



Doncaster and Bassetlaw Hospitals **NHS**
NHS Foundation Trust

Doncaster and Bassetlaw Hospitals NHS Foundation Trust Charitable Fund
(Registered Charity No. 1057917)

Trust Funds – A Guide to Fundraising

This procedural document supersedes: CORP/FIN 3 v 3 – Trust Funds – A Guide to Fundraising



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Amendment Form

Version	Date Issued	Brief Summary of Changes	Author
Version 4	12 January 2015	<ul style="list-style-type: none"> • Change to new format and item numbering throughout. • Updated reference to policy Corp/Fin 2 Trust Funds - A guide. • Clarification that the guide only covers fundraising for internal trust funds and that external charities require permission before fundraising on Trust premises. • Amendment to Trust promoter for society lotteries. 	Robert Paskell
Version 3	September 2011	<ul style="list-style-type: none"> • Updated reference to policy Corp/Fin 2 v 3 Trust Funds - A guide. 	Robert Paskell
Version 2	December 2008	<ul style="list-style-type: none"> • Amendment form and contents sheet added. • Minor format changes and item numbering throughout. 	Ann Tovey

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1. INTRODUCTION

The Doncaster and Bassetlaw Hospitals NHS Foundation Trust is the Corporate Trustee of its charitable funds which are governed by the law applicable to Trusts, principally the Trustee Act 2000 and the Charities Act 2011.

This guide is a supplement to CORP/FIN 2 – Trust Funds – A Guide.

It applies to fundraising for internal trust funds by staff and by members of the public and should be read before undertaking any such activities to ensure the name and reputation of the Trust is protected.

Permission should be obtained from an Executive Director or hospital site manager before any fundraising for an external charity takes place on Trust premises.

The Trust will not accept liability for any expenses incurred by a third party in connection with any fundraising activity.

Application forms and advice on fundraising are available from the Trust Fund Assistant, Finance Department, Doncaster and Bassetlaw Hospitals NHS Foundation Trust, C Block, Doncaster Royal Infirmary, Armthorpe Road, Doncaster DN2 5LT; or telephone 01302 366666 extension 3908.

2. PURPOSE

The purpose of this document is to briefly explain the process of fundraising for internal trust funds and the required approvals prior to undertaking any activities.

This document outlines:

- Approval
- Specific Appeals
- Public Collections
- Raffles
 - Small Lotteries
 - Society Lotteries
- Sponsored Events
- Collection Boxes

3. DUTIES AND RESPONSIBILITIES

3.1 Board of Directors

The Board of Directors acts as the corporate trustee for the charitable fund. It is responsible for ensuring that adequate arrangements are in place for the management and accounting of the fund in accordance with applicable charity law.

3.2 Charitable Fund Sub Committee and Fred and Ann Green Legacy Committee

The on-going management of the charitable funds is delegated by the Trust Board to two of its sub-committees, the Charitable Funds Sub-Committee and Fred and Ann Green Legacy Sub-Committee, both of which meet at regular intervals throughout the year and report directly to the Board.

The Charitable Fund Sub-Committee and Fred and Ann Green Legacy Sub-Committee manage the funds on behalf of the Trustee, and are required to:

- Control, manage and monitor the use of the fund's resources;
- Ensure that 'best practice' is followed in the conduct of all its affairs, fulfilling all of its legal responsibilities; and
- Keep the Board of Directors fully informed on the activity, performance and risks of the Charity.

The Charitable Fund Sub-Committee is also required to:

- Provide support, guidance and encouragement for all its income raising activities, whilst managing and monitoring the receipt of all income; and
- Ensure that the approved investment policy is adhered to and that performance is continually reviewed whilst being aware of ethical considerations.

3.3 Director of Finance and Infrastructure

The Director of Finance and Infrastructure shall maintain such accounts and records, including an investment register, as may be necessary to record and protect all transactions and funds of the Trust as trustees of funds held on trust.

3.4 Fundholders

Fundraisers are responsible for ensuring:

- Approval is obtained before undertaking any fundraising activities;
- Obtaining local authority approvals (where required);
- Carrying out fundraising activities in accordance with the policy; and
- All monies are promptly paid to the Trust's charitable fund.

3.5 Trust Fund Assistant

The Trust Fund Assistant is responsible for:

- Obtaining approval for fundraising applications;
- Maintaining a register of fundraising requests;
- Monitoring compliance with policy; and
- Advising fundraisers,

4. PROCEDURE

4.1 APPROVALS

It is imperative that all fundraising has the Trustee's approval before any activities commence. A Fundraising Application Form must be completed giving details of: -

- the nature, date and duration of the fundraising activity
- the purpose of the funds raised
- an estimated target amount
- proposals for the use of unspent funds (see below).

The form should be returned to the Trust Fund Assistant who will obtain the necessary approval and notify the fundraiser.

The Trust Fund Assistant will maintain a register of all approved events and will compare the achieved results to the estimated target amount and may require explanations for any material differences.

4.2 SPECIFIC APPEALS

Where an appeal is made for a particular project (e.g. an item of medical equipment) the fundraiser should state what will happen to the monies raised if the appeal exceeds or fails to reach its target.

The suggested proposal is that unspent funds are used for a similar purpose (e.g. to purchase other equipment to treat the same condition).

If no plans are made regarding unspent appeal money, the Trustee may have to apply to the Charity Commission before funds can be used for another purpose.

To enable funds from a specific appeal to be identified separately a new trust fund should be set up following the normal procedure (see CORP/FIN 2 - Trust Funds - A Guide)

4.3 PUBLIC COLLECTIONS

If the fundraiser intends to make house-to-house or street collections a licence is required: -

- from the local authority, for collections within their boundary
- from the Charity Commission, for nationwide collections.

Local licence application forms are available from: -

Doncaster Metropolitan Borough Council
Environmental Services Department
Civic Office
Waterdale
Doncaster DN1 3BU

Bassetlaw District Council
Queens Buildings
Potter Street, Worksop
Nottinghamshire
S80 2AH.

Rotherham MBC
Housing and Neighbourhood Services
Licensing Office,
Reresby House,
Bow Bridge Close,
Rotherham S60 1BY

The term “house-to-house” includes visits to pubs, factories and offices as well as domestic dwellings.

The Trustee will not normally approve the use of this method of raising monies on its behalf due to the difficulties involved in verifying that all monies collected have indeed been paid over to the charity.

4.4 RAFFLES

The two main types of raffle (or lottery) are known as: -

- Small Lotteries; and
- Society Lotteries

Both are regulated by the Gambling Act 2005.

4.4.1 Small Lotteries

Small lotteries (including raffles and tombolas) are those: -

- which are incidental to “exempt entertainment’s” (e.g. fetes, golf days, discos);
- where the value of the prizes does not exceed £50;

- where the proceeds (after deduction of expenses) are applied for charitable purposes;
- where no cash prizes are given; and
- where the sale of tickets and announcements of results is carried out during the entertainment and on the premises where it is held.

Small lotteries do not have to be registered with the local authority or with the Gaming Board.

Where a raffle or tombola is to be run at a fundraising event this should be stated on the fundraising application form (as above).

4.4.2 Society Lotteries

Society lotteries are public lotteries which do not fall within the definition of small lotteries.

For example, a raffle held on a ward is a society lottery because it is not incidental to an exempt entertainment. Also a raffle for which tickets are sold several days in advance of the draw would be a society lottery.

Doncaster and Bassetlaw Hospitals NHS Foundation Trust Charitable Fund has registered as a Society with Doncaster Metropolitan Borough Council under the Gambling Act 2005.

Once approval for a society lottery has been received by the fundraiser, lottery tickets should be ordered on a requisition form following the normal purchasing procedure (see "Trust Funds: A Guide").

The wording on the tickets must include the following: -

- (i) the name of the society (Doncaster and Bassetlaw Hospitals NHS Foundation Trust Charitable Fund, Registered Charity No. 1057917)
- (ii) the name and address of the promoter Dawn Jarvis, c/o Finance Department, Doncaster Royal Infirmary, Armthorpe Road, Doncaster DN2 5LT)
- (iii) the date of the draw
- (iv) that the society is registered with Doncaster Metropolitan Borough Council (licence no. 362).
- (v) The price of the ticket (which should not exceed £1.00).

The tickets described above are the only type that may be used for a society lottery. "Cloakroom" tickets must not be used.

Further conditions applying to society lotteries: -

- (i) the total value of prizes may not exceed 50% of the lottery proceeds.

- (ii) the whole proceeds (after the deduction of expenses) must be used for the purposes of the Charity (e.g. the proceeds cannot be split between trust funds and another organisation)
- (iii) tickets may not be sold by or to any person under the age of sixteen years
- (iv) tickets may not be sold in the street, via a machine or in a licensed betting office.

Following the draw, details of ticket sales and expenses (including ticket stubs) should be sent to the Trust Fund Assistant who will send a return to the local authority in accordance with the Gambling Act 2005.

4.5 SPONSORED EVENTS

A proforma sponsorship form should be obtained from the Trust Fund Assistant. This sets out the necessary wording and a suggested format but may be amended to suit the event. All sponsorship forms must be passed to the Trust Fund Assistant for approval before use.

It is important when completing a sponsored event that completed forms are signed by a recognisable figure of the community, and that all outstanding monies are collected promptly.

When paying in the monies collected the completed sponsor forms must be sent to the Trust Fund Assistant, Finance Department, Doncaster and Bassetlaw Hospitals NHS Foundation Trust, C Block, Doncaster Royal Infirmary, Armthorpe Road, Doncaster DN2 5LT.

4.6 COLLECTION BOXES

The use of collection boxes will only be authorised by the Trustee for use on specific fundraising appeals being run by the Trust.

Where collection boxes are in use it is important that they are treated as controlled stationery, and that:

- all unused collection boxes are held securely and access to them is limited;
- each collection box must have a unique number;
- the collection box must be sealed when issued and the seal numbered;
- a record is kept of where each collection box has been sent along with its seal number;
- recipients of collection boxes are required to confirm in writing that they have received them;
- collection boxes must be collected on a regular basis; and
- they must be opened and counted on Trust premises by two nominated staff.

4.7 FALSE REPRESENTATION

All fund raising must be authorised in accordance with this policy. The use of the Trust name, brand or any implied association that has not been approved will be regarded as false representation and will fall under the auspices of the fraud, bribery & corruption and policy and appropriate action will be taken.

5. TRAINING/ SUPPORT

Telephone support and advice is provided on an 'as and when' basis by the Trust Fund Assistant - telephone 01302 366666 extension 3908.

6. MONITORING COMPLIANCE WITH THE PROCEDURAL DOCUMENT

What is being Monitored	Who will carry out the Monitoring	How often	How Reviewed/ Where Reported to
Application of the policy	Internal Audit	Annually	Report submitted to Audit and Non-Clinical Risk Committee; implementation of agreed recommendations overseen by Deputy Director of Finance.
Fundraising income is accurately recorded	External Audit	Annually	Annual accounts audit reported to ANCRC in ISA260; implementation of agreed recommendations overseen by Deputy Director of Finance.

7. EQUALITY IMPACT ASSESSMENT

An Equality Impact Assessment (EIA) has been conducted on this procedural document in line with the principles of the Equality Analysis Policy (CORP/EMP 27) and the Fair Treatment For All Policy (CORP/EMP 4).

The purpose of the EIA is to minimise and if possible remove any disproportionate impact on employees on the grounds of race, sex, disability, age, sexual orientation or religious belief. No detriment was identified. (Appendix 1)

8. ASSOCIATED TRUST PROCEDURAL DOCUMENTS

CORP/FIN 2 - Trust Funds - A Guide

CORP/FIN 1 (B) - Standing Financial Instructions

CORP/FIN 1 (D) - Fraud, Bribery and Corruption Policy and Response Plan

APPENDIX 1 – EQUALITY IMPACT ASSESSMENT - PART 1 INITIAL SCREENING

Service/Function/Policy/Project/ Strategy	CSU/Executive Directorate and Department	Assessor (s)	New or Existing Service or Policy?	Date of Assessment
CORP/FIN 3 v4 Trust Funds – A Guide to Fundraising	Finance Department	Robert Paskell	Existing Policy	20 th November 2014
1) Who is responsible for this policy? Name of Care Group/Directorate: Finance				
2) Describe the purpose of the service / function / policy / project/ strategy? Who is it intended to benefit? What are the intended outcomes? The purpose of this document is to briefly explain how to fund-raise for internal trust funds by staff and by members of the public and should be read before undertaking any such activities to ensure the name and reputation of the Trust is protected. This document outlines: <ul style="list-style-type: none"> • Approval • Specific Appeals • Public Collections • Raffles <ul style="list-style-type: none"> ○ Small Lotteries ○ Society Lotteries • Sponsored Events • Collection Boxes 				
3) Are there any associated objectives? Legislation, targets national expectation, standards Trust funds are governed by the law applicable to Trusts, principally the Trustee Act 2000 and the Charities Act 2011.				
4) What factors contribute or detract from achieving intended outcomes?				
5) Does the policy have an impact in terms of age, race, disability, gender, gender reassignment, sexual orientation, marriage/civil partnership, maternity/pregnancy and religion/belief? No				
<ul style="list-style-type: none"> • If yes, please describe current or planned activities to address the impact [e.g. Monitoring, consultation] 				
6) Is there any scope for new measures which would promote equality? [any actions to be taken] No				
7) Are any of the following groups adversely affected by the policy?				
Protected Characteristics	Affected?	Impact		
a) Age	No			
b) Disability	No			

c) Gender	No		
d) Gender Reassignment	No		
e) Marriage/Civil Partnership	No		
f) Maternity/Pregnancy	No		
g) Race	No		
h) Religion/Belief	No		
i) Sexual Orientation	No		

8) Provide the Equality Rating of the service / function /policy / project / strategy – tick (✓) outcome box

Outcome 1 ✓	Outcome 2	Outcome 3	Outcome 4
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**If you have rated the policy as having an outcome of 2, 3 or 4, it is necessary to carry out a detailed assessment and complete a Detailed Equality Analysis form in Appendix 4*

Date for next review: December 2017

Checked by: Robert Paskell **Date:** 20 November 2014