

**UNIVERSITY HOSPITALS OF LEICESTER NHS TRUST**

**REPORT BY TRUST BOARD COMMITTEE TO TRUST BOARD**

**DATE OF TRUST BOARD MEETING: 7 May 2015**

**COMMITTEE: Charitable Funds Committee**

**CHAIRMAN: Mr K Singh, Trust Chairman**

**DATE OF COMMITTEE MEETING: 2 April 2015**

**RECOMMENDATIONS MADE BY THE COMMITTEE FOR CONSIDERATION BY THE PUBLIC TRUST BOARD:**

**The Trust Board are invited to endorse all recommendations.**

**OTHER KEY ISSUES IDENTIFIED BY THE COMMITTEE FOR NOTING BY THE PUBLIC TRUST BOARD:**

- None

**DATE OF NEXT COMMITTEE MEETING: 4 June 2015.**

**K Singh, Trust Chairman  
1 May 2015**

## UNIVERSITY HOSPITALS OF LEICESTER NHS TRUST

### MINUTES OF THE CHARITABLE FUNDS COMMITTEE MEETING HELD ON THURSDAY 2 APRIL 2015 AT 2PM IN SEMINAR ROOMS 2 AND 3, CLINICAL EDUCATION CENTRE, GLENFIELD HOSPITAL

**Present:** Mr K Singh – Trust Chairman (Chair)  
Mr I Crowe – Non-Executive Director  
Ms C Ribbins – Acting Chief Nurse (from Minute 18/15 to 24/15 inclusive)  
Mr M Traynor – Non-Executive Director

**In Attendance:** M T Diggle – Head of Fundraising  
Mrs H Majeed – Trust Administrator  
Mr R Moore – Non-Executive Director  
Mr N Sone – Charity Finance Lead  
Mr S Ward – Director of Corporate and Legal Affairs  
Mr M Wightman – Director of Marketing and Communications  
Ms J Wilson – Non-Executive Director  
Ms J Woolley – Assistant Financial Accountant

### RECOMMENDED ITEMS

### ACTION

#### 16/15 ITEMS FOR APPROVAL

Paper F outlined the grant applications received since the January 2015 Charitable Funds Committee meeting, noting that all bids received had been pre-reviewed as per current guidelines. The Charity Finance Lead considered that all applications fell within the scope of the funds, were affordable, and had been appropriately authorised by the fund advisers. Applications totalling £180,275 had been approved by the Charity Finance Lead through the scheme of delegation (they did not, therefore, require additional Charitable Funds Committee approval), and were detailed in appendix 1 of paper F. Appendix 2 outlined three applications which had been rejected by the Charity Finance Lead. Appendix 3 detailed transfers between funds requested by the relevant fund managers in order to facilitate grant applications (in accordance with the Transfer of Unrestricted Funds Policy agreed by the Committee).

Members expressed concern that some of the applications did not have sufficient information on which informed decisions could be taken. The Charity Finance Lead advised that, in future, all applications would have a cover sheet listing a number of questions which the applicant would be required to complete and the Finance team would review the application and, if appropriate, would recommend it to the Charitable Funds Committee, for approval. He undertook to circulate the cover sheet outwith the meeting, for approval, so that it could be accompany applications submitted to the June 2015 meeting and subsequent meetings of the Committee.

**CFL**

The Committee undertook detailed consideration of the following new applications for funding (as detailed in appendices 4 – 19 inclusive):

- (i) application 5243 (appendix 4 refers) was an application for £16,104 for conversion of a shower room into a wet room in ward 15 at Glenfield Hospital. The Committee approved the application as the cardio-respiratory patient benefit fund was being used for this purpose;
- (ii) application 5383 (appendix 5 refers), was an application for £27,554 for Bariatric CTG machines in the Maternity Unit at LGH and LRI. The Committee noted that the Medical Equipment Executive had approved this equipment. The Committee were interested to know the grading of this equipment in the medical equipment priority list. The Charity Finance Lead was requested to source this information and forward it to the Committee Chair. Further to this, the Committee Chair would circulate this information to the Charitable Funds Committee members to seek their views. The Committee Chair would confirm to the Charity Finance Lead outwith the meeting re. whether the application had

**CFL**

**Chair**

- been approved/rejected;
- (iii) application 5394 (appendix 6 refers) – £18,385.14 for the extension and refurbishment of Ultrasound Room 3 in the Breast Care Centre – this was approved;
- (iv) application 5398 (appendix 7 refers) was an application for £20,760 for a Criticool machine and fixings for a Neonatal ambulance – this was approved;
- (v) application 5424 (appendix 8 refers) was an application for £9,882 for physiotherapy and occupational therapy equipment – this was approved. However, concern was expressed regarding the provision of annual maintenance costs for this equipment. It was suggested that as part of the application process, CMGs should be asked to confirm whether they had maintenance costs set aside for equipment purchased through charitable funds. However, one view was that such equipment should be maintained as part of the annual equipment maintenance programme. Members suggested that the Interim Director of Estates and Facilities be requested to attend the June 2015 Charitable Funds Committee to provide an update on this matter and on whether retrospective audits could be undertaken to ensure that the equipment purchased through charitable funds remained fit for purpose and available for use. Responding to a query, it was noted that equipment purchased through charitable funds were included on the Trust’s asset register;
- (vi) application 5426 (appendix 9 refers) was an application for £170,485 for salary costs for three individuals to take forward renal research. The Committee requested details to be submitted regarding the added value the funding would provide in taking forward the research. The funding would require Director of Research and Development and Medical Director approval. The Committee agreed that the applicant be asked to outline the consequences if only 75%, 50% or none of the funding requested was approved. The application was not approved but deferred pending such clarification. The Charity Finance Lead was requested to forward these details to the Committee Chair. Further to this, the Committee Chair would circulate this information to the Charitable Funds Committee members to seek their views. The Committee Chair would confirm to the Charity Finance Lead outwith the meeting whether the application had been approved/rejected;
- (vii) application 5448 (appendix 10 refers) was an application for £28,000 for a laser for neonatal eye surgery – the application was approved as it was being funded through the Women’s and Children’s patient benefit fund. The Committee requested that the grading of this equipment in the medical equipment priority list be confirmed. It was suggested that the cover sheet for future applications included ‘utilisation levels’ noting that in this case a similar laser was already in place in emergency theatres;
- (viii) application 5449 (appendix 11 refers) was an application for £16,700 for a Chemidoc touch imaging system for use by the Renal Research Group – the application was approved;
- (ix) application 5458 (appendix 12 refers) was an application for £49,522 for an automated tissue processor to be used in the Breast Care Centre – the application was not approved and CMG representatives were requested to attend the Charitable Funds Committee in June 2015 to provide further details;
- (x) application 5462 (appendix 13 refers) was an application for £327,494 to cover salary costs for Meaningful Activity Coordinator posts – the application was not approved noting that an alternative option for the posts to be funded through the CMG/Directorate budgets. The Committee noted that these posts were very valued and funding needed to be identified. The Director of Corporate and Legal Affairs undertook to highlight this matter to the Chief Executive and Acting Chief Nurse;
- (xi) application 5474 (appendix 14 refers) was an application for £1,535 for training for a healthcare scientist in Jamaica – there was lack of support for this application and therefore it was rejected;
- (xii) application 5327 (appendix 15 refers) was an application for £10,000 for a diabetic screening DVD and easy read leaflets – this application was rejected and the CMG was requested to instead use the services provided by the Medical Illustration Team for this purpose;

**IDEF**

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- (xiii) application 5332 (appendix 16 refers) was an application for £1,800 for three patient TV systems in AICU at Glenfield Hospital – this was approved;
- (xiv) application 5345 (appendix 17 refers) was an application for £1,500 for a carers engagement event – this was approved;
- (xv) application 5346 (appendix 18) was an application for £4,500 for room hire and facilities for a patient experience celebration event – the application was deferred and further information was requested. Members requested details regarding the cost per head, target audience and objectives of the event. The Charity Finance Lead was requested to include ‘cost per head’ on the covering proforma for applications, and
- (xvi) application 5241 (appendix 19) was an application for a contribution of £29,000 towards the cost of 2 EUS scopes from the Brown Dog Fundraising Group – this was approved.

CFL

In general discussion on the bids presented, the Charity Finance Lead was requested to provide an update to the Charitable Funds Committee in June 2015 on the different funding pots (i.e. patient benefit fund, research fund etc.) available and their current income levels.

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**Recommended – that (A) the contents of this report and its appendices be received and noted;**

**(B) applications 5243, 5394, 5398, 5424, 5449, 5332, 5345 be approved and 5448 and 5241 be recommended onto the Trust Board for formal approval (due to their value being over the Charitable Funds Committee’s delegated authorisation limit of £25,000);**

Chair

**(C) the Interim Director of Estates and Facilities be invited to attend the Charitable Funds Committee in June 2015 to provide an update on the annual maintenance of equipment and the need to ensure that the equipment was still fit for purpose noting that these had been purchased through charitable funds;**

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IDEF

**(D) applications 5383, 5426, 5458 and 5346 not be approved, with the applicants to be notified of the outcome of their application by the Charitable Funds Assistant, and the nominated staff members (full details of which are as above – please see points (ii), (vi), (ix), and (xv)) now to seek additional information in respect of these applications before they could be re-submitted for consideration at future meetings of the Charitable Funds Committee;**

CFL

**(E) applications 5462, 5474 and 5327 not be approved, with the applicants to be notified of the outcome of their application by the Charitable Funds Assistant;**

CFL

**(F) the Director of Corporate and Legal Affairs be requested to raise the matter with the Chief Executive and Acting Chief Nurse in respect of application 5462 (as detailed in point (x) above);**

DCLA

**(G) the Charity Finance Lead be requested to circulate the cover sheet that would accompany future ‘items for approval’ reports to the Charitable Funds Committee members outwith the meeting, for approval, and**

CFL

**(H) the Charity Finance Lead be requested to provide an update to the Charitable Funds Committee in June 2015 on the different funding pots (i.e. patient benefit fund, research fund etc.) available and the current income in those.**

CFL

### **RESOLVED ITEMS**

#### **17/15 APOLOGIES FOR ABSENCE**

Apologies for absence were received from Mr C Sutton, Chairman of the Medical Equipment Executive and Mr P Traynor, Director of Finance.

**18/15 DECLARATION OF INTERESTS**

Mr M Traynor, Non-Executive Director declared an interest in the item entitled 'Establishing a Public Lottery' (Minute 26/15 below refers), however due to time constraints this item was deferred.

**19/15 MINUTES**

**Resolved – that the Minutes of the 19 January 2015 Charitable Funds Committee meeting be confirmed as a correct record.**

**20/15 MATTERS ARISING FROM THE MINUTES**

Members reviewed the matters arising report at paper B, which covered both the immediately preceding and earlier Charitable Funds Committee meetings. Specific discussion took place in respect of the following items, noting that all items currently designated as a '5' rating (complete) would be removed from the log.

(a) Minute 03/15a of 19 January 2015 and Minute 56/14a of 17 November 2014 – the Charity Finance Lead confirmed that the Director of Finance had held a meeting with the External Auditors regarding the audit of the Leicester Hospitals Charity accounts. These items be removed from the log;

**TA**

(b) Minute 03/15h of 19 January 2015 – the Committee Chair undertook to liaise with Mr P Panchal, former Non-Executive Director outwith the meeting regarding contacts for Leicester Community groups. This item be removed from the log;

**Chair**

(c) Minute 06/15c of 19 January 2015 (re. future size and structure of UHL's charitable funds) – it was noted that a LiA approach was being taken and the initial aim through this process was for a discussion with the fund holders in respect of the governance arrangements of the existing established funds within CMGs. Further to this, discussions would be held regarding the criteria for the use of charitable funds. Responding to a query, it was noted that an approved strategy did not exist for the use of charitable funds and the Charity did not currently have an annual or medium term expenditure plan. Further to a detailed discussion on this matter, it was agreed that a report be presented to the Charitable Funds Committee in June 2015 regarding the overall objects of the Charity and the structure of the Charity's funds (i.e. size of the charitable funds and how much of it had already been allocated and how much of it currently remained for use). This report to also include an update on future spending plans listing the criteria for which funds could/could not be used and the pattern of the funds (i.e. had there been an increase/decrease). Ms J Wilson, Non-Executive Director noted the need for a mechanism to be in place to ensure donors' wishes to be observed and that the funds were used for the purpose for which they were donated. Members also noted that the Committee had previously considered the possibility of 'externalising' the Charity, however this had not been taken forward because the DoH would not support this due to the smaller size of Leicester Hospitals Charity. The Committee Chair suggested that the paper mentioned above also include an update on the pros and cons in 'externalising' the Charity, and

**CFL/HF  
CFC  
4.6.15**

(d) Minutes 61/14 and 61/14a (Charitable Funds Investment Portfolio) of 17 November 2015 – it was agreed that these items be removed from the matters arising log and the Committee Chair undertook to highlight to the Chief Executive the need for Executive Team oversight of UHL's charitable funds investment management arrangements.

**Chair**

**Resolved – that the discussion above and any associated actions, be noted and progressed by the appropriate lead.**

**Named  
leads**

**21/15 UPDATE FROM CHARITABLE FUNDS INVESTMENT MANAGERS**

Paper C detailed the quarter 4 (2014-15) report from Cazenove Capital Management (investment managers for Leicester Hospitals Charity).

The Committee Chair noted that Cazenove had been the Trust's charitable funds investment managers since 2009 and queried when the market had last been tested via competitive tenders for such services – in response, it was noted that the existing contract with Cazenove was for a period of three years and had been further extended to two years. The Committee Chair requested that a report be presented to the Charitable Funds Committee in June 2015 regarding the proposals for the future appointment of investment managers taking into account the need for maximising returns. The Charity Finance Lead commented that normal practice would be to appoint an independent expert to undertake an assessment of the investment managers, however consideration would need to be given to value for money aspects given that the size of the fund was modest.

CFL

Mr R Moore, Non-Executive Director stressed the need for updating the Trust's investment policy for the Charity. It was suggested that good practice / ideas from other NHS Charities or large charitable funds organisations be sought.

CFL/HF

**Resolved – that (A) the contents of paper C be received and noted;**

**(B) a report be presented to the Charitable Funds Committee in June 2015 regarding the proposals for the future appointment of investment managers taking into account the need for maximising returns, and**

CFL

**(C) the Charity Finance Lead be requested submit a report to the June 2015 meeting of the Charitable Funds Committee to enable the Committee to consider updating the Charity's Investment Policy.**

CFL/HF

## 22/15 INSURANCE POLICIES

Paper D sought the Committee's retrospective approval to fund the following insurance policies from General Purpose funds as the policies currently funded by the Committee had expired on 31 March 2015:

- Directors and Officers Liability – this was designed to protect charitable trustees and covered losses arising from claims brought against the Officials and the Charitable Trust (2015-16 cost £5,777), and
- Group Personal Accident – this was designed to protect members of the Trust's Flying Squad and call out teams who sustained accidental bodily injury resulting in death or disablement. The Trust was not permitted to utilise exchequer funds for this purpose (HSC1999/021 refers) and use of charitable funds for this purpose had been adopted since the inception of UHL (2015-16 cost £9,652.93).

The Committee approved the funding of the above policies through charitable funds for 2015-16.

**Resolved – that (A) the contents of paper D be received and noted, and**

**(B) use of charitable funds for the Directors' and Officers' Liability and Group Personal Accident insurance policies described above be approved.**

## 23/15 FINANCE AND GOVERNANCE REPORT

Paper E detailed the financial position of the Charity for the period ending 28 February 2015 and also provided an update on the general purposes charitable fund. Members expressed concern over some of the outstanding commitments highlighting that the reason for charitable funds being used was not always clear. The Director of Marketing and Communications advised that rigid criteria would not apply in certain cases, noting that if charitable funds were not used for that purpose then the idea/initiative would not go forward particularly citing the example of 'Above Bed Patient Name Boards' and 'Meaningful Activity Coordinator Posts'. Assurance was required that if charitable funds were not available to take forward these initiatives then mainstream funding would be available, however, the Director of Marketing and Communications highlighted that this

assurance was currently not available.

In discussion on appendix 2 (annual events to take place in 2015-16 amounting to £109,000 previously supported from General Purposes funds), a variety of views were expressed in respect of whether these events required charitable funding or could instead be funded through CMG/Directorate budgets. Members suggested that it would be appropriate if charitable funds were used to pump prime such events (e.g. for up to two to three years) and then these should become mainstream and not require charitable funds on an annual basis. It was suggested that for each of the events listed in appendix 2, the lead who had made the initial request be identified and be requested to provide an update for the rationale for the use of charitable funds for that event. A report on this matter be presented to the Committee in June 2015, where a decision would be taken on whether or not it would be appropriate to use charitable funds for that purpose.

CFL

The Committee Chair requested that the 'Finance and Governance Report' to the June 2015 Charitable Funds Committee include: - ongoing commitments (split by capital and revenue), one-off capital commitments, well being at work initiatives and total available balances.

CFL

**Resolved** – that (A) the contents of paper E be received and noted;

**(B) the Charity Finance Lead be requested to contact the Leads who had made the initial request for the events listed in appendix 2 of paper E and request them to provide an update for the rationale for the use of charitable funds for that event, with a report on this matter being presented to the Charitable Funds Committee in June 2015, where a decision would be taken on whether or not it would be appropriate to use charitable funds for that purpose, and**

CFL

**(C) the Finance and Governance Report to be submitted to the Charitable Funds Committee in June 2015 include:- ongoing commitments (split by capital and revenue), one-off capital commitments, well being at work initiatives and total available balances.**

CFL

#### 24/15 FUNDRAISING UPDATE REPORT

Paper G detailed the recent fundraising and promotional activities undertaken by the Charity. The Head of Fundraising advised that the fundraising team had recruited a number of new members of staff and the team were currently focussing on a number of smaller appeals. Further to approval by the Charitable Funds Committee in January 2015 to change the payroll giving benefiting charity from Health Action Leicester for Ethiopia (HALE) to Leicester Hospitals Charity and LOROS, plans were in place to re-launch Pennies from Heaven on 1 May 2015.

**Resolved** – that the contents of paper G be received and noted.

#### 25/15 ESTABLISHING A PUBLIC LOTTERY

**Resolved** – that due to time constraints, this report be deferred to the Charitable Funds Committee in June 2015.

TA

#### 26/15 POTENTIAL FUNDRAISING SCHEME FOR THE CHILDREN'S HOSPITAL

The Director of Marketing and Communications provided a verbal update on a potential fundraising scheme for the Children's Hospital.

**Resolved** – that (A) the verbal update be noted, and

**(B) the Director of Marketing and Communications be requested to provide an update at the next Committee meeting on the potential fundraising scheme for the Children's Hospital further to the initial scoping meeting with the Women's and Children's CMG.**

DMC

**27/15 ANY OTHER BUSINESS**

**27/15/1 Review of Policies in respect of Celebrities/Visitors**

The Head of Fundraising advised verbally that further to the findings from the Savile Enquiry, NHS Charities had been requested to review areas of governance. Therefore, he would be reviewing the current policies in relation to celebrities and visitors and other related areas and put measures in place to strengthen the governance arrangements, as appropriate. An update on this issue would be provided to the Charitable Funds Committee in August 2015. The Committee Chair requested that a checklist of the areas that needed to be reviewed be provided to the June 2015 meeting of the Committee.

**HF**

In discussion, the Director of Corporate and Legal Affairs advised that the Acting Chief Nurse was working on the recommendations from the recently published NHS report relating to the relationship of Savile with the NHS. He suggested that the Head of Fundraising liaise with the Acting Chief Nurse in respect of this matter.

**Resolved – that (A) the verbal update be noted, and**

**(B) the Head of Fundraising be requested to:-**

**(i) provide a checklist to the June 2015 Charitable Funds Committee on the areas/policies that required review following the findings from the Savile Enquiry, and**

**(ii) provide an update to the August 2015 Charitable Funds Committee re. the review of current policies in relation to celebrities and visitors and other related areas and measures put in place to strengthen the governance arrangements.**

**HF**

**28/15 DATE OF NEXT MEETING**

**Resolved – that the next Charitable Funds Committee be held on Thursday, 4 June 2015 from 2pm to 4pm in the C J Bond Room, Clinical Education Centre at Leicester Royal Infirmary.**

The meeting closed at 4:15pm.

**Cumulative Record of Members' Attendance (2015-16 to date):**

*Voting Members*

<i>Name</i>	<i>Possible</i>	<i>Actual</i>	<i>% attendance</i>	<i>Name</i>	<i>Possible</i>	<i>Actual</i>	<i>% attendance</i>
<i>I Crowe</i>	1	1	100%	<i>M Traynor</i>	1	1	100%
<i>C Ribbins</i>	1	1	100%	<i>P Traynor</i>	1	0	0%
<i>K Singh (Chair)</i>	1	1	100%				

*Non-Voting Members*

<i>Name</i>	<i>Possible</i>	<i>Actual</i>	<i>% attendance</i>	<i>Name</i>	<i>Possible</i>	<i>Actual</i>	<i>% attendance</i>
<i>S Dauncey</i>	1	0	0%	<i>R Moore</i>	1	1	100%
<i>J Wilson</i>	1	1	100%				

Hina Majeed, **Trust Administrator**