

Expenditure policy and guidelines

Southmead Hospital Charity: Expenditure policy and guidelines	
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Policy authors:	SHC Charity Team, Finance
Reviewed by:	Charity Director & Director of Operational Finance
Next review date:	June 2021
Approval:	Southmead Hospital Charity Committee

About us

Southmead Hospital Charity (SHC) is the official NHS charity for North Bristol NHS Trust (NBT) and supports the Trust in a variety of ways, through donations and fundraising across these five areas:



Research



Patient
support



Equipment



Staff support
and training



Buildings and
Spaces

Donations are given to support the above five areas over and above the levels already provided by the NHS / Trust.

Purpose

The purpose of this policy is to provide all fund holders / signatories with clarity as to how donors' monies can be donated, and used to support the Trust across the above five areas.

As well as this overview, please also refer to our funding request workflow that summarises the processes required, as well as our 'can and cannot' user guide examples for ease of reference. Funding requests are awarded following a robust procedure to ensure that donations are spent in accordance with both the Charity's objectives and our donors' wishes, to the greatest benefit across our five areas of support. These must also meet with the Trust's strategy and planning.

Fund request process

All fund holders must submit an annual expenditure plan as part of the Charity's annual spending plan process.

Funding requests above £50,000

It is a Trust requirement that all spending requests above £50,000 follow the business case guidelines to satisfy the Trust's process which can be found in Appendix A of this guide.

Expenditure Requests (ER) - funding requests and approval levels

When submitting a funding request, each request needs to be completed and accompany the relevant paperwork mentioned above or we are unable to accept the request.

The following tiers of signoff are required:

Amount	Funding request to Southmead Hospital Charity for consideration and approval
Up to £1,000	One fund signatory
£1,000 to £10,000	Two fund signatories
£10,000 to £50,000	Two fund signatories plus approval by the Director of Finance
Over £50,000	Two fund signatories plus approval by the Southmead Hospital Charity Committee

Retrospective funding

In line with recommendations from both the Charity Commission and NHS Charities Together (formally the Association of NHS Charities), applications for retrospective funding will not be approved. Please ensure that all requests are submitted prior to any spend, using [this](#) form which is located in the how you can apply for funding section of the Charity website.

Marketing and communications spend

All marketing and communications spend relating to the Charity is managed by the Charity team. No individual fund or group of funds is permitted to pay for any separate marketing or communications materials, including logos, in order to promote one fund over another without prior written consent from the Charity.

Staff salaries

Any proposal to fund a staff post from donors' monies must include confirmation as to how that post will be funded following the initial SHC support. The Trust will be expected to fund all costings outside of those fully costed e.g. paid leave of absence.

Impact of funding requested approved

Providing an update on the difference allocated donations have made is critical in allowing the Charity to demonstrate the positive impact that the public's support and generosity have. This allows us to update the Charity Committee, our donors and supporters as to how their donations have made a difference. Requests for over £5,000 will automatically be asked to complete an impact report at either six or 12 months, depending on the value and length of the project. Please also see the SHC acknowledgement policy.



1. Donations to support research

The Charity provides support to research in a variety of ways. There are specific funds set up to support research as well as the SHC Research Fund which is administered through a grant round processes. Research can also be funded through the SHC General Funds.

You can request donations to support research in your area by completing the necessary funding request form [here](#) which is located in the how you can apply for funding section of the Charity website.

1.1 Any spending on either clinical or non-clinical research must be approved by the Charity's research group to ensure that expenditure is in line with NBT's robust research policy. This includes the funding of fixed term PhD positions.

1.2 Those wishing to use donations to support NBT research will need to complete the Charity's funding request form [here](#) (which is located in the how you can apply for funding section of the Charity website), outlining the research to be undertaken and a full costing of the project which will be reviewed quarterly ahead of each SHC Committee meeting.

1.3 Applicants should be aware that all research funded by the Charity where external bodies are involved should have agreements with those external bodies ready to accompany their application. No charitable income from an external body will be credited to a research account without these agreements.

1.4 Any research contracts entered into with external bodies should be referred to R&I in the first instance.

Examples of items recently funded by the Charity to support research include:

- Funding two full-time PhD studentship posts to research the prevention of brain cancer and more targeted treatments that will improve and prolong human life
- Research into new approaches for slowing down, stopping or even reversing the progression of Parkinson's disease
- Coronavirus (COVID-19) research to develop diagnostic testing, increase understanding of immunity, explore secondary infections and test new drug treatments



2. Donations to provide patient support

The Charity provides support to patients in a variety of way for example, Fresh Arts, Disability Fund, tablets for family contact, bereavement bags and baby scan photos during the Coronavirus pandemic when partners could not be accompanied at antenatal scans.

You can request donations to support patients in your area by completing the necessary funding request form [here](#), which is located in the how you can apply for funding section of the Charity website.

2.1 The Charity provides a small gift to all patients in hospital on Christmas Day as part of the Charity's Christmas Appeal. Individual department funds are not permitted to buy gifts for patients from divisional funds.

2.2 Grants to individual patients in the form of travel, subsistence or gifts are not permitted. The exception is when a patient celebrates their 100th birthday whereby the Charity will fund the cost of a birthday cake.

2.3 No items of food or drink should be bought for the patient using donors' monies except those outlined in 2.2.

Examples of items recently funded by the Charity to support patients include:

- Audio books to support patients with dementia
- Tablets to aid communication with family and friends during the recent Coronavirus pandemic
- Fresh Arts
- Sunflower lanyards
- Baby scan photos when partners could not be accompanied at antenatal scans during the coronavirus pandemic
- Bereavement bags



3. Donations to provide equipment

The Charity provides support to fund equipment in a variety of ways, including state-of-the-art surgical robots, portable ultrasound scanners, and portable shower chairs.

You can support a request for donations to fund equipment in your area by completing the necessary funding request form [here](#), which is located in the how you can apply for funding section of the Charity website.

3.1 Any charitable project relating to purchasing a piece of equipment must complete a funding request [form](#) (which is located in the how you can apply for funding section of the Charity website) or a Trust business case form which must be submitted to the Charity for initial approval.

3.2 If the application is less than £50k it will then be reviewed by the Charity on a weekly basis. The funding approval or rejection will be notified with 7 working days.

3.3 If the application value is over £50k then the Trust business case process must be followed;

- The business case will be reviewed by the Trust's business planning team who will liaise directly with the applicant after submission to SHC.
- If agreed, official sign off will be provided by the Business Case Review Group.
- Applications below £50k will be passed to the Director of Finance for approval.
- Applications above £50k will then be presented at the next SHC Committee meeting for approval, or circulated by exception if there is a long time frame between meetings.

3.4 Please note clear and robust justification is required to fund replacement equipment.

Examples of items recently funded by the Charity to support patients include:

- Two new, state-of-the-art surgical robots for our urology department
- The purchase of visitor chairs for each maternity bed for our Women and Children's Health division
- Portable ultrasound scanners for ICU
- Specialist mammography chair for use in breast care to support patients with reduced mobility



4. Donations to provide staff support and development

The Charity receives many donations to support our staff including staff training and health and wellbeing initiatives. Donors' money must be used in a way that is transparent. Upskilling the knowledge of staff to provide better patient outcomes can be considered, with a clear rationale.

You can support a request for donations to support training or health and wellbeing initiatives in your area by completing the necessary funding request form [here](#) which is located in the how you can apply for funding section of the Charity website.

Expenditure relating to staff development, training and conferences

- 4.1 The use of donors' money for staff training and attending conferences should be aligned with Trust policy. Please refer to the policy [here](#). Please also refer to our can / cannot guide.
- 4.2 All those requesting funds for such purposes must ensure all requests adhere with staff training guidelines and the Trust's study leave [policy](#).
- 4.3 There are four Trust study leave categories.

Category 1: Where development is considered to be vital to service delivery or a legislative requirement and identified as an essential business benefit.

Category 2: Where the proposed study is of equal value to the Trust and the individual.

Category 3: Where the proposed study is of greater value to the individual than the Trust.

Category 4: Where the proposed study is considered not to be of any benefit to the Trust and is only for personal development.

Ordinarily, donors' money will be considered in support of categories 2 & 3.

- 4.4 Any travel and subsistence will only be paid when it has been arranged in advance through the Trust's travel agency via the Trust cashiers. Retrospective funding of travel and subsistence not previously agreed by the Charity will not be paid.

4.5 The purchase of alcohol will not be paid for by the Charity.

4.6 Any off site training courses solely funded by the Charity may include reasonable refreshment costs via prior written approval from the Charity and must align with the Trust's expenses policy.

4.7 Purchases for staff benefit will only be allowed where the staff benefit directly translates to patient benefit, for example supporting the staff health and wellbeing programme or the improvement of staff facilities in order to provide adequate rest areas.

4.8 In accordance with guidance from the Charity Commission and NHS Charities Together (formally the Association of NHS Charities), the following activities will not be funded by the Charity:

- Staff parties, including retirement parties
- Staff gifts including long service awards and retirement gifts
- The provision of staff refreshments outside of staff training days
- Projects which would benefit a single or minimal members of staff

4.9 The Charity will support the Trust's Exceptional Healthcare Awards through sponsorship from our corporate partners. It will also support the NBT Hero Teas and an annual volunteer celebration. The attendance at any other award or celebration event will not be supported by the Charity.

4.10 Only donations with documented evidence specifically stating that monies are to be used for staff social events will be used to fund staff celebration or social events.

Professional Association Fees

4.11 In line with Trust policy, the Charity does not pay for the cost of any membership or professional association fees.

Uniforms

4.12 The Charity doesn't purchase any uniform. Branded Charity items are provided for the Charity team, NBT volunteers and Fresh Arts musicians and will be purchased by

the Charity. Donors' money can be used, where available, to purchase NBT / SHC sweatshirts where appropriate, and with divisional approval.

Examples of items recently funded by the Charity for staff support and development include:

- Sweatshirts
- Counselling
- Beds
- Welfare packs
- Water bottles
- Lidded cups
- Face coverings for non-work use



5. Donations to support improvement to our hospitals' buildings and spaces

The Charity provides support to improve our hospitals' buildings and spaces in a variety of ways, including the creation of a new training simulation training space within Learning and Research, the refurbishment of dementia friendly cubicles within our Emergency department and the purchase of benches across NBT.

You can support a request for donations to fund improvements in your area by completing the necessary funding request form [here](#) which can be found in the how you can apply for funding section of the Charity's website.

5.1 Any charitable project relating to improvement to our buildings and spaces must follow the Trust's business case process and documentation, to be submitted to the Charity with any funding request for initial approval.

5.2 The application will then follow the Trust's business cases process:

- The business case will be reviewed by the Trust's business planning team who will liaise directly with the applicant after submission to SHC.
- If agreed, official sign off will be provided by the Business Case Review Group.
- Applications below £50k will be passed to the Director of Finance for approval.
- Applications above £50k will then be presented at the next SHC Committee meeting for approval, or circulated by exception if there is a long time frame between meetings.

5.3 Please note, all improvements to buildings to meet building regulations, or law must be funded by the Trust.

Examples of items recently funded by the Charity to support improvements to our hospitals' buildings and spaces include:

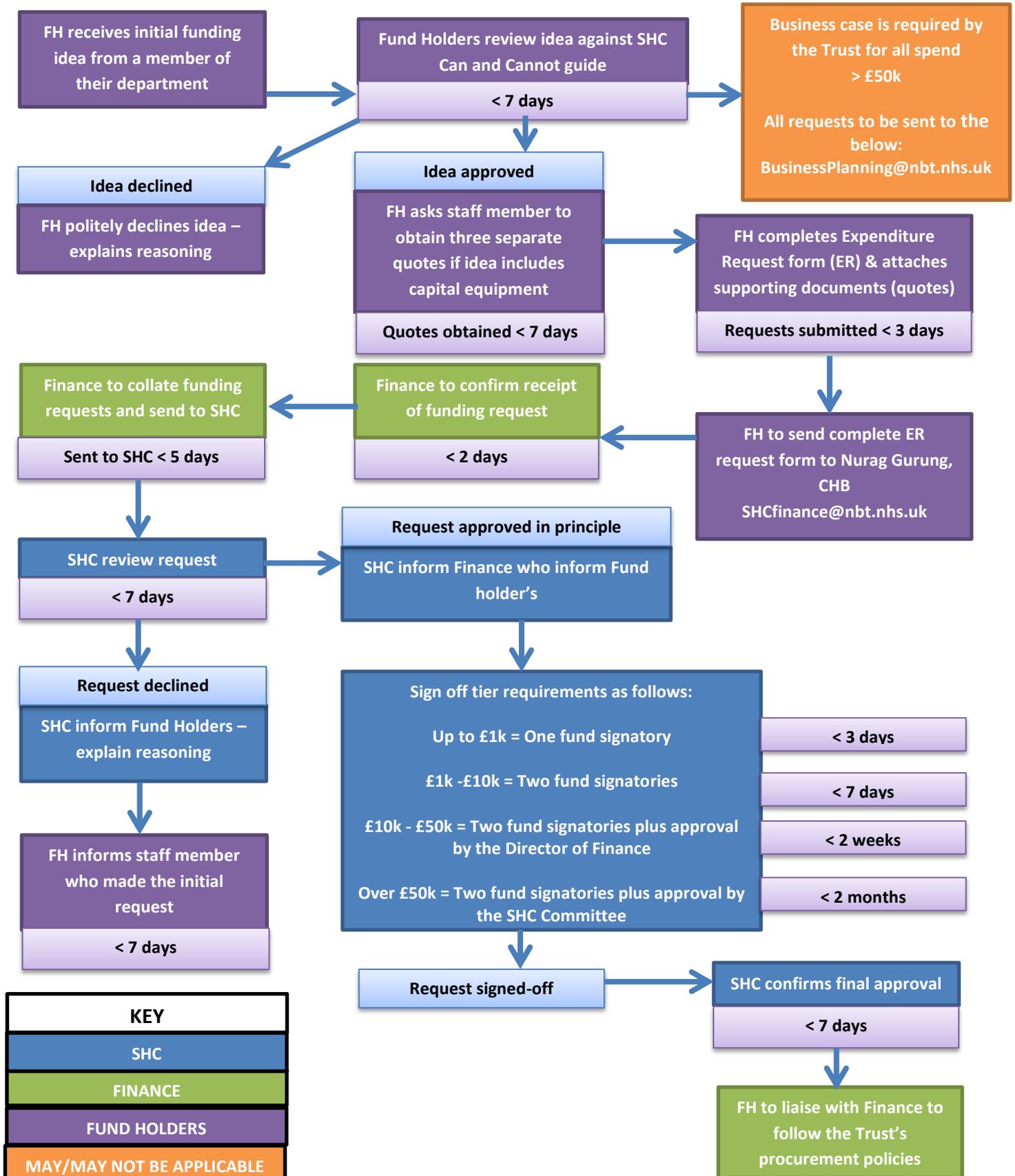
- The creation of a new simulation training space within Learning and Research
- Refurbishment of dementia friendly cubicles within our Emergency department
- A dedicated family room within our Maternity department
- Benches across the site
- Wall vinyls

- Improvements to Elgar House

If you are uncertain as to whether or not your proposed project meets with our guidelines, please do not hesitate to give the Charity team a call on 0117 414 0170 or email hello@southmeadhospitalcharity.org.uk

New request for donor funding workflow

This process is for all Fund Holders (FH) to request spend from their charitable funds in line with the Southmead Hospital Charity expenditure guidelines.



‘Can and cannot’ user guidelines

This guide is intended to support fund holders’ understanding of what SHC donations can and cannot be used to support.

As a general rule, your request must benefit patients either directly or indirectly **and** must not be used to provide standard NHS provisions, regardless of any budget restrictions from the Trust.

Funding Area	We <u>can</u> fund	Examples of approved spend	We <u>cannot</u> fund
 Research	<p>Research that aims to save life or prolong and improve quality of life</p> <p>PhD research posts</p> <p>Collaborative research projects with other NHS Trusts</p>	<p>Funding two full-time PhD studentship posts to research the prevention of brain cancer and more targeted treatments that will improve and prolong human life</p> <p>Research into new approaches for slowing down, stopping or even reversing the progression of Parkinson’s disease</p> <p>Coronavirus research to develop diagnostic testing, increase understanding of immunity, explore secondary infections and test new drug treatments</p>	<p>Living costs for researchers</p> <p>Research that goes against NBT’s research policy</p> <p>Research that we’d not be permitted to publish upon completion</p>

 <p>Patient support</p>	<p>Palliative, end-of-life and bereavement support</p> <p>Creative arts and other therapeutic activities</p> <p>Easier access to healthcare information and support</p> <p>Initiatives that improve patient experience</p> <p>Volunteer programmes that support patients</p>	<p>Dementia-friendly signage, reminiscence rooms and specially-trained 'Friendly Faces' volunteers</p> <p>Fresh Arts 'Arts on Referral' – artist-led workshops that allow chronically ill patients to meet with others with similar conditions and enjoy creative activities together</p> <p>'My Pregnancy' App which provides expectant mothers with free and accessible pregnancy information and useful NBT contact numbers</p> <p>Specially trained 'Purple Butterfly' volunteers to support dying patients and raise awareness of their needs within the hospital</p> <p>Tablets that allow patients to contact their families at home</p> <p>TVs to improve patients' stay</p> <p>Bereavement bags for families who have lost their loved one in the ICU</p> <p>Audiobooks and headphones for patients with dementia</p> <p>Birthday cake to celebrate a patient's 100th birthday</p> <p>SHC branded pens ordered by Charity team</p>	<p>Grants for patient for travel</p> <p>Gifts, including Christmas gifts (these will be provided centrally by the Charity)</p> <p>Food or drink for patients (with the exception of 100th birthday cakes)</p> <p>General stationery and office equipment</p>
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 <p>Equipment</p>	<p>Clinical equipment that will help save lives, speed recovery rates and get patients home quicker</p> <p>Ground-breaking or innovative new technology</p>	<p>A state-of-the-art brain microscope allowing complex brain operations to be more accurate and precise, saving more lives affected by tumours, disease and trauma</p> <p>Transfer scales which allow staff to assess a patient's weight when they are too unwell to mobilise out of bed and weigh with portable scales</p> <p>Providing each nurse of the Hospital at Home team with a portable drip stand so they can administer medication more safely and easily</p> <p>EEG headset to help us understand more about brain changes after brain injury e.g. stroke, which may help to predict cognitive impairment or vascular dementia</p> <p>MOTOMed Movement Therapy bike which supports low mobility patients in a seated position, including wheelchair users</p> <p>Two surgical robots supporting the Urology department - providing men with better long-term prospects for a full recovery following surgery</p> <p>Endoscopy simulator which enhances the learning experience of trainee endoscopists and replaces monitored training in actual practice</p> <p>Portable cardiac equipment</p>	<p>Standard Trust provisions and non-clinical equipment like office desks and chairs</p> <p>On-going equipment or maintenance costs</p> <p>Replacement equipment</p>
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 <p>Staff support and training</p>	<p>Health and wellbeing initiatives</p> <p>Non-mandatory training that is of equal value to the Trust and the individual – there must be a benefit to patients</p> <p>Non-mandatory training that is of greater value to the individual than the Trust – there must be a benefit to patients</p> <p>Uniforms for NBT volunteers and Fresh Arts musicians</p>	<p>The staff wellbeing programme which provides a range of physical, psychological and lifestyle support for NBT staff</p> <p>Courses and conferences that increase staff knowledge and expertise so they can go on to provide a higher standard of care to patients</p> <p>Exceptional Healthcare Awards and NBT Hero awards to acknowledge those who make the biggest difference to our patients and hospitals</p> <p>Polo shirts for Move Makers which include the Charity logo</p> <p>The new intranet which is more accessible and user-friendly for staff</p>	<p>Mandatory NHS training e.g. legislative requirement</p> <p>Training requests that are not aligned with Trust policy</p> <p>Travel and subsistence when the Trust is paying for training (they must also pay for associated costs)</p> <p>Retrospective funding of travel and subsistence (must be agreed in advance)</p> <p>Professional body membership or fees</p> <p>Staff standard uniforms</p> <p>The following cannot be funded, specifically in line with guidance from the Charity Commission and NHS Charities Together (formally the Association of NHS Charities):</p> <p>Staff parties, including retirement parties</p> <p>Staff gifts including long service awards and retirement gifts</p> <p>The provision of staff refreshments outside of a meeting</p> <p>Projects that would benefit a single or minimal members of staff</p>
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 <p>Buildings and Spaces</p>	<p>Transforming buildings and spaces to improve patient experience</p> <p>Transforming buildings and spaces that will have positive impact on staff and volunteers</p> <p>Initiatives that encompass or encourage sustainable practices</p>	<p>Refurbishment of the Maple Suite (neonatal bereavement) to create a warm and peaceful environment for parents going through the most distressing of times</p> <p>Refurbishment of the Cotswold Outpatient's waiting/treatment rooms to create more patient-friendly environment</p> <p>The on-site staff allotment to promote staff health & wellbeing and improve NBT's sustainability</p> <p>The clinical simulation space which provides a more immersive and interactive learning environment for trainees whilst reducing the risk of medical error in actual practice</p> <p>The refurbishment of the dementia-friendly cubicles within the Emergency Department</p> <p>A dedicated family room within Maternity</p> <p>Mood lighting for birth rooms</p> <p>Wall vinyl's in the ICU to brighten patient areas and provide information on the different equipment</p> <p>Transforming Southmead Hospital's roof terrace into a herb garden, with over 30 types of herbs grown and used in the preparation of staff and patient meals</p>	<p>Requests without a completed Trust business case for applications over £5k</p> <p>Requests that are needed to conform to building regulations or law (this is the Trust's responsibility)</p> <p>Like-for-like replacements for wear and tear e.g. replacing 10 old chairs with 10 new chairs of the same standard</p> <p>Making a staff space suitable for all employees e.g. wheelchair access (this is the Trust's responsibility)</p>
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Appendix A

Overview of NBT Business Case Flows - excluding those funded under Covid cost recovery (5)

Forum / Approver		Southmead Hospital Charity	Business Case Review Group (1)	Capital Review Group	Director of Finance	Trust Management Team	Finance and Performance Committee	Trust Board	NHSI
Purpose of review		To agree if the Charity will make funds available to pay for the proposal IF it is approved through normal Trust processes.	To confirm the case is in line with Trust agreed priorities, included in Capital Plan, assess impacts on other areas of the Trust and has been through sufficient clinical review.	To confirm that the case is included in the capital plan (or is replacing something else) and to assess the impact on other capital schemes to manage the Trust Capital Spend in line with available sources of capital	Approves as below	Approves I&E as below and receives Capital > £100k for information (2)	Approves as below	Approves as below	Approves as below
Approval	Capital (3)	0	0	£100k	<£500k		<£1m	<£15m	>£15m
	Revenue	0	0	N/A	<£100k	<£500k	<£1m	<£15m	>£15m

(1) BCRG will review all Business cases (both capital and I&E) except for Capital cases below £50k which will go directly to the Director of Finance for approval.

(2) TMT Approves the Trust's Annual Capital Plan on the way to Board final approval and so does not approve each capital business case.

Cases >£100k will be sent for them to note.

(3) For Capital cases, if there is a revenue impact > £50k, this needs to go through the revenue approval route too.

Charity Support (4)

Forum / Approver		Charity Director & Head of Fundraising	Director of Finance	Southmead Hospital Charity
Funding Support	Capital (3)	N/A	< £50k	>£50k
	Revenue	<£10k	< £50k	> £50k

(4) Once Charity has agreed to support a bid, only things greater than £50k go into normal Trust approval process shown above (starting at BCRG)

(5) For all covid claims these should go through Silver / Gold command.

Version 3 date: July 2020