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**Fundraising Events Management Policy and Procedure –Beacon, Solent  
NHS Charity**

**\*Charity No: 1053431**

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Purpose of Agreement	To outline the procedure to follow when planning a fundraising event
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## Review Log

Include details of when the document was last reviewed and summary of amendments:

Version Number	Review Date	Name of reviewer	Ratification Process	Reason for amendments
1	01/03/2016	RC	Charitable Funds Committee (17 <sup>th</sup> May 2016) Assurance Committee (17 <sup>th</sup> May 2016)	Document review.
2	October 2019	RC	Charitable Funds Committee	Document review

## Amendments Summary:

Amend No	Issued	Page	Subject
1	Oct	Pg5	Section 1 - New scope wording added Section 2 – ref to relevant fundraising legislation
2	Oct	Pg7	Change to financial values and authorisation and Appendix A, pg 10

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## Fundraising Events Management Policy and Procedure – Beacon, Solent NHS Charity

### SUMMARY OF POLICY

By law, all fundraising activities must include the **charity number 1053431**, and **in aid of Beacon, Solent NHS Charity** on all fundraising materials.

All planning for events and holding of events must be **conducted outside of staff normal working hours<sup>1</sup>**.

All events must be carefully planned, to ensure they are **safe, insured and legal**.

A **checklist** can be found in **Appendix 1** to help with planning.

Requests for the **use of charitable funds** in support of a fundraising event must be approved.

Contact the Communications Team for **the Information Pack for Fundraisers**. A completed fundraising agreement form must be completed and returned to the Communications Team **before any fundraising activity can begin**.

**Approval must be sought prior to any fundraising activities being undertaken** (refer to section 5 for fundraising authorisation process).

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<sup>1</sup> Exceptions and discretion applied in relation to fundraising such as bake sales

## **1. Fundraising Events Management Policy and Procedure**

- 1.1 Solent NHS Trust and its Trustees<sup>2</sup> welcome the contribution that Charitable Funds make to the delivery of service and welfare of patients, and recognise and value the work of the individuals and groups that participate in approved fundraising events and those who donate money to the Funds.
- 1.2 Fundraising will influence the public's perception of Solent NHS Trust and Beacon, Solent NHS Charity; the methods used in fundraising and the integrity of the individuals involved are critical to public confidence.
- 1.3 Whilst the Trust does not wish to detract from staff's enthusiasm regarding planning events it is essential that such events are carefully planned and supported to ensure the event is not only successful, but legal and safe.
- 1.4 This document provides a framework<sup>2</sup> for staff who may be considering holding a fundraising event in the future, regarding the process to follow and issues to consider.

### Scope

- 1.6 This policy applies to locum, permanent and fixed term contract employees (including apprentices) who hold a contract of employment or engagement with the Trust, and secondees (including students), volunteers (including Associate Hospital Managers), bank staff, Non-Executive Directors, and those undertaking research working within Solent NHS Trust, in line with Solent NHS Trust's Equality, Diversity and Human Rights Policy. It also applies to external contractors, Agency workers, and other workers who are assigned to Solent NHS Trust. An Equality Impact Assessment has been completed, see Appendix 3.

## **2. Acceptable fundraising activities**

General points:

- The Trustees favour fundraising schemes whether they are general appeal funds or to support a general activity
- Events that have an added health benefit for participants are positively encouraged.
- Fundraising activities that meet with public disapproval can damage the reputation of the Trust. The proposed activity, whether undertaken by staff or an outside body or charity, should not attract adverse publicity for the Trust. If in doubt please check the proposed activity with the Communications team.
- The Trustees do not deem telephone fund raising, street collections, door-to-door collections and chain letters or any other fundraising methods that are in conflict with the values of the charity appropriate fundraising activities.

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<sup>2</sup> The Trust is the 'Corporate Trustee' and a number of representatives have been appointed to the Charitable Funds Committee. The Trustees act in the best interests of the funds and beneficiaries.

- The Trust does not condone the inappropriate use of illegal drugs and excessive use of alcohol associated with any event. (It is acknowledged that events may need to be tailored).
- Fundraisers must consider the relevant legislation and regulation in relation to their proposed fundraising event to ensure that events staff within the law. Advice and guidance can be found via the Gambling Commissions website: <https://www.gamblingcommission.gov.uk/for-the-public/Fundraising-and-promotions/Fundraising/Fundraising.aspx> Checks must be conducted by fundraisers before any event commences.

### **3. Managing Expectations**

- 3.1 It is important not to progress any initial thoughts, prior to obtaining formal approval for your event from the Communications Team. Don't publicise the 'plan' until confirmation has been sought that the event can proceed and firmer details are available. It can be embarrassing for the organisers, the Charity and the Trust if publicity has to be 'reversed' because of false or premature information, however well intended.

### **4. Planning the event**

- 4.1 Outside Working Hours - Unless holding an event is an activity that we are contracted to provide; event planning, organising and holding of the event itself, is expected to take place outside of normal working hours (with the exception, and with discretionary agreement from relevant management, of cake/bake, sales for example).
- 4.2 Checklist - Security, liability insurance, professional event organising skills are just some of the considerations that need to be thought through before seeking authorisation for the event to proceed. A Checklist is provided in Appendix 1 - this must be completed and signed by the relevant officers before proceeding with the planned event. A fundraising agreement form must also be returned.

Completed checklist forms must be retained by the Event Planner(s) and can be requested at any time by the Charitable Funds Committee via the Associate Director of Corporate Affairs & Company Secretary as part of the assurance process regarding this policy.

- 4.4 Insurance - It is necessary to check with the Associate Director of Corporate Affairs & Company Secretary regarding insurance cover for all events prior to the event taking place. Some 'high risk' events may require specific insurance cover and a quote via brokers may need to be obtained. It is important to consider, that in such cases the additional insurance cover may be cost prohibitive.

All events must be proactively declared under the terms of the Trust's fundraising insurance – failure to do so will result in invalid claims and the event being uninsured.

## **5. Seeking authorisation/support**

5.1 The following process must be followed by all event planners.

*In all cases a demonstrable costed business case based on the checklist must be agreed by the relevant signatories (i.e. to ensure that the event will not run at a loss).*

### 5.2 For all Fundraising Events (including those not requiring funding support from Charitable Funds)

- Permission must be sought by the Service Manager and Head of Service and Head of Communications
- The Checklist, in Appendix 1, – must be completed, signed and retained by the event planner(s) and shared with the Associate Director of Corporate Affairs & Company Secretary to provide assurance that the necessary consideration in accordance with Appendix 1 has been given (e.g. concerning risks, health and safety etc)

### 5.3 Fundraising events requesting use of Charitable Funds

In exceptional cases, service areas may wish to make a request for the use of Charitable Funds to support the running of the event. Some forms of fundraising can be costly – it is therefore essential to show the estimated costs will be justified in terms of a realistic return.

### 5.4 Up to £1,000 of Charitable Funds

For all planned events authorisation must be sought from the following officers prior to confirmation that the event can be held.

Where the amount of funds requested equates to £1,000 or less;

- Permission must be sought from the Chief Operating Officer Southampton and County Wide. The Checklist, in Appendix 1 – must be completed, signed and retained by the event planner(s).

### 5.5 Fundraising events requesting ≥ £1000 of Charitable Funds

For all planned events authorisation must be sought prior to confirmation that the event can be held.

- Permission must be sought from the Charitable Funds Committee
- The Checklist, in Appendix 1 – must be completed, signed and retained by the event planner(s).

5.6 Please note that the Charitable Funds Committee normally meets four times a year (dates can be obtained from the Corporate Affairs Team) and so it will be necessary to plan ahead if requests are to be presented to the Committee for consideration.

- 5.7 In any of the above cases, the Charitable Funds Committee can at their discretion, reject the request for support – in such cases the event planner(s) will be provided with feedback.
- 5.8 The Charity encourages on-line donations for fund raising via CAF Donate – for further information event planners and promoters should liaise with the Financial Accountant.

## 6. Following Approval

- 6.1 If permission is granted to proceed with the event, the event planner(s) must ensure full records are maintained for each event and passed to Financial Accountant or Assistant Financial Accountant (for inclusion in the Charity's accounts and to ensure expenditure can be monitored) – this will include details of gross receipts, how the receipts have arisen and all costs incurred as a consequence of the event.
- 6.2 Staff must ensure that they follow and adhere to the Trusts Standing Financial instructions and procurement rules in relation to the spending of any monies approved.
- 6.3 By law, all fundraising activities must include the **charity number 1053431**, and **in aid of Beacon, Solent NHS Charity** on all fundraising materials.
- 6.4 It is also necessary to confirm insurance arrangements for the event.
- 6.5 Event organisers are advised to liaise with the Trust's Communication's Team regarding promotion for the event and the use of appropriate promotional materials.

## 7. For events where income is generated by 'sale of tickets' or 'gate money';

- The event must be held in accordance with related guidance and requirements from the Gambling Commission
- All tickets must be pre-numbered.
- A record must be kept of all individuals who have been issued with tickets to sell, and of which ticket numbers have been allocated to each.
- A record must be kept of which tickets have been sold.
- A reconciliation must be undertaken of receipts against tickets controlled.
- All unsold tickets must be returned, recorded and destroyed. This destruction will be witnessed by two individuals and the Financial Account must be informed (and will record these details).
- The sale of raffle tickets in advance - There are specific laws and regulations to consider concerning, for example, the sale of raffle tickets in advance of events. A gambling licence must be obtained and raffle tickets must be accounted for in the same way as general tickets.

## **8. Banking of Monies Raised**

- 8.1 All income raised will be banked with the cashiers within 24 working hours of the fund raising event. For banking arrangements, please contact the Financial Accountant.
- 8.2 It is possible for paying in slips to be posted to the Event Planner(s) to pay monies to a local HSBC branch. Any cheques need to be made payable to 'Solent NHS Charity' and sent to the Assistant Financial Accountant at Solent NHS Trust Headquarters (contact details are found in Section 10).

## **9. Following the Event**

- 9.1 In order to help plan for similar future events, Event Planners may wish to seek feedback from attendees.

## **10. Useful Contact information**

- 10.1 See appendix 2

## **11. Review of Policy**

This document may be reviewed at any time at the request of either staff side or management, but will automatically be reviewed 3 years from initial approval and thereafter on a triennial basis unless organisational changes, legislation, guidance or non-compliance prompt an earlier review.

## **12. Monitoring the Effectiveness of this Policy**

- 11.1 Radom audits will be conducted via the Corporate Affairs Team who will seek copies of completed forms (appendix 1) from event organisers.  
The results of the audit will be reported to the Charitable Funds Committee.



## Appendix A – Event Proposal Check List

<b>Title of Planned Event</b>		<b>Date of Planned Event</b>	
<b>Summary of Event</b>			
<b>Name of Event Planner(s)/Leads</b>		<b>Service Area</b>	

*\*NB include a line for each anticipated expenditure line and include relevant details*

		<b>Has this been considered?</b>	<b>Details</b>
1	Request for use of Charitable Funds	£	<i>Include here details of how monies will be used</i>
2	Insurance for event e.g. liability insurance		
3	Risk Assessment of premises/site/planned activities		
4	Health & Safety considerations		
5	Security for event		
6	Fire Safety / First Aid provision		
7	Cashier facility / Person nominated as 'treasurer'		
8	Assurance that no alcohol / drugs at event		
9	Fundraising agreement form		
10	Relevant Gambling Association guidance / other regulation		
11	<i>List here other considerations</i>		
12			
<b>Total anticipated income</b>		<b>£</b>	
<b>Total anticipated expenditure / cost</b>		<b>£</b>	
<b>Total net 'profit'</b>		<b>£</b>	

On the basis that consideration has been given to the above factors regarding the planned event, I hereby authorise the event to take place:

<b>Signed</b>	
<b>Name</b>	
<b>Designation</b>	
<b>Date</b>	

<b>Signed</b>	
<b>Name</b>	
<b>Designation</b>	
<b>Date</b>	

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**For events requesting Charitable Funds monies**

<b>Events ≤ £1000</b>	
<b>Signed on behalf of Charitable Funds Committee</b>	
<b>David Noyes</b>	
<b>Chief Operating Officer, Southampton and County</b>	
<b>Date</b>	

<b>Events ≥ £1000</b>	
<b>Signed on behalf of Charitable Funds Committee</b>	
<b>Name</b>	
<b>Designation</b>	
<b>Date</b>	

**Forms must be retained by the Event Planner(s) and may be requested at any time by the Associate Director of Corporate Affairs & Company Secretary.**

## Appendix 2 – Useful Contact details

For queries regarding:

<b>Insurance</b>	<b>Rachel Cheal – AD Corporate Affairs &amp; Company Secretary</b> E: <a href="mailto:Rachel.cheal@solent.nhs.uk">Rachel.cheal@solent.nhs.uk</a>
<b>Requests for Charitable Funds monies</b>	<b>Marky Dunn – Financial Accountant</b> <b>Sarah Carey – Assistant Financial Accountant</b> E: <a href="mailto:FinancialAccounting@Solent.nhs.uk">FinancialAccounting@Solent.nhs.uk</a>
<b>Risk Assessment</b>	<b>Ben Heaton – Clinical Risk Manager</b> E: <a href="mailto:Ben.Heaton@solent.nhs.uk">Ben.Heaton@solent.nhs.uk</a>
<b>Health and Safety Issues</b>	<b>Dave Keates -Health &amp; Safety Manager</b> E: <a href="mailto:Dave.keates@solent.nhs.uk">Dave.keates@solent.nhs.uk</a>
<b>Fundraising Promotion</b>	<b>Communications Team –</b> E: <a href="mailto:communications@solent.nhs.uk">communications@solent.nhs.uk</a>

### Appendix 3 - Equality & Human Rights and Mental Capacity Act Impact Assessment

<b>Step 1 – Scoping; identify the policies aims</b>	<b>Answer</b>
1. What are the main aims and objectives of the policy?	To outline the policy and procedure to follow regarding fundraising events
2. Who will be affected by it?	All staff
3. What are the existing performance indicators/measures for this? What are the outcomes you want to achieve?	n/a
4. What information do you already have on the equality impact of this policy?	n/a
5. Are there demographic changes or trends locally to be considered?	n/a
6. What other information do you need?	n/a

<b>Step 2 - Assessing the Impact; consider the data and research</b>	<b>Yes</b>	<b>No</b>	<b>Answer (Evidence)</b>
1. Could the policy unlawfully against any group?		X	
2. Can any group benefit or be excluded?		X	
3. Can any group be denied fair & equal access to or treatment as a result of this policy?		X	
4. Can this actively promote good relations with and between different groups?		N/A	
5. Have you carried out any consultation internally/externally with relevant individual groups?	X		Internally with Charitable Funds Committee, Finance Team and Communications Team
6. Have you used a variety of different methods of consultation/involvement		n/a	
Mental Capacity Act implications		X	
7. Will this policy require a decision to be made by or about a service user? (Refer to the Mental Capacity Act policy for further information)		X	
External considerations			
8. What external factors have been considered in the development of this policy?	X		Gambling Association guidance – any proposed event must consider relevant industry regulations
9. Are there any external implications in relation to this policy?	X		Must consider fundraising legislation prior to commencing any activity
10. Which external groups may be affected positively or adversely as a consequence of this policy being implemented?			Patients and staff could benefit positively as a result of funds raised.

If there is no negative impact – end the Impact Assessment here.