



## **Fundholder workbook**

For use by fundholders of Special Purpose Funds (SPFs)

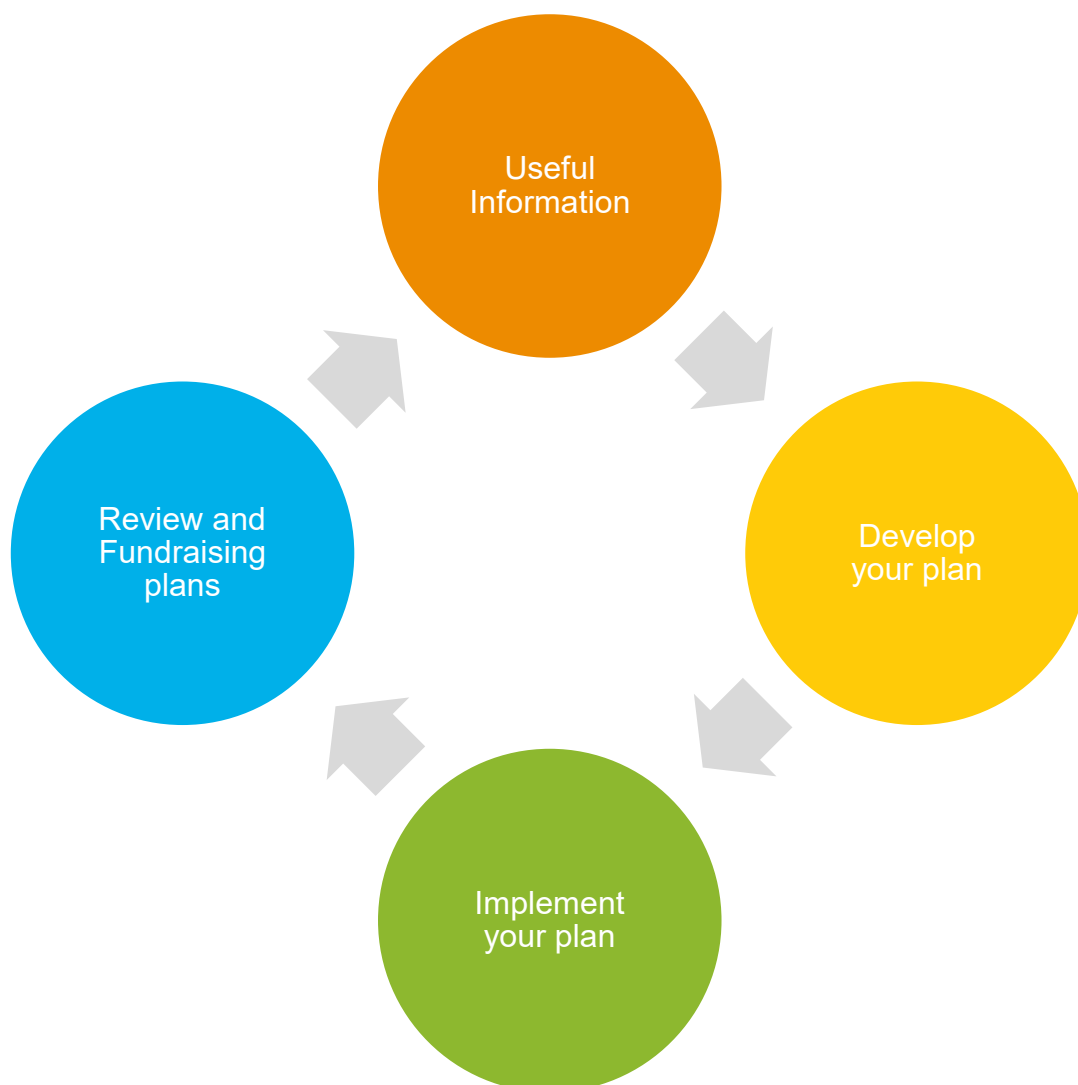


# Fundholder workbook

The purpose of this document is help fundholders develop spending plans and complete their annual review. We have developed this guidance from speaking with fundholders about what information and support they find useful. Please see the Charity's website for additional information or contact a member of the team at [specialfunds@gsttcharity.org.uk](mailto:specialfunds@gsttcharity.org.uk).

## Outline for fundholder pack:

1. [Useful Information](#)
2. [Develop your plan](#)
3. [Implement your plan](#)
4. [Review & Fundraising Plans](#)
5. [Appendix](#)





## Section 1: Useful information

Below is a list of key facts and resources to take into consideration before designing your plan.

- 1) **Overall goals of charitable funding:** The Charity spends millions at the Trust every year to help improve the care and experience of patients as well as staff welfare. Special Purpose Funds are how grateful patients can donate specifically to the area of the Trust they want to show their support. We delegate responsibility to fund-holders who are accountable for actively managing the funds, spending the fundraised income on impactful projects and raising additional income.
- 2) **Your SPF's charitable objective:** Each special purpose fund will have been established with a specific charitable objective when the funds were first donated.

For example, some funds were established to benefit patients alone while others are for the benefit of an entire ward. Funds which have a wider charitable objective have more freedom to spend on different activities.

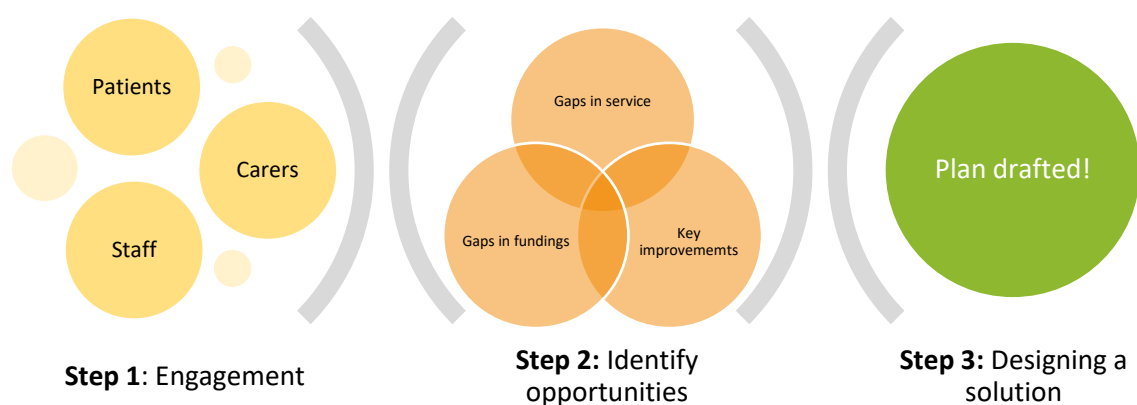
- 3) **Available budget and expected income over next financial year:** If you would like an up to date summary or multiple year report of your fund's financial activity (income and expenditure), please email [specialfunds@gsttcharity.org.uk](mailto:specialfunds@gsttcharity.org.uk).
- 4) **Timeframe & target expenditure:** The Charity is accountable that the donated funds are actively spent in line with regulations from Charity Commission. As a fundholder, you are accountable for spending the requested target as set by the Charity (April 1st to March 31st). This is a minimum not a maximum.

For example, with a balance of £25,000 the Charity may set the target as £10,000 for the funded activity for that financial year.

- 5) **Rules and regulations:** The Charity is overseen by the Charity Commission. We must report annually on the performance of all charitable expenditure. We are audited every year and must publish our accounts on the Charity Commission's website. The Charity has our own Regulations to clarify the role of fundholders and our responsibility to them. Please ensure you have read and apply these rules. They can be found on the Charity's website.
- 6) **Past experience:** What has worked well previously with your fund? Review your old spending plans for successful ideas and what could be improved.

- 7) **It's always good to share how you've spent your funds to encourage fundraising. We can help you with this.**

## Section 2: Develop your plan




### Step 1: Understand the need

To understand the need of your stakeholders and how best to use the charitable funds, engage with them. Define your key stakeholders, how you will seek their input and make a plan. Key stakeholders could include patients, carers and staff from across your area of work including nurses, managers, clinicians and volunteers. The output from this work will be a shortlist (for example 3 to 5) of key needs or challenges.

#### Top tips:

- To help with engagement, have you **reviewed who your fundholders are**? We require at least 2 but you can have more on a fund (one main and one deputy). We recommend people from different areas of your department, for example a service manager, ward nurse and clinician who could help bring different perspectives and helpfully share the workload.
- If a Fundholder retires or leaves employment with the Trust or KCL they will cease to be a Fundholder. Honorary contracts by themselves do not entitle individuals to continue to be Fundholders unless they are also employees of the Trust or KCL.
- You could consider using some of your fund for external facilitation to support engagement.
- We will ask you how you engaged with stakeholders **in your plan** so make sure to capture this information.



Means of engagement could include:

**Patients & carers:**

Use existing information from patient surveys, comments, complaints, outcomes of patient engagement exercises or actively seek input via focus groups or by engaging patients' forums or groups.

**Staff:**

Ask for feedback and recommendations via regular communication channels such as a staff newsletter, your management meetings or through supervisions.

**Top tips:**

- Once you've gathered this information ask a couple of people to read through and draw out the top three needs/challenges that you could focus on.
- Review the Trust's Patient and Carers' Experience Priorities.

**Step 2: Identify solutions**

Next, identify possible solutions to the key needs or challenges you identified above. Ways to approach this could include:


**1) Run a creative session to collaborate and develop solutions:**

**Top tips:**

- Run a **brainstorming session** to help bring out ideas from colleagues – tips for running an effective one can be found [here](#).
- An alternative would be to run a **brain swarming session** – tips can be found [here](#).

**2) Review the different types of possible activities and suggestions:**

In line with your charitable objectives, have you considered the different types of activities you could deliver?



In the spending plans, we have summarised the types of activities that SPFs may deliver into 5 categories:

1. Medical research
2. Staff well-being, support and development
3. Clinical activity: medical equipment, staffing & innovation projects
4. Physical environment improvements for patients, visitors & staff
5. Non-clinical support for patients, carers & visitors

See the activity category diagrams below for examples. Please consider the charitable objective of your SPF when deciding on the activity category or categories. We would recommend, if possible, to create a mixture of activities within your plan (charitable objective permitting).

### Activity category 1: Medical research



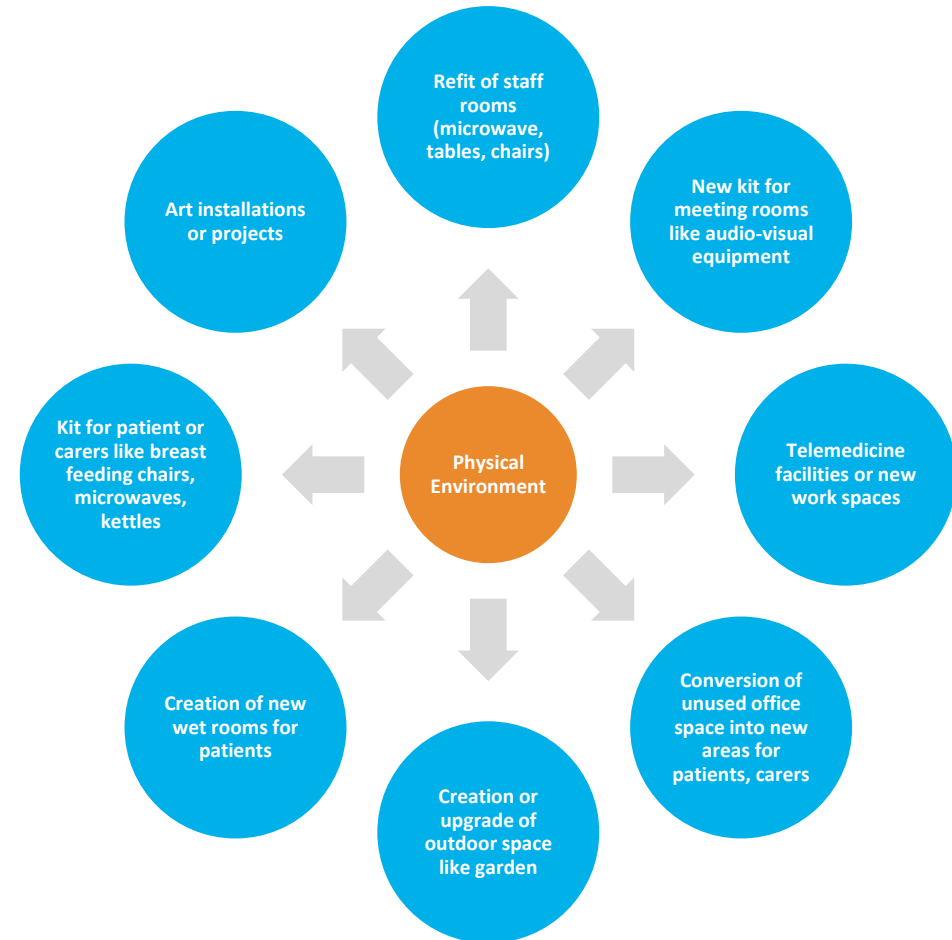
### Activity category 2: Staff Well-being, Support & Development



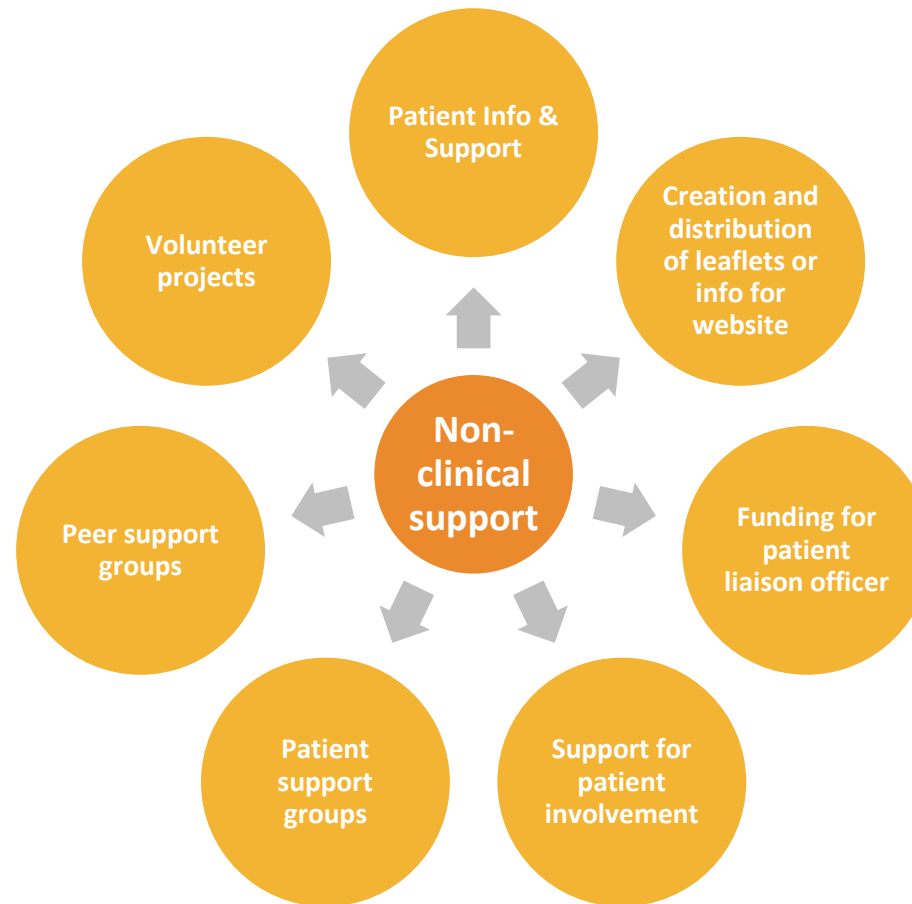
**Activity category 3:** Clinical activity: Medical Equipment, Staffing & Innovation projects



**Activity category 4:** Physical Environment Improvements for patients, visitors & staff



**Activity category 5: Non-Clinical Support for Patients, Carers & Visitors**





### 3) **Gaps in department funding:**

What gaps are there from business planning and capital expenditure process? For example, could your SPF help here by supporting the procurement of either higher quality equipment or in greater quantity? See Activity Category 3 above for examples.

#### 4) Consider different sources of funding:

Review possible sources of funding and supporting arrangements. If your budget cannot cover all your suggestions, investigate other options for co-funding ideas.

Here are some examples of possible funding scenarios:

Potential options	Examples
Wholly funded by SPF	SPF001 has £40,000 and a charitable objective to benefit patients. The fundholder identified several equipment purchases which together totalled £20,000. After she wrote her plan and it was approved by the Charity, she ordered the equipment through Smart Order, included her SPF number in the requisition, and the equipment was exempt from VAT.
Part funded with additional funding from external funding	SPF002 has £10,000 and a charitable objective to benefit patients. The fundholder identified a non-clinical need for a rest and relaxation area for patients so they decided to create a garden. The total cost was £25,000. The fundholder applied to a national charity which focuses on creating gardens in hospitals and they agreed to part fund the project and pay the balance. With £15,000 from the external charity + £10,000 from the SPF002 the project was completed.
Fundraise additional income to compliment above	SPF004 has £20,000 and a charitable objective to benefit patients. They have identified the need for new equipment that is beyond the NHS specification with a total cost of £40,000. The fundholder contacted the Fundraising Team and their Charity Champ for support. They built a fundraising plan and over the course of the year fundraised the additional £20,000.


### Step 3: Design the solution

Define the possible solutions and how they will be delivered.

#### 1) Sketch out solutions and the benefits to patients:

With your problems defined and opportunities for support marked out, define what the possible solutions could be and the benefit to patients. This would be a good opportunity to

For your spending plan, you will need to define the benefit to patients for each activity.



test this again with your key stakeholders.

## 2) **Budget setting:**

With solutions sketched out, it would be good now to investigate how the budget will be used to pay for various elements. As mentioned, be ambitious and think creatively about seeking co-funding for bigger projects.

For your spending plan, we will ask you to identify the timeframes of your activities. This is to help us understand how long different projects may take and when to get in touch for offers of support.

## 3) **Time frames:**

Our plans and targets are based on the financial year (April 1<sup>st</sup> to March 31<sup>st</sup>). So, to complete the project within that time frame, when do you need to start your work? When do you expect it to conclude? Don't forget that some projects – like those involving procurement – will take longer than others. We suggest you start your plans as soon as possible to support them being completed this financial year.

## 4) **Define the outcomes you are seeking:**

Choose which outcomes will best suit your activity. See [Appendix](#).

For your spending plan, we will ask you to identify the outcomes of your activities. This is to help us understand the purposes of different projects and to improve what we report on.

## Step 4: Write your plan

With the context set, the problems outlined, solutions sketched out and tested for viability, you can now write your plan and submit it for approval. You can use the below template to prepare your plan before uploading for the Charity to review.


### Top tips: Support from the Charity

- Request direct support from Charity to help co-develop your plan.
- Request to be linked with another fundholder for peer support.
- Liaise with Charity Champs within your department or the Fundraising Team on fundraising plans
- Attend a spending plan surgery for help.

**Draft Spending Plan:** Please use the below template to draft out your spending plan. To submit your spending plan for review by the Charity, please email [specialfunds@gsttcharity.org.uk](mailto:specialfunds@gsttcharity.org.uk).

**Activity Category:** Please choose the category which best describes the type of activity. The available categories: **(1)** Medical research **(2)** Staff well-being, support and development **(3)** Clinical activity: medical equipment, staffing & innovation projects **(4)** Physical environment improvements for patients, visitors & staff **(5)** Non-clinical support for patients, carers & visitors.

**Project name:** Please give your project a title for ease of reference. For example "Building of a garden for patients and staff"



**Description of patient benefit:** Please summarise how the project will ultimately benefit patients. For example, “This project will benefit patients by creating a new space for them to relax between treatments”

**Project outcomes:** Please choose from the available list (see appendix) which best matches your project. If there is a better one you can suggest, please add. For example, “Reduced anxiety or stress for patients”.

**Patient & Staff involvement:** Please summarise how patients and staff will be involved or contribute to the fund? I.e. will you use patient feedback, engage a patient group, use staff surveys or invite staff to apply for funds? If not appropriate to your charitable objective, please skip. For example, “We used patient feedback surveys and engaged with staff through staff meetings on what should be included in the garden and how to design it”.

**Budget breakdown:** Please provide a full breakdown of costs split as set out below. All expenses must be in line with the purpose of your fund and the Special Purpose Fund Regulations.



## Section 3: Implement your plan

Below is a list of additional considerations and procedures to check before submitting your plan.

### 1) Fundholder regulations:

The Charity has regulations which govern how the charitable funds are to be used by fundholders and our responsibilities to them. For our Special Purpose Fund regulations please see our website. Below is snapshot of some key areas to be aware of when implementing your plan. For additional FAQ's, see our website.

#### Top tips:

- Within guidance: All spend must be in line with the charitable objective of the fund, Charity regulations and with charity and tax legislation;
- All purchases must provide Value for money;
- Timely: Claims cannot be more than 12 months old;
- Within reason: All expenditure must be reasonable and not lavish.

### 2) Procurement

Fundholders should purchase items using their funds via the GSTT procurement system, Smart Order. Initially these are charged to your GSTT budget, then an invoice is raised to recharge your SPF.

#### Top tips:

- Let us know about items over £1,000: When you have ordered items over £1,000 we will liaise with Trust colleagues about the invoicing.

It is essential you that you include your SPF number on the requisition form when ordering your item via Smart Order. You will see Charity Fund ID Box on this page:

**Checkout: Requisition Information**  
\* Indicates required field

Cancel Save Submit Edit Lines Step 1 of 3 Next

\* Requisition Description HEIGHT ADJUSTABLE SHOWER CHAIR product code:

**Delivery**

\* Need-By Date 29.11.2008 09:00:00  
(example: 27.11.2008 19:45:00)

\* Requester Requisitioner,

\* Deliver-To Location 744405 :PATIENT TRANS

**Billing**

\* Taxable Yes

\* Tax Code 1

GL Date 27.11.2008

**Additional Line Information**

Charity Fund ID

Cancel Save Submit Edit Lines Step 1 of 3 Next

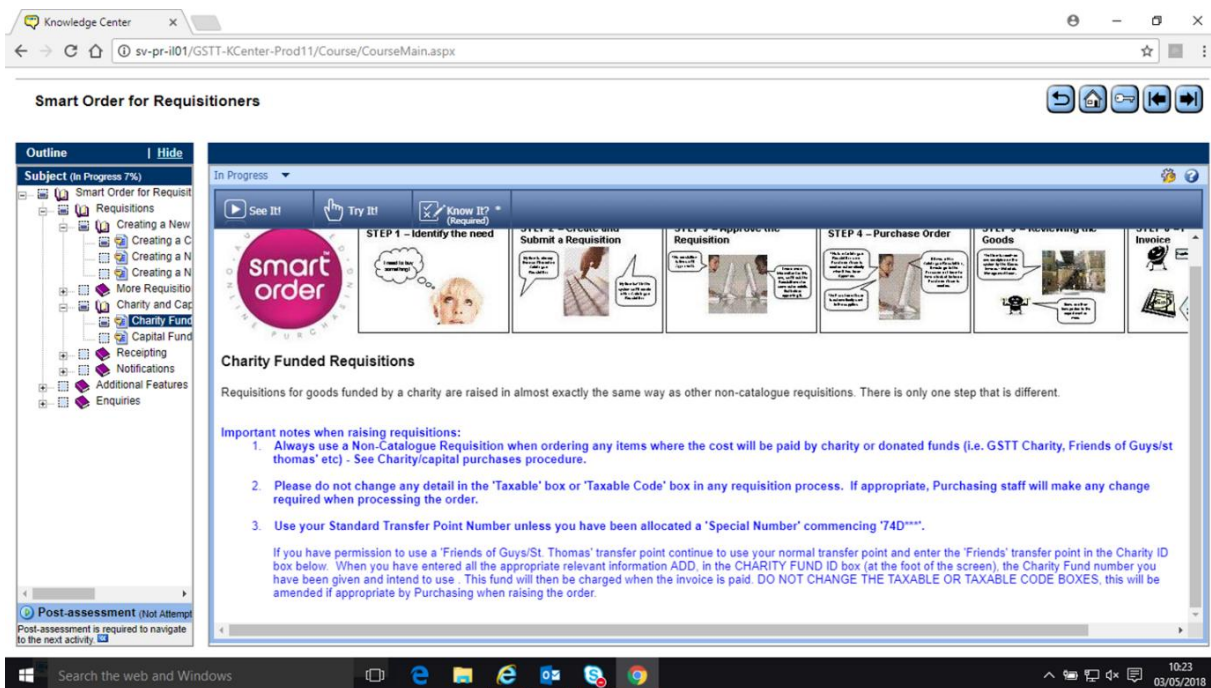
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### Top tips: 0% VAT

- As per our Regulations, tax benefits include the zero rating for VAT purposes of certain medical, scientific, computer, video, sterilising, laboratory and refrigeration equipment provided it is used for medical research, training, diagnosis or treatment. Ask Procurement for further guidance.
- Failure to identify the item as charity funded at the ordering stage means we (your fund and the Charity) will pay VAT at full rate of 20%
- For example, a £5,000 purchase would solicit £1,000 in VAT which could be otherwise be applied to additional charitable expenditure.

Follow the directions as described within the Smart Ordering system. See the section entitled 'Charity Funded Requisitions' for more information.

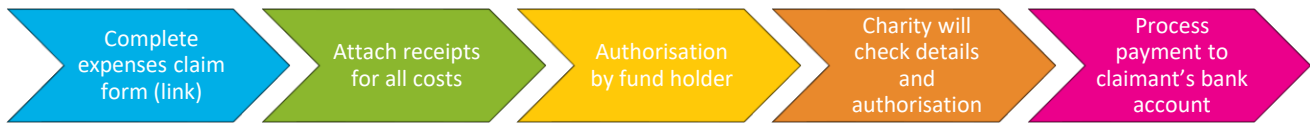


### 3) Expense Claims

Funds can be used claim expenses where they are in line with the remit of the fund and where funds are available.

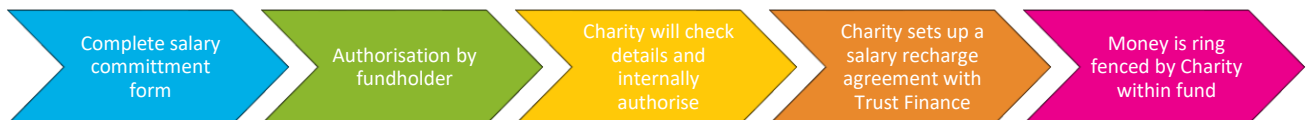
#### Top tips: Expense Claims

- Claim form: See here for expense claim forms. Send completed forms to [specialfunds@gsttcharity.org.uk](mailto:specialfunds@gsttcharity.org.uk).
- Meal limits: Breakfast £8, Lunch £20 and Dinner £35
- First Class travel is not allowed. In exceptional circumstances and with prior approval of the Charity business class may be allowed.
- Check eligibility: Ensure amount is within expenditure limits and regulations before submitting
- If claiming as fundholder: If over £250 and for yourself please get it authorised by your co-fundholder
- Approval process: it usually takes 2 weeks unless the form is incorrectly completed, or insufficient backing documents provided.
- We reserve the right to refuse to pay claims which are not in line with charitable purposes.



#### 4) Salary commitments

Funds can be used to pay the salaries of posts where their role fits with remit of the fund and where funds are available.




##### Top tips: Salary commitments

- Salary commitment forms: To request forms or to send completed ones please contact [specialfunds@gsttcharity.org.uk](mailto:specialfunds@gsttcharity.org.uk).
- Details: With as much detail as possible add information on start and end dates, salary amount that charity funding is covering, specify working time equivalent (WTE), eg 1 WTE or 0.5 WTE if covering half a salary.

#### 5) Events

##### Top tips: Events

- Application to Fund Special event form: Request a fund or Send completed forms to [specialfunds@gsttcharity.org.uk](mailto:specialfunds@gsttcharity.org.uk)
- 1 per year: Only one staff celebration event is allowed per annum if eligible to be supported by the fund
- Events over £500: must be approved by Charity prior to incurring expenditure
- Meal limits: Breakfast £8, Lunch £20 and Dinner £35 (including room hire) – no alcohol except reasonable amounts for staff celebration events (eg Christmas), group hospitality and for fundraising events. The alcohol should be within the limits as above
- The Charity is unable to reimburse tips or optional service charges as these are prohibited by the Charity Comm
- Events must be open to all
- Events funded with charitable funds cannot include leaving do's birthday celebrations or retirement events.
- Up to two staff wellbeing events or activities are allowed per year if eligible to be supported by the fund.



Funds can be used to pay for events where it fits with the remit of the fund and where funds are available.

## **6) Fundholder code of conduct**

Our Special Purpose Funds (SPFs) depend on the generosity of donors, and the great fundraising efforts of patients and hospital staff alike. We are legally required to spend the funds actively and in accordance with donors' wishes. We also have an obligation to show our donors that their donations are actively spent, and in a manner that respects their charitable nature.





Without the continued commitment and expertise of fundholders, our funds will not be able to deliver the great benefits to patients and staff which they have previously achieved. We've developed the following SPF code of conduct to assist fundholders in understanding this responsibility, and what is required from them as stewards of these charitable funds.

### **Fundholders should:**

- Understand their role and level of authority as per the SPF regulations
- Ensure that the presence of their fund is known within their department
- See that all expenditure reflects the charitable nature of the fund
- Work with the Fundraising Team to ensure that donations are processed appropriately and in time
- Spend their fund actively and in accordance with the SPF regulations
- Submit reporting forms and plans as required
- Declare any conflicts of interest
- Ensure that all activity supported through the SPF is in line with governing policies, principles, and procedures of their employer (for example Trust or KCL) and these Regulations.
- Maintain the positive reputation of the Trust and Foundation.
- Collaborate with the Foundation to raise any issues which may lead to the SPF not being actively used and to actively resolve together.

### **Fundholders should not:**

- Directly or indirectly restrict access to the fund to a subset of beneficiaries, be it patients or staff. Or use the fund for personal benefit only
- Use the fund as a savings facility, instead of actively utilising it for the benefit of patients and staff

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- Use the fund for any purpose which is outside of its charitable objective, or fund any items which could be covered by standard NHS provision
  - Support any expenditure which may risk reputational damage to the Charity or Guy's and St Thomas' NHS Foundation Trust
  - Repeatedly fail to fulfil their duty to report back to the Charity and adhere to the SPF regulations

## Section 4: Review & Fundraising Plans

As a part of your annual spending plan, we will ask you to review your and set out your fundraising plans. For information on what is support is available to you from the Fundraising Team, Fundholders can contact the Fundraising Team by contacting the Supporter Care team:

Guy's and St Thomas' Charity on 0208 106 5433 or via the Contact form [Get in touch - Guy's & St Thomas' Charity](#)-


Evelina London Children's Charity on 020 8106 5435 or via the contact form [Get in touch - Evelina London Children's Charity](#)

Guy's Cancer Charity on 020 8106 5434 or via the contact form [Get in touch - Guy's Cancer Charity](#)

**Review:** Summarise the expenditure and achievements of your fund over the period April to March, please explain how this achieved your spending plan for this year or why it differed. Please also include anonymised impact stories or quotes from patients and staff where possible.

**Minimum expenditure:** If your fund has failed to spend a minimum of 25% of its opening balance this financial year please detail the reasons and what steps are being taken to remedy this.

**Missing Expenditure:** Is there any expenditure which you expected this year but which has not yet been charged to your fund?



**Fundraising plans & anticipated income (1 of 2):** Please provide details of any income anticipated over the period of this plan, including fundraising activities you plan to undertake over this period.

**Fundraising plans & anticipated income (2 of 2):** Please provide a financial target, if available, for your fundraising plans.

**Request for reserves (1 of 2):** Only complete if a reserve is planned. Please outline the amount planned as a reserve and the reasons for it. Further detail can be found in the guidance notes.

**Request for reserves (2 of 2):** Please state the amount you are requesting to reserve.

**Appendix:** Below is a selection of outcomes that may be appropriate for you to choose from, listed by Activity Category

<b>Medical Research</b>		
Improvements in diagnosis, treatment and care are available and implemented more widely (including better and new treatments)	More staff have experience of clinical research	
There is greater understanding of the potential of new technologies and materials, and/or of new applications for existing technologies and materials	Staff with experience of research continue on their research journey (for example, securing further funding from other bodies)	
Innovations in clinical treatment are developed	The trust's reputation as a place of research increases	
More patients are able to participate in and benefit from research	More specialist, skilled and experienced staff are attracted to work at the trust	

<b>Staff well-being, support &amp; development</b>		
Staff are healthier and absenteeism is reduced	Staff are better role models through looking after their own health	Staff feel greater responsibility for patient welfare
Staff retention is increased and staff turnover is reduced	Patients have more respect for staff and are more motivated to look after their own health	Increased consistency of care
Staff work is recognised	The hospital has the resources (facilities, time, knowledge) to train staff effectively	Clinicians' time and skills are better targeted to need
Staff feel valued	Staff are (and feel) better equipped to do a good job	

<b>Clinical activity: medical equipment, staffing &amp; innovation projects</b>		
Reduced mortality (death)	Patients, families and carers are better informed about their diagnosis and treatment	Patients are less institutionalised
Reduced morbidity (illness)	Improved discharge service or better transition from hospital to home	More trainees have high quality clinical training
The hospital has state of the art equipment	Reduced length of stay	Clinicians' time and skills are better targeted to need
Faster or more accurate diagnosis	Reduced readmissions	Patients behave in a way which promotes their health/are advocates for their own health and that of others
Referral processes are improved (speed, appropriateness)	Increase available beds in the hospital	

<b>Physical Environment Improvements for patients, visitors &amp; staff Or Non-Clinical Support for Patients, Carers &amp; Visitors</b>		
Patients and visitors have a more comfortable experience in hospital	Improved access and flow to, from, and within the hospital	Patients have a more integrated experience of health and social care
Reduced anxiety or stress for patients	Waiting times for patients are reduced	Increased consistency of care
Better carer and family involvement	The hospital offers a more streamlined patient pathway	Improved discharge service or better transition from hospital to home
Improved patient and families' well-being	Better access to information on condition and treatment	Reduced length of stay