

# The Newcastle Upon Tyne Hospitals NHS Foundation Trust

## Staff Participation in Fundraising, Raffles, etc.

Effective: January 2010

Review: January 2013

### 1. Introduction

This policy has been written on behalf of the Newcastle upon Tyne Hospitals NHS Foundation Trust in association with its two official charitable bodies – Newcastle upon Tyne Hospitals NHS Charity (Reg. 1057213) and Newcastle Healthcare Charity (Reg. 502473). Administration for both charitable organisations is provided through the Charitable Funds Office, Room 203 Cheviot Court, Freeman Hospital and all enquiries should, in the first instance, be directed to the Head of Fundraising (Ext.37235).

The wide range and scope of fundraising activities makes it difficult to incorporate specific advice on every event undertaken and the policy is designed to provide general guidance on the basic principles and acceptable practices of fundraising on behalf of the Newcastle upon Tyne Hospitals NHS Foundation Trust.

### Who should read this?

All staff actively involved in fundraising for the Newcastle upon Tyne Hospitals:

- (i) in which the hospital name or any of its services is named as a primary beneficiary
- (ii) the Trust's official charity name is used
- (iii) any fundraising event undertaken by staff on Trust premises.

Staff are also advised to refer any fundraising projects instigated by members of the general public to the Charitable Funds Office for advice and assistance.

**Important:** Prior permission is required to use the name of the hospital(s) or any of its services, in a fundraising event.

By way of guidance, a structured fundraising project will normally involve **six** months planning, preparation and procurement time and the following guidelines have been produced to assist in this process.

### 2. Who May Apply to Raise Funds and How to Apply

Any member of Trust staff may apply to raise funds on behalf of the service; however, the intention to raise funds should be relayed to the individual's line manager. It is recommended that a small committee (up to four members of staff) be formed to manage and administer the fundraising. This helps spread the workload and allows the committee to delegate responsibilities to different individuals.

The Newcastle upon Tyne Hospitals NHS Foundation Trust actively encourages its staff members to participate in/or organise fundraising on behalf of the service. It is necessary, however, to ensure that both the Trust and its staff comply with statutory regulations and recommended practice during such activities.

Staff wishing to organise such activities will have, in the first instance to complete the Application for Fundraising Approval (Appendix 1) and forward to: -

Charitable Funds Office  
Room 203 Cheviot Court  
Freeman Hospital  
(Ext. 37235)

The Charitable Funds Office can provide staff with help and advice on any fundraising activity, and will forward the completed application for fundraising approval form to the Chief Executive for written support **prior** to the event being undertaken. The Trust needs to protect the integrity and reputation of both the hospital(s) and also its staff and it is therefore essential that the use of the hospital's name (or indication that funds are being raised on behalf of that hospital) has prior approval from the Chief Executive.

Requests by the general public to raise funds for the Newcastle Hospitals should, in the first instance, be referred to the Head of Fundraising (0191 2137235).

### **3. Keep it Safe, Keep it Legal**

It is the responsibility of the organisers to make sure the event complies with the following guidelines, which conform to Charity Commission and Institute of Fundraisers codes of practice. Each type of event will be reviewed on its own merits however, it is advisable to seek prior advice from the Charitable Funds Office (Ext. 37235) on the procedures and legalities that may need to be observed to help you and the Trust remain within the law.

Whilst the Newcastle upon Tyne Hospitals NHS Foundation Trust is extremely grateful for the support, it is also keen to stress the importance of certain issues, which may or may not be contributory factors in ensuring that fundraising efforts are successful.

- Fundraising on private premises (including shops and public houses) requires the express permission from the owner.
- Please ensure that your event does not contravene Local Authority regulations or require some form of licence.
- Do not instigate any raffle or lottery without first contacting the Charitable Funds Office.
- It is recommended that if a Committee has been set up to organise an event, a named individual must be nominated to administer the collection, recording and security of funds. It will be the responsibility of that individual to keep an accurate record of funds raised and any expenditure incurred, and to forward a copy to the Charitable Funds Office. (For major events organised by a Committee, the nominated individual should discuss and agree any expenses, which may be attributable to or as a consequence of the fundraising event. (Remember that the principle aim of any event is to obtain the maximum return possible and expenses incurred should be minimal and proportionate to the event itself).
- Similarly any fees incurred in challenges/sporting events should not be a first charge against fundraising income, unless previously agreed with the Charitable Funds Office.

- On completion of the event a Fundraising Return (Appendix 4) must be completed and signed by the organisers (named in Appendix 1) confirming income received and expended. Please note that expenditure from fundraising income should be discussed and agreed in advance with the Head of Fundraising.

The safety and security of staff involved in such activities (and that of the general public) is of primary importance and careful consideration should be given to such issues. If necessary, appropriate public liability insurance should be in place to cover against such contingencies.

Posters/promotional literature in which the hospital's name is mentioned requires prior approval from the NHS Trust (via the Charitable Funds Office).

Sponsored Events: The Charitable Funds Office can provide official sponsorship forms (in a format agreed with H.M.R.C.) to support the event. Wherever possible donations should be linked to the Gift Aid Scheme and sponsors should be asked to complete their full name and postal address (including post code) and tick the Gift Aid column. This enables the contribution to be increased by 25% at current tax rates. The Gift Aid conditions are set out within the sponsorship forms /literature provided. Sponsorship forms **must** be returned with the contributions.

Online Giving: The official hospital charities have set up an Online Giving site, which accepts Debit/Credit cards contributions.. It is possible for individual fundraisers to set their own web page (within the Charity's Online site) which makes giving easier, attracts a wider audience and also incorporates the Gift Aid facility. A donation, in this manner, goes directly to the charity and is identifiable against an individual fundraiser's project or event. Please note that to access this facility, the fundraising event should be notified and agreed in advance with the Charitable Funds Office.

To ensure an event is successful, it should be promoted well. It is advisable to read the Trust [Policy for Press Enquiries and Public Relations](#) before organising any press or media coverage. Please contact Mrs Sandra Bessford (Assistant to the Chairman and Chief Executive) X26055 (initially) for assistance in these matters.

#### **4. Licensing of Raffles and Lotteries**

From 1<sup>st</sup> September 2007 The Gambling Act 2005 replaced the provisions contained in the Lotteries and Amusement Act 1976. The law on lotteries and gaming is complicated and these notes provide the basic principles only and should not be read in isolation (without further guidance from the Charitable Funds Office or the Local Licensing Authority).

To ensure that it satisfies the conditions of the new Gambling Act 2005 and assist in staff organised raffles/lotteries the NHS Trust has taken out a Small Society Lottery Registration for the hospitals under its administrative control (Freeman, Newcastle General, Walkergate and the Royal Victoria Infirmary). The registration primarily covers raffles/lotteries run on Trust premises.

Use of this Registration/Licence

##### **4.1 Small Society Lotteries**

The following criteria must be observed:

1. Tickets in accordance with the requirements of the Lotteries and Amusement Act must be printed.
2. Records of tickets sales/monies received and expenditure must be maintained. (Please see Appendix 3 for ticket sales spreadsheet). Ticket sales for a single lottery are no more than £20,000 or £250,000 in one year.
3. The draw must be made on a specified date and independently verified.
4. The Act requires that lottery tickets may only be sold **by** persons over the age of 16 **to** persons over the age of 16. Tickets **should not** be sold in the street (street including any bridge, road, lane, footway, subway, square, court or passage – including passages through enclosed premises such as shopping malls) however tickets may be sold from a kiosk, in a shop or door-to-door (**where permitted**).
5. Prizes awarded in small society lotteries can be either cash or non-monetary. However the amount of money deducted from the proceeds of the lottery to cover prizes must not exceed the limits set out by the Act.
6. The maximum ticket price of £2.00 for society lotteries has been removed so that there is no maximum price, but every ticket must cost the same.
7. A new 80/20 rule for society lotteries provides that if at least 20% of the proceeds are guaranteed to go to the charity or other cause for which funds are being raised, the promoters can then choose how to divide the remainder between prizes and expenses. Donated prizes would not be counted as part of this 80% (as no money would be withdrawn from the proceeds to cover their purchase) but should still be declared on the return following the lottery draw.
8. No single prize may be worth more than £25,000.
9. Rollovers between lotteries are only permitted where every lottery affected is also a small society lottery promoted by the same society, and the maximum single prize does not exceed £25,000 or 10% of the gross proceeds.
10. The sale of tickets by automated process is permitted. (A virtual ticket being non-physical, for example in the form of an email or text message). Schedule 11(36) requires that a purchaser of a small society lottery ticket must receive a document which identifies:
  - the name of the promoting society
  - the price of the ticket (must be the same for all tickets)
  - the name and address of the member of the society who is designated as having the responsibility at the society for promoting small lotteries, or (if there is one) the external lottery manager; and
  - the date of the draw, or enables the date to be determined
11. Alcohol prizes can be given only if the premises are licensed for the sale of alcohol or have a temporary event notice.

12. A return, in accordance with Local Authority regulations, must be produced within three months of the draw taking place.
13. Security of prizes and cash received must accord with laid down guidelines.
14. The beneficiary of such fundraising must be patient related and designed to provide added benefit to the service.
15. Funds must be deposited with Newcastle upon Tyne Hospitals NHS Charity or Newcastle Healthcare Charity depending on the location.

Please see Appendix 2 for a Step By Step Guide to Implementing a Raffle

#### 4.2 Incidental Non-Commercial Lottery

For Trust purposes, a lottery that is held which is incidental to a non-commercial event, for example, a raffle at a Summer Fair, Christmas Fair, Fête, Dinner or Ball or some similar event, provided that all of the money raised at the event, including entrance fees, is for purposes other than private gain, is classified as an *Incidental Non-Commercial Lottery*. This type of lottery can be conducted using cloakroom tickets.

Tickets can only be sold at the event and on the premises where the event is being held and results will be made public while the event is taking place.

These provisions are designed to accord with Local Authority regulations and to protect staff involved in the fundraising activity.

**Please note that the guidance on Raffles and Lotteries is of a generic nature and further advice and authorisation to undertake such a lottery on Trust premises needs to be obtained, in advance, from the Charitable Funds Office.**

### 5. Monitoring and Review

Staff engaged in any fundraising event in which the Trust's hospitals or services are quoted as being a beneficiary must have **prior** agreement from the Charitable Funds Office. Where it is apparent that such an agreement is not in place, the Trust's Head of Fundraising will follow this up and if necessary reported to the Trust's Chief Executive and the respective charities.

Fundraising events and lotteries are subject to regular review by the Charitable Funds Office team. In addition enquiries are regularly received from the Local Licensing Authority and the Police requiring confirmation or validity of an event.

Income from Fundraising events, previously agreed through the Charitable Funds Office, is monitored by the Head of Fundraising and is reported to the respective charities on a quarterly basis. Any outstanding events will be followed up within a reasonable time period (in relation to the type and complexity of the event) and any issues of concern will be raised with the individual fundraiser and may be reported to the Trust's Chief Executive and the respective charities.

Any fundraising event which comes to the notice of the Charitable Funds Office and for which, prior knowledge or agreement has not been received, will be followed up by the Head of Fundraising.

Raffle/Lottery returns (Appendix 3) together with any unsold tickets should be forwarded for the attention of the Head of Fundraising within an agreed timescale (usually within four weeks of the draw having taken place), as this information must be relayed to the Local Licensing Authority. Any differences or queries will be taken up with the nominated member of staff responsible and if necessary reported to the Chief Executive and the respective charities.

A Fundraising Return (Appendix 4) should be completed by the organisers of the event and returned to the Charitable Funds Office. Failure to submit this Return within a reasonable timescale will be followed up by the Head of Fundraising and any discrepancies/errors investigated.

Policy Author: (Financial Accountant) Charitable Funds)

**Appendix 1**

**The Newcastle Upon Tyne Hospitals NHS Charity/Newcastle Healthcare Charity**

**APPLICATION FOR FUNDRAISING APPROVAL**

APPLICANT'S NAME ..... JOB TITLE .....

WARD/DIRECTORATE/DEPARTMENT .....

SITE ..... EXTENSION NUMBER .....

DETAILS OF FUNDRAISING TO BE UNDERTAKEN (e.g. Raffle, Lottery, Event, Sponsorship)  
.....  
.....  
.....

LOCATION..... DATE .....

PURPOSE OF FUNDRAISING (e.g. general patient benefit (hospital/ward)).....  
.....  
.....

**OTHER NOMINATED STAFF RESPONSIBLE FOR CONDUCT OF FUNDRAISING:**

NAME..... JOB TITLE .....

WARD/DIRECTORATE/DEPT ..... EXT. NO. ....

NAME..... JOB TITLE .....

WARD/DIRECTORATE/DEPT ..... EXT. NO. ....

NAME..... JOB TITLE .....

WARD/DIRECTORATE/DEPT ..... EXT. NO. ....

PRINTED TICKETS REQUIRED (Yes/No)..... (Mandatory for Raffles/Lotteries)

RAFFLE PRIZES (how are prizes to be obtained) .....  
.....

I declare that the information that I/We have given on this form is correct and that I/We agree to follow the procedures/guidelines provided by the Newcastle upon Tyne Hospitals Head of Fundraising (Charitable Funds Office).

**SIGNATURE(S) OF ALL NOMINATED FUNDRAISERS**

..... DATE .....  
..... DATE .....  
..... DATE .....  
..... DATE .....

SIGNATURE OF DIRECTORATE MANAGER..... DATE .....

APPROVED ..... Chief Executive

DATE.....

Copies to:

Applicant  
Charitable Funds Office (Room 203 Cheviot Court, Freeman Hospital).

## **Appendix 2**

### **Step by Step Guide to Implementing a Raffle**

The timetable below is a guideline to planning and implementing a raffle. It is worth taking particular note of the notice that is required for the printing and production of tickets.

#### **Month 1                    Planning**

It is sensible to plan well in advance of the date of the anticipated draw (six months may appear to be a long time but bear in mind that prizes have to be obtained, tickets printed, distributed and publicity organised).

Anticipate the level of funds you hope to achieve and the projected number of ticket sales that you will need to reach that target. Be objective in your assessment and not speculative.

Ensure that the purposes for which you are raising funds is not too restrictive e.g. a certain piece of equipment, as you will then have to set out contingency plans if the sum raised is too small (or define what any excess would be used for) and this must be communicated to prospective ticket purchasers.

#### **Month 2                    Complete the Application Form**

Complete an Application for Fundraising Approval (Appendix 1) and submit to the Charitable Funds Office. Remember you must have approval prior to undertaking any fundraising or publicising the event.

Following receipt of approval (a signed copy will be returned to the Applicant), you are now in a position to progress your plans.

#### **Month 3 to 4            Procurement of Prizes**

Prizes may be received from a number of sources (staff, friends, relatives, local businesses and the general public) however a record of the prize received and the individual donor should be maintained.

Applications to local retailers/businesses must be made on official Trust stationery and the request must be signed by the Applicant (named on the Fundraising Application Form). All prizes received should be formally acknowledged.

Prizes should be kept in a secure location, which is only accessible to those members who form the fundraising committee. Please ensure that the secure location does not infringe the Trust's Health & Safety regulations.

#### **Month 4 to 5            Printing of Tickets**

The Trust's officially appointed Printers will produce tickets in accordance with the Local Authority provisions. A raffle ticket draft template can be obtained from the Charitable Funds Office which should be returned no later than four weeks prior to the date on which you anticipate beginning sales. This will allow sufficient time for the Printers to accommodate your requirements. There will be no charge for the printing of tickets under an agreement between the Trust and the Printers.

## **Month 5 to 6      Sale of Tickets**

A record of ticket distribution and sales must be retained; reconciliation between cash received, tickets sold and remaining tickets should be prepared (Record of Ticket Sales – Appendix 3). Any discrepancies should be investigated and reported as soon as possible to the Head of Fundraising (Charitable Funds Office).

Cash from the sale of tickets should be deposited with the Hospital Cashier as soon as possible and prior to doing so, must be at all times kept in a secure location. The Notification/Receipt of Charitable donation Form (Model Receipt) should be used when paying-in funds to the Cashier and suitably annotated e.g. raffle/lottery ticket sales.

It may be beneficial to advise those purchasing tickets of the arrangements for collection of prizes and any deadline for doing so.

## **Month 6      The Draw**

The date of the draw must be fixed at the outset and it is advisable that an individual(s) who is not part of the fundraising committee makes the draw. A full record of results should be published in a prominent area (e.g. staff notice board, intranet notice board) and a final date published for the collection of prizes. All prize- winners should be asked to sign for the prize when collecting.

Every effort should be made to contact prizewinners however any uncollected prizes may be retained for a later competition. It may be worth considering having a reserve draw if it is the intention that all prizes should be claimed and particularly if consumable items, with a designated sell-by date, form part of the draw.

## **Month 6-9      Local Authority Return**

All unsold tickets should be forwarded to the Charitable Funds Office together with the (Record of Tickets Sales – Appendix 3).

Upon receipt of this information the Charitable Funds Office are required to send a return no later than three months after the draw date (Paragraph 39 of the Gambling Act) to the local Authority.







**THE NEWCASTLE UPON TYNE HOSPITALS NHS FOUNDATION TRUST**  
**IMPACT ASSESSMENT – SCREENING FORM A**

This form must be completed and attached to any procedural document when submitted to the appropriate committee for consideration and approval.

Policy Title:	Staff participating in Fund Raising	Policy Author:	Mike Love, (Financial Accountant) Charitable Funds)
		Yes/No?	You must provide evidence to support your response:
1.	Does the policy/guidance affect one group less or more favourably than another on the basis of:		
	• Race	No	
	• Ethnic origins (including gypsies and travellers)	No	
	• Nationality	No	
	• Gender	No	
	• Culture	No	
	• Religion or belief	No	
	• Sexual orientation including lesbian, gay and bisexual people	No	
	• Age	No	
	• Disability – learning difficulties, physical disability, sensory impairment and mental health problems.	No	
2.	Is there any evidence that some groups are affected differently?	No	
3.	If you have identified potential discrimination, are any exceptions valid, legal and/or justifiable?	No	
4(a).	Is the impact of the policy/guidance likely to be negative? <i>(If "yes", please answer sections 4(b) to 4(d)).</i>	No	
4(b).	If so can the impact be avoided?	No	
4(c).	What alternatives are there to achieving the policy/guidance without the impact?	No	
4(d)	Can we reduce the impact by taking different action?	No	

<b>Comments:</b>	<b>Action Plan due (or Not Applicable):</b>

Name and Designation of Person responsible for completion of this form: Mike Love (Financial Accountant) Charitable Funds  
Date: 10/02/10

Names & Designations of those involved in the impact assessment screening process: Christine Hughes (Financial Accountant-Charitable funds); Pauline Buglass (Head of Fundraising)

(If any reader of this procedural document identifies a potential discriminatory impact that has not been identified on this form, please refer to the Policy Author identified above, together with any suggestions for the actions required to avoid/reduce this impact.)