

## Bundle Board of Trustees 28 March 2019

### Agenda attachments

#### 00 - Agenda 28 March 2019.docx

- 1 Welcome & Introductions  
*Maria Battle*
- 2 Apologies for Absence  
*Maria Battle*
- 3 Declarations of Interest  
*Maria Battle*
- 4 Minutes of the Trustee Meeting held on 13 December 2018  
*Maria Battle*  
4 - Minutes 13 December 2019.docx
- 5 Action Log - 13 December 2018 - There were no actions from previous meeting
- 6 Chairs Action taken since last meeting - There were no Chair's actions
- 7 ITEMS FOR REVIEW AND ASSURANCE  
*No items*
- 8 ITEMS FOR APPROVAL / RATIFICATION
- 8.1 Charitable Funds Bid - Sustainable Travel for Patients and Staff of CAV UHB  
*Abigail Harris*  
8.1a - Bid - Sustainable Health and travel for the future - JB 21 March 2019 - Board.docx
- 8.2 Charitable Funds Committee - Annual Report  
*Nicola Foreman*  
8.2 Charitable Funds Committee Annual Report - covering report.docx  
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- 8.4 Bids Panel Terms of Reference  
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- 8.5 Memorandum of Understanding between Cardiff and Vale University Health Board and Cardiff and Vale Health Charity  
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8.5 Memorandum of understanding - covering report.docx  
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- 8.6 Core and Non-Core Funding Guidance  
*Nicola Foreman*  
8.6 Core and Non Core Expenditure Guidance - covering report.docx  
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- 9 Items for Noting and Information
- 9.1 No items
- 10 Review of the Meeting  
*Maria Battle*
- 11 Any Other Business
- 12 Date and time of next Meeting





**CARDIFF AND VALE HEALTH CHARITY  
CORPORATE TRUSTEE MEETING  
Held on 28 March 2019 at 11.00 a.m.**

**BOARD ROOM, UNIVERSITY HOSPITAL, LLANDOUGH**

**AGENDA**

|            |  |                |
|------------|--|----------------|
| <b>1</b>   | Welcome & Introductions  | Maria Battle   |
| <b>2</b>   | Apologies for Absence  | Maria Battle   |
| <b>3</b>   | Declarations of Interest   | Maria Battle   |
| <b>4</b>   | Minutes of the Trustee Meeting held on 13 <sup>th</sup> December 2018  | Maria Battle   |
| <b>5</b>   | Action Log – 13 <sup>th</sup> December 2018 – There were no actions from previous meeting                        | Maria Battle   |
| <b>6</b>   | Chairs Action taken since last meeting – There were no Chair’s actions   | Maria Battle   |
| <b>7</b>   | <b>Items for Review and Assurance</b>  |                |
| <b>7.1</b> | No items   |                |
| <b>8</b>   | <b>Items for Approval/Ratification</b>   |                |
| <b>8.1</b> | Charitable Funds Bid – Sustainable Travel for Patients and Staff of CAV UHB                                      | Abigail Harris |
| <b>8.2</b> | Charitable Funds Committee – Annual Report   | Akmal Hanuk    |
| <b>8.3</b> | Charitable Funds Committee Terms of Reference & Work Plan 2019/20  | Nicola Foreman |
| <b>8.4</b> | Bids Panel Terms of Reference  | Nicola Foreman |
| <b>8.5</b> | Memorandum of Understanding between Cardiff and Vale University Health Board and Cardiff and Vale Health Charity | Nicola Foreman |
| <b>8.6</b> | Core and Non-Core Funding Guidance   | Nicola Foreman |
| <b>9</b>   | <b>Items for Noting and Information</b>  |                |
| <b>9.1</b> | No items   |                |
| <b>10</b>  | <b>Review of the Meeting</b>   | Maria Battle   |
| <b>11</b>  | <b>Any Other Business</b>  |                |
| <b>12</b>  | <b>Date and time of next Meeting</b>   |                |



**UNCONFIRMED MINUTES OF A MEETING OF CARDIFF AND VALE  
HEALTH CHARITY – TRUSTEE MEETING  
HELD ON 13<sup>TH</sup> DECEMBER 2018  
BOARD ROOM, UNIVERSITY HOSPITAL, LLANDOUGH**

|                       |    |   |
|-----------------------|----|---|
| Maria Battle          | MB | Chair   |
| Len Richards          | LR | Chief Executive                                       |
| Abigail Harris        | AH | Executive Director of Strategic Planning              |
| Akmal Hanuk           | AK | Independent Member - Community                        |
| Charles Janczewski    | CJ | Vice Chair  |
| Dawn Ward             | DW | Independent Member - Trade Union                      |
| Fiona Kinghorn        | FK | Interim Executive Director of Public Health           |
| Dr Fiona Jenkins      | FJ | Executive Director of Therapies and Health Sciences   |
| Prof Gary Baxter      | GB | Independent Member – Cardiff University               |
| John Antoniazzi       | JA | Independent Member - Estates                          |
| John Union            | JU | Independent Member - Finance                          |
| Martin Driscoll       | MD | Executive Director of Workforce and OD                |
| Michael Imperato      | MI | Independent Member - Legal                            |
| Chris Lewis           | CL | Deputy Finance Director                               |
| Ruth Walker           | RW | Executive Nurse Director                              |
| Sara Moseley          | SM | Independent Member –Third Sector                      |
| Steve Curry           | SC | Chief Operating Officer                               |
| <b>In Attendance:</b> |    |   |
| Nicola Foreman        | NF | Director of Corporate Governance                      |
| Dr Sharon Hopkins     | SH | Deputy Chief Executive and Director of Transformation |
| <b>Apologies:</b>     |    |   |
| Eileen Brandreth      | EB | Independent Member - ICT                              |
| Dr Graham Shortland   | GS | Medical Director                                      |
| Cllr Susan Elsmore    | SE | Independent Member –Local Authority                   |
| Bob Chadwick          | BC | Director of Finance                                   |

| 18/12/001 | WELCOME AND INTRODUCTIONS   | ACTION |
|-----------|---|--------|
|           | The Chair welcomed everyone to the meeting.   |        |
| 18/12/002 | <b>APOLOGIES FOR ABSENCE</b>  |        |
|           | Apologies for absence were noted.   |        |
| 18/12/003 | <b>DECLARATIONS OF INTEREST</b>   |        |
|           | Charles Janczewski declared his interest as Chair of the Quality and Patient Safety Committee at WHSCC. |        |

18/12/004

**MINUTES OF THE TRUSTEE MEETING HELD ON 27<sup>TH</sup> SEPTEMBER 2018**

The Trustee reviewed the Minutes from the meeting held on 27<sup>th</sup> September meeting.

**Resolved that:**

The Trustee approved the minutes of the meeting held on 27<sup>th</sup> September 2018.

18/12/005

**ACTION LOG FOLLOWING THE LAST MEETING HELD ON 27<sup>TH</sup> SEPTEMBER 2018**

There were no actions on the action log for review.

18/12/006

**APPROVAL OF ANNUAL REPORT AND ACCOUNTS**

The report was introduced by the Deputy Director of Finance and he stated that the purpose of the report was to receive and consider for approval the Funds on Trust Annual Report and Accounts 2017/18 and the ISA 260 Audit Report. The following points were made:

- The value of the funds was £10.2m which was a very healthy balance.
- £300k more had been spent on funds than generated.
- There had been a loss on investments of £100K
- The Auditor stated that they had issued an unqualified opinion to state that the accounts were a true and fair representation and there were no significant concerns.

**Resolved that:**

(a) The Trustee considered the Annual Report and Accounts for 2017/18, Letter of Representation and ISA Report from the Auditor General for Wales.

(b) The Trustee approved the Annual Report and Accounts for 2017/18

(c) The Trustee confirmed the statement made in the Letter of Representation to the Auditors and approved the document.

18/12/007

**ANY OTHER BUSINESS**

There was no other business to raise

18/12/008

**DATE OF THE NEXT MEETING OF THE TRUSTEE**

The date of the next meeting would be confirmed.

|                               |   |                      |                     |                      |                             |
|-------------------------------|---|----------------------|---------------------|----------------------|-----------------------------|
| <b>Report Title:</b>          | <b>Sustainable travel for CAV UHB patients and staff</b>  |                      |                     |                      |                             |
| <b>Meeting:</b>               | Charitable Funds Committee  |                      |                     | <b>Meeting Date:</b> | 19 <sup>th</sup> March 2019 |
| <b>Status:</b>                | <b>For Discussion</b>   | <b>For Assurance</b> | <b>For Approval</b> | X                    | <b>For Information</b>      |
| <b>Lead Executive:</b>        | <b>Abigail Harris</b>   |                      |                     |                      |                             |
| <b>Report Author (Title):</b> | <b>Joanne Brandon, Director of Communications, Arts, Health Charity and Engagement</b><br><b>Simone Joslyn, Head of Arts and Health Charity</b> |                      |                     |                      |                             |

## SITUATION

Aim of the NHS and a Healthier Wales is to improve the health and wellbeing of patients but also NHS staff. This is also in line with our strategy Shaping our Future Wellbeing.

One of the ways in which CAV UHB seeks to support longer term sustainable health is via its sustainable travel plan, supporting and encouraging both staff and patients to make healthier choices, better for themselves and the environment.

The key aims are:

1. To promote a healthy active lifestyle by encouraging more cycling and walking on the commute to work but also across sites
2. Encouraging less reliance on cars, resulting in less air pollution in better air quality in and around our sites
3. To support physical but also mental wellbeing- taking the stress out of parking and an easier stress free travel experience
4. The longer term sustainability is based upon encouraging staff to look at alternatives provided by the health board. The bids in this paper are outside of core business as there is no obligation for UHB's to provide alternative travel options etc. but is in line with its values of being a caring and responsible employer.
5. There is no legal duty or onus on the UHB to provide staff or patient parking. There could potentially an expectation or provision made under Planning requirements for a brand new hospital. UHW is one of the very few city centre NHS hospitals at UHW to make this provision to staff and patients.
6. This is considered to be above core business and is an enhancement to staff and patients

## BACKGROUND

The estate of the UHB has outgrown its capacity to provide sufficient parking for all patients and staff. The UHB would like to invest in a significant and ambitious sustainable travel plan that would not only ease the current situation but ultimately promote the health and wellbeing of staff via more eco-friendly modes of transport and improve the air quality for all across the Cardiff and Vale area with less cars parking and using the roads.

The two main hospital sites have been developed considerably and the increase in volumes of patients, staff, students and visitors has resulted in difficult parking conditions for all and has negatively impacted upon both the patient experience and quality of the service that patients and their families receive at CAV UHB but has also contributed to increased stress levels and issues relating to mental wellbeing.

## ASSESSMENT

Capital Planning and Estates has developed a sustainable travel plan with a company called ADL, Bristol. They are a specialist traffic and transportation consultancy informing clients with technical advice, support and solutions on transport issues and feasibility studies. They are conducting an in-depth review and producing a travel framework that considers all options, including the benefits associated with alternative modes of transport and the health and wellbeing benefits.

We are also working with Cardiff City Council and others on a sustainable travel charter

Some of the key ways in which we consider would make a considerable improvement to the health and wellbeing of all patients and staff is the development of a sustainable travel hub that would encourage and support staff and patients to make alternative arrangements and healthier choices.

The current park and ride system (P&R) has increased from 120 to during February 2019 on average 320 staff and patients people using it daily. The improvements to congestion and therefore air quality on site has been noticeable and the staff are reporting a great service, easy to park, no stress and also that they feel as if they are contributing to reducing our carbon footprint. Patients are reporting of getting to their appointments on time and with less hassle-stress free.

The Capital, Estates and Planning Team have worked with the Communications team on promoting the alternative methods of transport and travel and the metrics of the P&R suggest that it takes at least 12 months in which to encourage people to change their behaviors and for the new ways of traveling becoming embedded and the norm.

The length of the 12 month pilot is predicated on costs and best value of contract but also on the basis of the length of time it takes to embed behavior change and see results in the evaluation.

The development of a sustainable travel Hub at UHW to include:

- |  |          |
|--|----------|
| 1. Extend UHW service hours from 8pm to 11pm -   | £ 45,000 |
| 2. Increase frequency to 10 mins of UHW service -<br>for 12 months ( at current hours) | £122,000 |
| An additional cost to run the service up until 11pm                                    | £20,000  |

The current P&R site at Pentwyn is owned by Cardiff City Council and run by Cardiff Bus company, which predicated who we can expand the service and contracts with.

Reduce congestion, traffic and support staff and patient travel between the main hospital and HQ sites

3. 12 month contact to run service from Toys R Us to UHL on 20 min cycle £122,000
4. Mini bus shuttle UHW to Woodlands House to UHL in circuits on a leased 17 seater bus arrangement plus 2 x band 2 posts - £72,854
5. Promotion of the health benefits and the service to patients and staff groups £10,000

Cardiff Bus is one option for providing the service, however others who demonstrate reliability and financial viability could be considered as part of the tendering process.

Future consideration – to consider once fully costed and assessed by ADL, Bristol.

6. Expansion of the NEXT bikes schemes – to be determined
7. Additional Security for current bike storage – to be determined
8. Regular attendance of Sustrans cycle maintenance – to be determined
9. Staff Cycle Safety free courses to encourage staff to cycle safely – to be determined
10. Improved all weather facilities at the P&R bustops – to be determined

## **ASSURANCE**

Is provided by regular monitoring of the uptake of the service from Capital estates and planning.

Reports to the Board

Reports to the Charitable Funds Committee

Any audit committee, to assess ongoing costs in line with service delivery

Reduction in reported issues and concerns with both patients and staff

## **RECOMMENDATION**

The Committee is asked to:

- Approve the following improvements towards a sustainable travel eco-system at CAV UHB for a pilot period of one year.
- Approve the costs associated with each pilot area of improvement
- Approve an overall cost of £391,854 with a contingency for additional mileage etc.

## Shaping our Future Wellbeing Strategic Objectives

*This report should relate to at least one of the UHB's objectives, so please tick the box of the relevant objective(s) for this report*

|   |   |   |   |
|---|---|---|---|
| 1. Reduce health inequalities   |   | 6. Have a planned care system where demand and capacity are in balance  |   |
| 2. Deliver outcomes that matter to people   | x | 7. Be a great place to work and learn   | x |
| 3. All take responsibility for improving our health and wellbeing   | x | 8. Work better together with partners to deliver care and support across care sectors, making best use of our people and technology |   |
| 4. Offer services that deliver the population health our citizens are entitled to expect                  | x | 9. Reduce harm, waste and variation sustainably making best use of the resources available to us                                    | x |
| 5. Have an unplanned (emergency) care system that provides the right care, in the right place, first time |   | 10. Excel at teaching, research, innovation and improvement and provide an environment where innovation thrives                     | x |

## Five Ways of Working (Sustainable Development Principles) considered

*Please tick as relevant, click [here](#) for more information*

|            |   |           |   |             |  |               |  |             |  |
|------------|---|-----------|---|-------------|--|---------------|--|-------------|--|
| Prevention | x | Long term | x | Integration |  | Collaboration |  | Involvement |  |
|------------|---|-----------|---|-------------|--|---------------|--|-------------|--|

### Equality and Health Impact Assessment Completed:

Yes / **No** / Not Applicable

*If "yes" please provide copy of the assessment. This will be linked to the report when published.*

Kind and caring  
Caredig a gofalgar

Respectful  
Dangos parch

Trust and integrity  
Ymddiriedaeth ac uniondeb

Personal responsibility  
Cyfrifoldeb personol

**CARING FOR PEOPLE  
KEEPING PEOPLE WELL**



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|                               |   |   |                      |                      |  |
|-------------------------------|---|---|----------------------|----------------------|--|
| <b>Report Title:</b>          | <b>ANNUAL REPORT 2018/19 – CHARITABLE FUNDS COMMITTEE</b> |   |                      |                      |  |
| <b>Meeting:</b>               | Corporate Trustee Cardiff and Vale Health Charity         |   |                      | <b>Meeting Date:</b> | 28.03.19                                     |
| <b>Status:</b>                | <b>For Discussion</b>                                     | x | <b>For Assurance</b> |                      | <b>For Approval</b> x <b>For Information</b> |
| <b>Lead Executive:</b>        | Chair of Charitable Funds Committee                       |   |                      |                      |  |
| <b>Report Author (Title):</b> | Director of Corporate Governance                          |   |                      |                      |  |

## SITUATION

The purpose of the report is to provide Members of the Corporate Trustee with the Annual Report of the Charitable Funds Committee.

## REPORT

### BACKGROUND

It is good practice and good governance for the Committees of the Board (in this case the Trustee) to produce an Annual Report from the Committee to demonstrate that it has undertaken the duties set out in its Terms of Reference and provide assurance to the Board that this is the case.

### ASSESSMENT

The attached Annual Report 2018/19 of the Charitable Funds Committee demonstrates that the Committee has undertaken the duties as set out in its Terms of Reference. The Committee has achieved an overall attendance rate of 81% and has met on 4 occasions during the year. How

### RECOMMENDATION

The Corporate Trustee of the Cardiff and Vale Health Charity is asked to:

**APPROVE** the Annual Report 2018/19 of the Charitable Funds Committee.

### Shaping our Future Wellbeing Strategic Objectives

|  |   |   |   |
|--|---|---|---|
| 1. Reduce health inequalities  |   | 6. Have a planned care system where demand and capacity are in balance  |   |
| 2. Deliver outcomes that matter to people  | x | 7. Be a great place to work and learn   | x |
| 3. All take responsibility for improving our health and wellbeing                        |   | 8. Work better together with partners to deliver care and support across care sectors, making best use of our people and technology |   |
| 4. Offer services that deliver the population health our citizens are entitled to expect |   | 9. Reduce harm, waste and variation sustainably making best use of the resources available to us                                    |   |

|   |   |   |           |             |               |             |
|---|---|---|-----------|-------------|---------------|-------------|
| 5. Have an unplanned (emergency) care system that provides the right care, in the right place, first time | 10. Excel at teaching, research, innovation and improvement and provide an environment where innovation thrives |   |           |             |               |             |
| <b>Five Ways of Working (Sustainable Development Principles) considered</b>                               |   |   |           |             |               |             |
| Sustainable Development Principles: Five ways of working  | Prevention  | x | Long term | Integration | Collaboration | Involvement |
| <b>Equality and Health Impact Assessment Completed:</b>   | Not Applicable  |   |           |             |               |             |

*Kind and caring* } *Respectful* } *Trust and integrity* } *Personal responsibility*  
*Caredig a gofalgar* } *Dangos parch* } *Ymddiriedaeth ac uniondeb* } *Cyfrifoldeb personol* }



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# **Annual Report of the Charitable Funds Committee 2018/19**

## 1.0 INTRODUCTION

In accordance with best practice and good governance, the Charitable Funds Committee produces an Annual Report to the Board setting out how the Committee has met its Terms of Reference during the financial year.

## 2.0 MEMBERSHIP

The Committee membership is a minimum of six Members of the Board (three of which must be Independent Members) and during the financial year 2018/19 the Committee comprised 4 Board Members (3 Independent Members and 1 Executive Director Member). Therefore, the Trustee will need to review its Membership for the forthcoming financial year to ensure that the minimum Membership requirements are adhered to. In addition to the Membership, the meetings are also attended by the Board Secretary (Director of Corporate Governance), Deputy Director of Finance, Charitable Funds Accountant, Chair of Charitable Funds Bids Panel and Director of Communications, Arts, Health Charity and Engagement.

## 3.0 MEETINGS AND ATTENDANCE

The Committee met four times during the period 1 April 2018 to 31 March 2019 in line with its Terms of Reference and has discharged its responsibilities by requesting reassurances from Trust Officers and colleagues. The Charitable Funds Committee achieved an attendance rate of 81% (80% is deemed to be an appropriate level of attendance) during the period 1<sup>st</sup> April 2018 to 31<sup>st</sup> March 2019 as set out below:

### CFC Committee Meeting Attendance

|               | 20/03/2018 | 11/09/2018  | 11/12/2018 | 19/03/2019  | Attendance % |
|---------------|------------|-------------|------------|-------------|--------------|
| Maria Battle  | ✓          | ✓           | ✓          | ✓           | 100%         |
| Akmal Hanuk   | ✓          | ✓           | ✓          | ✓           | 100%         |
| John Union    | ✓          | ✓           | x          | ✓           | 75%          |
| Fiona Jenkins | x          | ✓           | x          | ✓           | 50%          |
| Chris Lewis   | ✓          | ✓           | ✓          | ✓           | 100%         |
| <b>Total</b>  | <b>80%</b> | <b>100%</b> | <b>60%</b> | <b>100%</b> | <b>85%</b>   |

## 4.0 TERMS OF REFERENCE

The Terms of Reference were reviewed and approved by the Committee on 19<sup>th</sup> March 2019 and were approved by the Trustee on 28<sup>th</sup> March 2019.

## 5.0 WORK UNDERTAKEN

During the financial year 2018/19 the Charitable Funds Committee reviewed the following key items at its meetings:

- Review of the Terms of Reference of the Committee
- Bids Panel Report
- Screen Bid
- Charity Model Ward Application Expenditure Greater Than £25k Charitable Funds Bid
- Away Day
- Review of the Fundraising Policy
- Feedback from the NHS Confederation
- Czenove
- Update on Staff benefits
- Update on Horatio's Garden
- Offa's Dyke Walk
- Finance Monitoring Report & Financial Outlook for 2018/2019
- Fundraising Report
- Fundraising Policy and EHIA
- Funding for a Courtesy Car
- Charity Fund Application – Inflammatory Bowel Disease Treatment and Education Centre
- Charitable Funds Bid Staff Recognition Awards 2019
- Barry Hospital/Rookwood Hospital
- Breast Centre
- Better Life Appeal
- Committee on "Time Out" in December
- Arts Fund Proposal
- Arts & Wellbeing Programme/CFC Arts Co-Ordinator Bid
- CFC Arts Bid/Staff Lottery Prize, Health Charity Promotion
- Financial Position Report
- Annual Report Health Charity with Finance
- Internal Audit Report on Charitable Funds
- WIFI 2018/2019

- First Impressions – Barry Hospital
- IBD Service at UHL – Enhancing Patient Experience
- BSL Training and Awareness
- Patient Experience/Waste Report
- Promoting Health and Health Charity Messaging Visibility

## **6.0 REPORTING RESPONSIBILITIES**

The Committee has reported to the Board after each of the Charitable Funds Committee meetings by presenting a summary report (introduced from November 2018) of the key discussion items at the Charitable Funds Committee. The report is presented by the Chair of the Committee.

## **7.0 ADDITIONAL ITEMS BROUGHT TO THE ATTENTION OF THE CORPORATE TRUSTEE**

There were no additional item brought to the attention of the Corporate Trustee during the year.

## **8.0 OPINION**

The Committee is of the opinion that the draft Charitable Funds Committee Report 2018/19 is consistent with its role as set out within the Terms of Reference. However the Trustee needs to review the Membership of the Committee to ensure it reflects the requirements of the Terms of Reference.

**Akmal Hanuk**

**Committee Chair**

|                               |  |   |                      |  |                      |                          |
|-------------------------------|--|---|----------------------|--|----------------------|--------------------------|
| <b>Report Title:</b>          | <b>TERMS OF REFERENCE AND WORK PLAN 2019/20 – CHARITABLE FUNDS COMMITTEE</b> |   |                      |  |                      |                          |
| <b>Meeting:</b>               | Charity Trustee  |   |                      |  | <b>Meeting Date:</b> | 29.03.2019               |
| <b>Status:</b>                | <b>For Discussion</b>  | x | <b>For Assurance</b> |  | <b>For Approval</b>  | x <b>For Information</b> |
| <b>Lead Executive:</b>        | Director of Corporate Governance   |   |                      |  |                      |                          |
| <b>Report Author (Title):</b> | Director of Corporate Governance   |   |                      |  |                      |                          |

## SITUATION

In line with the UHB's Standing Orders, Terms of Reference for Committees of the Board, should be reviewed on an annual basis.

This report provides Members of the Charitable Trustee with the opportunity to review and approve the Terms of Reference.

Also attached to this report is a work plan for 2019/20 to provide Members of the Charity Trustee with the opportunity to review and approve the Charitable Funds Committee Work Plan 2019/20.

## REPORT

### BACKGROUND

The Terms of Reference for the Charitable Funds Committee were last reviewed in June 2018 so very few changes have been recommended.

The work plan for the Committee should be approved annually by the Trustee to ensure that all areas within its Terms of Reference are covered within the plan.

### ASSESSMENT

The Terms of Reference for the Charitable Funds Committee have been reviewed by the Director of Corporate Governance. There were a limited number of changes to the document which were recommended for approval by Charitable Funds Committee on 20<sup>th</sup> March 2019.

The work plan for the Charitable Funds Committee 2019/20 has been based on the requirements set out within the Charitable Funds Committee Terms of Reference which assumes that the Committee meets on a quarterly basis.

### RECOMMENDATION

The Charity Trustee is asked to:

**APPROVE** the Terms of Reference and Work Plan 2019/20 of the Charitable Funds Committee

**Shaping our Future Wellbeing Strategic Objectives**

|   |   |   |   |
|---|---|---|---|
| 1. Reduce health inequalities   |   | 6. Have a planned care system where demand and capacity are in balance  |   |
| 2. Deliver outcomes that matter to people   | x | 7. Be a great place to work and learn   | x |
| 3. All take responsibility for improving our health and wellbeing   |   | 8. Work better together with partners to deliver care and support across care sectors, making best use of our people and technology |   |
| 4. Offer services that deliver the population health our citizens are entitled to expect                  |   | 9. Reduce harm, waste and variation sustainably making best use of the resources available to us                                    |   |
| 5. Have an unplanned (emergency) care system that provides the right care, in the right place, first time |   | 10. Excel at teaching, research, innovation and improvement and provide an environment where innovation thrives                     |   |

**Five Ways of Working (Sustainable Development Principles) considered**

|  |                |   |           |             |               |             |
|--|----------------|---|-----------|-------------|---------------|-------------|
| Sustainable Development Principles: Five ways of working | Prevention     | x | Long term | Integration | Collaboration | Involvement |
| <b>Equality and Health Impact Assessment Completed:</b>  | Not Applicable |   |           |             |               |             |





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# Charitable Funds Committee

## Terms of Reference

Reviewed at the Charitable Funds Committee 19<sup>th</sup> March 2019  
Approve by the Charity Trustee 29<sup>th</sup> March 2019



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## 1. INTRODUCTION

- 1.1 The University Health Board (UHB) standing orders provide that *“The Board may and, where directed by the Welsh Government must, appoint Committees of the UHB either to undertake specific functions on the Board’s behalf or to provide advice and assurance to the Board in the exercise of its functions. The Board’s commitment to openness and transparency in the conduct of all its business extends equally to the work carried out on its behalf by committees”*.
- 1.2 In accordance with standing orders (and the UHB Scheme of Delegation), the Board shall nominate annually a committee to be known as the **Charitable Funds Committee**. The detailed terms of reference and operating arrangements set by the Board in respect of this committee are set out below.

## 2. PURPOSE

- 2.1 Cardiff and Vale University Health Board was appointed as Corporate Trustee of its charitable funds and the Board serves as its agent in the administration of the charitable funds held by the UHB.
- 2.2 The purpose of the Charitable Funds Committee (the Committee) is to:
- Provide advice to the Corporate Trustee in the discharge of its duties and responsibilities for charitable funds
  - Discharge delegated responsibilities from the Corporate Trustee for the control and management of Charitable Funds.
- 2.3 Provide advice and assurance to the Trustee on its charitable funds strategy, including fundraising, budgets, priorities and spending criteria.
- 2.4 Within the strategy and budget determined by the Trustee and consistent with the requirements of the Charities Act 1993, Charities Act 2006 (or any modification of these acts) to apply the charitable funds in accordance with their respective governing documents and the UHB Charitable Funds Governance Framework
- 2.5 To ensure that the policies and procedures for charitable funds investments are followed. To make decisions involving the sound investment of charitable funds in a way that both preserves their value and produces a proper return consistent with prudent investment and ensuring compliance with:-
- Trustee Act 2000
  - The Charities Act 1993
  - The Charities Act 2006
  - The Charities Act 2011

- The Charities Act 2016
  - Terms of the Funds' Governing documents
- 2.6 To receive at least twice a year, reports for ratification from the Director of Finance and investment decisions and action taken through delegated powers upon the advice of the investment adviser.
- 2.7 To oversee and monitor the functions performed by the Director of Finance as defined in Standing Financial Instructions.
- 2.8 To monitor the progress of Charitable Appeals where these are in place and considered to be material.
- 2.9 To monitor and review the scheme of delegation for Charitable Funds expenditure and to set and reflect in Financial Procedures the approved delegated limits for expenditure from Charitable Funds.
- 2.10 To monitor the work of the Charitable Bids Panel

### **3. DELEGATED POWERS AND AUTHORITY**

#### **Delegated Powers and Duties of the Director of Finance**

3.1 The Director of Finance has prime responsibility for the UHB Charitable Funds as defined in the UHB Standing Financial Instructions. The specific powers, duties and responsibilities delegated to the Director of Finance are:-

- Administration of all existing charitable funds;
- To identify any new charity that may be created (of which the UHB is trustee) and to deal with any legal steps that may be required to formalise the trusts of any such charity ;
- Provide guidelines with regard to donations, legacies and bequests, fundraising and trading income;
- Responsibility for the management of investment of funds held on trust;
- Ensure appropriate banking services are available;
- Prepare reports to the Trustee including the Annual Accounts;

#### **Authority**

3.2 The Committee is empowered with the responsibility for:-

- Overseeing the day to day management of the investments of the charitable funds in accordance with the investment strategy set

down from time to time by the Trustee and the requirements of the UHB Standing Financial Instructions;

- The appointment of an investment manager to advise it on investment matters and may delegate day-to-day management of some or all of the investments to that investment manager. In exercising this power the Committee must ensure that:
  - a) The scope of the power delegated is clearly set out in writing and communicated with the person or persons who will exercise it;
  - b) There are in place adequate internal controls and procedures which will ensure that the power is being exercised properly and prudently;
  - c) The performance of the person or persons exercising the delegated power is regularly reviewed;
  - d) Where an investment manager is appointed, that the person is regulated under the Financial Services Act 1986;
  - e) Acquisitions or disposal of a material nature must always have written authority of the Committee or the Chair of the Committee in conjunction with the Director of Finance;
- Ensuring that the banking arrangements for the charitable funds are kept entirely distinct from the UHB NHS funds;
- Ensuring that arrangements are in place to maintain current account balances at minimum operational levels consistent with meeting expenditure obligations, the balance of funds being invested in interest bearing deposit accounts;
- The amount to be invested or redeemed from the sale of investments shall have regard to the requirements for immediate and future expenditure commitments;
- The operation of an investment pool when this is considered appropriate to the charity in accordance with charity law and the directions and guidance of the Charity Commission. The Committee shall propose the basis to the UHB for applying accrued income to individual funds in line with charity law and Charity Commissioner guidance;
- Obtaining appropriate professional advice to support its investment activities;

- Regularly reviewing investments to see if other opportunities or investment services offer a better return;
- Overseeing the work of the Charitable Funds Bids Panel

3.3 The Committee is authorised by the Board to:

- Investigate or have investigated any activity within its Terms of Reference and in performing these duties shall have the right, at all reasonable times, to inspect any books, records or documents of the UHB relevant to the Committee's remit. It can seek any relevant information it requires from any employee and all employees are directed to co-operate with any reasonable request made by the Committee;
- Obtain outside legal or other independent professional advice and to secure the attendance of outsiders with relevant experience and expertise if it considers this necessary, subject to the Board's budgetary and other requirements; and
- By giving reasonable notice, require the attendance of any of the officers or employees and auditors of the Board at any meeting of the Committee.

#### **Access**

3.4. The Head of Internal Audit shall have unrestricted and confidential access to the Chair of the Committee.

#### **Sub Committees**

3.5. The Board has approved the following sub-committee:

- Charitable Funds Bids Panel
- In addition the Staff Benefits Group will report progress on staff benefits to the Committee Staff Benefits Group

### **4. MEMBERSHIP**

#### **Members**

A minimum of six (6) members, comprising:

|            |   |
|------------|---|
| Chair      | Independent Member of the Board   |
| Vice Chair | Independent Member or Members of the Board  |
| Members    | A minimum of 4 other members of the Board to include Lead Executive for Charitable Funds. |

At least half of the overall membership must be Independent Members.

### **Attendees**

4.2. The Committee may require the attendance for advice, support and information routinely at meetings from:

- Director of Corporate Governance
- Deputy Director of Finance
- Charitable Funds Accountant
- UHB Investment Advisor
- Chair of Charitable Funds Bids Panel
- Chair of Staff Benefits Group / Vice Chair of Charitable Bids Panel
- Director of Communications, Arts, Health Charity and Engagement

4.3. By invitation:

The Committee Chair may extend invitations to attend committee meetings to others from within or outside the organisation who the committee considers should attend, taking account of the matters under consideration.

### **Secretariat**

4.4 Secretary: as determined by the Board Secretary (Director of Corporate Governance)

### **Member Appointments**

4.5 The membership of the Committee shall be determined by the Board, based on the recommendation of the UHB Chair - taking account of the balance of skills and expertise necessary to deliver the committee's remit and subject to any specific requirements or directions made by the Welsh Government.

4.6 Terms and conditions of appointment, (including any remuneration and reimbursement) in respect of co-opted independent external members are determined by the Board, based upon the recommendation of the UHB Chair {and, where appropriate, on the basis of advice from the UHB Remuneration and Terms of Service Committee}.

### **Support to Committee Members**

4.7 The Board Secretary (Director of Corporate Governance), on behalf of the Committee Chair, shall:

- Arrange the provision of advice and support to committee members on any aspect related to the conduct of their role; and

- Ensure the provision of a programme of development for committee members in conjunction with the Director of Workforce and Organisational Development.

## **5. COMMITTEE MEETINGS**

### **Quorum**

- 5.1 At least three members must be present to ensure the quorum of the Committee. Of these three, two must be Independent Members (one of whom is the Chair or Vice Chair) and one must be the Executive Lead for Charitable Funds.

### **Frequency of Meetings**

- 5.2 Meetings shall be held quarterly and otherwise as the Committee Chairs deems necessary - consistent with the UHB annual plan of Board Business.

### **Withdrawal of Individuals in Attendance**

- 5.3 The Committee may ask any or all of those who normally attend but who are not members to withdraw to facilitate open and frank discussion of particular matters.

## **6. RELATIONSHIP AND ACCOUNTABILITIES WITH THE BOARD AND ITS COMMITTEES/GROUPS**

- 6.1 The Committee is directly accountable to the Board, in its capacity as trustee, for its performance in exercising the functions set out in these terms of reference.
- 6.2. The Committee, through its Chair and members, shall work closely with the Board's other committees and groups to provide advice and assurance to the Board through the:
- Joint planning and co-ordination of Board and Committee business; and
  - Appropriate sharing of information

In doing so, contributing to the integration of good governance across the organisation, ensuring that all sources of assurance are incorporated into the UHB overall risk and assurance framework.

- 6.3 The Committee shall embed the UHB's values, corporate standards, priorities and requirements, e.g., equality, diversity and human rights

through the conduct of its business.

## **7. REPORTING AND ASSURANCE ARRANGEMENTS**

- 7.1 The Committee Chair shall agree arrangements with the UHB Chair to report to the Board in their capacity as trustee. This may include, where appropriate, a separate meeting with the Board.
- 7.2 The Board Secretary (Director of Corporate Governance), on behalf of the Board, shall oversee a process of regular and rigorous self-assessment and evaluation of the Committee's performance and operation.

## **8. APPLICABILITY OF STANDING ORDERS TO COMMITTEE BUSINESS**

- 8.1 The requirements for the conduct of business as set out in the UHB Standing Orders are equally applicable to the operation of the Committee, except in the following areas:
- Quorum

## **9. REVIEW**

- 9.1 These terms of reference and operating arrangements shall be reviewed on a biennial basis by the Committee with reference to the Board.

| <b>Charitable Funds Committee Work Plan<br/>2019 - 20</b>  |                  |               |               |               |               |
|--|------------------|---------------|---------------|---------------|---------------|
| A -Approval D- discussion I - Information  | <b>Exec Lead</b> | <b>19-Mar</b> | <b>11-Jun</b> | <b>10-Sep</b> | <b>10-Dec</b> |
| <b>Agenda Item</b>   |                  |               |               |               |               |
| Charitable Funds Strategy<br>- fundraising<br>- budgets<br>- Priorities<br>- spending Criteria<br>- investment decisions | Exec + CL/JB     |               | A             |               |               |
| Investment Update  | Exec + CL        |               | D             |               | D             |
| Fundraising Report   | Exec + JB        | D             | D             | D             | D             |
| Scheme of Delegation   | Exec + CL/NF     |               | A             |               |               |
| Charitable Funds Bids Panel Report   | Exec + CL        | D             | D             | D             | D             |
| Annual Accounts  | Exec + CL        |               |               |               | A             |
| Charitable Funds Update Report   | Exec + JB        |               |               |               |               |
| New Charitable Fund Applications   | ALL              | A             | A             | A             | A             |
| Staff Benefits Report  | MD               | D             | D             | D             | D             |
| Finance Monitoring Report  | Exec + CL        | D             | D             | D             | D             |
| <b>Charitable Funds Committee Governance</b>   |                  |               |               |               |               |
| Annual Work Plan   | NF               | A             |               |               |               |
| Self assessment of effectiveness   | NF               | A             | D             |               |               |
| Review Terms of Reference  | NF               | A             |               |               |               |
| Produce Charitable Funds Committee Annual Report   | NF               | A             |               |               |               |
| Minutes of Charitable Funds Committee Meeting  | NF               | A             | A             | A             | A             |
| Action log of Charitable Funds Committee Meeting   | NF               | D             | D             | D             | D             |

|                               |  |   |                      |  |                      |          |
|-------------------------------|--|---|----------------------|--|----------------------|----------|
| <b>Report Title:</b>          | <b>TERMS OF REFERENCE – STAFF LOTTERY BIDS PANEL</b> |   |                      |  |                      |          |
| <b>Meeting:</b>               | Charity Trustee – Cardiff and Vale Health Charity    |   |                      |  | <b>Meeting Date:</b> | 28.03.19 |
| <b>Status:</b>                | <b>For Discussion</b>                                | x | <b>For Assurance</b> |  | <b>For Approval</b>  | x        |
| <b>Lead Executive:</b>        | Director of Corporate Governance                     |   |                      |  |                      |          |
| <b>Report Author (Title):</b> | Interim Head of Governance                           |   |                      |  |                      |          |

## SITUATION

This report provides Members of the Charity Trustee with the opportunity to approve the Terms of Reference of the Staff Lottery Bids Panel.

## REPORT

### BACKGROUND

The Terms of Reference of the Staff Lottery Bids Panel were last reviewed in 2017. A number of changes to the Terms of Reference were recommended and approved by the Charitable Funds Committee to strengthen accountability and governance arrangements.

### ASSESSMENT

The Terms of Reference for the Staff Lottery Bids Panel have been reviewed by the Interim Head of Governance. A number of changes were made to the document.

### RECOMMENDATION

The Charity Trustee is asked to:

**APPROVE** the changes to the Terms of Reference of the Staff Lottery Bids panel and

### Shaping our Future Wellbeing Strategic Objectives

|   |   |   |   |
|---|---|---|---|
| 1. Reduce health inequalities   |   | 6. Have a planned care system where demand and capacity are in balance  |   |
| 2. Deliver outcomes that matter to people   | x | 7. Be a great place to work and learn   | x |
| 3. All take responsibility for improving our health and wellbeing   |   | 8. Work better together with partners to deliver care and support across care sectors, making best use of our people and technology |   |
| 4. Offer services that deliver the population health our citizens are entitled to expect                  |   | 9. Reduce harm, waste and variation sustainably making best use of the resources available to us                                    |   |
| 5. Have an unplanned (emergency) care system that provides the right care, in the right place, first time |   | 10. Excel at teaching, research, innovation and improvement and   |   |

provide an environment where innovation thrives

**Five Ways of Working (Sustainable Development Principles) considered**

|  |                |   |           |             |               |             |
|--|----------------|---|-----------|-------------|---------------|-------------|
| Sustainable Development Principles: Five ways of working | Prevention     | x | Long term | Integration | Collaboration | Involvement |
| <b>Equality and Health Impact Assessment Completed:</b>  | Not Applicable |   |           |             |               |             |

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## **MAKE IT BETTER STAFF LOTTERY BIDS PANEL TERMS OF REFERENCE**

### **BACKGROUND**

The Make it Better Staff Lottery Bids Panel (the Bids Panel) has been delegated responsibility for the evaluation of applications for funding, up to a value of £10,000 from the Staff Lottery fund.

### **PURPOSE**

The purpose of the Bids Panel is to consider applications from Clinical Boards and departments of the UHB for non-recurrent funding up to a maximum of £10,000 against the criteria agreed by the Charitable Funds Committee. In fulfilling this function the Bids Panel will:

- Meet to consider the merits of applications for funding from the Staff Lottery fund, and evaluate their suitability against pre-set criteria.
- Ensure the most efficient and effective use of the Staff Lottery funds.
- Look to eliminate duplication in funding and promote co-operative work across the UHB.
- Make recommendations as to which applications should be approved and monitor their effectiveness.
- Agree the terms under which the funding application is approved and monitor compliance with these.

### **MEMBERSHIP**

The membership of the Bids Panel is made up of nominated representatives from:

- Executive Director from Charitable Funds Committee
- Clinical Boards (x 7)
- Head of Corporate Governance
- Public Health
- Finance
- Fundraising
- Planning
- Patient Experience

- Staff representatives (x2)
- Communications and Engagement
- Health & Wellbeing

Clinical Boards and corporate department are encouraged to identify nominees from operational as well as management backgrounds.

The Chair and Vice Chair will be nominated from members of the Bids Panel and approved by the Charitable Funds Committee. Appointments will be for a period of two years. The Chair will be expected to attend the Charitable Funds Committee on a quarterly basis to report on the activities of the panel.

The Bids Panel will need to have a minimum of 6 members at the meeting (including Chair or Vice Chair; 2 representatives from Clinical Boards and 1 staff representative) to be quorate.

## **SUPPORT TO COMMITTEE MEMBERS**

The Board Secretary (Director of Corporate Governance), on behalf of the Committee Chair, shall arrange the provision of advice and support to panel members on any aspect related to the conduct of their role; and

## **COMMITTEE MEETINGS**

### **Quorum**

The Bids Panel will need to have a minimum of 6 members at the meeting (including Chair or Vice Chair; 2 representatives from Clinical Boards and 1 staff representative) to be quorate.

### **Frequency of Meetings**

The Bids Panel will meet quarterly. Dates of the Bids Panel meetings will be published on the UHB's intranet site together with the process for submitting applications.

Meeting dates will be aligned with those of the Charitable Funds Committee to enable timely reporting

### **Secretariat**

The Fundraising Department will be responsible for providing secretarial support to the Panel. This will include the maintenance of the constitution of the membership, the circulation of agenda and minutes and notification of meetings.

## **RELATIONSHIP AND ACCOUNTABILITIES WITH THE BOARD AND ITS COMMITTEES/GROUPS**

The Bids Panel is directly accountable to the Charitable Funds Committee, for its performance in exercising the functions set out in these terms of reference.

The Bids Panel shall embed the UHB's values, corporate standards, priorities and requirements, e.g., equality, diversity and human rights through the conduct of its business.

## **REPORTING AND ASSURANCE ARRANGEMENTS**

The Bids Panel Chair shall agree reporting and assurance arrangements with the Charitable Funds Committee Chair This may include, where appropriate, a separate meeting with the Charitable Funds Committee.

A Bids Panel report will be submitted to each meeting of the Charitable Funds Committee.

The Board Secretary (Director of Corporate Governance), shall oversee a process of regular and rigorous self-assessment and evaluation of the Bid Panel's performance and operation.

## **REVIEW**

These terms of reference and operating arrangements shall be reviewed on an annual basis by the Charitable Funds Committee.

## **CRITERIA FOR EVALUATION AGREED BY THE CHARITABLE FUNDS COMMITTEE**

In determining whether a bid should be approved, the following guiding principles must be considered by the panel:-

- Does the expenditure meet charitable purposes to deliver an enhanced service provision over and above statutory or core NHS responsibilities;
- Is there demonstrable public benefit;
- Does it meet one of the agreed priorities:
  - Patient and Staff environment, including art and other aesthetic and betterment improvements;
  - Patient dignity and respect including amenity improvements and cultural awareness;
  - Promote health and wellbeing;
  - Promote quality and safety;
  - Staff development, training and education to support these themes.
  - Innovation and training to support these themes
- Does it represent an effective use of monies compared to alternative expenditure proposals
- Does it support the requirement to spend 50% of monies on staff related matters
- Does it support a reasonable distribution across the Health Board.

|                               |   |   |                      |                      |                          |
|-------------------------------|---|---|----------------------|----------------------|--------------------------|
| <b>Report Title:</b>          | <b>MEMORANDUM OF UNDERSTANDING</b>                |   |                      |                      |                          |
| <b>Meeting:</b>               | Charity Trustee – Cardiff and Vale Health Charity |   |                      | <b>Meeting Date:</b> | 28.03.19                 |
| <b>Status:</b>                | <b>For Discussion</b>                             | x | <b>For Assurance</b> | <b>For Approval</b>  | x <b>For Information</b> |
| <b>Lead Executive:</b>        | Director of Corporate Governance                  |   |                      |                      |                          |
| <b>Report Author (Title):</b> | Director of Corporate Governance                  |   |                      |                      |                          |

## SITUATION

The purpose of the report is for Members of the Charity Trustee to review and approve the attached Memorandum of Understanding between Cardiff and Vale Health Charity and Cardiff and Vale University Health Board

## REPORT

### BACKGROUND

The Memorandum of Understanding provides authority to the Charity Committee to act on behalf of the Corporate Trustee (Cardiff and Vale University Health Board).

### ASSESSMENT

The attached MOU has been drafted by Giselle Davies who is a consultant working for Geldards with an expertise in Charity and Social Enterprise.

This MOU firms up the arrangement between Cardiff and Vale University Health Board and the Charity to authorise the Charity Committee to enter into arrangements on its behalf.

The MOU was reviewed by the Charitable Funds Committee on 19<sup>th</sup> March 2019 and once approved will be signed off by parties from the Health Board and the Charitable Funds Committee.

### RECOMMENDATION

The Charity Trustee is asked to:

**APPROVE** the attached Memorandum of understanding between Cardiff and Vale Health Charity and Cardiff and Vale University Health Board.

### Shaping our Future Wellbeing Strategic Objectives

|   |   |  |   |
|---|---|--|---|
| 1. Reduce health inequalities             |   | 6. Have a planned care system where demand and capacity are in balance |   |
| 2. Deliver outcomes that matter to people | x | 7. Be a great place to work and learn                                  | x |

|   |   |
|---|---|
| 3. All take responsibility for improving our health and wellbeing   | 8. Work better together with partners to deliver care and support across care sectors, making best use of our people and technology |
| 4. Offer services that deliver the population health our citizens are entitled to expect                  | 9. Reduce harm, waste and variation sustainably making best use of the resources available to us                                    |
| 5. Have an unplanned (emergency) care system that provides the right care, in the right place, first time | 10. Excel at teaching, research, innovation and improvement and provide an environment where innovation thrives                     |

**Five Ways of Working (Sustainable Development Principles) considered**

|  |                |   |           |             |               |             |
|--|----------------|---|-----------|-------------|---------------|-------------|
| Sustainable Development Principles: Five ways of working | Prevention     | x | Long term | Integration | Collaboration | Involvement |
| <b>Equality and Health Impact Assessment Completed:</b>  | Not Applicable |   |           |             |               |             |

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Registered Charity No. 1056544



GIG  
CYMRU  
NHS  
WALES

Bwrdd Iechyd Prifysgol  
Caerdydd a'r Fro  
Cardiff and Vale  
University Health Board

**MEMORANDUM OF UNDERSTANDING between Cardiff and Vale University Health Board (CVUHB) of University Hospital of Wales, Cardiff, CF14 4XW and Cardiff & Vale Health Charity (CVHC) of University Hospital of Wales, Cardiff, CF14 4XW.**

**1. Aim and purpose of the memorandum**

- 1.1. This memorandum records the understanding of CVUHB and CVHC in respect of their common objectives relating to mutual interest, primarily (area of interest). It sets out a framework through which the parties seek to enhance the delivery of mutual objectives by sharing knowledge and information.
- 1.2. This Memorandum recites the responsibilities of the parties and establishes the general principles for their cooperation.
- 1.3. This Memorandum shall be effective for the date recorded above and it will be regularly reviewed in accordance with paragraph (6) of this Memorandum.

**2. Roles and functions of the signatories**

**2.1. Cardiff and Vale University Health Board**

2.1.1 Cardiff and Vale University Health Board is one of the largest NHS organisations in Europe. The Health Board employ approximately 14,500 staff, and spends around £1.4 billion every year on providing health and wellbeing services to a population of around 472,400 people living in Cardiff and the Vale of Glamorgan. The UHB also serves a wider population across South and Mid Wales for a range of specialties.

2.1.2 Cardiff and Vale University Health Board is a teaching Health Board with close links to the university sector, and together are training the next generation of healthcare professionals, while working on research that will hopefully unlock the cures for today's illnesses.

**2.1.3 Cardiff and Vale University Health Board Services**

Primary and community based services: GP practices, Dentists, Pharmacy and Optometry and a host of community led therapy services via community health teams.

Acute services through our two main University Hospitals and Children's Hospital: providing a broad range of medical and surgical treatments and interventions.

Public Health: we support the communities of Cardiff and Vale with a range of public health and preventative health advice and guidance.

Tertiary centre : we also serve a wider population across Wales and often the UK with specialist treatment and complex services such as neuro-surgery and cardiac services.

## **2.2. Cardiff & Vale Health Charity**

2.2.1. CVHC (registered charity number 1056544) is the official charity supporting all the work of Cardiff and Vale University Health Board. Cardiff and Vale University Health Board (UHB) acts as the corporate trustee of CVHC, and has delegated the day to day responsibility for the function of corporate trustee to the Cardiff & Vale Health Charity Charitable Funds Committee.

2.2.2. CVHC's charitable purpose is 'For any charitable purpose or purposes relating to the National Health Service wholly or mainly for the service provided by Cardiff and Vale University Health Board In 'layman's terms' this means CVHC is there to enhance and support the vital healthcare provided by the Health Board every day to the almost half a million people living in Cardiff and the Vale of Glamorgan; and the many more patients who are referred from across Wales to specialities such as paediatric intensive care, specialist children's services, renal services, cardiac services, neurology, bone marrow transplantation and medical genetics. Donations are spent by the Charity on the recommendations of senior doctors and nurses working on each ward.

2.2.3 CVHC maintains 300+ separate funds, providing monies that enhance NHS provision in 8 hospitals and 17 health centres by paying for vital medical equipment, specialist training, enhanced patient facilities and medical research. We seek particularly to fund art and other aesthetic improvements that have been shown to improve the experience of our short and longer-term patients

2.2.4 CVHC does not use donations to replace NHS core funding.

## **3. Principles of working together**

3.1. CVUHB and CVHC each recognise the independent remit of the other party and the requirement for each party to exercise its own discretion in all decision making but will aim to:

- collaborate and cooperate where appropriate in the achievement of their shared and respective objectives;
- engage in open discussion in areas of mutual interest to achieve their respective objectives ;
- operate in a transparent way while undertaking their responsibilities;
- Involve and work with each other in areas of shared interest or concern, with other relevant delivery partners included, where appropriate and agreed;
- Share and keep each other informed of any data, research, collected information or other work or development that either party believes would be helpful to the other in connection with the decisions or activities of either party, taking account of their respective obligations under GDPR 2018 and subject to intellectual property or confidentiality restrictions placed on the parties;
- Explore further opportunities to develop shared working practices and reduce duplication of effort. Where such opportunities are identified, the specific terms on which the parties share working practices will be negotiated and agreed outside the terms of this Memorandum; and
- Seek to deliver consistent and coordinated messages when working together on projects and when working with Government, delivery partners and the public.

#### **4. Governance**

4.1 The parties agree that this Memorandum is not legally binding between them and does not create any form of partnership or legal rights or obligations. It is however, a statement of their shared intention to work together in a spirit of co-operation in pursuance of the matters outlines above.

4.2 Nothing in this Memorandum of Understanding shall fetter the discretion of CVUHB and its duties to be impartial, fair to all affected persons and to exercise (and be seen to exercise) its functions in accordance with the requirements of relevant legislation at all times. Accordingly, nothing in this Memorandum is to be taken as limiting or affecting in any CVUHB 's exercise of its powers and duties.

4.3 There is an expectation of everyone who works within the CVHC or attends a CVHC site to comply with CVUHB policies and procedures including:

- Safeguarding
- Infection Prevention and Control (IP&C)
- Dignity and Privacy
- Health & Safety policies, inc. Smoke Free, Visiting, advocacy and Chaperoning policies

#### **5. Announcements**

The parties will endeavour to keep each other informed in advance (taking into account confidentiality and other obligations owed to third parties) of any forthcoming significant public or policy announcements on material matters of mutual interest including, for example only, early notice of non – restricted significant business developments and non-routine asset sales

#### **6. Review and Appraisal of the Memorandum**

6.1 In addition to ad hoc meetings as business dictates, CVUHB and CVHC will also meet approximately every six months (these meetings may be via video conferencing) (“the Biannual Meeting”) to review the shared wider strategic context of the environments in which they operate and explore opportunities for the improvement of joint working practices.

6.2 This Memorandum will be reviewed:

- (a) At the Cardiff & Vale Health Charity Charitable Funds Committee Meeting; and
- (b) whenever substantial changes occur to the policies, external relationships and structures of the parties concerned, or to the interaction between governments within the UK; and any amendments to this Memorandum consequent upon those reviews will be incorporated into it by the parties by mutual agreement.
- (c) Review date: March 2020

#### **7. Primary and Secondary Contacts**

Primary Contact for CVUHB – Maria Battle.....

Secondary Contact for CVUHB – Len Richards.....

Primary Contact for CVHC – Akmal Hanuk.....

Secondary Contact for CVHC – Robert Chadwick.....

These named contacts will be responsible for encouraging a fluent and (where the commercial interests of the parties allow) transparent relationship between **CVUHB** and CVHC; resolving difficulties and monitoring the smooth operation of this Memorandum.

**8. Signatories**

8.1. The parties agree to the terms set out in this Memorandum

**Signature (on behalf of CVUHB)**

**Signature (on behalf of CVHC)**

.....

.....

**Maria Battle**  
**Chair, Cardiff and Vale University Health Board**

**Akmal Hanuk**  
**Chair, Charitable Funds Committee**

Date .....

Date .....

|                               |   |   |                      |                      |                          |
|-------------------------------|---|---|----------------------|----------------------|--------------------------|
| <b>Report Title:</b>          | <b>CORE AND NON CORE FUNDING GUIDANCE</b>         |   |                      |                      |                          |
| <b>Meeting:</b>               | Charity Trustee – Cardiff and Vale Health Charity |   |                      | <b>Meeting Date:</b> | 28.03.19                 |
| <b>Status:</b>                | <b>For Discussion</b>                             | x | <b>For Assurance</b> | <b>For Approval</b>  | x <b>For Information</b> |
| <b>Lead Executive:</b>        | Director of Corporate Governance                  |   |                      |                      |                          |
| <b>Report Author (Title):</b> | Director of Corporate Governance                  |   |                      |                      |                          |

**SITUATION**

The purpose of the report is to provide Members of the Charity Trustee with the opportunity to review and approve the attached guidance on Core and Non-Core Funding which has been produced by Barbara Johns, Business/Operational Manager, Communication, Arts, Health Charity and Engagement Team.

**REPORT**

**BACKGROUND**

The Core and Non Core Funding Guidance has been developed to help members of staff, who are making bids, make the right decisions in relation to core and non core expenditure. It should however, be noted that charitable spending must be in line with the charities objectives which states: For any charitable purpose or purposes relating to the National Health Service wholly or mainly for the service provided by Cardiff and Vale University Health Board.

**ASSESSMENT**

The attached guidance has been produced by Barbara Johns and has been reviewed by Giselle at Geldard’s.

It should be noted that there will always be bids and expenditure which does not neatly fall into these categories and all bids should be reviewed and discussed on their own merits.

**RECOMMENDATION**

The Charity Trustee is asked to:

**APPROVE** the attached guidance for core and non-core expenditure.

**Shaping our Future Wellbeing Strategic Objectives**

|   |   |  |   |
|---|---|--|---|
| 1. Reduce health inequalities             |   | 6. Have a planned care system where demand and capacity are in balance |   |
| 2. Deliver outcomes that matter to people | x | 7. Be a great place to work and learn                                  | x |

|   |   |
|---|---|
| 3. All take responsibility for improving our health and wellbeing   | 8. Work better together with partners to deliver care and support across care sectors, making best use of our people and technology |
| 4. Offer services that deliver the population health our citizens are entitled to expect                  | 9. Reduce harm, waste and variation sustainably making best use of the resources available to us                                    |
| 5. Have an unplanned (emergency) care system that provides the right care, in the right place, first time | 10. Excel at teaching, research, innovation and improvement and provide an environment where innovation thrives                     |

**Five Ways of Working (Sustainable Development Principles) considered**

|  |                |   |           |             |               |             |
|--|----------------|---|-----------|-------------|---------------|-------------|
| Sustainable Development Principles: Five ways of working | Prevention     | x | Long term | Integration | Collaboration | Involvement |
| <b>Equality and Health Impact Assessment Completed:</b>  | Not Applicable |   |           |             |               |             |

*Kind and caring* 
*Respectful* 
*Trust and integrity* 
*Personal responsibility*   
*Caredig a gofalgar* 
*Dangos parch* 
*Ymddiriedaeth ac uniondeb* 
*Cyfrifoldeb personol* 



Registered Charity No. 1056544

## Guidance on core and non-core expenditure for charitable funds applications

*(to be used in conjunction with advice provided from Geldards LLP)*

### The Public perception test

*When considering applying for charitable funds, ask yourself the following:-*

- *Would someone who puts a pound in a collection box be happy for it to be spent in this way?*
- *Would you be proud to tell a donor about this expenditure and the difference it will make?*
- *Is this a justifiable charitable purchase or should it come from an NHS budget?*
- *Is there a more effective use of the funds available?*

The Charitable Funds Committee has recommended the following list of items that could be considered for funding from charitable funds, staff lottery and departmental endowment funds. These recommendations are guided by the principles of the Charities Act 2011 and are subject to disclosure requirements.

| Items that COULD be funded by charitable funds   | Items that can-not be funded by charitable funds   |
|--|--|
| <b>1. Equipment &amp; Consumables</b>  |  |
| Medical and surgical equipment and its maintenance for NHS patient care, education and research ( <i>in exceptional circumstances, when it cannot be paid for out of revenue</i> ).  | Medical and surgical equipment and its maintenance for private patient care unless such use is incidental to its main NHS use (i.e. less than 2% of total activity).                               |
| Medical and surgical consumables for new charitable equipment when ordered together. Incidental 'start up' stock to constitute no more than the first year's supply.   | Ongoing medical and surgical consumables (e.g. dressings, implants, cannulas, hypodermic syringes, needles).   |
| Specialist furniture, fixtures and fittings for areas used by patients, including specialist beds and chairs. Refurbishment works or furniture, fixtures and fittings for use in non-clinical areas by staff, including staff rest-rooms and external areas, where charitable monies have been specifically raised for such projects; or would result in an improvement in staff welfare facilities, where such enhancement would not normally be funded by NHS resources. | Furniture, fixtures and fittings for use in non-clinical areas by staff to perform duties of role/core business activities, e.g. furniture for offices, bedroom furniture for staff accommodation. |

|  |   |
|--|---|
| IT equipment and software where used in direct patient care (e.g. attached to radiography equipment, tablet computers for use in direct diagnosis or care).  | IT equipment and software where used in administrative and support roles (e.g. patient administration or business support).   |
|  | Office equipment and materials for use in administrative and support roles (e.g. stationery, filing cabinets, notes trolleys)   |
|  | Health and safety items (e.g. antibacterial gels, cleaning products/equipment, access equipment, industrial dishwashers).   |
| Fans and air conditioning units for patient care areas.  | Fans and air conditioning units in support and office areas ( <i>conditional on area making request i.e. if environment deemed detrimental to staff H&amp;S</i> ).  |
|  | Communication and navigation equipment (mobile phones and chargers, satellite navigation systems).  |
| <b>Items that COULD be funded by charitable funds</b>  | <b>Items that can-not be funded by charitable funds</b>   |
| <b>2. Education &amp; Training</b><br><b>All requests must comply with the UHB's Learning &amp; Development Policy</b><br><b>Applications for study leave must be made for all education and training</b>  |   |
| Education and training (courses and conferences), over and above that provided by the NHS which will improve staff knowledge and performance in their roles within the NHS. Where no NHS resources are available, 100% of fees and associated costs can be funded in line with NHS subsistence rates.  | Statutory, mandatory or essential education and training (e.g. required by law or identified as necessary for staff to undertake their roles within the NHS or required for maintenance of professional registration).<br>Backfill for staff attending education and training programmes. |
| Higher award and academic studies for which significant benefit to the UHB can be quantified through training and development objectives. All applications will be referred to the Charitable Funds Committee for consideration on a case by case basis.   | Education and training (courses and conferences) defined as 'Continuing Development 2' in the UHB's Learning and Development Policy, which is not normally supported by the UHB.<br>Backfill for staff attending education and training courses.  |
| Running costs associated with internally or externally run courses or conferences (including team skills development days) which are linked to identified education and training needs. e.g. speaker fees, room/ equipment hire, refreshments, honorariums, visiting speakers' accommodation. ( <i>*proof required that most cost-effective venue and/or accommodation option has been sourced</i> ) | Alcohol for course refreshments.<br>Honorariums above and beyond out of pocket expenses, in line with HMRC guidelines.<br>Team building days/time out.  |
| Overseas courses and conferences where there is clear patient benefit and no UK provision available within 12 months. Maximum of 75% of all reasonable costs, in line with NHS subsistence   | Cost of accompanying family members. ( <i>requests for overseas courses and conferences must be received at least 3 months in advance</i> ).  |

|  |  |
|--|--|
| rates. Accommodation for a maximum of 1 night before and 1 night after the event.  |  |
| Library facilities and resources.  | Requests which have not received study leave approval from the Learning & Development Department.  |
|  | Requests which have not complied with the UHB's Learning and Development Policy or received the relevant approvals.                          |
|  | Applications for education and training which has already taken place.   |
| <b>Items that COULD be funded by charitable funds</b>  | <b>Items that can-not be funded by charitable funds</b>  |
| <b>3. Patient Welfare</b>  |  |
| Items for patients (e.g. arts and crafts materials, children's themed curtains and duvet covers, patient library facilities).  |  |
| Furniture, fixtures and fittings in patient, or family/visitor rest areas.   |  |
| Additional snacks where there is a clear clinical need (e.g. for chemotherapy patients).   | Tea, coffee, water coolers (adequate patient hydration is a mandatory requirement in the NHS).   |
| Christmas extras for ward areas, gifts of nominal value (£5 each or less) for those inpatients in hospital on Christmas Day.<br><i>Allocation of Christmas monies is coordinated centrally on an annual basis.</i> | Gifts or distributions of money to patients at any time. All presents at Christmas must be non-monetary.                                     |
| <b>Items that COULD be funded by charitable funds</b>  | <b>Items that can-not be funded by charitable funds</b>  |
| <b>4. Staff Benefit</b>  |  |
| Books, educational DVD's, posters, leaflets, information screens for patient care and/or staff education.  | Televisions, games or other entertainment for staff.   |
|  | Staff celebrations or parties (including weddings, special birthdays or retirements), or gifts, including flowers.                           |
| Ward/departmental subscriptions to clinical journals where such journals are not available from the local staff library.   | Personal subscriptions/memberships and professional insurance fees (can be offset against personal additional taxable income).               |
|  | Regulation staff uniforms, protective clothing, theatre shoes, non-static shoes, staff lockers (if over and above that provided by the UHB). |
|  |  |

| Items that COULD be funded by charitable funds  | Items that can-not be funded by charitable funds   |
|---|--|
| <b>5. Building, Refurbishment &amp; Environment</b>   |  |
| Building and/or refurbishment works where charitable monies have been specifically raised for such projects.  | Planned preventative maintenance or maintenance repair works (building and engineering).   |
|   | Health and safety expenditure consequent upon charitably funded works, e.g. safe asbestos removal.   |
|   | Upgrading/replacement of existing infrastructure or fixed plant (e.g. boilers, central switchgear) unless consequent on a charitable funded scheme. Where absolutely required and where no NHS exchequer funds are available, charitable funding of such works should never exceed 20% of total costs. |
| Items that COULD be funded by charitable funds  | Items that can-not be funded by charitable funds   |
| <b>6. Research &amp; Development</b>  |  |
| Non-commercial medical research with direct benefits to NHS patients where ethical approval has already been granted and no other source of funding exists.   | Commercial research or non-medical research.   |
| Research where clear public/patient benefit potential is anticipated and where the results will be made publicly available. Funding will generally be limited to the balances in those funds that are raised and held specifically for purposes of research.  | Research where the charity or UHB is unable to secure the intellectual property or other rights of the research is successful.   |
| Items that COULD be funded by charitable funds  | Items that can-not be funded by charitable funds   |
| <b>7. Other</b>   |  |
| Staff posts for a limited time period (maximum of three years) where no other source of funding exists e.g. projects piloting new models of care or part of a wider service development offering the most effective use of the funds available. <ul style="list-style-type: none"> <li>• <i>Applications must outline the benefits to patients and the wider NHS and include a detailed exit strategy.</i></li> <li>• <i>All staff posts and expenditure greater than £25k requires the approval of the CFC.</i></li> </ul> |  |
| Healthy living and health promotion initiatives.  |  |