



UNIVERSITY HOSPITALS BIRMINGHAM CHARITY

**(comprising Queen Elizabeth
Hospital Birmingham Charity,
Heartlands Hospital Charity,
Good Hope Hospital Charity,
Solihull Hospital Charity)**

HOW THE CHARITY OPERATES – GUIDELINES FOR FUND ADVISORS

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1. INTRODUCTION

University Hospitals Birmingham Charity (“UHB Charity”) is a registered charity (Registered No. 1165716). It is responsible for all charitable funds raised on behalf of or donated to University Hospitals Birmingham NHS Foundation Trust (“the Trust”).

Heart of England NHS Foundation Trust Charitable Funds merged with UHB Charity on 1 April 2017.

The hospital charity operates under the brand of UHB Charity but also has working names reflecting the four hospitals of the Trust – Queen Elizabeth Hospital Birmingham Charity, Heartlands Hospital Charity, Good Hope Hospital Charity and Solihull Hospital Charity.

Please note: The previous charity registration numbers of 1093989 (UHB Charity) and 1052330 (HEFT Charitable Funds) should no longer be used.

The Trustees of UHB Charity are legally responsible for fundraising and for spending the money raised.

Some of the charity’s money is held in some 500 funds that are “Earmarked Funds” created to record the specific charitable purposes of the money held within UHB Charity, and these guidelines explain the roles and responsibilities of Fund Advisors for these Earmarked Funds.

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2. FUND ADVISORS

Fund Advisors are appointed for the Earmarked Funds because they are in a position to recommend the most appropriate uses for charitable funds in their particular area of the Trust.

Fund Advisors will normally hold an NHS Contract and when dealing with charitable funds they are required to comply with any codes of conduct of their employer and their professional body, as well as UHB Charity's own Policies and Procedures.

It is important to note that Fund Advisors are not Trustees.

The Trustees of the charity are the final decision makers on expenditure.

Fund Advisors are however, directly accountable for ensuring that all expenditure is compatible with the charitable purposes of the Fund, and that it complies with these Protocols and any Guidelines issued by Trustees from time to time.

There are four mandate levels for expenditure from an Earmarked Fund:

Expenditure up to and including £1,000 can be authorised by the Fund Advisor without further referral.

Expenditure over £1,000 up to £10,000 can be authorised by the Charity Chief Executive following the request from the Fund Advisor.

Expenditure of £10,000 to £30,000 can be authorised by the Chair of Trustees following the request from the Fund Advisor.

Expenditure over £30,000 has to go to a full Board Meeting of the Trustees for authorisation following the request from the Fund Advisor.

In addition, there are two other criteria for capital expenditure over £10,000 that would incur ongoing running, maintenance or estate costs by the Trust:

- It must be authorised by the relevant Director of Operations
- It must be authorised by the relevant Divisional Finance Manager
- It must be authorised by the Director of Estates if including Estates work

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3. STATUS AND SCOPE OF PROTOCOLS

This document has been created to support Fund Advisors with fundraising for, and spending of, Earmarked Funds.

Whilst it is intended to be a comprehensive guide, it is not possible to cover every eventuality or always to give absolute guidance in a single document.

If in any doubt, please feel free to contact UHB Charity for advice. In all cases the Trustees' decision is final.

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4. CREATING A NEW EARMARKED FUND

In order to promote the efficient use of charitable resources, UHB Charity has a set of guidelines for creating new Earmarked Funds.

The proposed fund should meet the following:

- The fund must be for charitable purposes relating to the NHS (i.e. to provide additional expenditure rather than replacing statutory funding)
- The purpose should not be so specific that it unduly restricts the use of donations
- There should not be an existing Earmarked Fund which could easily accommodate the new purpose
- There should be a reasonable level of intended expenditure over the first two years for the new fund. For example, we would not normally create a new Earmarked Fund if the intended expenditure from that fund would be less than £10,000
- There must be a minimum of two Fund Advisors. We recommend in most instances that all consultants for a particular speciality are named as fund advisors on that particular Earmarked Fund.

The current policy of the Trustees is to not open new funds where there is already a fund set up for that particular field of medicine.

If you wish to create a new Earmarked Fund, please contact the Charity Chief Executive to discuss your requirements further.

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5. CHANGING AND UPDATING EARMARKED FUND DETAILS

Each Earmarked Fund has a Fund Details form which records the name, number and purposes of the Fund, and lists the current Fund Advisors who can authorise expenditure of up to £1,000.

It is possible to change or update details by completing a Fund Changes form which is available from the UHB Charity website or by contacting UHB Charity.

Fund Advisors can be added or deleted using this form.

An existing Fund Advisor should sign the Fund Changes form to authorise the changes.

However, if this causes difficulties, for example if a Fund Advisor has left employment with the NHS, please contact the Charity Chief Executive.

When a Fund Advisor leaves or retires from the Trust, they will cease to be eligible to continue as a Fund Advisor.

If there have been no transactions on a fund for over twelve months, the Earmarked Fund will become dormant and statements will no longer be sent out on a quarterly basis.

If the Earmarked Fund is not used for a further twelve months, Trustees will use the funds for the benefit of patients in the way most needed.

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6. RAISING MONEY FOR AN EARMARKED FUND

Money in Earmarked Funds can come from a number of sources: unsolicited donations by patients and their families, grants from other charities, donations from companies or the proceeds of fundraising events organised by, or on behalf of, the Fund Advisors.

All money received by a Fund Advisor for an Earmarked Fund should be deposited as soon as possible. Please either ring the charity on 0121 371 4852 to request a pickup from your department, or deposit the money at the charity's Fundraising Hub if your hospital has one.

This protects you, your colleagues and UHB Charity.

Alternatively, Fund Advisors can feel free to give the name and address of UHB Charity to prospective donors if you know about the donation in advance, or pass the contact details of the donor to UHB Charity if you have their permission and we will contact them on your behalf.

An official receipt is always issued and thank you letters are sent where the donor is not anonymous.

There are a number of regular queries we receive about donations to an earmarked funds and so we have tried to address them below. If you have any other questions, please do not hesitate to contact the Charity Chief Executive:

a) Donation of Fees

Fund Advisors and their colleagues are often entitled to be paid for work they do outside the Trust, e.g. private patient fees, and speaking / lecture fees, and they may wish to donate these fees into an Earmarked Fund.

If the fee relates to work carried out under your contract of employment with the Trust, then it is the Trust's right to receive the money, not UHB Charity.

If the fee is being paid for work carried out in your own time, you are free to waive your right for a fee and request a donation instead.

Please note, for the sake of clarity, that donations made to the charity in lieu of fees become the property of the charity, not the individual who has waived their fee.

Donations should be made payable to UHB Charity.

b) Gift Aid

If a tax paying individual donor (i.e. not a company), signs a Gift Aid declaration, UHB Charity can reclaim the basic rate of tax paid on that donation, increasing the value of the gift by 25% at no extra cost to the donor.

Fund Advisors can therefore increase the money in an Earmarked Fund by asking donors to complete a Gift Aid declaration.

The donor can also state that they wish all future donations to UHB Charity to be eligible for Gift Aid, meaning they would not need to complete another declaration in the future.

Gift Aid forms are available from UHB Charity or from the charity's website www.hospitalcharity.org

c) Donations by Companies

Companies often make donations to charity, and provided the payment is an outright gift with no strings attached, we are able to accept the donation.

However, if the donation is part of a commercial arrangement in which the company hopes to secure some advantage (e.g. access to patients, confidential research results, etc) then UHB Charity cannot accept the money.

A Request for Donation form is available from the Charity to give to companies, confirming the tax status of their donation and the Charity's bank details.

If in doubt, please discuss potential donations with the Charity Chief Executive.

d) Donations for specific items

Donors often want their money to be spent on a particular piece of equipment or in a specific way.

Such gifts can be accepted, but care should be taken to manage the donor's expectations, in particular if the amount being donated is significantly different from the amount required for that purpose (either higher *or* lower).

As the person to whom the intention was expressed, Fund Advisors are responsible for ensuring that a donor's wishes are carried out if they can be.

The UHB Charity official receipt states that the Trustees will attempt to meet the donor's wishes but that the money need not be returned if it cannot be used exactly as requested.

Please try not to give a donor unrealistic expectations as to how their money might be spent.

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7. INVESTMENT OF EARMARKED FUNDS

All money held by UHB Charity that is not required to meet immediate cash needs is invested on our behalf by our appointed Investment Managers.

They utilise a range of investment types (e.g. equities, corporate bonds, gilts and cash) in order to maximise total return.

These investments produce an income in the form of interest or dividends, and a number are quoted on stock exchanges where their underlying capital value can go up or down.

Whilst in the current economic climate UHB Charity hold a large number of cash investments, typically there is still a significant equity component to our investment portfolio.

Thus Fund Advisors should make the Charity Chief Executive aware if they are intending to request expenditure of over 90% of the Earmarked Fund they are a Fund Advisor for, so that this can be taken into account when planning cashflow.

If Fund Advisors do not do this, the Trustees reserve the right to defer the request for expenditure to meet cashflow.

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8. HOW TO AUTHORISE EXPENDITURE FROM EARMARKED FUNDS

There are two ways to access the money in earmarked funds, either through prior approval or reimbursement claims.

a) Prior Approval - SAGE

The vast majority of expenditure will go through the Trust's online ordering system, Sage.

This enables pre-authorisation and VAT exemptions where appropriate, ensures equipment is bought through approved suppliers and that it is compatible with Trust policy.

It ensures appropriate authorisation is in place before an order is placed and allows suppliers to be paid direct upon receipt of goods or when services have been delivered.

It also means that UHBFT Procurement function is involved, thus ensuring best value for money.

In hospitals where the Sage system is available (currently only at QEHB), when a Fund Advisor is appointed, the Charity Chief Executive authorises the Fund Advisor as a user on the Sage system, and training on the use of Sage is provided by Systems department.

For Fund Advisors at HGS sites, in order to get prior approval for expenditure, please complete the charitable expenditure form available on the charity's website and forward to UHB Charity with quotes and/or invoices.

It is no longer possible to use iProc for charitable requisitions at HGS sites.

b) Reimbursement

It is also possible to access Earmarked Funds by completing a UHB Charity Claim for Reimbursement of Expenses form (or via Petty Cash from the Cashiers Office at QEHB for claims of less than £50).

These forms can be obtained from UHB Charity.

A Claim for Reimbursement of Expenses form is normally used to reimburse an individual who has already incurred expenditure, but it can also be used to request payment of an invoice ***in the name of UHB Charity*** to a supplier who was not issued with an Official UHB Charity Order.

For example, course and conference fees are often requested in this way.

Payment can be made by UHB Charity by cheque, BACS bank transfer or Credit Card, depending on the circumstances.

Petty cash claims can be processed by the QEHB Cashiers Office for amounts up to £50 if authorised by a Fund Advisor.

For any reimbursement, original receipts must be submitted together with other documentary evidence (e.g. certificates of attendance).

Fund Advisors should be aware that expenditure incurred other than via a UHB Charity Official Order remains subject to verification and authorisation by UHB Charity.

If the purpose does not satisfy the Fund Purposes or meet charitable guidelines, or if there is insufficient money in the Fund, payment may be declined.

Claims for reimbursement must be made within six months of incurring the expenditure, and if the claim is for reimbursement of a Fund Advisor or someone with a personal connection or relationship with a Fund Advisor, the signature of a different, unconnected, Fund Advisor will be required as authorisation.

Expenses claims that are over six months old will not normally be reimbursed.

For payment of individuals who have carried out work for UHB Charity, an Invoice for Payments to Individuals should be fully completed to comply with HMRC requirements.

This form will need to be signed by the person being paid as well as the Fund Advisor requesting payment.

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9. OWNERSHIP OF EQUIPMENT PAID FOR BY UHB CHARITY

Equipment paid for by UHB Charity is considered to be donated to the Trust.

UHB Charity carries no involvement in terms of maintenance, depreciation, insurance etc.

If the Fund Advisor, or any member of staff who requested the equipment, leaves the Trust, the equipment remains the property of the Trust.

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10. GUIDELINES ON EXPENDITURE FROM EARMARKED FUNDS

Money in Earmarked Funds should be spent over a reasonable timescale.

The Charity Commission does not allow charitable funds to be “saved for a rainy day” other than in accordance with an agreed Reserves Policy.

Trustees therefore have an expectation that money in Earmarked Funds should be actively spent.

All spending of charitable funds need to meet the Charity Commission Public Benefit test.

Fund Advisors should bear in mind that any expenditure could become subject to public scrutiny and so they should consider the “tabloid test” – if the expenditure was reported by a tabloid newspaper in the worst possible light, could you credibly justify that expenditure.

The following guidelines are designed to help Fund Advisors decide if expenditure meets the Public Benefit test and tabloid test:

a) Charitable funds should not be a substitute for government funding

The NHS is required to provide a basic level of care from government funding. Charitable funds can be used to enhance this level of care, but not replace it.

For example:

- i) Hypodermic syringes are provided from statutory funding, but the provision of syringe pumps is an enhancement that benefits patients and staff.
- ii) An outpatients’ waiting area is a basic requirement, environmental improvements to that area are an enhancement.
- iii) Statutorily required training is a basic provision. Where further training is available which allows staff to improve their skills and provide the best possible care for patients, this is an enhancement.

b) Research should meet the Public Benefit test

The Trustees are delighted to support research but they do have to ensure that it is carried out in accordance with the requirements of the Charity Commission.

c) Research funded by external organisations must be made public if it involves the expenditure of charitable funds

Research funded by any organisation that does not allow general dissemination of the results is a business transaction, and should not go through charitable funds.

The most common example of this is when a pharmaceutical company is funding a drug trial where the results will only be used “in-house” by the drug company, and the researcher is therefore not able to publish.

This income and expenditure should be processed through NHS accounting systems.

d) The Earmarked Funds are for charitable use

This seems very obvious, but Fund Advisors must be aware that monies deposited in any of the funds that the Trustees administer are donations to a charity, and the Trustees are henceforth responsible for the use of that money.

Earmarked Funds should be viewed in this light. They should not be used as an alternative Departmental budget or for personal use.

e) Fund Advisors should always obtain value for money

UHB Charity recommends that Fund Advisors use the hospital charity team and/or Sage procurement systems (at QEHB) to benefit from the cost savings and efficiencies available to the NHS through the Procurement function.

You are expected to obtain the best value for charitable funds – a good guide would be to ask if a prudent person would spend their own money in that way.

f) Alcohol and tobacco cannot be purchased

The Trustees state that alcohol and tobacco cannot be purchased using charitable funds.

g) Gift Vouchers should not be given to suppliers or individuals

In relation to payment for services, HMRC treats gift vouchers as cash and they should not, therefore, be given in lieu of payment to suppliers or individuals.

h) Professional subscriptions may be paid from charitable funds if this leads to cost savings in excess of the subscription

Professional subscriptions are normally a personal expense which it is not appropriate to pay for with charitable funds.

However, some subscriptions entitle a discount on course or conference fees or academic journals which would benefit the department or Trust more generally.

It is therefore possible to pay personal, professional subscriptions from charitable funds if UHB Charity will benefit from price reductions on courses or conferences that exceed the cost of the subscription.

i) Appointment of staff should be agreed with UHB Charity in advance

A number of staff are employed through charitable funds and work either at Universities or the Trust.

Many work within research, and UHB Charity is delighted to be supporting such activities.

If a Fund Advisor wishes to employ a member of staff from charitable funds, they should contact the Charity Chief Executive for guidance and for the Charity to complete the necessary paperwork to confirm payment to the employer.

Fund Advisors should ensure that the post meets the following criteria:

- The duties of the staff member must be charitable – this rules out most clinical posts
- There should be sufficient money in a fund to cover the salary costs – it is not possible to approve funding in expectation of future income

The Trustees will ask for an annual report from Fund Advisors on the work carried out by staff members paid from charitable funds, and further funding may be conditional on receipt of a satisfactory report.

Fund Advisors should be aware that any costs associated with that staff member (e.g. sickness pay, maternity pay or paternity pay) will have to be met from the Fund, even when the duties of the staff member are not being performed.

Fund Advisors will still need to complete the Trust's recruitment processes for any staff member who subsequently continues employment with the Trust after the end of charitable funding.

j) Fund Advisors should keep a separate record of any expenditure related to fundraising

UHB Charity is required to show separately income and expenditure that can be directly attributed to fundraising in its annual accounts.

If an Earmarked Fund is being used to support major fund raising events, or to support a major conference that brings in income, please maintain your records to show this at year end.

For example, the cost of putting on a charity quiz night for which the ticket monies will be paid into the Earmarked Fund is a cost of fundraising.

k) Charitable Funds should not be used to purchase gifts for individuals

It is not appropriate to use charitable funds to purchase gifts for individuals for, on example, marriage or leaving employment with the Trust as it can not be demonstrated that this is for the benefit of patients or general wellbeing of staff.

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11. CATEGORIES OF CHARITABLE EXPENDITURE

Charitable expenditure must be categorised into one of the following seven general purposes (if more than one applies, the one closest to the top of the list is used):

a) Research

Research is a charitable purpose, provided the results it produces are made public.

Earmarked Funds that specify research as one of their purposes can be used to support research, including salaries, attending relevant meetings, associated equipment and consumables.

Where funding is required for specific research projects these should first be registered with and approved by the Trust's Research & Development Committee and receive appropriate ethical approval. An application form and guidelines are available for this.

All grants awarded by UHB Charity for research are subject to the Charity's Conditions of Award.

b) Equipment

Medical equipment can be purchased from equipment funds provided the purchase does not involve buying or replacing a basic piece of equipment which is essential for the maintenance of the clinical service as this should be funded by the NHS.

However, the use of charitable funds is permitted if it allows the purchase of an item with enhanced functionality or with benefits additional to those required for basic service provision.

For example, charitable funds could not be used to buy a standard bed needed by patients on a ward, but the purchase of advanced electric beds which improve the patient experience and promote the health and safety of staff and patients would be permitted.

Equipment must be procured through the hospital charity clearly stating the charitable Fund number so that any VAT concessions available to charities can be obtained.

The equipment must also have been approved for use within the Trust. Any equipment item over £10,000 that would incur ongoing running costs and maintenance by the Trust must also be authorised by the relevant Director of Operations and the Divisional Finance Manager.

Equipment is purchased by UHB Charity and donated to the Trust which is then responsible for ongoing costs of ownership such as maintenance.

IT equipment can only be purchased using charitable funds if it is to be used for research or education, and it will be checked by the Trust's IT Department for suitability and compatibility. Failure to comply would result in non payment of expenditure.

Provision of basic office equipment, including computers for necessary administration and correspondence, is a responsibility of the Trust.

Equipment purchased using charitable funds should be clearly labelled as such using donor boards provided by UHB Charity for the purpose.

c) Building and Refurbishment Work

Improving the environment is a key role of charitable funds, and many examples of this type of expenditure take place every year to benefit patients and staff.

All projects should be discussed in advance with the Hospital Estates Department prior to approaching UHB Charity.

Any building and refurbishment work over £10,000 must also be authorised by the Director of Estates.

d) Education of Staff

Education of staff is categorised by the Trust as mandatory, essential, beneficial or desirable.

Charitable funds should be focused on the provision of beneficial training, with the support of desirable training if funds permit.

It is important that the results of any training or education produce a direct, tangible benefit to the Trust and its treatment of patients.

Courses which simply educate the trainee with no wider benefit to the Trust are not considered appropriate for funding from charitable funds.

Educational spending can include attendance at conferences and purchase of books and journals, as well as training courses.

Running a conference, seminar or training course can be both a charitable activity itself, and an opportunity to make a surplus, and therefore generate income for the Earmarked Fund.

e) Welfare of Staff

Charitable funds can be used where they will benefit a group of staff defined by reference to their roles in the Trust (as opposed to specific individuals).

For example:

- i) the purchase of kettles or easy chairs for a staff room
- ii) the costs of a departmental away day which seeks to develop the service.

There is also a tradition of using charitable funds for staff outings and entertainment.

The use of charitable funds to pay for staff outings or entertainment, if it is to be for public benefit, must enhance the service provided by the Trust.

This is usually explained in terms of the boost to staff morale which such activities can provide.

However, the Trustees are mindful that donors are unlikely to be happy if they see large amounts of their money spent for the personal benefit of staff, rather than on equipment and patient benefits.

With this in mind, and also to keep expenditure within HMRC guidelines, the following rules will apply to staff outings and entertainment:

- Any outing/entertainment must be available to as many members of staff as possible, usually available to all staff in a department or ward
- The maximum that can be spent per person receiving a benefit is £15 in each financial year (April to March)
- No cash alternatives are permitted: the benefit provided is the function itself, not the value of it
- Gifts for individual members of staff on occasions such as getting married, leaving the Trust, etc should not be bought using charitable funds

f) Education of Patients

Education of patients and their families is a legitimate charitable activity, and might include the production of leaflets or other teaching materials, as well as the purchase of materials developed elsewhere.

Where possible, UHB Charity should be clearly credited as the source of funding for any materials produced.

g) Welfare of Patients

Anything which might make a patient's stay in hospital more comfortable, or give support to families and visitors, can be considered for support from Earmarked Funds for Patient Welfare.

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12. EXAMPLES OF ACCEPTABLE CHARITABLE EXPENDITURE

There are many different and acceptable uses of charitable funds. Here are some of the more common types of expenditure, with guidelines for use of Earmarked Funds.

a) Training Course/Conference/Seminar Fees

Basic attendance fees can be paid or reimbursed.

Other necessary and reasonable expenses for accommodation and subsistence will also be reimbursed.

Social outings and personal expenses should be paid for from other sources.

Requisitions and reimbursement claims should be accompanied by the authorised Application for Study Leave form issued by the Trust.

b) Working Lunches/Meeting Refreshments

Charitable funds should only be used to provide refreshments for a working lunch or at a meeting if the purpose of the meeting is charitable and the meeting complies with Trust guidelines for refreshments to be provided (i.e. it lasts for more than two hours and/or involves external visitors).

c) Special Events and support for visiting speakers

Conference and dinners are sometimes arranged using charitable funds.

Where these are minor events e.g. an evening lecture, modest payments and reasonable expenses can be paid.

If it is a major event, costs should be covered by delegate fees or sponsorship, as normally the intention would be to make a surplus for the Earmarked Fund.

Dinners must be confined to professional colleagues. This should not include entertainment at expensive establishments or accommodation at luxury hotels.

Requests for reimbursement of hospitality expenses should include brief details of those attending, and the reason for the hospitality being extended.

d) Travel

If a visit or trip is being undertaken in furtherance of a charitable purpose (e.g. to attend a conference), reimbursement can be made from charitable funds.

For journeys undertaken by rail, colleagues can claim for tickets purchased up to the cost of a Standard Open Class Return train ticket.

For journeys undertaken by car, colleagues can claim 25p per mile.

For journeys undertaken by plane, colleagues can claim for tickets purchased up to the cost of a Standard Economy class ticket. For trips outside of Europe, colleagues may claim for tickets purchased up to the cost of a Premium Economy class ticket.

For all other forms of transport, colleagues may claim the cost of a Standard Open Class Return train ticket.

Charitable funds may not be used to top-up standard tickets reimbursed elsewhere.

It is not appropriate to use charitable funds for Business or First class travel where that exceeds the cost of a standard/economy fare.

e) Conferences

UHB Charity recognises the importance of conferences at all levels, both in disseminating knowledge and in an individual's professional development.

The Trustees are delighted to support attendance where it can be shown to meet UHB Charity's purpose.

The individual should go through the normal Trust route for approval from their consultant or clinical lead as appropriate.

UHB Charity may ask individuals to talk to the Trustees on their return to enable them to appreciate some of the benefits that arose from attendance at the conference.

f) Christmas Celebrations

Christmas celebrations may be paid for through appropriate funds, subject to guidelines laid down by the Trustees.

These will be distributed each year with the September fund balance statements

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13. EXAMPLES OF EXPENDITURE WHICH MAY NOT BE APPROVED

UHB Charity will always endeavour to support the recommendations of Fund Advisors, but there will be instances where expenditure may not be approved, or if already spent, not reimbursed.

Here are some of the more common examples of expenditure which may not be approved:

- a) Expenditure on items which may be seen as inappropriate for a health organisation, such as alcohol or tobacco
- b) Gratuities on a food bill
- c) Gifts for individual members of staff for, on example, marriage or leaving employment of the Trust
- d) Attendance at a conference, the subject of which, however commendable, was not likely to benefit the health of the people of Birmingham
- e) A spouse's travel costs
- f) Items essential to the structure of the Trust, e.g. a fire escape
- g) Purchase of computer equipment that is incompatible with Trust equipment
- h) A study day when the individual concerned is leaving the employment of the Trust and is leaving Birmingham
- i) Expenditure on events which may have a poor effect on the reputation of UHB Charity or the Trust
- j) Expenses incurred when normal purchasing guidelines have not been adhered to, e.g. express delivery charges or maintenance agreements, unless there is a valid reason

This is not an exhaustive list, and Fund Advisors are encouraged to contact the Charity Chief Executive if they have any doubts or concerns.

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14. CLOSING OR AMALGAMATING EARMARKED FUNDS

If Fund Advisors decide that a particular Earmarked Fund no longer serves a useful purpose, for example it no longer receives significant income or the Fund Purposes are obsolete, it is possible for the Fund Advisors to agree to close the Fund.

Any money still held in the Fund would be transferred to another Earmarked Fund with similar purposes.

Alternatively, Fund Advisors of two or more Funds may decide that amalgamating would be beneficial, for example by focusing fundraising efforts or creating a sufficiently large balance to make a strategic purchase.

The main or lead Fund Advisor should email the Charity Chief Executive in this instance, copying in all other Fund Advisors, with the request to close the fund and transfer the balance.

As per procedure 10, charitable funds should be spent over a reasonable timescale.

If an Earmarked Fund is perceived to be inactive and/or to have a negligible balance, the Charity Chief Executive will contact the Fund Advisors to discuss their plans for the Earmarked Fund. This may include a recommendation to transfer funds to a similar Earmarked Fund.

UHB Charity is an independent charity with its own Board of Trustees, and the Trust has no power to unilaterally remove funds from Earmarked Funds.

If Fund Advisors leave employment or retire from the Trust, they will be removed as Fund Advisors automatically. It is not possible to transfer Funds to another NHS Trust or charity.

If there have been no transactions on a fund for over twelve months, the Earmarked Fund will become dormant and statements will no longer be sent out on a quarterly basis.

If the Earmarked Fund is not used for a further twelve months then the Trustees will use the monies for the benefit of patients in the area of most need.

HOW THE UNIVERSITY HOSPITALS BIRMINGHAM CHARITY OPERATES – GUIDELINES FOR FUND ADVISORS

15. APPLYING TO THE CHARITY FOR FUNDING OVER AND ABOVE THE AMOUNT IN AN EARMARKED FUND

The Trustees believe that it is easier to fundraise when there is a wishlist of items that require funding.

Trustees therefore encourage applications for funding over and above the amount already in an earmarked fund.

Fund Advisors are encouraged to contact the Charity Chief Executive when they wish to apply to the Charity for additional funding to that already in an earmarked fund.

Initially, it is recommended that the Fund Advisor meet and have a discussion with the Charity Chief Executive to assess suitability and timescales required to fundraise.

If the application is to proceed, there is a formal application form that may be required to be completed.

For applications under £30,000 it is at the discretion of the Charity Chief Executive whether a formal application form is completed.

For all applications over £30,000 a formal application form is always required.

HOW THE UNIVERSITY HOSPITALS BIRMINGHAM CHARITY OPERATES – GUIDELINES FOR FUND ADVISORS

16. REVIEW OF PROTOCOLS AND COMMENTS FROM FUND ADVISORS

These protocols are designed to help Fund Advisors to use UHB Charity as efficiently and effectively as possible, and to maximise both charitable income and expenditure.

These protocols should be seen as reviewable document, and if anything in them makes your task harder rather than easier, please contact me and I will attempt to review them as far as I can within Charity Commission guidelines and Trustee requirements.

I welcome any comments or questions you may have. Please contact me by telephone on x14852 (external number 0121 371 4852) or by email to mike.hammond@uhb.nhs.uk.

I have also enclosed contact names and details for UHB Charity and Charitable Finance.

**Mike Hammond
Charity Chief Executive
UHB Charity
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B15 2TH**

August 2021

UHB Charity

Mike Hammond – Charity Chief Executive	0121 371 4852
Poppie Barnett – Grants Assistant	0121 371 4852
Gwen Eccleston – Office Manager	0121 371 4852
External Telephone Number	0121 371 4852

UHBFT Charitable Finance Directorate

Sophie Spencer – Charities Accountant	0121 371 7346
Ben Lane – Charity Administration Officer	0121 371 7339