and research should have total confidence that their gift is received and managed in line with their wishes and in accordance with best practice (improvement in quality and outcome of clinical care) and charity law.

## 3 Overview

The Trust will always ensure its services are safe and aim to meet the relevant clinical and quality standards. Financing of additional services, equipment and training from funds outside normal revenue budgets is an important option for NHS organisations. Such funds are normally known as charitable funds. The majority of these funds come from voluntary donations, fundraising initiatives or sponsorship.

The Trust benefits financially from charitable donations raised and managed through the Charity and a variety of external supporting and related charities. These donations help to support facilities and services over and above those funded from the exchequer.

The Trust recognises the positive contribution that charitable funds can make towards providing a high quality service and experience for Trust patients, service users, their families, carers and staff.

Charitable fundraising is a legitimate means to enable the purchase of goods, equipment or services and additional training and development for staff (that has a direct impact on patient outcomes) which is not be funded through normal NHS channels. For the public, donating or actively raising charitable funds is seen as a positive way of supporting their local NHS service and often as a way of expressing gratitude for treatment received, or as a way of remembering a loved one who was cared for by the organisation.

In addition encouraging the public to engage and support the Trust has benefits going beyond the funds raised; it creates a sense of belonging, community spirit and opens up avenues for the public to have greater input into the development of their hospital’s services.

The Trust’s Board is the Corporate Trustee of SaTH Charity, and leads the Charity in line with statutory and regulatory requirements, recognising the contribution and value that the Charity makes to the delivery of services and the welfare of patients. It recognises the work of individuals and groups that participate in fundraising events and donate to the Charity.

Trust staff are able to receive charitable donations intended for SaTH Charity but must strictly follow the process for receipting and processing of charitable funds. Charitable fund donations, whether cash or cheques, should be receipted using the ward paying in books and taken to the Cashier’s Office as soon as possible. **Staff must not hold cash or cheques on wards or in departments.**

SaTH Charity aims to work alongside other fundraising organisations that are effective in providing valuable support to the Trust. The Shrewsbury and Telford Hospital NHS Trust will support other fundraising groups including; Royal Shrewsbury Hospital League of Friends, Friends of Princess Royal and the Lingen Davies Cancer Fund.

#### 4 Definitions

**SaTH Charity** is the fundraising charity solely supporting the needs of the Shrewsbury and Telford Hospital NHS Trust. The Charity has over 100 charitable funds (accounts) which enable donations and fundraisers to support a particular service, department or specialty. Donations to Wards are aligned to the specialty covered by the Ward at the time of the donation.

#### 5 Charitable Funds

Charitable funds consist of:

- Money donated to the Trust (or the Charity) in appreciation;
- Money left in a legacy for the benefit of the Trust (or via the Charity)
- Money collected via collection points
- Money which has been raised through fundraising events; and
- Money which has been donated as a result of a fundraising appeal.

The Charity is registered with the charity commission (1107883) and promotes itself as SaTH Charity whose principle charitable objective is:

***“Any charitable purpose relating to the National Health Service wholly or mainly for the services provided by the Shrewsbury and Telford Hospital NHS Trust to improve the quality of patient care and improved clinical outcomes”***

#### 6 Duties

##### 6.1 Trustee

The Trust Board of the Shrewsbury and Telford Hospital NHS Trust is responsible as the Corporate Trustee of SaTH Charity and has ultimate accountability to ensure the Charity operates in line with current legislation and meets its legal obligations for fundraising, operational management and reporting. The Corporate Trustee delegates this accountability to the Charitable Funds Committee (See Appendix 3). The Corporate Trustee meet at least quarterly to review the activity of the Charity as presented by the Charitable Funds Committee and consider expenditure >£10,000. The Corporate Trustee signs off the annual Report and Accounts.

##### 6.2 Charitable Funds Committee

Constitution - The Trust Board established a Committee of the Board known as the Charitable Funds Committee (CFC). As a Committee of the Trust Board, the Standing Orders of the Trust apply to the conduct of the Charitable Funds Committee (“the Committee”). The CFC meets every three months.

The Committee is authorised by the Trust Board as the Corporate Trustee to investigate any activity within its Terms of Reference and is expected to make recommendations to the full Trust Board. It is authorised to seek any information it requires from any employee and all employees are directed to co-operate with any request made by the Committee.

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The Committee is authorised by the Trust Board to obtain outside legal or other independent professional advice, and to secure the attendance of others from outside the Trust with relevant experience and expertise, if it considers it necessary. This authority will only be used in exceptional circumstances and prior approval of the Trust Board is required.

The Committee will review both approved and non-approved charitable funds expenditure requests to ensure that monies are spent in line with the Charity's charitable objectives. The Committee shall ensure that each charitable fund is managed appropriately with regard to its specific purpose and to its requirements. It will achieve this by signing off an annual plan of proposed spend and all expenditure will be reviewed against this.

### 6.3 Director of Corporate Services

The Director of Corporate Services has delegated the responsibility for leading on fundraising, and ensuring that robust arrangements are in place to support the Charity in connection with the management and administration of charitable funds in line with statutory requirements to the SaTH Charity Programme Manager. The Director of Corporate services is responsible for ensuring that:

- Fundraising is carried out legitimately
- Funds are expended in accordance with the charitable objects of the Charity

Benefit can be quantified by ***“improvement in the quality of patient care and improved clinical outcomes”***

### 6.4 Finance Director

The Finance Director is responsible for the implementation of appropriate systems and processes to accurately record income and expenditure and monitor financial controls for the Charity. The Finance Director has given the authority to a Senior Financial Accountant within the Finance Department to report Charitable Funds and they are supported by an Assistant Accountant (charitable funds). The Finance Director is responsible for ensuring that:

- Expenditure is properly validated
- All funds raised are accurately accounted for

### 6.5 SaTH Charity Office

The SaTH Charity Office has operational responsibility for leading on the implementation of appropriate systems and processes that support fundraising. The SaTH Charity Office has operational management responsibility for the management of fundraising activity, ensuring that the systems and processes are implemented and that controls and assurances are in place for any identified risks in relation to this policy.

The SaTH Charity office ensures a full report summarising expenditure is also reported to the Charitable Funds Committee and all expenditure request (whether approved or not) are included. The team also provides support to Fund Advisors and service leads in their development of fundraising projects and the development of annual plans to manage their funds.

The Charity office also links in with other areas including communications, engagement and involvement.



## **6.6 Fundraising Event Lead (eg coffee morning, fun day etc)**

The Fundraising Event Lead whether supporting SaTH Charity or another appropriate Charity is responsible for:

- Submitting a completed Event Proposal Form (see appendix 1) to the SaTH Charity Office [sath.charity@nhs.net](mailto:sath.charity@nhs.net) prior to any fundraising event.
- Ensuring that a proposed event complies with safety requirements eg Health and Safety, Food Safety (Food Safety Policy Code of Practice 22), safeguarding etc. and contacting the relevant departments for advice if unsure
- Checking that the event is covered by Public Liability Insurance. Contacting the SaTH Charity Office on 01743 261446 for events held in support of SaTH Charity; and the event organiser if participating in an external event. External events may require additional insurance cover.
- Ensuring permission has been given by the Charity Office to release any communications regarding the proposed fundraising event which makes reference to the Trust and/or the Charity (to ensure consistency at all times).
- Ensuring that any funds raised are promptly receipted and paid into the Cashier's Office.

## **6.7 Assistant Accountant (charitable funds)**

The day-to-day finances of SaTH Charity are reported on by the Assistant Accountant (charitable funds). A monthly report is compiled which highlights the current position of all SaTH Charity Funds which is signed off by the Senior Accountant, Charitable Funds.

The Assistant Accountant (charitable funds) will highlight any discrepancies or problems with request forms to the Charity office to seek guidance.

## **6.8 Fund Advisors**

All applications forms for expenditure must be signed by the appropriate Fund Advisor before submission to the Charity Office for approval (Appendix 2). Fund Advisors cannot request expenditure from charitable funds for their own benefit. The full approval procedure is covered in section 16 which highlights when Care Group approval is required. The Fund Advisor is responsible for presenting capital expenditure of over £5,000 to the Capital Planning Group prior to seeking authorisation for expenditure.

Fund Advisors are required to support the development of an annual spending and fundraising plan by April of each year. This is to ensure that spend remains in line with the Trust's identified objectives.

## **6.9 All Trust staff, volunteers and contractors**

All Trust staff; volunteers and contractors must adhere to this guidance policy and operate any fundraising on Trust premises or for SaTH Charity in accordance with this policy.

## **7 Governance arrangements**

Charities are governed by a range of legislation and staff are required to adhere to the principles below when organising and carrying out fundraising activities for SaTH Charity. They also apply for activity in support of other organisations when instigated on Trust property.

This includes but is not limited to:

- Data Protection Act 2018
- Charity Commission guidelines
- Charity law including the Charities Act 2011
- The Institute of Fundraising's Code of Fundraising Practice
- The Consumer Protection from Unfair Trading Regulations 2008
- Street collection regulations/laws
- Regulations/laws relating to lotteries, raffles and sweepstakes

Please contact the Charity on 01743 261446 for guidance.

SaTH Charity is registered with the Fundraising Regulator.

## 8 Guidance for Charitable Income

Charitable fund donations will be received as cash or cheque in one of the following ways:-

- Given directly to Ward/Departmental staff;
- Taken directly to the cashier's offices at the Royal Shrewsbury Hospital or the Princess Royal Hospital;
- Sent in the post to the Finance Department;
- Sent in the post addressed to the Charity Office at the Hospital;
- Given to the fund-raising appeal office/staff.

The Charity can also receive donations directly into the bank and on-line via:

- Just Giving at [www.justgiving.com/sath/donate](http://www.justgiving.com/sath/donate)
- Virgin Money Giving at [www.virginmoneygiving.com/](http://www.virginmoneygiving.com/)
- SMS text giving [www.nationalfundingscheme.org](http://www.nationalfundingscheme.org)

The Charity also receives donations from funeral directors through Memory Giving at [www.memorygiving.com](http://www.memorygiving.com).

### 8.1 Receipt of donations

In all cases when staff receive donations they must ensure that the triplicate ward receipt book is used and that all sections are completed and legible including the receipt number. Staff receiving donations are encouraged to ask the donor to complete the Gift Aid section in the paying in book. Cash and cheques must be banked at the earliest opportunity through the Cashier's office at either RSH or PRH.

- The top copy must be given to the donor
- The second copy will be retained by the Cashier's Office
- The third copy retained in the book

The Cashier's Office will forward the official receipt together with all accompanying information to the Assistant Financial Accountant (charitable funds) who will produce acknowledgement letters on behalf of the Charity to be sent to the donor with the official receipt. Where Departments prefer to send out their own letters of thanks, this can be arranged by liaising with the Assistant Financial Accountant (charitable funds).

If appropriate, a Gift Aid Declaration form will be sent to the donor. The returned form when signed enables SaTH Charity to reclaim tax on the donation. This money is credited to each appropriate charitable fund.

If a Charities Aid Foundation (CAF) cheque is received, this must be sent to the finance department (charitable funds) for completion and not presented to a bank. Details of which charitable fund to benefit from the donation must be included to ensure the donation is allocated to the correct fund.

No monies in the form of cash or cheque must remain on the ward; funds must be paid into the cashier's office at the earliest opportunity.

## **8.2 Pharmaceutical company donations**

Income from pharmaceutical (drug) companies for clinical trials and research purposes is not deemed charitable. The Department of Health and Social Care and Charities Commission have laid down stringent regulations for such activity. Income should be accounted through the main Trust's income and expenditure account. In some cases, it may be possible to defer income received until such a time as the connected expenditure arises. Contact the Assistant Financial Accountant (charitable funds) for advice 01743 261704.

## **8.3 Opening and closing funds**

The Charitable Funds Committee are limiting the number of restricted funds retained to avoid the management of numerous small funds becoming cumbersome and will close and reappportion funds if required and where deemed appropriate in the particular circumstances, having taken advice where necessary. To open a new charitable fund details must be provided of why a new fund is required. The Charitable Funds Committee has to approve all new charitable funds.

## **9.0 Working principles**

Staff should contact the Charity on 01743 261446 prior to undertaking any fundraising so that advice and guidance can be provided including donation routes so monies are spent as intended. Fundraising can be costly and it is important to ensure that the costs will be justified and additionally that there will be no unsupported cost pressures arising from the purpose for the fundraising.

No funds can be claimed from the Charity to cover expenses (e.g. accommodation costs) incurred as part of fundraising activities for the charity without prior approval from the Charitable Funds Committee.

Similarly, funds donated to the Charity, JustGiving or VirginMoney and other online donation methods cannot be recovered or claimed back to cover expenses or shared with other charities once transferred. Every care must be taken to set up pages appropriately – please contact the SaTH Charity office for advice.

Where individual staff members are fundraising for the Trust but the event is to be held offsite, prior notification must be given to SaTH Charity so members of the team have the option of assisting and supporting the event. Resources available include T shirts, collection tins and buckets, sponsorship forms and support with press coverage and photography.

Activities in connection with SaTH Charity conducted off Trust premises are unlikely to be covered by our insurance policies. Fundraisers must ensure they source their own insurance as appropriate and adhere to relevant health and safety considerations including undertaking relevant risk assessments as appropriate (including any safeguarding considerations, where appropriate).

Unauthorised fundraising in the name of SaTH Charity may lead to an injunction being taken out against the fundraiser particularly if fraud is suspected.

Staff must ensure that all donations received are remitted accurately, promptly and with all known details including all contact details to the Cashier's Office. This enables the Charity to acknowledge the donor in a timely manner, as is appropriate for a donation. In addition, staff are asked to pass on any details known regarding the reason for donation, e.g. in memory or took part in a 10k run at the time monies are handed over.

Staff are encouraged to thank donors personally in a method they deem appropriate, e.g. telephone call, or in person, but are not required to do so as SaTH Charity will acknowledge all donations received through the receipt process administered by the Assistant Accountant (charitable funds).

If staff are offered gifts from service users, relatives, carers, contractors or others, they are subject to the provisions of the Trust's Managing Conflicts of Interest in the NHS policy. Staff are encouraged to direct these individuals to the Charity as a way of showing their gratitude to the Trust.

### **9.1 SaTH Charity holds a raffle and lottery licence which enables:**

- A raffle to be held at an external event and pre-event ticket sales
- Alcohol to be a prize if it is in a sealed container and all the people at the event are over 18;
- A rollover of prizes from one raffle to another;
- The maximum spend on prizes can be up to 80% of monies raised
- Cash can be given as a prize;
- There is no minimum or maximum restriction on ticket prices; and
- Tickets can be sold to and by anyone over the age of 16 in the name of and for the benefit of the Charity only.

The money raised from selling tickets and from any such event must be used for charitable purposes and cannot be used for 'private gain'. It can cover the main expenses of the raffle including the cost of printing or buying pre-printed raffle tickets and the cost of the event being held – up to a maximum of £100.

The Charity pays an annual fee to register with the Local Authority for the Small Society Lotteries which enables tickets to be sold in advance of events. Tickets are not to be sold to persons under the age of 16 and prizes should not be given to any persons under the age of 16.

Cake and food sales must follow the Trust's guidance document COP22 – Food safety rules.

### **10.0 Guidance for Use of Funds**

All uses of Charitable Funds

- **must recognise the intention of the donor when known**
- **must improve the quality of patient care and/or improved clinical outcomes at the Trust**

Four tests must be applied:

- Would the donor approve of the spend, does it improve patient care or clinical outcome?
- Does it meet the restrictions of the charitable fund?
- Is the immediate and direct effect of the expenditure too distant from providing improved patient care or clinical outcome?
- Is there a need closer aligned to improving the quality of patient care or clinical outcome than the one being proposed?

Examples of appropriate uses of charitable funds include:

## *Charity policy*

- Expenditure that improves patient comfort or experience that is not part of normal exchequer expenditure e.g. Televisions, entertainment equipment, dementia dolls and equipment.
- Equipment that has a direct impact on clinical outcomes e.g. CT scanner, heart monitor.
- Staff related expenditure - fees for courses that contribute quantifiably towards improving patient care or clinical outcomes (has a direct clinical benefit). For travel costs see the Travel Policy.

Examples of inappropriate uses of charitable funds include:

- Staff related expenditure – payments of cash, vouchers or gifts to staff.
- Staff related expenditure - benefits accessible by only a select few including individual gifts and functions for leavers, staff parties, with the exception of retirement parties which should be organised in accordance with the Retirement Policy (HR19)
- Refreshments for meetings and events

It is important that charitable funds are spent in a timely manner on priority items. Fund Advisors also need to ensure that the future needs of the service are taken into consideration as they develop their fundraising and spend plans. Furthermore, when purchasing equipment using charitable funds it is also important to consider whether items can be transferred between hospital sites.

Fundraising on Trust premises should primarily be focused on SaTH Charity, Royal Shrewsbury Hospital League of Friends, The Friends of Princess Royal and Lingen Davies Cancer Fund but it is understood that we work closely with partner organisations and therefore fundraising on their behalf is permitted if all relevant rules are followed.

Fundraising for the following organisations is permitted and encouraged on trust premises:

- SaTH Charity is the official Trust charity; staff fundraising on Trust premises should be primarily focussed around it.
- Royal Shrewsbury Hospital League of Friends, The Friends of Princess Royal, Lingen Davies Cancer Fund are closely aligned with the Trust and we are totally committed to supporting these organisations.
- National and local health-related awareness campaigns, especially those which are linked to Trust services and strategies. Examples include but are not limited to: Lung Cancer Awareness Month, Breast Cancer Awareness Month, National No Smoking Day, Movember and Dry January. Sharing the fundraising output for these events should be considered if deemed appropriate between the Charity and the joint fundraising partner organisation. Where the funds will be split the benefiting restricted fund should be made clear to donors.
- Charitable or non-profit making organisations which support or work closely with the Trust and its services, including the Royal Voluntary Service, Macmillan Cancer Support.
- Fundraising for charities or appeals which do not fall into the categories listed above will not normally be permitted on Trust premises; however in exceptional circumstances this may take place with the prior written permission from the Charity Office or a member of the Charitable Funds Committee. Please contact the fundraising team on 01743 261446 to discuss.

### **11.0 Further general guidance**

Raising money for the general unrestricted Charity fund is welcome and encouraged as it allows the Trust to spend donations to meet the most pressing needs.

### Charity policy

No collection tins should be displayed within a ward or department without prior permission from the Charity Office.

Refer enquiries from potential fundraisers who wish to raise funds directly for the Trust or ward/department to the SaTH Charity office.

Please state clearly in promotional materials such as posters and web pages the beneficiary from the fundraising activity and what will be purchased with the money raised or where the money will go (the Charity). If raising funds for a specific item clarification should be made to establish which SaTH Charity fund would benefit if the full value required is not raised. Please contact the Charity Office for guidance.

The SaTH Charity Office must approve all literature naming the Trust as the beneficiary as failure to do this correctly may result in the illegitimate collection of funds. As a registered charity with a total income of more than £10,000 per year, every written or printed communication encouraging people to give to the Charity must state that the organisation is a registered charity and quote its charity number – 1107883. Additionally materials must display the Code of Fundraising logo, a body that the Charity is a member of.

Data protection regulations must be adhered to.

Do inform anyone intending on making a donation to the Charity that the money should be paid into the Cash Office, or alternatively cheques only (cash should not be posted) should be posted to:

The Charity Office,  
Stretton House  
The Royal Shrewsbury Hospital  
Mytton Oak Road  
Shrewsbury,  
SY3 8QX

**DONATIONS SHOULD BE SENT TO THE CASHIER'S OFFICE AS SOON AS POSSIBLE – No cash or cheques should be kept on the wards.**

Public fundraisers should be encouraged to use the official donation form which is available to download from the Trust's website. Further information is available at <https://www.sath.nhs.uk/about-us/charity/help/>

\* Please make clear which centre, ward or department the money is intended for.

#### **Staff must not:**

- Fundraise for other charitable organisations which do not meet the definitions outlined above. Staff members may wish to raise funds for charities linked to their own personal, political and/or religious beliefs off-site and in their own time, however any fundraising undertaken by staff on Trust premises must be linked to the objectives of the Trust and the wider NHS/partner organisations.
- Undertake inappropriate fundraising activities which attract adverse publicity for the Trust, potentially damaging its reputation and undermining public/patient confidence in our services. Please call the SaTH Charity office on 01743 261446 for advice.
- Impose participation in fundraising activities on any individual.

## Charity policy

- Carry out fundraising activities which interfere with their scheduled hours of work without the express permission of their line manager.
- Display any collection tins within wards or departments which are for charities / funds other than the Charity (this may be permissible on a short-term basis during joint fundraising activities).
- Accept donations from patients on behalf of external charities or funds in order to pass them on to the charity / fund

### 11.1 Items and assets donated by third parties

Items and equipment which may be funded by other organisations/charities (e.g. League of Friends) should ordinarily be purchased using the usual Trust's procurement systems, with written confirmation from the other organisation that they are willing to reimburse the agreed cost. In this way the Charity is able (but not obliged) to utilise the national NHS procurement contracts to obtain best value for money and ensure the purchases meet Trust standards.

If an organisation or individual wants to donate assets, before accepting them please ensure they adhere to Trust standards by contacting the relevant department (e.g. risk management, fire safety etc.) Also, please ensure the Finance Department are aware of all potential donated assets (equipment, furnishings) by contacting them on 01743 261704.

### 12 Training Needs

There is no mandatory training associated with this guidance. If staff have queries about its operation, they should contact their line manager in the first instance.

### 13 Review process

This document will be reviewed in 5 years of approval date, or sooner if required. The document will be reviewed in light of feedback and learning. In order that this document remains current, any of the appendices to the policy can be amended and approved during the lifetime of the policy without the document having to return to the ratifying committee.

### 14 Equality Impact Assessment

An Equality Impact Assessment Form – Stage 1 – Initial Assessment was conducted to consider the impact on all areas of diversity, i.e. gender, transgender, disability, race, sexual orientation, age, religious belief, marriage and civil partnership and pregnancy. The purpose of the impact assessment was to ensure that we do not discriminate and that the promotion of equality is achieved for both patients and employees.

The Initial Assessment did not highlight or identify any negative impacts; it highlighted areas of positive benefit.

### 15 Standards of Business Conduct

The Trust follows good NHS Business practice as outlined in the Code of Conduct and the Trust Policy 'Managing Conflicts of Interest in the NHS'. In line with the requirements in that policy the following principles and rules apply:

- Donations made by suppliers or bodies seeking to do business with the organisation should be treated with caution and not routinely accepted. It should be made clear that any donation would be directed to the Charity for the benefit of the organisation, patients and staff. The SaTH Charity office will record who donated, the nature of the donation and its estimated value.

## *Charity policy*

- Staff should not actively solicit charitable donations unless this is a prescribed or expected part of their duties for the Trust, or is being pursued on behalf of the Trust's own registered charity or other charitable body and is not for their own personal gain.
- Staff must obtain permission from the organisation if in their professional role they intend to undertake fundraising activities on behalf of a pre-approved charitable campaign for a charity other than the organisation's own.
- Donations, when received, should be made to a specific charitable fund (never to an individual) and a receipt should be issued.
- Staff wishing to make a donation to a charitable fund in lieu of receiving a professional fee may do so, subject to ensuring that they take personal responsibility for ensuring that any tax liabilities related to such donations are properly discharged and accounted for.

### **16 Process for monitoring compliance, performance and audit**

Performance of fundraising activities at the Trust will be monitored and reported to the Charitable Funds Committee. The key performance indicators include but are not limited to:

- Amount of charitable funds raised
- Publicity, reputation and awareness creation - positive media coverage
- Cost of fundraising
- Website traffic statistics
- Social media activity.
- Number of activities undertaken

### **17 Guidance for Charitable Expenditure**

All applications for the release of charitable funds must be made on an official 'Charitable Fund Expenditure Request' form (see Appendix 1). For all non-stock items, the requisition details must be completed and quotations attached to enable the Assistant Financial Accountant (charitable funds) to raise an order via the Oracle System. Carriage costs up to £25 can be charged without further approval from the Charity Office.

All applications must state the amount of money being requested.

Prior to an application for expenditure being submitted the balance of the charitable fund must be checked and noted on the Charitable Fund Expenditure Request Form. The current balance can be obtained by contacting the Assistant Financial Accountant (charitable funds). The application for expenditure will be rejected if the request is for more than the balance of the fund. If the application would leave the fund with less than 20% of the fund balance available, other commitments to the fund must be checked before the expenditure can be authorised.

Certain goods and services can be zero-rated for VAT when purchased with charitable or donated funds. Medical, scientific, computer and laboratory equipment will qualify for zero rating if they are to be used for medical research, training, diagnosis or treatment.

Payments cannot be made in cash

All application forms must be accompanied by the appropriate supporting documents, which include;

- Quotes
- Receipts
- Additional relevant information



*Charity policy*

- Requests for payments for courses, conferences and study days must be accompanied by a flier that confirms the course and the cost (Application for Study Leave forms are not considered proof of cost).

Travel costs associated with training courses must be processed through the Trust's Payroll department and recharged to a charitable fund to comply with HM Revenue and Customs rules.

**Expenditure Approval**

All expenditure over £5,000 for a single item must be presented to the Capital Planning Group for reference purposes prior to submission to CFC or Trust Board for approval.

Normal tendering rules set out in the Trust's Standing Financial Instructions apply to Charitable Funds.

**Expenditure < £2,000** The request is reviewed against the charitable fund plan and charity policy by the Charity Manager or Senior Accountant Charitable Funds. If the proposal meets these criteria they will authorise and the form is sent to the Assistant Financial Accountant for processing.

**Expenditure > £2,000 and < £5,000** The request is reviewed against the charitable fund plan and charity policy by the Charity Manager or Senior Accountant Charitable Funds. If the proposal meets the criteria it is authorised by 2 members of the CFC one of who must be a Director. The form is sent to the Assistant Financial Accountant for processing.

**Expenditure >£5,000 and <£10,000** The request is reviewed against the fund plan and charity policy by the Charitable Funds Committee or Trust Board (as Corporate Trustee) for authorisation which ever meets first. If the proposal is agreed against these criteria it is authorised by 2 members of the CFC one of who must be a Director. The form is sent to the Assistant Financial Accountant for processing.

**Expenditure Value >£10,000** Approval of the Corporate Trustee is required.

Equipment and property purchased through charitable funds is the property of the Trust; any staff leaving must ensure that all equipment and property purchased by the Charity is left at the Trust.

Approved applications for expenditure should reach the Finance Department (Charitable Funds) at least 5 working days before the funds are required.

<b>Aspect of compliance or effectiveness being monitored</b>	<b>Monitoring method</b>	<b>Responsibility for monitoring (job title)</b>	<b>Frequency of monitoring</b>	<b>Group or Committee that will review the findings and monitor completion of any resulting action plan</b>
<i>Promotion of the Charity will be monitored to ensure it follows the policy guidelines.</i>	<i>A review of the website, Intranet and promotional material will be undertaken on a twice yearly basis to ensure promotion clearly represents the values of the Charity</i>	<i>The Charity Programme Manager is responsible for monitoring promotional material.</i>	<i>Monitoring will be undertaken every 6 months commencing from January 2018</i>	<i>The Charity Trustee is responsible for receiving the report and will ensure any resulting action is implemented.</i>

Charity policy

<i>The collection of monies and their effective management within the Charitable Fund pot.</i>	<i>A review of the incoming donations will be undertaken to ensure they are managed in accordance with wishes of fundraisers</i>	<i>The assistant accountant (charitable funds)</i>	<i>A monthly review supporting an annual report</i>	<i>The Charity Trustee is responsible for receiving the report and will ensure any resulting action is implemented.</i>
<i>A review of the charitable fund spend</i>	<i>A review will be compiled grouping the type of expenditure together to ensure spend is aligned to need and charitable objectives</i>	<i>The assistant accountant (charitable funds)</i>	<i>A monthly review supporting an annual report</i>	<i>The Charity Trustee is responsible for receiving the report and will ensure any resulting action is implemented.</i>

**18 References**

Charity Commission Guidance

<https://www.gov.uk/government/organisations/charity-commission/about/publication-scheme>

**Appendix 1: Fundraising Event Proposal Form**  
**Fundraising Event Proposal**

Please fill out this form and submit by email to [sath.charity@nhs.net](mailto:sath.charity@nhs.net) or send to  
 The SaTH Charity Office,  
 Stretton House  
 Royal Shrewsbury Hospital,  
 Shrewsbury SY3 8QX



Organisation / area:			
Contact person:		Phone:	
Address:			
Postcode:		Email:	

EVENT INFORMATION			
Name of event:			
Planned date(s) of event:		Time of event	
Description of the Event:			
Are there other beneficiaries besides the Charity? If <b>Yes</b> , please list organisations:			
Location and address of event			
Is this a new event? If not, please give information on prior events including net proceeds			

*Charity policy*

How will revenue be generated through this event (sales, donations, ticket sales, auction,)?	
Who is your target audience	
Estimated revenue	
Estimated amount or percentage donated to the Charity	

<b>EVENT PROMOTION</b>			
How will you promote this event?			
Open to public	Y or N		
Promotion start date		Promotion end date	
Estimated support needed from the Charity?			
<p><b>General guidance</b></p> <p>All fundraiser proposals must be filed at least 30 days prior to the proposed promotion or event date in order to be approved by the Charity.</p> <p>Events must comply with Trust policy, including the Trust Charity Policy with particular reference to the arrangements for handling money and health and safety and safeguarding requirements.</p> <p>All fundraising for the Charity and its associated funds must be approved by the SaTH Charity office. BEFORE the event.</p> <p>The organisation and execution of the event is the sole responsibility of the event organiser. The organiser(s) must ensure that all activity is in line with Trust guidelines and policies.</p>			
<b>Signature of event organiser</b>		<b>Date</b>	

**Appendix 2: Charitable Fund Expenditure Request Form**



Charitable Expenditure Request Form



Date		Location		Department	
Fund reference		Fund Advisor		Care Group Manager	
Requisition details (Please forward all quotations and paperwork for all requests)					
Description to include product, colour, size etc and quantity		Suppliers name, address and reference if appropriate			
Total Cost					
<b>This section to be completed for recurring costs if appropriate</b>					
5% of equipment		No years		Total cost	
MES/IT/Estates codes					
<b>Charitable Fund Details (please attach any quotes, receipts or additional information)</b> Requests for payments for courses, conferences and study days must be accompanied by a flier which confirms the cost; applications for study leave forms are not considered proof of cost.					
Invoice number		Total Cost			
Purpose of expenditure					
Payment Instructions (to include payment name and Address)					

*Charity policy*

Requested by:		Signed		Contact number	
<b>Approval section</b>					
Fund Advisor (all Applications)	Name		Signature		
Care Group Dir. (over £2,000) if not on the fund's annual plan	Name		Signature		
Charity Manager/Snr Accountant	Name		Signature		
Over £5k requires approval by the CFC or Corporate Trustee 2 signatures required 1 must be a Director.  Over £10k Corporate Trustee approval 2 signatures required.	Signature		Signature		
Date of approval by the Charitable Funds Committee/ Corporate Trustee**					
Date of presentation to Capital Planning (if capital over £5,000)		Acknowledged by Capital Planning			
		Yes/No			
VAT Exempt Y/N		Requisition No		Order No	

**Notes**

All expenditure over £5,000 must be presented to the Capital Planning Group prior to submission to the CFC.

Normal tendering rules set out in the Trust's Standing Financial Instructions apply to Charitable Funds. Authorisation levels are set out in the Trust's Standing Financial Instructions: Expenditure < £2,000 requested by the Fund Advisor, authorised by the Charity Programme Manager / Snr Accountant Charitable Funds. Expenditure > £2,000 and < £5,000 requested by the Fund Advisor, authorised by the Charity Programme Manager or Snr. Accountant Charitable Funds. \*Expenditure > £5,000 must be presented to Capital Planning before authorisation is sought from two members of the CFC (one of whom must be a Director) or Corporate Trustee.\*\*Expenditure > £10,000 by the CFC to or Corporate Trustee.

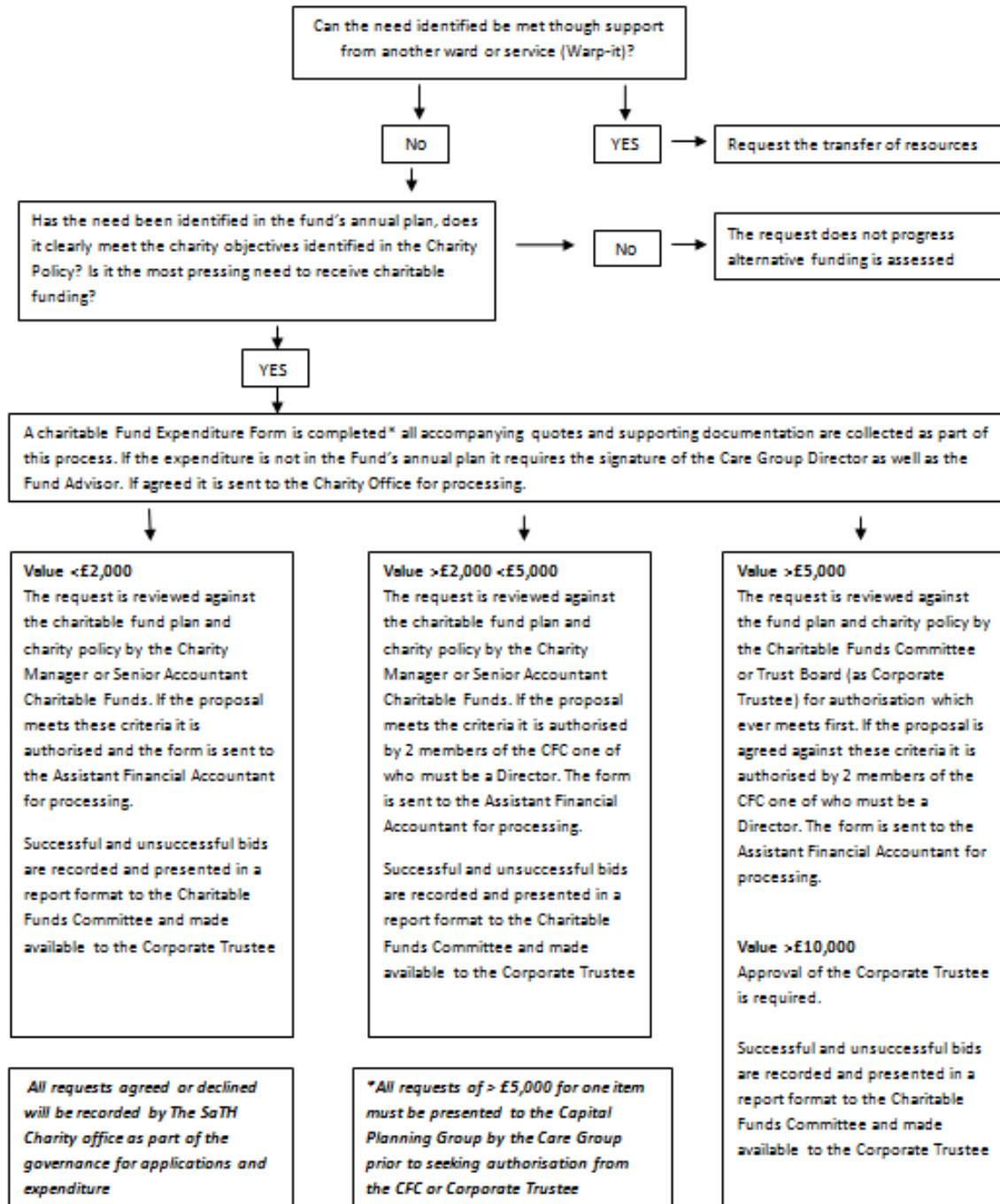
*Payments cannot be made in cash please allow sufficient time for payments to be organised. This request is to be E Mailed to sth-tr.charitablefundssath@nhs.net for more information contact Finance Department (ext. 1704 or the Charity Fundraising Office 1446)*

Appendix 3: SaTH Charity Approval Process



SaTH Charity Sign Off Procedure

Charitable expenditure is planned annually by the Fund Advisor and is approved by the Care Group and the Charitable Funds Committee (the representative of the Corporate Trustee who is legally responsible for governance of all funds)



**Appendix 4: Charitable Funds Committee Terms of Reference**

THE SHREWSBURY AND TELFORD HOSPITAL NHS TRUST  
CHARITABLE FUNDS COMMITTEE  
TERMS OF REFERENCE

Constitution

The Trust Board resolves to establish a Committee of the Board to be known as the Charitable Funds Committee. As a Committee of the Trust Board, the Standing Orders of the Trust shall apply to the conduct of the Charitable Funds Committee

Membership

Two Non-Executive Directors
Finance Director
Director of Corporate Services
Senior Financial Accountant – Charitable Funds
Strategic Engagement Manager/Fundraiser
Attendance when required:
Other managers/staff may be required to attend meetings depending upon issues under discussion with the prior approval of the Committee Chair. The Committee has the power to co-opt, or to require to attend, any member of Trust staff as necessary, and to commission input from external advisors as agreed by the Chair.



## **1. Quorum**

A quorum shall be two members of the Committee, including one Non-Executive Director.

## **2. Attendance**

Members may appoint suitable deputies to represent them. Deputies must attend when required. It is expected that a member or their nominated deputy will attend for a minimum of 75% of meetings in a year. Attendance will be monitored by an attendance matrix.

All members of the Corporate Trustee are eligible to attend.

## **3. Frequency of meetings**

The Committee will meet a minimum of four times a year. One of these meetings will be held to consider the Annual Accounts and Report before submitting to the Corporate Trustee for approval.

## **4. Authority**

The Committee is authorised by the Trust Board to investigate any activity within its Terms of Reference and is expected to make recommendations to the full Trust Board. It is authorised to seek any information it requires from any employee and all employees are directed to co-operate with any request made by the Committee.

The Committee is authorised by the Trust Board to obtain outside legal or other independent professional advice, and to secure the attendance of others from outside the Trust with relevant experience and expertise, if it considers it necessary. This authority will only be used in exceptional circumstances and prior approval of the Trust Board is required.

The Committee has no executive powers other than those specifically delegated in these Terms of Reference.

## **5. Duties**

- i) To be accountable to the Corporate Trustee and ensure the on-going management of Charitable Funds is consistent with the objectives and operational framework set by the Corporate Trustee.
- ii) To ensure there are Corporate Trustee meetings at least six-monthly, or more frequently if required
- iii) To monitor compliance against Corporate Trustee policies, procedures and plans that include:

## **6. Terms of Reference of Charitable Funds Committee**

Appropriate use of Charitable Funds

Appropriate sources of Charitable Funds

Investment Policy

Expenditure Plans

- i) To advise the Corporate Trustee and monitor compliance against the requirements of the Charities Acts and Charities Commission Guidance.
- ii) To consider the Annual Accounts and Report before submitting to the Corporate Trustee for approval.

### *Charity policy*

- iii) To monitor compliance against relevant internal audit reports and counter fraud initiatives and to report progress to the Corporate Trustee.
- iv) To monitor the performance of Charitable Funds investments and report to the Corporate Trustee at least six-monthly, or more frequently if required
- v) To monitor the performance of the Charitable Funds Investment Manager(s) and advise the Corporate Trustee appropriately.
- vi) To ensure, via the Finance Director and the Finance Department, that Charitable Funds are managed in accordance with the Trust's Standing Financial Instructions.
- vii) To review the financial implications on any proposal for fund raising activities that the Trust may initiate, sponsor or approve.
- viii) To co-ordinate and work with The League of Friends, Lingen Davies and other local charities on appropriate projects/schemes.
- ix) To consider any resourcing of personnel to support and improve the visibility of the Trust's charitable objectives

#### **7. Reporting from the Committee**

The Committee will be directly accountable to the Board and will prepare a summary of the main actions/points at each meeting for presentation to the Board.

#### **8. Reporting to the Committee**

The Committee will routinely receive the following reports:

Investment and charitable funds activity

Fundraising update

#### **9. Review**

The Terms of Reference will be reviewed by the Trust Board.

Annually the Charitable Funds Committee will review its performance during the previous year, identify improvement measures and report its conclusions to the board.

REVIEWED AND APPROVED BY CHARITABLE FUNDS COMMITTEE NOVEMBER 2019

To be reviewed November 2020