CARDIFF AND VALE UNIVERSITY HEALTH BOARD

PUBLIC CHARITABLE FUNDS COMMITTEE

15th September 2026 at 9am, via MS Teams

CHAIRS INFORMED AGENDA

Start time: 09:00	1	Welcomes:	Assurance / Approval or Noting&Information	Presenters
5 mins		Introductions and Apologies for Absence		Judi Rhys
	2	Declarations of Interest		Judi Rhys
	3	Minutes of the last meeting held: 16.06.2026		Judi Rhys
	4	Action Log – following meeting held on: 16.06.2026 - *no actions*		Judi Rhys
09:05	**5**	**Item for Approval / Ratification**		
0 mins	5.1	Over £25k endowment expenditure for approval – *no items*	**Approval**	Carys Wynne-Morgan
10 mins	5.2	Policies & Protocols - *UHB 601 - Protocol for Using Charitable Funds to Support External Third Sector Organisations and Individuals* - *UHB 602 - Conflict of Interest Policy (Health Charity)* - *UHB 603 - Privacy Policy (Health Charity)* - *UHB 604 - Complaints Policy and Procedure (Health Charity)* - *UHB 605 - Ethical Fundraising Policy*	**Approval**	Carys Wynne-Morgan
10 mins	5.3	Memorandum of Understanding with World Child Cancer UK	**Approval**	Carys Wynne-Morgan
09:25	**6**	**Items for Assurance**		
20 mins	6.1	Health Charity Financial Position & Investment Update – *standing item*	**Assurance**	Robert Mahoney
10 mins	6.2	Risk Register – *standing item*	**Assurance**	Carys Wynne-Morgan
10 mins	6.3	Case Study of Impact – *standing item*	**Assurance**	Carys Wynne-Morgan
10:05	**7**	**Items for Noting and Information**		
5 mins	7.1	Health Charity Fundraising Report – *standing item*	**Noting & Info**	Carys Wynne-Morgan
10:10	**8**	**Any Other Business**		
	8.1			Judi Rhys
10:10	**9**	**Review of Meeting**		
	9.1	*Board and Committee Self-Assessment link*		Judi Rhys

	9.2	**Time and date of the next meeting:** *8th December 2026 via MS Teams*
	9.3	**Declaration before moving into private session:** *To consider a resolution that representatives of the press and other members of the public be excluded from the remainder of this meeting having regard to the confidential nature of the business to be transacted, publicity on which would be prejudicial to the public interest [Section 1(2) Public Bodies (Admission to Meetings) Act 1960]*

Cardiff&Vale HealthCharity

Draft Public Minutes of the Charitable Funds Committee
16th June 2026 via Microsoft Teams

To watch this meeting, please click here: CAVUHB Charitable Funds Committee 16.06.2026

Present:		
Joanne Brandon	JB	Director of Communications, Arts, Health Charity and Engagement
Emma Cooke	EC	Executive Director of AHPs, Health Scientists and Community Services Development
Susan Lloyd-Selby	SL	Independent Member – Local Authority
Robert Mahoney	RM	Deputy Director of Finance
Lorna McCourt	LM	Independent Member – Trade Union
Catherine Phillips	CP	Executive Director of Finance
Judi Rhys	JR	Committee Chair / Independent Member – Third Sector
Kirsty Williams	KW	UHB Chair
Carys Wynne-Morgan	CWM	Head of Charity
In Attendance:		
Libby Barrett	LB	Senior Investment Director - Rathbones
Pearl Costello	PC	Sustainable Food Places Co-ordinator
Alex Dow	AB	Investment Director - Rathbones
Lucy Jones	LJ	Fundraising Development Manager
Lianne Morse	LM	Deputy Director of People & Culture
Frankie Ogden	FO	Head of Corporate Governance
Bethan Simmonds	BS	Acting Co-Director and Head of Communications and Engagement
Secretariat:		
Rachel Chilcott	RC	Corporate Governance Officer
Apologies:		
Rachel Gidman	RG	Executive Director of People & Culture
Rebecca Holliday	RH	Head of Financial Services
Matt Phillips	MP	Director of Corporate Governance

CFC 2026/06/1.1	**Welcome, Introductions and Apologies** Judi Rhys (JR), the Committee Chair welcomed everyone to the meeting.	Action
CFC 2026/06/1.2	**Declarations of Interests** No interests were declared.	
CFC 2026/06/1.3	**Minutes of the Committee Meeting held on 10.06.2025** The Committee reviewed the minutes of the meeting held on 10th June 2025. **The Committee resolved that:** a) The minutes of the meeting held on 10.06.2025 were approved as a true and accurate record.	

CFC 2026/06/1.4	**Committee Action Log** The Committee reviewed the Action Log. **The Committee resolved that:** a) The Action Log was noted.	
CFC 2026/06/1.5	**Committee Chairs Action** No Chair's Actions were raised.	
	Items for Approval / Ratification	
CFC 2026/06/2.1	**Over £25k endowment expenditure for approval** *No items for approval.*	
CFC 2026/06/2.2	**Food Sense Wales Memorandum of Understanding** Pearl Costello (PC), the Sustainable Food Places Co-ordinator, provided the following summary to the Committee: • Food Sense Wales (FSW) was a fund within the Health Charity, established to support access to healthy, affordable food and reduce diet-related ill health and inequalities across Cardiff • The Memorandum of Understanding (MoU) set out the relationship between the Health Charity, FSW and CAVUHB • It had been updated to reflect changes in oversight arrangements and to strengthen requirements around grant applications, partnership agreements and overheads, ensuring appropriate governance and scrutiny. JR asked how often the MoU was reviewed. PC responded it was three-yearly, last reviewed in 2023. Susan Lloyd-Selby (SLS), the Independent Member – Local Authority, noted the report stated that employment risks had been considered, but with only 74% of costs secured this year and funding confirmed only until 2028. SLS asked for clarity on what those risks were and whether they created any liabilities for the UHB. PC responded that the key mitigation was maintaining over £100k in reserves to cover potential redundancy costs should future staffing funding not be secured. The team had also remained small to minimise employment risk. Catherine Phillips (CP), the Executive Director of Finance, added that the reserve was primarily intended to cover redundancy costs should FSW ever cease operating, although there was currently no indication this would happen. CP asked whether the reserve could be used to cover any future staffing funding shortfalls, or whether sufficient grant income would be expected to avoid drawing on those reserves. PC responded that there were no plans to use reserves to support the additional staffing post. The post would be recruited on a one-year fixed term contract and was fully funded within the current budget. CP noted that given FSW's reliance on grant funding, ongoing monitoring and regular updates was needed to maintain assurance. **The Committee resolved that:** a) The updated Memorandum of Understanding (MoU) to describe relationships between the Charity, FSW, and corporate teams in CAVUHB, was approved.	
CFC 2026/06/2.3	**Food Sense Wales Project Support Manager Recruitment** PC summarised the following to the Committee:	

	• The request was to recruit a 0.6WTE post to backfill reduced hours within the team, providing a small increase in overall capacity. • The role would be funded within the current year's budget and recruited on a fixed-term contract. Any extension beyond the initial term would be subject to securing ongoing grant funding and ensuring no financial risk to the charity. JR asked how easy it would be to recruit to a post of this nature. PC responded that recruitment was typically on a fixed-term basis, and this had not created recruitment challenges to date. Given the team's strong reputation and profile, there was confidence that the post could be successfully filled. Lianne Morse (LM), the Deputy Director of People & Culture, asked how this aligned with the organisation's commitment to no workforce growth over the next 12 months. PC responded that the post was primarily a backfill for reduced hours, although it included an additional 0.2WTE to meet service demand. Recruiting to a 0.6WTE post was also considered more practical and attractive than recruiting to a smaller 0.4WTE role. **The Committee resolved that:** A) The expenditure of up to £29,032 from the FSW fund to support recruitment to a 12-month fixed-term Band 5 Project Support Manager role was approved.	
CFC 2026/06/2.4	**Staff Lottery Terms of Reference** Carys Wynne-Morgan (CWM), the Head of Health Charity, summarised the following to the Committee: • The Staff Lottery Bids Panel had delegated authority from the CFC to approve Staff Lottery Fund applications. • The TOR were reviewed annually, with only minor updates made this year. • Approval was sought for their use over the next 12 months. **The Committee resolved that:** A) The amendments to the Staff Lottery Bids Panel Terms of Reference were endorsed.	
	Items for Review and Assurance	
CFC 2026/06/3.1	**Health Charity Financial Position & Investment Update** Rob Mahoney (RM), the Deputy Director of Finance, noted that the report reflected the position at 31st March 2026 and mirrored the paper considered by the Board of Trustee (BoT) in May. The timing gap was due to the UHB's year-end accounts process; charity accounts followed the same year-end but were progressed once the UHB accounts had been completed and audited. More up-to-date financial reports would be provided at future meetings. RM presented the report and highlighted two key issues: 1. The value of the Charitable Funds increased by £0.321m in the period from 1st April 2025 to 31st March 2026. This incorporated net income of £0.005m over income and an increase in the Investment Portfolio of £0.326m. 2. The General Reserve was likely to be £0.674m in deficit at 31st March 2026 once year end accounting entries had been finalised. RM summarised the following: • The year-to-date financial position of the charity was summarised in Table 1. The charity reported a net increase in funds of £0.321m. Income and expenditure were largely balanced, with a small net spend of £0.005m. Investment performance remained volatile due to global/geopolitical factors, with fluctuations seen year to year. • Table 2 analysed the income received by the charity for the year compared with previous years – income had reduced slightly over recent years, primarily due to a decline in grant income. Future focus would be on targeting grants that contributed to core costs. Food Sense Wales (FSW) income had also decreased, though it remained a self-managed contributor to overall costs. The staff lottery had been reinstated and expanded, representing a positive income growth opportunity.	

- Table 3 provided the Draft Summary Balance Sheet as of 31st March 2026. The charity managed over 300 individual funds, each with differing cash flow requirements. While the investment portfolio increased by £326,000 during the year, £125,000 of investments were sold to support cash flow and meet fund commitments, resulting in a net increase in investment assets of £201,000 at year end.
- Although management accounts were not yet available for the first few months of the year, the Charity had reported net income of expenditure of £76,000 to date and the investment portfolio had increased, standing at £5.632m. These positive movements supported efforts to strengthen reserves, although investment performance remained subject to market volatility.
- Attachment 1 presented the cashflow forecast for 2026-27. Based on current spending plans and trajectory, the forecast cashflow did not project the requirement to raise any monies from sales of the investment portfolio in the financial year 2026/27. However, this remained dependent on the cashflow needs of the individual charitable funds and would be kept under review.
- The General Reserve Fund reserve remained in a deficit (£0.674m at March 2026), though its position had improved following changes to financial management. Earlier projections showed the deficit reducing to £0.489m by 2028/29, but recruitment would increase the forecast deficit to ~£0.840m. The additional investment in staffing was intended to strengthen income generation and strategic planning, supporting longer-term sustainability.

SLS highlighted that whilst a deficit remained, the projected position had stabilised significantly from earlier forecasts, and current projections indicated investment sales may not be required to support cashflow this year. SLS recognised the substantial work undertaken over the past 12 months.

Kirsty Williams (KW), the UHB Chair, sought assurance that funds had been appropriately classified as general, restricted or designated, and that detailed scrutiny had been undertaken to avoid unnecessarily restricting funds and impacting the charity's financial flexibility.

RM responded with assurance that a thorough review of fund classifications had been undertaken following previous Audit Wales scrutiny. Funds had been recategorised where necessary, and processes strengthened to ensure appropriate treatment of general, restricted, and designated funds. Ongoing oversight remained in place to maintain compliance and good practice.

Joanne Brandon (JB), the Director of Communications, Arts, Health Charity and Engagement, noted that the more Partnership Review highlighted the complexity of managing restricted and designated funds. Work had been undertaken to review designated funds and opportunities to release funding where appropriate, with further governance improvements remained possible.

CWM provided additional assurance that a detailed review of the charity's financial position and fund structure was being undertaken with Finance colleagues. This work would help ensure funds were used appropriately and that the Charity's financial arrangements remained robust and effective going forward.

CP noted that whilst the charity's financial position had stabilised, further work was required to address the general fund deficit. The More Partnership review and ongoing diagnostic work would inform a recovery pan, alongside consideration of opportunities arising from the sale of Rookwood. CP requested continued oversight as a long-term plan was developed to restore the general fund to a sustainable position.

The Committee resolved that:

A) The financial performance of the Funds Held on Trust in 2025-26 (NB. Draft Position) was noted;
B) The draft 2025-26 position of the General Funds and the projected deficit on the General Fund in future financial years was noted;
C) The cashflow for 2026-27 was noted;
D) The ongoing restructure of the Charity Team and the Financial Framework which aimed to enhance future resilience and increase income sustainability of the Funds Held on Trust in future years was noted;

	E) the impact on the Investment Portfolio resulting from the request to support the cashflow of the Charity in financial year 2026-27 was noted.	
CFC 2026/06/3.2	**Rathbones Investment Bi-Annual Update** Alex Dow (AD), the Investment Director - Rathbones, and Libby Barrett (LB), the Senior Investment Director – Rathbones, presented the bi-annual investment performance update. The CFC were advised that the charitable investment portfolio was valued at approximately £5.6m and had delivered positive returns over the previous year, with performance ahead of both inflation targets and the relevant charity peer group benchmark. The portfolio continued to be managed in line with the Charity's income and capital growth objectives, with a balanced risk approach and ethical investment restrictions in place. The presentation outlined proposed refinements to Rathbones' charity investment framework, including a revised return target and minor adjustments to asset allocation. The CFC were advised that market performance had been supported by resilient economic conditions and growth in technology and artificial intelligence related sectors, whilst noting the continued volatility and uncertainty within global markets. JR noted that an investment affected by AI was Abbott Laboratories and asked for more clarification. AD responded that Abbott Laboratories was not significantly affected by AI. Its share price decline appeared to reflect wider pressures across the medical technology sector rather than company-specific issues. Despite strong underlying performance and positive results, investors remained cautious, potentially due to reduced investment in US medical research and development. The extent of the share price fall was not considered justified given the company's resilience. KW noted that there was considerable media speculation that AI-related investments may be overvalued, raising concerns about hype. AD responded that whilst AI shared some characteristics with the dot-com boom, there were key differences. Today's major AI investors were financially strong, cash-generative businesses rather than speculative start-ups. Valuations, whilst elevated, remained below dot-com levels, and there was growing evidence that investment was being monetised through cloud computing and related services. Although risks and uncertainty remained, there were credible reasons to maintain exposure to the AI sector as a long-term growth opportunity. JR noted it would be useful to have these investment updates in BoT as well. **The Committee resolved that:** A) The update was noted.	
CFC 2026/06/3.3	**Noah's Ark Children's Hospital Charity** Lucy Jones (LJ), the Fundraising Development Manager, and Bethan Simmonds (BS), the Acting Co-Director and Head of Communications and Engagement, provided a presentation to the Committee outlining the Noah's Ark Children's Hospital Charity's achievements, future strategic direction and proposals to strengthen alignment with the UHB's priorities. The presentation highlighted the Charity's developing five-year strategy, with a focus on supporting mental health and wellbeing, enhancing hospital environments, improving specialist and rehabilitative care, supporting young people transitioning to adult services, and progressing plans for future capital projects, including paediatric emergency department improvements and respite provision. The Committee received an overview of the Charity's proposed brand refresh, intended to strengthen public understanding of the distinct but complementary roles of the Charity and the Hospital, whilst maintaining their close relationship and shared identity. CP recognised the value of Noah's Ark Charity and the need for closer strategic alignment to maximise charitable income and support future priorities, including community respite and	

	staff facilities. Further discussion would be needed to integrate Noah's Ark's ambitions into the Health Board's and Health Charity's future strategies. Emma Cooke (EC), the Executive Director of AHPs, Health Scientists and Community Services Development, suggested further discussion on the Clinical Services Plan to ensure Noah's Ark's ambitions aligned with wider service developments and changes to the clinical model. KW thanked the Noah's Ark Charity and its supporters, noting that projects such as the Jungle Ward had significantly enhanced the environment for children, families and staff. KW highlighted these improvements would not have been possible through NHS capital funding. **The Committee resolved that:** A) The information was noted.	
	Items for Noting and Information	
CFC 2026/06/4.1	**Health Charity Fundraising Report** **The Committee resolved that:** A) The Health Charity Fundraising Quarterly Update was received for information.	
CFC 2026/06/4.2	**Food Sense Wales Update Report** PC provided the following summary to the Committee: • FSW had reported a successful year, which included strengthening local food partnerships across Wales, working with WG and the Future Generations Commissioner, and expanding the Welsh Veg in Schools programme to 400 schools across 13 local authorities. • The organisation remained in a strong financial position for 2026/27, with most funding secured and opportunities to extend unrestricted funding beyond 2028. • Recruitment was underway to replace the FSW Programme Manager, who was leaving the organisation. **The Committee resolved that:** A) The progress by FSW in delivering action across the food system in Wales was noted; B) The recruitment underway for a new FSW Programme Manager was noted.	
CFC 2026/06/4.3	**Charitable Funds Investment Management Services Contract Update** JR noted this paper had already been approved by BoT, and was being presented in this Committee for noting and completeness. **The Committee resolved that:** A) The paper was noted.	
	Any Other Business	
CFC 2026/06/5.1	*No other business was raised.*	
	Items for the Private Meeting:	
CFC 2026/06/6.1	*i. Approval of Private Minutes* *ii. Staff Lottery Error Update* *iii. Head of Health Charity First Impressions Update*	
	Review of the Meeting	
CFC 2026/06/7.1		
CFC 2026/06/8.1	**Date and Time of Next Meeting** *Tuesday 15th September 2026 at 9am via MS Teams*	

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

Report Title:	Policies and Protocols		Agenda Item No:		5.2
Meeting:	Charitable Funds Committee	Public	X		15.09.2026
		Private			
Lead Executive Title:	Executive Director of Finance				
Report Author/s Title:	Head of Charity				

Report Focus Summary – **AAA Framework:**
*The AAA framework reflects the **overall position of the matter being reported**. **Select one category only** and complete the **relevant box** with a brief summary. A useful guide can be found here:* NHS Triple A Guide

ALERT *(Highlights areas of significant concern, such as non-compliance, urgent risks, or major issues that require immediate action or that the Board/Committee must be immediately aware of).*

The Health Charity has minimal bespoke policies and protocols, making it vulnerable in the event of an investigation by the Charity Commission or serious complaint by a member of the public. The policies developed for this report mitigate these concerns.

ADVISE *(Any areas of ongoing monitoring where an update has been provided to a sub-Committee/Group AND any new developments that will need to be communicated or included in operational delivery)*

ASSURE *(details areas where the Board/Committee will receive evidence of effective control, high-quality performance, or improvements)*

Board/Committee Response Required ***(please select only one)***

Assurance		Approval	X	Information/Noting	

Recommendations*:*

a) **Approve** the policies and protocol presented for consideration

Governance Route:

***Where** it's been:*	*N/A*
***When** it went:*	*N/A*
***What** decision was made:*	

Main Report
Background & Current Situation

The More Partnership report outlined key policies that the Health Charity needed to support robust governance arrangements and appropriate stewardship of Charitable Funds.

In addition, recent concerns over Charitable Funds spend has led to the development of the protocol presented.

To provide additional assurance to the Committee around governance, the Health Charity now has a business area on the Risk Register which has been populated and will allow reporting on areas exceeding tolerance at future Committee meetings.

The policies and protocol presented here for approval have been out to consultation for 28 days prior to submission to the Charitable Funds Committee.

The following amendments have subsequently been made:

1. The Ethical Fundraising Policy contains a strengthened section 4 relating to the Health Charity's ability to refuse support. The new wording ensures CAVHC can refuse support and/or donations

where accepting these that might result in loss of reputation to both the Health Charity and the Health Board.

2. The Ethical Fundraising Policy's list of businesses it would not accept funding from has been updated in Section 7 to align with the Income Generation Governance and Ethical Framework (UHB 157)
3. The Conflict of Interest Policy includes a new section on political candidacy and elected office. This ensures that all types of potential conflicts (as currently identified) are addressed through this policy.
4. The definitions in section 3 of the Conflict of Interest Policy have been updated to make reference to charitable funds within the Health Charity to provide increased clarity on who the policy applies to.
5. The Conflict of Interest Policy includes more specific guidance in section 6 about how staff and volunteer conflict should be mitigated.

Appendices:

1. Protocol for Using Charitable Funds to support external third sector organisations and individuals (UHB 601)
2. Conflict of Interest Policy (UHB 602)
3. Privacy Policy (UHB 603)
4. Complaints Policy and Procedure (UHB 604)
5. Ethical Fundraising Policy (UHB 605)

Strategic Alignment – Shaping Our Future Wellbeing:

Putting People First	X	Providing Outstanding Quality	X
Delivering in the Right Places		Acting for the Future	

Impact Assessment
Risk: Yes
The risk of not having appropriate policies was considered as part of the More Partnership report. These policies are in support of mitigating those risks.
Safety: No
Financial: Yes
The policies and protocol refer to appropriate acquisition and spending of Charitable Funds.
Workforce: No
Legal: Yes
The policies will mean the Health Charity acts in compliance with relevant legislation and industry regulation e.g., GDPR, Fundraising Regulator.
Reputational: No
Socio Economic: No - *https://www.gov.wales/socio-economic-duty-guidance*
Equality & Health: No
A Equality Health Impact Assessment (EHIA) has been undertaken and does not highlight any areas of concern.
Decarbonisation: No
Welsh Language: No

Reference Number: UHB 601 **Version Number:** 1	**Date of Next Review:** **Previous Trust/LHB Reference Number:**

Protocol for using Charitable Funds to support external third sector organisations and individuals
Policy Statement To ensure the Health Charity delivers its aims, objectives, responsibilities and legal requirements transparently and consistently, we will ensure we abide by Charitable law, industry regulations, and charitable best practice.
Policy Commitment The Health Charity is committed to ensuring Charitable Funds are acquired and spent in a fair, transparent and equitable manner.
Supporting Procedures and Written Control Documents *Other supporting documents that the reader needs to be aware of alongside this document:* • Ethical Fundraising Policy • Fundraising Policy • Charitable Funds Financial Controls Procedure • Declaration of Gifts, Hospitality and Sponsorship Procedure • Declarations of Interest • Procurement Guide
Scope This policy applies to all involved with the Cardiff and Vale Health Charity, including the Trustee, members of the Charitable Funds Committee, team members, fund holders, others in the Cardiff and Vale University Health Board with oversight of charitable activity, freelance team members, and volunteers.

Equality & Health Impact Assessment (EHIA) Part 1 - Equality Impact Assessment (EQIA)	An Equality Impact Assessment (EqIA) has been completed and this found there to be a positive impact. Key actions have been identified and these are incorporated within this controlled document.

Equality & Health Impact Assessment (EHIA) Part 2 - Health Impact Assessment (HIA)	A Health Impact Assessment (HIA) has been completed and this found there to have no impact. Key actions have been identified and these are incorporated within this controlled document.
Policy Approved by	Charitable Funds Committee
Group with authority to approve procedures written to explain how this policy will be implemented	Health Charity
Accountable Executive or Clinical Board Director	Executive Director of Finance

Summary of reviews/amendments			
Version Number	**Date Review Approved**	**Date Published**	**Summary of Amendments**
1	Approved by Charitable Funds Committee dd/mm/yyyy	TBA	*New document*
2			

Protocol for using Charitable Funds to support external third sector organisations and individuals

1. Purpose

This protocol sets out the circumstances in which Cardiff & Vale Health Charity may provide funding to another registered charity, not-for-profit organisation, or individual, ensuring that all funding decisions:

- Further the charitable purposes of the Cardiff & Vale Health Charity.
- Deliver a clear benefit to patients, staff, or healthcare services within Cardiff and Vale University Health Board.
- Protect the reputation and public trust in the Cardiff & Vale Health Charity.

2. Scope

This protocol applies to:

- Grant awards to external charities, third sector organisations, or individuals.
- Partnership projects involving external charities, third sector organisations, or individuals.
- Collaborative funding arrangements involving external partners.
- Transfer of charitable funds to another organisation or individual to deliver an agreed project.
- Use of charitable funds to commission an external third sector group, organisation, or individual to deliver an activity or pay for their services to support an event.
- Procuring the services of an external charity, third sector organisation, or individual to supply goods and services.

This protocol does not apply to:

- Donations collected and restricted by donors for another named charity.
- Membership fees or subscriptions.

3. Principles

Any funding provided to another charity, third sector organisation, or individual must:

3.1 Charitable Benefit

Demonstrate a direct and identifiable benefit to:

- Patients receiving care within Cardiff and Vale UHB;
- Staff wellbeing initiatives;
- Healthcare research;
- Health improvement programmes;
- Community initiatives that support health outcomes linked to the Health Charity's objectives.

3.2 Additionality

Funding must enhance or supplement services and must not replace statutory NHS funding responsibilities.

Funding may be used to pay for, or commission, services from an external third sector group or organisation if this is the most appropriate route for service delivery. This may include utilising charitable funds to fund a group, organisation, or individual that is already supported to deliver additional services e.g., presence at an event as an addition to regular activity. It may also mean paying a new provider where they are the most appropriate service deliverer despite similar services existing within the Health Charity’s remit e.g., they bring lived experience or bespoke skills that are not available within existing funded services.

3.3 Value for Money

Funding decisions should consider:

- Expected outcomes;
- Number of beneficiaries;
- Sustainability;
- Alternative funding sources;
- Whether funding represents an efficient use of charitable resources;
- Whether people are being paid appropriately for their time.

3.4 Ethical Considerations

Funding will not be awarded where the recipient or recipient's organisation's activities are inconsistent with the values, mission, or reputation of the Cardiff & Vale Health Charity. Appropriate due diligence must be undertaken to ensure the safeguarding of all activities and the reputation of the Cardiff & Vale Health Charity. Full details of expectations under this clause can be found in the Health Charity's Ethical Fundraising Policy.

4. Procurement

Cardiff and Vale University Health Board procurement procedures should be followed when commissioning an external party to deliver goods and services. All providers must be set up as a supplier before any goods or services can be commissioned, even when these are being acquired through use of charitable funds. For support with this, please contact procurementservicesenquiries@wales.nhs.uk

Reference Number: UHB 602 **Version Number:** 1	**Date of Next Review:** **Previous Trust/LHB Reference Number:**

Conflict of Interest Policy (Health Charity)

Policy Statement

To ensure the Health Charity delivers its aims, objectives, responsibilities and legal requirements transparently and consistently, we will ensure we abide by Charitable law, industry regulations, and charitable best practice.

Policy Commitment

The Health Charity is committed to ensuring decisions made on matters affecting the Health Charity are done so in a fair, transparent and equitable manner.

Supporting Procedures and Written Control Documents

Other supporting documents that the reader needs to be aware of alongside this document:

- Standards of Behaviour
- Declarations of Interest Procedure
- Declaration of Gifts, Hospitality and Sponsorship Procedure
- Standing Orders

Scope

This policy applies to all involved with the Cardiff and Vale Health Charity, including the Trustee, members of the Charitable Funds Committee, team members, fund holders, others in the Cardiff and Vale University Health Board with oversight of charitable activity, freelance team members, and volunteers.

Equality & Health Impact Assessment (EHIA) Part 1 - Equality Impact Assessment (EQIA)	An Equality Impact Assessment (EqIA) has been completed and this found there to be a positive impact. Key actions have been identified and these are incorporated within this controlled document.

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Policy Approved by	Charitable Funds Committee
Group with authority to approve procedures written to explain how this policy will be implemented	Health Charity
Accountable Executive or Clinical Board Director	Executive Director of Finance

Summary of reviews/amendments			
Version Number	**Date Review Approved**	**Date Published**	**Summary of Amendments**
1	Approved by Charitable Funds Committee dd/mm/yyyy	TBA	*New document*
2			

Conflict of Interest Policy

1. Introduction

This Policy provides guidance on identifying conflicts of interest and sets out the Cardiff and Vale Health Charity's (CAVHC) policy for managing any such conflicts.

Although the Policy will be of primary concern to the Trustee Board, who have a legal obligation to act in the best interests of the Charity and to avoid situations where there may be an actual or potential conflict of interest, senior management, staff and volunteers may also find themselves subject to conflicts of interest. Employees have obligations of loyalty and mutual trust and confidence to the Charity and this policy applies to all individuals involved with the CAVHC.

This Policy is supplementary to the Cardiff and Vale University Health Board's (CAVUHB) Standards of Behaviour, Declarations of Interest Procedure, Declaration of Gifts, Hospitality and Sponsorship Procedure, Standing Orders and Standing Financial Instructions and CAVHC's governing document. In the case of any inconsistency then those other documents will prevail.

2. Background

Conflicts of interest arise where an individual's personal or family interests and/or loyalties conflict with those of CAVHC or might be perceived by outside observers to conflict with those of the Charity. Such conflicts can create problems by inhibiting free discussion and can result in decisions or actions which are not in the best interests of the Charity or give the impression that CAVHC has acted improperly.

Conflicts of interest can damage a charity's reputation or public trust and confidence in charities generally. The purpose of this Policy is to provide a framework for the full disclosure and management of conflicts and potential conflicts of interest so that CAVHC is always able to respond appropriately to the situation by managing the risks to the Charity and is able to explain how decisions have been taken only in the best interests of the Charity.

The aim of this policy is to protect both CAVHC and individuals involved with the Charity from any impropriety or appearance of impropriety. Trustees' personal and professional connections can bring benefits to the work of the Charity, and they often form part of the reason why an individual has been asked to join the Trustee Board or Charitable Funds Committee. However, where they give rise to conflicts of interest then the Trustee and the Charity must respond appropriately.

3. Definitions

A **conflict of interest** is any situation in which an individual's personal interests or loyalties could, or could be seen to, prevent them from making a decision only in the best interests of the Charity, including the interests of specific fund(s) within the Charity. It might arise where there is a potential financial or other measurable benefit directly to an individual, or indirectly through a connected person; or where an individual's duty to the Charity may compete with a duty or loyalty they owe to another organisation or person.

A **conflict of loyalty** is a particular type of conflict of interest, in which an individual's loyalty or duty to another person or organisation could prevent the individual from making a decision only in the best interests of the Charity.

A **connected person** means family, relatives or business partners of an individual, as well as businesses in which an individual has an interest through ownership or influence. The term includes an individual's spouse or unmarried or civil partner, children, siblings, grandchildren and grandparents, as well as businesses where the individual or a family member holds a participating interest (usually 5% or more of the shareholding or voting rights).

A **related party** is a term defined in the Charity SORP that combines the requirements of charity law, company law and the Financial Reporting Standards applicable in the UK. It identifies those persons or entities that are closely connected to the Charity or its Trustees. Related parties include the Charity's Trustees and their close family members and those entities which they control or in which they have a significant interest. (see Appendix 1)

Related party transactions are the transfer of resources, services or obligations between related parties, regardless of whether a price is charged.

Trustee benefit includes any payments or non-financial benefits to a Trustee or a connected person, apart from their reasonable out of pocket expenses. The term also covers situations where a Trustee (or connected person) could receive property, loans, grants, goods or services from the Charity.

4. The Law

Trustees have a personal responsibility to declare conflicts of interest if they are to fulfil their legal duty to act only in the best interests of the Charity.

Where CAVHC decides to confer a Trustee Benefit then the Board must ensure that there is appropriate legal authority in place to enable them to make the decision. This could come from:

- a clause in CAVHC's governing document.
- a statutory provision such as the power in the Charities Act which allows charities, in some circumstances, to pay Trustees for additional services they provide to the Charity over and above normal Trustee duties.
- the Charity Commission.
- the Court.

Failure to act properly and follow the stated provisions where there is a conflict of interest is a breach of the Trustees' legal responsibilities.

5. Identifying a Conflict

Examples of common types of conflict include:

- conflicts between an individual's personal financial interests and those of CAVHC.
- conflicts between the financial interests of someone connected to the individual and those of CAVHC, for example, payments to a relative.
- non-financial conflicts, for example, the interests of two organisations with which a trustee or employee is involved conflicting with each other (i.e. a conflict of loyalties).

For the Trustees, a useful test is to regard an "interest" as a very broad term which includes anything or any connection that could potentially divert a Trustee's mind from giving sole consideration to fulfilling the objects of the Charity.

An individual Trustee must not benefit, whether financially or otherwise, from their position beyond what is permitted by law and what is in the best interests of CAVHC.

If a Trustee has any doubt as to whether a particular circumstance represents a potential or actual conflict of interest, they should speak to the Chair in the first instance, who will confirm whether a Declaration should be made.

Any other individual involved with CAVHC who is uncertain as to whether they should notify the Charity about a particular circumstance should discuss the matter with the Chair of the Charitable Funds Committee who will then decide whether the matter should be declared and entered in the Charity's Register of Interests.

6. Declaring an Interest

All Trustees (and other relevant individuals, e.g., Charitable Funds Committee Members, Senior Managers, and Fund Managers) shall, on appointment, complete a Declaration of Interests form on ESR in respect of themselves, their spouses, partners, close relatives and business associates, as appropriate. Thereafter it is the individual's responsibility for ensuring that the Declaration is up-to-date, including reviewing the Declaration on an annual basis.

All external interests should be declared as it may not be apparent which are relevant to CAVHC or may lead to a potential or actual conflict of interests or loyalties.

All staff and volunteers must notify the Charity, via their line manager, where the work they are doing for the Charity involves or might involve a benefit from the Charity to themselves or a connected party. This is relevant to all fund holders, managers and specific fund committees, as well as CAVHC staff and volunteers.

Where a member of staff involved in the Charity or a particular fund has a conflict of interest, this should be discussed with the line manager at the time of declaration and any mitigating measures put in place to ensure the conflict does not adversely affect the Charity or charitable fund. The exact measures will vary on a case-by-case basis but may include proactively re-declaring the conflict prior to any relevant decision making; removing the individual from working on particular subjects (related to the conflict); removing them from all or part of any meetings where there may be a conflict

If any individual has a conflict of interest in relation to a particular contract, the conflicted individual must not be involved in awarding, managing, or monitoring the relevant contract.

Whenever an individual has a conflict or potential conflict of interest in a matter to be discussed at a Board or Charitable Funds Committee meeting where they are present, the conflicted individual shall:

- declare that interest at or before discussion begins on the matter (at each meeting there should be a formal opportunity for those present to declare any interest in any item to be discussed).
- withdraw from the meeting during any discussion of that item unless expressly invited to remain to give information.
- not be counted in the quorum for the part of the meeting devoted to that item.
- withdraw during the vote and have no vote on the matter.

Trustees must consider the issue of the conflict of interest so that any potential effect on decision making is eliminated. How they prevent the conflict from affecting decision making will depend on the circumstances.

Trustees must follow any legal or governing document requirements which say how the conflict of interest must be handled and be satisfied that doing so is an appropriate way of demonstrating that their decision was made only in the best interests of CAVHC.

Where a Trustee or Committee Member becomes aware of a personal interest in relation to a matter arising in a written resolution circulated to the Trustees or Committee Members, the Trustee or Charitable Funds Committee Member concerned shall:

- as soon as possible declare an interest to all the other Trustees or Charitable Funds Committee Members.
- not be entitled to vote on the written resolution.
- the resolution shall take effect if approved by the requisite proportion of the remaining Trustees or Charitable Funds Committee Members provided that any Trustee or Charitable Funds Committee Member who has already voted on the resolution may, on being notified of the personal interest, withdraw their vote.

A declaration of interests is the responsibility of each individual Trustee or Charitable Funds Committee Member, but if a Trustee is aware of an undeclared conflict of interest affecting another Trustee, they should notify the Chair.

Trustees must be able to demonstrate that their decisions are made only in the best interests of the Charity. A formal written record (e.g., in minutes of the relevant meeting) of any conflicts of interest and how they were handled should be maintained, showing:

- the nature of the conflict.
- which Trustee or Trustees were affected.
- whether any conflicts of interest were declared in advance.
- an outline of the discussion.
- whether anyone withdrew from the discussion.
- how the Trustees took the decision in the best interests of CAVHC.

The Chair or Chair of the Charitable Funds Committee may, exceptionally, need to seek the authority of the Charity Commission where the conflict of interest is so acute or extensive that the Trustees consider they are unable to clearly demonstrate that they have acted solely in the best interests of CAVHC.

7. Political Candidacy and Elected Office

CAVHC must maintain its independence from party-political activity and preserve public confidence that charitable funds are applied solely in furtherance of its charitable purposes.

Employees, Trustees and fund holders must declare to the Charity, via their line manager, any intention to stand as a candidate for election to local government, the Senedd, UK Parliament, or any other elected public office.

Standing for election does not, in itself, constitute a prohibited conflict of interest. However, it may give rise to actual, potential, or perceived conflicts between an individual's political activities and the Charity's obligation to remain independent and politically neutral.

Upon notification, the Charity, together with the relevant line manager, will undertake a proportionate assessment of any risks to the Charity's reputation, independence, impartiality, and/or public confidence. The Charity may implement appropriate measures to manage any identified conflicts, including:

- restrictions on representing the Charity externally.
- exclusion from relevant decisions or meetings.
- temporary reassignment of duties.
- requirements regarding use of Charity facilities, branding, and communication channels.
- a period of annual leave, unpaid leave, or other agreed leave arrangements during an election campaign, in discussion with specialists from the People and Culture team.

Individuals standing for election must not:

- use Charity resources, premises, information, branding, or networks for political campaigning.
- imply that the Charity endorses them, their political party, or their candidacy.
- allow their political activities to interfere with the proper discharge of their duties to the Charity.

The Charity reserves the right to require additional measures where necessary to protect its independence, reputation and compliance with charity law.

8. Register of Interests

CAVHC shall maintain a Register of Interests which shall be reviewed by the Board every twelve months.

The Register of Interests shall include Trustee and Charitable Funds Committee Member interests as recorded in their individual Declarations of Interest. The Register shall also contain any material conflicts notified by senior managers or other employees, fund holders, and volunteers.

Any information provided will be processed in accordance with data protection principles and retained in accordance with Data Protection legislation only to demonstrate compliance with this policy and to ensure the avoidance of impropriety.

9. Persistent Material Conflicts

In the event that there is a persistent material conflict of interest which affects the ability of a particular Trustee or Charitable Funds Committee Member to carry out his or her duties then the Trustee or Charitable Funds Committee Member concerned should consider whether it is in the best interests of CAVHC that they continue as a Trustee or Charitable Funds Committee Member.

If a conflict is considered by a majority of the unconflicted Trustees to be so fundamental or pervasive that it would be inappropriate for the individual to remain as a Trustee or Charitable Funds Committee Member, then the individual will be asked to resign from the Board or Charitable Funds Committee, as appropriate. In such a case the individual should respect the majority decision and resign at the earliest opportunity.

10. Related Party Transactions

All Trustee benefits must be disclosed in the Charity's Annual Report and Accounts.

Most Related Party transactions must also be disclosed in the Charity's Annual Report and Accounts. The Charities SORP requires these disclosures to provide transparency to users of the accounts so that they can assess whether the relationship between the Charity and the other party or parties to a transaction may have been influenced by interests other than those of CAVHC. Disclosing related party transactions also shows how far, if at all, the reported financial position and activities may have been affected by such transactions.

Trustees will be required to disclose related party transactions of any value as part of their annual Declaration of Interests.

Appendix 1: Declaration of Interest - Guidance in respect of the Health Charity

Under the Charities SORP, Trustee remuneration and other benefits must be disclosed in the Charity's Annual Report and Accounts. A transaction involving a Trustee or other related party must always be regarded as material regardless of its size. For the purposes of this disclosure, the following people and organisations are considered connected to the Trustees:

i. members of the same family or household of the charity Trustee or related person who may be expected to influence, or be influenced by, that person in their dealings with the charity;

ii. the Trustees of any trust, not being a charity, the beneficiaries or potential beneficiaries of which include a charity trustee or related person or a person referred to in (i) as being connected with a charity trustee or to a related person, as the case may be;

iii. any business partner of a charity trustee or related person, or of any person referred to in (i) or (ii) as being connected with a charity trustee or to a related person, as the case may be;

iv. any body corporate, not being a company which is controlled entirely by one or more charitable institutions, in which:

    a) the charity trustee has, or the charity trustee and any other charity trustee or trustees or person or persons referred to in (i), (ii) or (iii) above as being connected with a charity trustee, taken together, have a participating interest; OR

    b) the related person has, or the related person and any other related parties of the charity, taken together, have a participating interest.

The following transactions by a trustee or related party do not need to be disclosed:

a. donations received by the charity, so long as the donor has not attached conditions which would, or might, require the charity to alter significantly the nature of its existing activities if it were to accept the donation;
b. minor or routine unremunerated services provided to a charity;
c. contracts of employment between a charity and its employees (except where the employees are the charity Trustees or people connected with them);
d. contributions by a charity to a pension fund for the benefit of employees;

e. the purchase from a charity of minor articles which are offered for sale to the general public on the same terms as are offered to the general public;
f. the provision of services where the related party receives the services as part of a wider beneficiary class, and on the same terms as other members of the class (for example, the use of a village hall by members of its committee of management as inhabitants of the area of benefit);
g. the payment or reimbursement of out-of-pocket expenses

The following interests should be declared by each Trustee, senior manager, fund manager or Charity team members (including volunteers) in the space provided on the form:

a. A position of authority in a charity or voluntary organisation in the field of health and social care.
b. Directorships, including non-executive directorships held in private companies or PLCs (with the exception of dormant companies).
c. Ownership or part-ownership of private companies, businesses or consultancies likely or possibly seeking to do business with the NHS and/or the Charity (excluding a holding of shares in a company whose shares are listed on any public exchange where the holding is less than 5% of the total share issue).
d. Majority or controlling shareholdings in organisations likely or possibly seeking to do business with the NHS and/or the Charity.
e. Any connection with an organisation, entity or company considering entering into or having entered into a financial arrangement with the Charity.
f. Standing for elected office.

No Trustee shall be treated as having a relevant interest by reason only of a connection to any company, body or person which is so remote or insignificant that it cannot reasonably be regarded as likely to influence him in the consideration or discussion of, or in voting on, any matter.

Reference Number: UHB 603 **Version Number:** 1	**Date of Next Review:** **Previous Trust/LHB Reference Number:**

Privacy Policy (Health Charity)

Policy Statement

To ensure the Health Charity delivers its aims, objectives, responsibilities and legal requirements transparently and consistently, we will ensure we abide by Charitable law, industry regulations and charitable best practice.

Policy Commitment

The Health Charity is committed to ensuring it treats donors, supporters, and volunteers fairly and in compliance with data law and industry regulations

Supporting Procedures and Written Control Documents

Other supporting documents that the reader needs to be aware of alongside this document:

- Data Protection Act Policy
- Information Governance Policy

Scope

This policy applies to all involved with fundraising for Cardiff and Vale Health Charity, including the Trustee, members of the Charitable Funds Committee, team members, fund holders, others in the Cardiff and Vale University Health Board with oversight of charitable activity, freelance team members, and volunteers.

Equality & Health Impact Assessment (EHIA) Part 1 - Equality Impact Assessment (EQIA)	An Equality Impact Assessment (EqIA) has been completed and this found there to be no impact. Key actions have been identified and these are incorporated within this controlled document.
Equality & Health Impact Assessment (EHIA) Part 2 - Health Impact Assessment (HIA)	A Health Impact Assessment (HIA) has been completed and this found there to be no impact. Key actions have been identified and these are incorporated within this controlled document.
Policy Approved by	Charitable Funds Committee

Group with authority to approve procedures written to explain how this policy will be implemented	Health Charity
Accountable Executive or Clinical Board Director	Executive Director of Finance

Summary of reviews/amendments			
Version Number	**Date Review Approved**	**Date Published**	**Summary of Amendments**
1	Approved by Charitable Funds Committee dd/mm/yyyy	TBA	*New document*
2			

Privacy Statement

1. Introduction

Cardiff and Vale Health Charity (CAVHC, the Charity, we, our, us) is committed to protecting your privacy and handling your personal information in a transparent, secure, and lawful manner.

This Privacy Notice explains how we collect, use, store and protect your personal information when you donate, volunteer, fundraise, attend an event, apply for funding, contact us, or otherwise engage with the Charity.

We process personal data in accordance with:

- UK General Data Protection Regulation (UK GDPR)
- Data Protection Act 2018
- Data (Use and Access) Act 2025
- Privacy and Electronic Communications Regulations (PECR)
- Relevant NHS Wales information governance requirements

2. Who We Are

CAVHC is the official charity of Cardiff and Vale University Health Board (CAVUHB). We support projects and services that enhance patient care, staff wellbeing, medical research, equipment, and the healthcare environment across Cardiff and the Vale of Glamorgan.

Registered Charity Name: Cardiff and Vale University Local Health Board General Purpose Charity

Working Name: Cardiff & Vale Health Charity

Charity Registration Number: 1056544

Address: Cardiff & Vale Health Charity, Woodland House, Maes-y-Coed Road
Cardiff, CF14 4HH

The Charity is supported by Cardiff and Vale University Health Board in the administration and processing of personal information. https://healthcharity.wales/privacy-policy-2/

3. Why We Need This Privacy Notice

In carrying out our charitable activities, we collect and use personal information about donors, supporters, volunteers, event participants, beneficiaries, staff, fundraisers and others who engage with us.

Under data protection legislation, Cardiff & Vale Health Charity acts as a **Data Controller** for the personal information we process.

This means we are responsible for:

- Deciding how your personal information is collected and used;
- Ensuring it is processed fairly, lawfully and transparently;
- Keeping it secure and accurate; and
- Respecting your rights under data protection legislation.

4. Information We Collect

The information we collect depends on your relationship with the Charity.

4.1 Personal Information

This may include:

- Name and title
- Postal address
- Email address
- Telephone number
- Date of birth
- Employee number
- Emergency contact details
- Communication preferences
- Gift Aid declarations
- Donation history
- Event registrations and attendance records
- Volunteer information
- Correspondence with us

4.2 Financial Information

Where relevant, this may include:

- Donation records
- Payment details processed through approved payment providers
- Fundraising income records

Cardiff & Vale Health Charity does not store full payment card details. Payment transactions are managed by approved third-party providers that have their own privacy notices and security arrangements.

4.3 Special Category Data

In limited circumstances we may collect additional information where necessary, including:

- Health information
- Accessibility requirements
- Dietary requirements
- Equality, diversity and inclusion monitoring information
- Religious beliefs (where relevant to an event or accessibility need)

Special category data receives additional legal protection and is only processed where a lawful basis exists.

4.4 Images, Videos and Testimonials

With your permission, we may collect:

- Photographs
- Video recordings
- Audio recordings
- Personal stories
- Testimonials and case studies

These may be used to demonstrate the impact of donations and charitable activities.

5. How We Use Your Information

5.1 To Administer Donations and Fundraising Activities

We use personal information to:

- Process donations
- Claim Gift Aid where applicable
- Maintain donor records
- Manage fundraising events
- Thank supporters for their contributions
- Respond to enquiries

5.2 To Communicate with you

Where appropriate, we may contact you regarding:

- Charity news and updates
- Fundraising events and campaigns
- Volunteer opportunities
- Appeals and initiatives
- Supporter communications

You may opt out of marketing communications at any time by contacting us or using the unsubscribe links included in electronic communications.

5.3 To Manage Volunteers and Events

We may use personal information to:

- Register attendance
- Coordinate volunteers
- Assess accessibility requirements
- Manage health and safety obligations
- Contact emergency contacts if necessary

5.4 To Demonstrate Impact and Meet Reporting Requirements

We may collect information to:

- Evaluate our activities
- Report to the Trustee, auditors, regulators ,and funders
- Demonstrate the impact of charitable funding
- Produce anonymised statistical reports

Where identifiable stories, photographs or case studies are used publicly, we will obtain appropriate consent.

5.5 To Meet Legal and Regulatory Obligations

We may process personal data to:

- Prevent fraud
- Undertake safeguarding responsibilities
- Meet charity law requirements
- Respond to legal requests
- Comply with NHS, HMRC, Charity Commission or regulatory obligations.

6. Our Lawful Basis for Processing

Under UK GDPR, and Data (Use and Access) Act 2025, we rely on one or more of the following lawful bases:

- Legitimate Interests
- Charity Soft Opt-In
- Performance of a Contract
- Legal Obligation
- Consent (where required)
- Vital Interests (for emergency situations)

For special category data, we may rely on:

- Explicit Consent
- Employment, social security and social protection law
- Safeguarding or substantial public interest requirements where applicable.

7. Sharing Your Information

We do not sell your personal information and will never share your details with third parties for their own marketing purposes.

Your information may be shared with:

- Cardiff and Vale University Health Board
- Payment processing providers
- Fundraising and event-management platforms
- Mail distribution services
- Professional advisers, auditors, and regulators
- Law enforcement agencies where legally required

All third-party providers are required to protect your information and process it in accordance with data protection law.

8. How We Store and Protect Your Information

We take appropriate technical and organisational measures to safeguard personal information.

These include:

- Secure NHS and charity systems
- Password-protected databases
- Restricted staff access
- Encryption where appropriate
- Secure disposal processes
- Staff training in information governance

While we use robust security measures, no internet-based transmission can be guaranteed to be completely secure.

9. How Long We Keep Information

Information is retained only for as long as necessary to fulfil the purpose for which it was collected and to comply with legal, accounting and regulatory requirements.

As an NHS charity, retention periods are guided by the Records Management Code of Practice for Health and Social Care. Donation records are generally retained for six years after the end of the relevant financial year, unless a longer retention period is required.

Where photographs, historical records or case studies form part of the Charity's archive and heritage record, they may be retained for longer periods where there is a legitimate organisational interest in doing so.

10.Cookies and Website Analytics

Our website may use cookies to improve functionality, analyse website performance and enhance user experience.

You can manage cookie preferences through your browser settings. Further information is available in our Cookie Policy.

11.Third-Party Websites

Our website may contain links to external websites.

We are not responsible for the privacy practices of external organisations and encourage you to read their privacy notices before providing personal information.

12. Your Rights

Under UK GDPR, you have the right to:

- Be informed about how your information is used
- Access copies of your personal information
- Request correction of inaccurate information
- Request erasure of information in certain circumstances
- Restrict processing
- Object to processing
- Data portability where applicable
- Withdraw consent where consent is relied upon

Most requests will be responded to within one month, where this is not possible, we will write to inform you of our proposed timescale.

13.Contact Us

If you have any questions about this Privacy Notice or wish to exercise your data protection rights, please contact:

Cardiff & Vale Health Charity
Woodland House
Maes-y-Coed Road
Cardiff
CF14 4HH

Telephone: 02921 836042
Email: fundraising.cav@wales.nhs.uk

You may also contact the Cardiff and Vale University Health Board Data Protection Officer through the UHB if your enquiry relates to information governance matters.

14.Complaints

If you are dissatisfied with how we use your personal information, please contact us first so that we can try to resolve your concerns.

You also have the right to complain to the Information Commissioner's Office (ICO):

Information Commissioner's Office
Wycliffe House
Water Lane
Wilmslow
Cheshire
SK9 5AF

Telephone: 0303 123 1113

Website: https://www.ico.org.uk

Further information about data protection rights and complaints is available from the ICO.

Reference Number: UHB 604 **Version Number:** 1	**Date of Next Review:** **Previous Trust/LHB Reference Number:**

Complaints Policy and Procedure (Health Charity)

Policy Statement

To ensure the Health Charity delivers its aims, objectives, responsibilities and legal requirements transparently and consistently, we will ensure we abide by Charitable law, industry regulations and charitable best practice.

Policy Commitment

The Health Charity is committed to ensuring it operates in an open and transparent manner,

Supporting Procedures and Written Control Documents

Other supporting documents that the reader needs to be aware of alongside this document:

- Concerns (Complaints) and Claims (Clinical Negligence, Personal Injury and Redress) Management Policy
- Safeguarding Allegation/Concerns About Practitioners and Those in Positions of Trust Procedure

Scope

This policy applies to all involved with the Cardiff and Vale Health Charity, including the Trustee, members of the Charitable Funds Committee, team members, fund holders, others in the Cardiff and Vale University Health Board with oversight of charitable activity, freelance team members, and volunteers.

Equality & Health Impact Assessment (EHIA) Part 1 - Equality Impact Assessment (EQIA)	An Equality Impact Assessment (EqIA) has been completed and this found there to be no impact. Key actions have been identified and these are incorporated within this controlled document.

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Policy Approved by	Charitable Funds Committee
Group with authority to approve procedures written to explain how this policy will be implemented	Health Charity
Accountable Executive or Clinical Board Director	Executive Director of Finance

Summary of reviews/amendments

Version Number	Date Review Approved	Date Published	Summary of Amendments
1	Approved by Charitable Funds Committee dd/mm/yyyy	TBA	*New document*
2			

Cardiff & Vale HealthCharity ElusenIechyd Caerdydd a'r Fro

GIG CYMRU NHS WALES Bwrdd Iechyd Prifysgol Caerdydd a'r Fro Cardiff and Vale University Health Board

Complaints Policy

1. Purpose

Cardiff and Vale Heath Charity (CAVHC) is committed to operating in an open, accountable, transparent and responsive manner. We welcome feedback, compliments, concerns, and complaints as opportunities to learn, improve our services, and strengthen public trust.

This policy provides a clear and fair process for managing complaints from patients, families, donors, volunteers, fundraisers, NHS staff, beneficiaries, contractors, and members of the public. It aligns with recognised charity sector complaints handling principles, NHS complaint-handling standards, and Welsh public service expectations.

2. Scope

This policy applies to complaints about:

- CAVHC activities, services and programmes.
- Fundraising activities.
- Communications and marketing.
- Events organised by CAVHC.
- Grant-making decisions and processes.
- Conduct of CAVHC staff, volunteers, and members of the Charitable Funds Committee.
- Management of donations.
- Administration and customer service.

This policy does **not** apply to:

- NHS clinical treatment or care.
- Employment grievances from staff.
- Whistleblowing disclosures.
- Data protection requests.
- Freedom of Information requests.
- Safeguarding allegations requiring immediate referral.

These matters are managed under separate NHS policies and procedures.

3. Policy Statement

CAVHC will:

- Treat all complaints seriously.
- Investigate impartially and objectively.
- Respond courteously and promptly.
- Make reasonable adjustments for those with protected characteristics.

- Offer communication in Welsh and English.
- Learn from complaints and use feedback to improve services.
- Maintain confidentiality consistent with legal obligations.
- Ensure complainants suffer no disadvantage for raising concerns.

4. Legal and Regulatory Framework

This policy has regard to:

- The Equality Act, 2010.
- Data (Use and Access) Act, 2025.
- UK GDPR and Data Protection Act, 2018.
- Welsh Language (Wales) Measure, 2011.
- Public Services Ombudsman (Wales) Act, 2019.
- NHS Wales "Putting Things Right" arrangements where complaints relate to NHS services delivered in partnership with the Charity.
- The Charity Commission’s guidance on complaints and concerns.
- The Fundraising Regulator’s Code of Fundraising Practice.
- The Gambling Commission.
- Alternative Dispute Resolution Independent Provider.

5. Definitions

Complaint

A complaint is an expression of dissatisfaction about the charity's actions, decisions, services, conduct, or failure to act, where a response is expected.

Concern

A concern is an issue raised informally which may be resolved immediately without entering the formal complaints process.

Compliment

Positive feedback regarding services, activities, or individuals.

6. Who Can Make a Complaint?

Complaints may be made by:

- Donors.
- Patients and families.
- Service beneficiaries.
- Volunteers.
- Members of the public.
- NHS staff interacting with the Charity.
- Suppliers and partners.

A representative may submit a complaint on another person's behalf with appropriate consent.

7. Accessibility and Welsh Language Requirements

The Charity recognises its commitment to provide accessible services to its stakeholders.

Complaints can be submitted:

- In Welsh or English.
- In writing.
- By email.
- By telephone.
- In person.
- Through a representative with appropriate consent.
- In alternative formats where required.

Where a complaint is received in Welsh, responses will be provided in Welsh unless otherwise requested.

Reasonable adjustments will be offered for people with disabilities, communication difficulties or additional support needs.

Complaints Procedure

8. **<u>Stage 1 – Early Resolution</u>**

Where possible, concerns should be resolved promptly by the staff member, volunteer or manager involved.

The Charity will:

- Listen to concerns.
- Clarify the issues.
- Seek an immediate solution where appropriate.
- Explain any actions taken.

Many concerns can be resolved at this stage without a formal investigation.

Timescale

- Acknowledgement within **5 working days**.
- Resolution sought within **10 working days**.

<u>Stage 2 – Formal Complaint Investigation</u>

If the complainant remains dissatisfied or the matter is serious, a formal complaint may be submitted.

Submission

Complaints should include:

- Name and contact details.
- Description of the issue.
- Relevant dates.
- Individuals involved.
- Desired outcome.

Investigation

The Charity will:

- Allocate an investigating officer.
- Review records and evidence.
- Meet relevant staff if necessary.
- Contact the complainant for clarification where required.

Timescale

- Acknowledgement within **5 working days**.
- Full written response within **20 working days** wherever possible.

Where additional investigation is required, the complainant will be informed of revised timescales.

Outcomes

The Charity may:

- Apologise.
- Explain what happened.
- Correct errors.
- Improve processes.
- Provide training.
- Reject the complaint with reasons.

Stage 3 – Review

If dissatisfied with the Stage 2 outcome, the complainant may request a review within **20 working days**.

The review will:

- Be led by a senior manager or member of the Charitable Funds Committee not previously involved.
- Consider whether the investigation was fair and reasonable.
- Consider whether procedures were followed.

Timescale

- Acknowledgement within 5 working days.
- Review response within 20 working days.

The review decision is the Charity's final internal stage.

9. Complaints Relating to NHS Charity Activities

Because the Charity operates alongside NHS Wales services, some complaints may involve both organisations.

Where this occurs:

- CAVHC and Cardiff and Vale University Health Board (CAVUHB) will agree which organisation leads the response.
- Appropriate information-sharing agreements will be followed.
- Patients will be informed if their complaint is being shared.
- NHS complaints processes will take precedence where the principal issue concerns healthcare delivery.

10. Anonymous Complaints

Anonymous complaints will be considered where:

- Sufficient information is provided.
- There is a potential safeguarding issue.
- There is evidence of misconduct.
- There may be reputational or regulatory risk.

CAVHC may be unable to provide feedback where the complainant is unknown.

11. Vexatious, Unreasonable or Persistent Complaints

CAVHC may apply restrictions where complainants:

- Use abusive language.
- Make repeated complaints without new evidence.
- Harass staff or volunteers.
- Pursue unreasonable demands.

Any restriction will be proportionate, documented and approved by the Head of Charity or Chair of Charitable Funds Committee.

12. Safeguarding Concerns

Any complaint involving actual or potential harm to:

- Children
- Young people
- Vulnerable adults

must be referred immediately under the Wales Safeguarding Procedures (2019) or through adhering to the CAVUHB Safeguarding Allegation/Concerns About Practitioners and Those in Positions of Trust Procedure and may be reported to safeguarding authorities and the Charity Commission where required.

13. Recording and Monitoring

The Charity will maintain complaints register including:

- Date received.
- Nature of complaint.
- Complainant category.
- Investigation outcome.
- Learning identified.
- Date closed.

Quarterly reports should be presented as appropriate to the Charitable Funds Committee.

14. Learning and Continuous Improvement

Complaints data will be analysed to identify:

- Trends.
- Service improvements.
- Training needs.
- Fundraising issues.
- Governance risks.

The Charitable Funds Committee will receive an annual summary report demonstrating organisational learning and corrective action.

15. External Escalation

Following completion of the Charity's process and if the complainant is still not satisfied with the results, they may proceed to raise their concern with external agencies:

Complainants may refer **fundraising** complaints to:

- Fundraising Regulator.
- Charity Governance Concerns.

Complainants may refer **marketing / communications** complaints to:

- The Information Commissioner’s Office.

Serious concerns relating to **misconduct, financial mismanagement** or **governance** may be referred to:

- Charity Commission for England and Wales.
- NHS Service Complaints

Where a complaint concerns **NHS treatment, care, clinical decisions** or **NHS staff** acting within NHS duties, the complainant should be directed to the relevant NHS Wales complaints process.

For complaints relating to **healthcare received** in Wales, NHS concerns are handled through:

- **Listening to People** arrangements

Public Services Ombudsman for Wales

Complainants may seek advice from the Ombudsman where appropriate.

Reference Number: UHB 605 **Version Number:** 1	**Date of Next Review:** **Previous Trust/LHB Reference Number:**

Ethical Fundraising Policy

Policy Statement

To ensure the Health Charity delivers its aims, objectives, responsibilities and legal requirements transparently and consistently, we will ensure we abide by Charitable law, industry regulations and charitable best practice.

Policy Commitment

The Health Charity is committed to ensuring Charitable Funds are acquired and spent in an ethical manner.

Supporting Procedures and Written Control Documents

Other supporting documents that the reader needs to be aware of alongside this document:

- Data Protection Act Policy
- Information Governance Policy
- Charitable Funds Financial Controls Procedure
- Declaration of Gifts, Hospitality and Sponsorship Procedure
- Fundraising Policy
- Income Generation Governance and Ethical Framework

Scope

This policy applies to all involved with fundraising for Cardiff and Vale Health Charity, including the Trustee, members of the Charitable Funds Committee, team members, fund holders, others in the Cardiff and Vale University Health Board with oversight of charitable activity, freelance team members, and volunteers.

Equality & Health Impact Assessment (EHIA) Part 1 - Equality Impact Assessment (EQIA)	An Equality Impact Assessment (EqIA) has been completed and this found there to be a positive impact. Key actions have been identified and these are incorporated within this controlled document.
Equality & Health Impact Assessment (EHIA) Part 2 - Health Impact Assessment (HIA)	A Health Impact Assessment (HIA) has been completed and this found there to be a positive impact. Key actions have been identified and these are incorporated within this controlled document.

Policy Approved by	Charitable Funds Committee
Group with authority to approve procedures written to explain how this policy will be implemented	Health Charity
Accountable Executive or Clinical Board Director	Executive Director of Finance

Summary of reviews/amendments			
Version Number	**Date Review Approved**	**Date Published**	**Summary of Amendments**
1	Approved by Charitable Funds Committee dd/mm/yyyy	TBA	*New document*
2			

Ethical Fundraising Policy

1. Introduction

Cardiff and Vale University Local Health Board General Purpose Charity, Registered Charity number 1056544, operating under the name Cardiff & Vale Health Charity ('the Charity' or CAVHC) is the charitable fund registered with the Charity Commission.

The Charity is the umbrella body for monies accepted, held, and administered as funds and for property held on trust for purposes relating to the health service in accordance with the National Health Service Act 2006 by the Corporate Trustee, to benefit patient care and advance the good health and welfare of patients, carers and staff.

Cardiff and Vale University Health Board (CAVUHB) holds charitable funds as sole corporate trustee and the board members of the CAVUHB ('the Trustee') are jointly responsible for the management of those charitable funds.

Donations received by the Charity are used to enhance and support the patient care pathway and improve environment for patients and staff; going above and beyond what is normally expected of the NHS.

This policy sets out the guiding principles that the Charity will apply to all its fundraising activities.

2. Policy Statement

This policy establishes how CAVHC approaches its fundraising and manages ethical issues within fundraising. It sets out the governance framework for all the Charity's fundraising activities and potential activities. It documents the standards expected in raising funds and applies to all fundraising activities that are, or may be, undertaken by the Charity, its employees, volunteers, agents, supporters, and partners.

For CAVHC to achieve its mission, it needs to secure the support necessary to deliver its vision and objectives. This will involve developing a diverse range of income sources to nurture sustainability including individual donations, fundraising events, corporate donations & sponsorship, earned income, and grant awards from trusts & foundations and/or public bodies.

CAVHC is committed to ensuring that all fundraising activities and initiatives are carried out in an ethical manner. CAVHC always aims to be open, honest, fair, and to operate in a way that meets not only its legal obligations, but also fundraising regulation and best practice.

These include, but are not limited to, the Equality Act 2010, Bribery Act 2010, the Modern Slavery Act 2015, Charities Act 2011, the Charities (Protection and Social Investment) Act 2016, the General Data Protection Regulation, The Data Protection Act 2018, the Privacy and Electronic Communications (EC Directive) Regulations 2003, the Fundraising Regulator's Code of Fundraising Practice, Gambling legislation, and all other associated guidance, regulations and codes of practice.

CAVHC will seek to ensure these principles are followed by anyone who fundraises for the Charity or manages spend of charitable funds. We will ensure that everyone is aware of and consistently complies with the Fundraising Regulator guidance on fundraising behaviours.

This policy applies to all involved with fundraising for CAVHC, including the Trustee, members of the Charitable Funds Committee, team members, fund holders, others in the Cardiff and Vale University Health Board with oversight of charitable activity, freelance team members, and volunteers.

This policy is meant as a working guide for CAVHC. It is the duty of all fund holders, the Trustee, and members of the Charitable Funds Committee to advise CAVHC of any potential conflict of interest they hold regarding potential funding or partnership opportunities to ensure steps are put in place to mitigate the conflict in decision making around appropriate use of charitable funds.

Any final decisions on areas of concern will be made by the Charitable Funds Committee, providing oversight and/or assurance to the Trustee as required.

It is the responsibility of the Trustee to always act in the best interests of CAVHC and its beneficiaries to ensure compliance with this policy. The Trustee will ensure that there is sufficient oversight and monitoring of CAVHC's fundraising activities to ensure compliance with their responsibilities and this policy. It is, however, acknowledged that this policy cannot address all eventualities and it is likely that there will be circumstances where there will not be a straightforward 'right' or 'wrong answer to some difficult scenarios. If in doubt, the Trustee, via the Charitable Funds Committee, should consider seeking specialist charity legal advice.

CAVHC make a commitment to responding promptly and effectively to any fundraising complaints. Our separate Complaints Policy and Procedure outlines how we will do this.

3. Fundraising Communications

CAVHC's communications and actions made in connection with fundraising will be clear, honest and open. We are committed to ensuring:

- All statements and representations in respect of fundraising are truthful and will not make any exaggerations.
- Care will be taken not to use any images or words that intentionally cause distress or anxiety. Instead, we will use appropriate ways of communicating need and opportunity which balance messages which may be emotional with the sensitivities of those to whom they represent and to whom they are delivered.
- Clear explanations of how to make a gift will be given and be available on the Charity website.
- The relationship and financial arrangements with any third-party fundraisers working on behalf of the charity will be transparent and clear.
- Fundraising costs will be explainable, and we will be able to show how they are in the best interests of Charity's cause if challenged.
- Monies raised via fundraising activities will be used for purpose(s) for which they were given and will comply with the Charity's Charitable Funds Financial Controls Procedure.
- A comments and complaints process will be in place which is clear and easily accessible.

4. Accepting support and/or funding awards/donations

CAVHC can only accept donations and funding awards that are lawfully made. In considering all opportunities for support, we seek, as far as is practical and within the constraints of UK law, to:

- Develop appeals and fundraising initiatives that do not compromise our charitable objectives.
- Establish our priorities and activities based on the needs of our beneficiaries, independently of any funding opportunity.
- Ensure that the organisations, public bodies, and individuals we work with are consistent with our mission, vision and values.
- Avoid soliciting or accepting support from individuals, governments or organisations that may seek to use their relationship with CAVHC to deflect criticism from their own activities, or where association would create a significant reputational risk for the charity.
- Carefully consider any conditions or obligations attached to a gift before deciding whether it is appropriate to accept.

CAVHC follows the Charity Commission's 'Know your Donor' principles and will undertake reasonable and proportionate due diligence to understand the source of significant donations and funding awards, or where circumstances suggest a heightened level of risk.

Where this process leads to a decision not to accept support, we will explain our reasons wherever appropriate, and keep a record of this decision.

We will always be honest about what we can achieve when asking for funds, submit realistic budgets, use the funds for the purpose intended, and ensure that we provide any reports required, on time.

We will always be honest and transparent about what we can achieve when seeking funding. We will submit realistic budgets, use funds only for their intended purpose, and provide timely reports to donors and funders where required.

In all cases, CAVHC will act in accordance with charity law, which requires charities to consider whether accepting or declining support and/or a donation is in the charity's best overall interests. Refusing support and/or a donation will therefore be an exceptional decision and may be appropriate where:

- Acceptance would be unlawful, for example where there is reason to believe that the donation comprises the proceeds of crime.
- Acceptance would be likely to cause significant detriment to the achievement of CAVHC's charitable purposes, when balanced against the benefit that the donation would provide.

There may be instances where support is offered by sources whose activities or reputation do not appear to align with CAVHC's values. Whilst ethical considerations will always inform our decision-making, they will not be the sole determining factor. Any decision to refuse support must be based on a demonstrable risk that accepting the donation would be detrimental to the charity's ability to pursue its charitable purposes.

Examples may include circumstances where accepting support and/or a donation is likely to result in:

- The loss of financial support from existing donors or funders that equals or exceeds the value of the proposed gift.
- The loss of volunteers whose contribution would be of comparable or greater value to the charity.
- The loss of employees, or significant difficulties in recruiting and retaining staff.
- The loss of reputation for CAVHC or the CAVUHB

CAVHC will not accept support, and where appropriate may return, donations or funding where:

- The funds derive from activities that are illegal under UK law.
- The support is not intended to further the charity's charitable objectives.
- The charity is unable to comply with any restrictions attached to the support and/or donation, either now or in the future.
- The supporter/donor seeks recognition beyond appropriate acknowledgement.

- The supporter/donor seeks to exert influence over the charity's activities beyond reasonable restrictions attached to the gift.
- The donation was made under duress or was not made voluntarily.
- The donor lacked the capacity to make the donation at the time it was given.
- There is evidence that accepting the donation would not be in the best interests of a vulnerable donor.

The following sections set out additional considerations for specific fundraising income streams and partnerships.

4.1 Restricted Donations

We recognise that some donors may wish their support to benefit a specific service, project, or area of work.

Where a donor provides clear written instructions regarding the intended use of their gift, CAVHC will treat the donation as restricted and will ensure that the funds are used in accordance with those wishes, provided the restriction is lawful and compatible with the charity's objectives.

We will manage all restricted funds in accordance with charity law and our financial governance procedures.

4.2 Fundraising Due Diligence

CAVHC is committed to undertaking reasonable and proportionate due diligence of donors, to protect the charity, its beneficiaries and its reputation.

When considering donations, funding awards or partnership opportunities, we will assess whether acceptance is lawful, ethical and in the best interests of the charity.

Due diligence may include consideration of:

- The identity and background of the donor or organisation.
- The origin of funds.
- Reputational risks.
- Potential conflicts of interest.
- Regulatory, legal or governance concerns.
- Risks associated with anonymous or unusually large donations.
- Any safeguarding or vulnerability considerations.

All decisions will be considered on their individual merits and in accordance with the principles set out in this policy.

5. Charity Beneficiaries

We are committed to representing our beneficiaries with dignity, respect and authenticity in all fundraising and communications activities. We will seek to portray people in a way that reflects how they would wish to be represented and will never use imagery or language that exploits vulnerability.

We will only use personal information where appropriate consent has been provided and for the purposes agreed. We will handle information responsibly and will not disclose information that may place individuals at risk.

6. Supporters and Donors

Our supporters and donors have the right to expect clear, accurate, and transparent information about our work, including how their support is used and the impact it achieves. We will ensure our interactions with donors, supporters and prospective donors & supporters are respectful and in line with our policy to treat people fairly at all times.

We will comply with guidance issued by the Charity Commission, the Fundraising Regulator and all relevant legislation. We will be open and honest in our communications and accountable for our fundraising activities.

We will respect the privacy and communication preferences of our donors and supporters in line with our Privacy Policy and Data Management Framework.

Requests to amend or cease communications will be acted upon promptly, and any concerns or complaints will be addressed quickly and fairly through our Complaints Policy and Procedure.

Anonymous donations may be accepted where appropriate due diligence has been undertaken and there is confidence that accepting the gift would not compromise the charity. Any anonymous donation exceeding £25,000 will be reported to the Charity Commission as a serious incident.

Where a donor wishes to be known to CAVHC but remain anonymous publicly, we will respect this preference, provided the donation presents no significant reputational or ethical concerns.

6.1 Vulnerable Donors

CAVHC is committed to treating all donors with respect and ensuring that fundraising activity does not take advantage of vulnerability.

Where an individual may be in a vulnerable circumstance, we will:

- Respect their communication preferences.
- Avoid making assumptions about their needs or circumstances.
- Ask how we can best support their understanding of our work and fundraising activities.
- Communicate with empathy and sensitivity.
- Adapt our communication style where required.
- Clearly summarise decisions or agreements using plain language.

We will never place undue pressure on individuals to donate and will not knowingly solicit or accept donations from anyone who lacks capacity to make an informed decision.

Where we know, or have good reason to believe, that an individual lacks the capacity to make a donation or is unable to make a fully informed decision because of vulnerability, we will not accept their donation.

6.2 Interactions with Children

CAVHC recognise that some children enjoy participating in fundraising activities and we will take particular care when we are aware that children may be involved in any aspect of our fundraising activities, whether as fundraisers or as donors. There are some activities which children and young people cannot carry out by law and there are some standards that we are required to follow. These are set out below:

- Children must not participate in street and house-to-house collections; lotteries or raffles; or events involving alcohol.
- Children under 16 must not have overall responsibility for handling money or counting collected money.
- Checks with the Disclosure and Barring Service (in England and Wales), Disclosure Scotland (in Scotland) and Access NI (in Northern Ireland) must be made on adults working with children as part of fundraising activities organised by the Charity (including any activities run by Fund Holders).
- Children on school premises can only be contacted with the approval of the Head Teacher or an agreed member of teaching staff.
- Guidance on how to fundraise safely and legally must be given to either the child taking part or their parent or guardian.
- We will always get permission before taking or publishing photographs of children. If the child is over 13 years old they can give this permission themselves, although, where possible, we will do this in conjunction with their parent or guardian. If they are under 13, we will get permission from their parent or guardian.
- Further details of how we use children’s data are contained in our Privacy Statement.

7. Commercial Partners

CAVHC recognises that partnerships with commercial organisations can create significant opportunities to support our charitable mission. However, all partnerships must align with our values, protect our reputation, and deliver a clear benefit to our beneficiaries.

We will not accept funding from, or enter into partnerships with, organisations whose activities are fundamentally inconsistent with our mission, vision, values or charitable objectives.

As a general rule, support will not be accepted from organisations that promote as a substantial part of their business:

- Products or services associated with unhealthy lifestyles e.g., alcohol, tobacco, gambling, junk food
- Private health services, nursing, or healthcare
- Medio-legal or personal injury services
- Pornography or other activities that could be considered exploitative
- Breast milk substitutes, feeding bottles, teats, or dummies
- Personal or partisan views of the NHS
- Any other product that could contradict Welsh Government's policies

In all commercial relationships we will comply with the Charity Commission RS2 – Charities and Commercial Partners. We will ensure that all agreements:

- Deliver a fair and demonstrable benefit to the charity.
- Clearly define the expected outcomes and mutual responsibilities before any agreement is entered into.
- Include appropriate systems for monitoring and review.
- Identify and manage risks effectively.
- Establish clear and realistic expectations for all parties.
- Can be managed appropriately within available resources and governance arrangements.

We will publish details of commercial partnerships where appropriate and will not accept anonymous corporate donations.

Appropriate due diligence will be undertaken before entering into any commercial relationship. This process will consider governance, reputational, legal and ethical risks and will involve consultation with relevant stakeholders where appropriate to ensure transparency, minimise conflicts of interest and maximise benefit for beneficiaries.

All sponsorship agreements are subject to VAT.

7.1 Receiving Funds or Support from Companies and Industries that May Harm Health

As a health charity, CAVHC recognises the importance of ensuring that fundraising and partnership activity supports, rather than undermines, the health and wellbeing of our beneficiaries and communities.

We will not enter into financial, promotional or partnership arrangements with organisations whose primary business is the manufacture or sale of tobacco products. The harm caused by tobacco use is well established and is fundamentally incompatible with our charitable mission and public health objectives. Tobacco products and related items will not be accepted as gifts in kind.

Similarly, we will not enter into financial, promotional or partnership arrangements with organisations that profit from modern slavery or derive significant income from activities that exploit individuals and communities.

We will also not enter into financial, promotional or partnership arrangements with organisations that derive more than 10% of their income from the armaments industry, recognising the potential reputational risks associated with such relationships.

CAVHC acknowledges that alcohol and gambling are legal activities that form part of many people's lives, while also recognising the significant health and social harms they can cause. Any relationship with organisations operating within these sectors will therefore be subject to enhanced scrutiny and careful consideration.

Any engagement with alcohol or gambling organisations must:

- Demonstrate a clear public benefit.
- Align with the charity's mission, vision and values.
- Present minimal reputational risk.
- Never undermine health promotion messages or imply endorsement of alcohol consumption or gambling activities.
- Be transparent and publicly accountable.

As part of our due diligence process, we will undertake a structured assessment of any alcohol or gambling organisation before accepting funding or entering into a partnership. This may include consideration of marketing practices, compliance with relevant industry codes, organisational reputation, and alignment with our values.

Where support is accepted, details of the relationship, including the nature, value and conditions of the support, will be publicly disclosed where appropriate. Partnerships must not compromise our ability to deliver evidence-based health messaging or advocacy.

Charitable funds will not normally be used to purchase alcohol or support gambling activities. However, this restriction does not apply to costs incurred in connection with the Charity’s Staff Lottery Scheme, including expenditure required to obtain, maintain, or comply with the requirements of a Gambling Commissions Operating Licence and associated regulatory obligations. Any exceptional circumstances must be approved in advance by the

Chair of the Charitable Funds Committee, following recommendation from the Head of Charity.

Alcohol donations, including prizes or gifts in kind, may be accepted where appropriate safeguards are in place, including:

- Ensuring alcohol is only distributed to individuals aged 18 or over.
- Ensuring alcohol is not associated with campaigns relating to addiction, cancer prevention, liver disease or other alcohol-related health concerns.
- Presenting alcohol prizes solely as fundraising assets and not as endorsements of alcohol consumption.

Cause-related marketing partnerships involving alcohol or gambling organisations may be considered where they:

- Do not encourage or promote alcohol consumption or gambling.
- Focus on shared values such as community support, responsible behaviour, or social responsibility initiatives.
- Maintain clear boundaries between the charity's brand and any commercial products or services.
- Receive approval through the charity's governance processes, including approval by the Charitable Funds Committee.
- Exclude tobacco-related organisations entirely.

<u>7.2 Prohibited Activities</u>

CAVHC will not:

- Accept donations, sponsorship, research funding, promotional support or event involvement from tobacco-related organisations.
- Participate in campaigns that glamorise smoking, alcohol consumption, gambling, or addiction-related behaviours.
- Permit alcohol or gambling branding at events aimed at children, young people, vulnerable adults, or individuals affected by addiction-related conditions.

8. Working with the Health Care Industry

CAVHC recognises that appropriate collaboration with healthcare companies can provide valuable opportunities to support innovation, research, education and patient benefit. However, these relationships must always be managed carefully to protect public confidence, ensure independence and maintain trust.

We are committed to ensuring that all partnerships with healthcare industry organisations are transparent, ethical and aligned with our mission, vision and values.

Before entering into any partnership, we will identify and assess any actual, potential, or perceived conflicts of interest involving the Trustee, NHS clinicians, Health Board decision-makers, independent members of the Charitable Funds Committee, senior team members or volunteers.

Relevant interests may include:

- Consultancy arrangements.
- Advisory board positions.
- Research funding.
- Shareholdings or financial interests.
- Other professional relationships with industry partners.

Individuals with relevant interests must not participate in decisions relating to organisations with which they have a professional or financial relationship.

All relevant interests will be declared, reviewed regularly and updated annually in accordance with the charity's governance arrangements.

Those involved in managing or allocating charitable funds must avoid situations where a partnership could influence, or appear to influence, clinical practice, procurement decisions, or commissioning arrangements.

Industry partners will not be granted privileged access to NHS staff, patients or data through the charity or its Health Board relationships.

Any partnership must support public benefit, align with our charitable objectives and be consistent with NHS guidance and evidence-based practice.

Partnerships may be considered where they:

- Support education, awareness raising or public benefit activities.
- Enable research while preserving the independence of research design, outcomes, and reporting.
- Maintain clear and proportionate recognition arrangements.
- Are subject to appropriate governance review and approval by the Charitable Funds Committee, with escalation to the Trustee where necessary.

8.1 Prohibited Activities
CAVHC will not:

- Endorse specific medicines, devices, or treatments.
- Allow partnerships to influence procurement decisions or NHS decision-making.
- Enter into arrangements that provide exclusive access to charity events, patient groups or clinical networks.

8.2 Communications and Public Messaging
We will ensure that all educational and public-facing materials are accurate, evidence-based and free from commercial bias.

Where content has received industry funding or support, this will be disclosed openly and transparently. The charity will retain full editorial control over all communications and educational materials and will ensure balanced representation.

The Charitable Funds Committee and Trustee will review healthcare industry partnerships on a regular basis to ensure they remain consistent with this policy and continue to represent the best interests of the charity and its beneficiaries.

Where appropriate, independent ethical advice may be sought for partnerships involving significant value, complexity, or reputational risk.

Feedback from NHS partners, beneficiaries, donors and regulators will be considered as part of ongoing policy development and review.

When developing partnerships, all reasonable steps will be taken to minimise actual or perceived conflicts of interest between public and private healthcare activities. The Head of Charity and relevant fund managers may require additional assurances before approving, or recommending for approval, funding, expenditure, or partnership arrangements.

9. Trusts and Foundations / Public Funding

CAVHC may seek support from a broad range of charitable trusts, foundations and statutory funding bodies to help deliver its mission and strategic objectives.

While grant-making organisations generally exist to support charitable causes, we recognise that all funding relationships should be assessed to ensure they align with our values and do not present unacceptable risks to the charity's reputation or independence.

We will not accept funding where a condition of the award would require the charity to promote or associate with organisations whose activities are inconsistent with our mission, vision or values.

We may choose not to apply for funding, or to end an existing funding relationship where this is considered to be in the best interests of the charity. This may include circumstances where an organisation:

- Becomes associated with significant adverse publicity that could reasonably damage the reputation of CAVHC.
- Is considered to have a demonstrably harmful impact on the environment through its activities or source of income.

Where appropriate, repeated donations, multi-year grants and long-term funding relationships will be reviewed annually to ensure continued compliance with this policy.

10. Staff And Volunteers

CAVHC is committed to maintaining a culture that promotes dignity, equality, inclusion and respect for everyone involved in the charity.

We have zero tolerance for bullying, harassment, discrimination, victimisation, or abuse of any kind. This commitment applies equally to staff, volunteers, fund holders, supporters, donors and all others who engage with the charity.

We will foster an open and supportive environment in which individuals feel confident to raise concerns and report inappropriate behaviour without fear of detriment.

Any concerns or allegations will be considered promptly, fairly and sensitively, in line with relevant policies and procedures.

We are also committed to taking reasonable steps to protect everyone involved in fundraising activity from harm, harassment or unsafe situations.

We support this commitment through:

- Appropriate planning and risk assessment of fundraising activities and events.
- Effective due diligence processes.
- A positive and inclusive organisational culture.
- Clear policies and procedures through CAVUHB, including those relating to Health and Safety, Dignity at Work, Prevention of Sexual Harassment, and Whistleblowing.

11. Professional Fundraisers and Fundraising Agencies

Should CAVHC engage professional fundraisers who are not directly employed by the Charity, they will give a solicitation statement in accordance with the Fundraising Regulator's code of practice when asking for donations on behalf of the Charity. They will be paid proportionate to the benefit the Charity expects to gain from their work, and this will not be excessive.

All fundraising materials and scripts used by professional fundraisers must be approved by CAVHC to ensure they are compliant with our values, standards, and fundraising codes of practice.

We will carry out monitoring to ensure that Professional Fundraisers/Agencies adhere to the same strict standards we apply to our own fundraising.

12. Marketing

Marketing campaigns form a legitimate part of CAVHC's fundraising activities.

Marketing materials and advertisements will be legal, decent, honest and truthful and will be appropriate for the audience to ensure potential donors can make an informed decision.

Advertisements will meet the Committee of Advertising Code (CAP) and Broadcasting Committee of Advertising Practice (BCAP).

All digital marketing will meet the needs of all users in line with the Equality Act 2010.

Use of cookies on all website pages relating to the Charity will be clear, understandable and in a prominent position to ensure the decision to accept is informed. The Charity will not knowingly engage third party website providers which do not conform to this standard.

13. Personal Data

CAVHC donors and supporters entrust us with their personal data when they raise funds for or give funds to us. We will keep their personal data secure and will treat the information that supporters provide to the Charity in line with legislation and best practice working to a culture which puts the individual, be that donor, supporter, member of the public, staff member, or volunteer, first and foremost.

We will ensure that our approach to, and handling of personal information, is communicated to all Charity staff and volunteers and made available to our donors and supporters. Our communications will be transparent, clear, and understandable, providing enough information so that individuals know the purpose of the collection, use and disclosure of personal information as well as how it is safeguarded and how long it is retained.

Our website and our communication with individuals will be used to demonstrate that we are an accountable Charity that values privacy, not only for compliance reasons but because the trust of our donors and supporters is of great importance to us.

While we may contract suppliers to carry out work using personal data in respect of which we are the Data Controller (for example to help manage our database, send emails, carry out research into donors and potential donors), we will not sell, swap or give away any personal data to any other Data Controller for the purposes of marketing or fundraising without the consent of the data subject, or unless we are compelled to do so by law.

Personal data will be collected and used in line with all legal requirements and the Charity's Privacy Statement and Privacy Management Framework.

14. Risk

All fundraising carries some level of risk.

We are committed to innovation in fundraising to provide new and engaging fundraising initiatives to our supporters and to make our fundraising more efficient, but always with attention to legal regulations and best practice guidelines.

We have regard to the cost of fundraising prior to the commencement of any new fundraising activity that may present a financial risk to the Charity. Fundraising activities should not be undertaken if they will expose the Charity to a significant financial risk or to costs that outweigh the expected income from the activity except as part of an approved and budgeted programme. Care will be taken when supporting Fund Holders to deliver fundraising events to ensure appropriate Return on Investment in line with fundraising expectations.

We will take all reasonable measures to safeguard the safety and wellbeing of staff, supporters, and volunteers that take part in any fundraising event organised by the Charity or any of its partners. A risk assessment will be completed for all events considered and agreed as part of our fundraising planning, identifying risks and appropriate ways to mitigate these.

The Charitable Funds Committee will monitor CAVHC's Risk Register through exception reporting at its quarterly meetings and can request oversight of the whole at any time. This is owned by CAVHC alongside colleagues in Finance and Governance.

15. Assurance

CAVHC will be fully accountable and act responsibly and with integrity in all its fundraising activities.

Through the Charitable Funds Committee, the Charity's Trustee ensures there is sufficient oversight of the Charity's fundraising activities. As part of this:

- The Charitable Funds Committee is responsible for agreeing, setting and monitoring Charity strategies and plans, including fundraising targets.
- The Charitable Funds Committee is responsible for ensuring compliance with specific laws, regulations and best practice associated with fundraising.
- Appropriate policies and guidelines are in place and systems are in place to ensure these policies and guidelines are communicated and understood by those who need to adhere to them;

- Resources will be managed responsibly, and consideration will be given to the impact of our fundraising on beneficiaries, donors, supporters and the public;
- CAVHC's Complaints Policy and Procedure is available through our website and can be provided upon request. All complaints will be taken seriously, be treated with the utmost respect and will be responded to in a timely manner. We will keep a record of all complaints that are made to comply with the reporting requirements in the Charities (Protection and Social Investment) Act 2016.
- Fundraising activities are reported regularly and directly to the Charitable Funds Committee. These reports include information about complaints received.

16.Training

CAVHC will provide training and support to all our fundraising staff, relevant volunteers and Trustees to ensure that they are fully aware of our policies regarding fundraising and the legal and regulatory requirements the Charity needs to meet when they raise funds on behalf of the Charity.

17.Appeals

CAVHC is committed to ensuring that decisions are made fairly, consistently and transparently.

Individuals or organisations who wish to challenge a decision made by the Charitable Funds Committee may submit an appeal in writing to the Chair of Cardiff and Vale University Health Board.

Appeals must be submitted within one calendar month of the date on which the decision was communicated.

The Trustee will consider the appeal within one calendar month of receipt and will communicate the outcome in writing within one month of the meeting at which the appeal is determined.

The decision of the Trustee will be final.

18. Application and Review of this policy

CAVHC will ensure that all fund holders, trustees, members of the Charitable Funds Committee, staff and volunteers involved in fundraising activities are aware of and understand this policy.

We are committed to applying the principles set out in this policy consistently when considering the acquisition, management and use of charitable funds, as well as any partnerships that support the charity's work.

This policy will be reviewed regularly to ensure that it remains effective, relevant and aligned with legal requirements, regulatory expectations, and best practice in charitable fundraising.

Report Title:	Memorandum of Understanding with World Child Cancer UK		Agenda Item No:		5.3
Meeting:	Charitable Funds Committee	Public	X		15.09.2026
		Private			
Lead Executive Title:	Executive Director of Finance				
Report Author/s Title:	Head of Charity				

Report Focus Summary – **AAA Framework:**
The AAA framework reflects the ***overall position of the matter being reported****.* ***Select one category only*** *and complete the* ***relevant box*** *with a* *brief summary. A useful guide can be found here:* *NHS Triple A Guide*

ALERT *(Highlights areas of significant concern, such as non-compliance, urgent risks, or major issues that require immediate action or that the Board/Committee must be immediately aware of).*

ADVISE *(Any areas of ongoing monitoring where an update has been provided to a sub-Committee/Group AND any new developments that will need to be communicated or included in operational delivery)*

ASSURE *(details areas where the Board/Committee will receive evidence of effective control, high-quality performance, or improvements)*

Through Charitable Funds, the Health Charity alongside CAVUHB, has supported the development of chemotherapy services for children in Sierra Leone. This document provides increased assurance that this project is being operated efficiently and effectively, and in line with expected protocols and regulations.

Board/Committee Response Required ***(please select only one)***

Assurance		Approval	X	Information/Noting	

Recommendations:

The Committee is asked to:

a) **Approve** the signing of the Memorandum of Understanding with World Child Cancer UK

Governance Route ***(please list all other Committee/Groups this report has been to)***

Where *it's been:*	*N/A*
When *it went:*	*N/A*
What *decision was made:*	*N/A*

Main Report
Background & Current Situation

There has been a long-standing clinical link between CAVUHB and Sierra Leone in regard to developing services for children with cancer. World Child Cancer has enabled this work, training clinicians locally in Sierra Leone to administer the chemotherapy services. This is funded through the Children's Cancer Care Africa fund, that sits within the Cardiff and Vale Health Charity.

This Memorandum of Understanding not only formalises an existing relationship, but future proofs it, enabling additional resources to be sought, as required, to strengthen and/or grow services for the future. It also consolidates expectations around reporting, supporting the Health Charity to more visibly report on the impact of its funds.

The Memorandum of Understanding has been scrutinised by individuals within the Finance and Governance Teams and has had oversight by those working directly with the relevant Charitable Fund in Paediatric Oncology and Child Health. The Memorandum of Understanding is also being formally discussed for approval by World Child Cancer UK and so some minor amendments may be required following ratification.
Appendices:
1. Draft Memorandum of Understanding with World Child Cancer UK

Strategic Alignment – Shaping Our Future Wellbeing:

Putting People First	X	Providing Outstanding Quality	X
Delivering in the Right Places	X	Acting for the Future	X

Impact Assessment
Risk: No
Safety: No
Financial: Yes
The Memorandum of Understanding details the financial expectations of all parties to ensure compliance with financial and procurement procedures. It also places an expectation that funds will be in place before funded activities are agreed upon, clearly implementing the 10% levy to the Health Charity on additional monies acquired in line with current process.
Workforce: No
Legal: No
Reputational: No
Socio Economic: No
Equality & Health: No
Decarbonisation: No
Welsh Language: No

Appendix 1: Memorandum of Understanding: World Child Cancer UK

This Memorandum of Understanding (MOU) is between **World Child Cancer UK, Cardiff and Vale Health Charity (CAVHC),** and **selected corporate functions of Cardiff and Vale University Health Board (CAVUHB).**

The Cardiff and Vale Health Charity and Cardiff and Vale University Health Board are based at Woodland House, Maes-y-Coed Road, Cardiff, CF14 4HH, and World Child Cancer UK is based at 9 Maltings Place, 169 Tower Bridge Road, London, SE1 3JB.

Contents

1. Purpose of this Memorandum

This document sets out the relationship between, and respective roles and responsibilities of, World Child Cancer UK (WCC), Cardiff and Vale Health Charity (CAVHC), and Cardiff and Vale UHB (CAVUHB) corporately, with respect to establishing a mutually beneficial collaboration in Sierra Leone and does not, except where expressly stated, create legally binding obligations.

This Memorandum was agreed in principle by all parties in August 2026, pending final ratification by the Charitable Funds Committee, World Child Cancer UK and formal signing by each of the parties.

2. Description of the parties

2.1 Cardiff & Vale Health Charity

Cardiff and Vale Health Charity (CAVHC), registered charity number 1056544, is the official charity supporting the work of Cardiff and Vale University Health Board; the University Health Board acts as the corporate trustee of CAVHC.

CAVHC's purpose is to enhance and support the healthcare provided by the Health Board every day to the over 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.

CAVHC maintains over 275 separate funds, providing monies that enhance NHS provision in all hospitals and health centres within the Health Board's estate by paying for vital medical equipment, specialist training, enhanced patient facilities and medical research. It seeks to fund improvements that matter to people and improve the experience of patients and staff. CAVHC funds do not replace NHS core funding.

2.2 World Child Cancer UK

World Child Cancer (WCC) is a UK based charity, registered charity number 1084729, that helps children in low- and middle-income countries survive cancer and live well afterwards. They work with hospitals, families and governments to strengthen care at every stage - from early diagnosis, through treatment, to life after cancer. The charity currently supports programmes across eight countries across Africa & Asia.

2.3 Selected corporate functions of Cardiff and Vale University Health Board

The corporate functions of Cardiff and Vale University Health Board which are signatories to this Memorandum are Corporate Governance, Finance, and Women and Children's Services.

The Children and Women Clinical Board delivers care across the whole patient pathway and has responsibility for tertiary specialist services, local secondary services and universal and targeted services. These support health, wellbeing, education, development and public health amongst the population of children, young people, parents, families, women and their partners. This includes national and local partnership family-focused initiatives and safeguarding priorities.

Corporate Governance and Finance oversee and support the respective activities of the Health Charity and its funds, including the Children's Cancer Care Africa fund. The Health Charity team sits within the Finance Executive in CAVUHB Corporate services.

3. General principles of working together

3.1 General principles

The parties to this Memorandum agree to:

3.1.1 Operate in a transparent way while undertaking their responsibilities relevant to this Memorandum.

3.1.2 Collaborate and cooperate where appropriate in supporting World Child Cancer UK to deliver its objectives.

3.1.3 Share information with each other:

a. following any reasonable request; or
b. where it would be in the interests of any of the parties in delivering their objectives; and
c. in line with relevant information governance policy and regulations, and any intellectual property or confidentiality agreements.

3.1.4 Keep each other informed in advance as far as possible (taking into account confidentiality and other obligations owed to third parties) of any forthcoming significant public or policy announcements on matters of mutual interest.

3.2 Information Sharing

3.2.1 The Parties recognise the importance of lawful information sharing.

3.2.2 Information sharing shall comply with:

- UK GDPR.
- Data Protection Act 2018.
- Freedom of Information legislation.
- Relevant organisational policies.

3.2.3 Any confidential information shared under this MoU will be protected appropriately and only used for agreed purposes.

3.2.4 Where necessary, the Parties may enter into a separate Information Sharing Agreement.

4. Governance arrangements

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 outlined in this agreement.

4.1 Working together

The parties agree to work together in the following areas, which are indicative rather than exhaustive:

4.1.1 Establishing a shared platform through which WCC, CAVHC, and CAVUHB, and key hospitals in Sierra Leone can engage in setting strategy, define joint priorities, and agree on key objectives for collaboration. The partners will facilitate regular meetings to ensure activities are aligned, mutually reinforcing, and focused on strengthening support to priority hospitals.

4.1.2 Where appropriate, WCC will consult CAVHC and CAVUHB during the development of proposals and funding applications related to activities in Sierra Leone, ensuring opportunities for input and alignment where relevant.

4.1.3 Collaboration to strengthen key areas of childhood cancer care and treatment, including supporting partner hospitals in strengthening existing infrastructure, building clinical and operational capacity, improving data systems, and undertaking coordinated country visits where appropriate.

5. Financial arrangements

5.1 General principles

5.1.1 This MoU does not commit either Party to the transfer of funds unless separately agreed in writing.

5.1.2 Each Party shall normally bear its own costs associated with participation under this MoU.

5.1.3 Specific financial commitments will be documented separately where required.

5.2 Fundraising activities (as required)

5.2.1 WCC and CAVUHB will each undertake fundraising activities for their respective programme responsibilities in conjunction with CAVHC as appropriate, keeping each other informed of progress on funds raised for the work in Sierra Leone.

5.2.2 Where possible the partners will consider joint fundraising activities on specific project activities. Projects will be jointly designed and costed to ensure alignment of aims and agreement of fund management prior to application submissions.

5.2.3 Where grant applications require progression or distribution via CAVHC, WCC and CAVUHB agree to comply with the criteria for grant approval, evaluations, and timescales for project completion as well as marketing requests from the CAVHC to support promotion and visibility of the projects/programmes.

5.2.4 Where parties are part of a joint bid for funding and a draft partnership agreement (or equivalent) is required at the bid submission stage, this is subject to review and approval by the signatories listed below, based on the amount of money which the Children's Cancer Care Africa fund would receive (including for onward distribution) should the bid be successful. The partnership agreement should be scrutinised to ensure it doesn't introduce any unexpected liabilities or hidden risks (e.g. joint and several liability, additional indemnity, or clawback of funding to CAVHC or CAVUHB based on partners' performance); and appropriate information governance arrangements are in place if data sharing is involved.

5.3 Grant income terms and conditions

5.3.1 Where grant income is received into the Children's Cancer Care Africa fund, the terms and conditions should be reviewed and signed off within CAVUHB as described below.

Total grant value	Signatories on behalf of CAVHC
Under £50,000	Consultant in Paediatric Oncology, CAVUHB
£50,000-£100,000	Deputy Director of Operations, Children and Women, CAVUHB
£100,000-£499,999	Executive Director of Finance, CAVUHB
Over £500,000	Chief Executive, CAVUHB

5.4 Charitable Funds Committee fees

5.4.1 Consistently with other funds in the CAVHC, a 10% overhead is applied to any new income to support the administration of the Charity.

5.4.2 This overhead is applied to the fund quarterly by the Finance team of CAVUHB.

5.5 Expenditure

5.5.1 Any expenditure by the Children's Cancer Care Africa fund is subject to the usual UHB procurement rules and sign-off thresholds, as laid down in the organisation's Standing Financial Instructions. Any expenditure over £25,000 will need approval from the Charitable Funds Committee, during its quarterly meeting.

5.5.2 The Children's Cancer Care Africa fund will be closely monitored by the fund managers, with funding only committed if it exists in the fund's account and no expenditure will be committed against anticipated future income, only income received. Invoices will only be paid against agreed expenditure. Under no circumstances will invoices be paid which would cause the fund to go overdrawn.

5.5.3 The Children's Cancer Care Africa fund will not require any financial assistance from CAVHC's general-purpose funds.

5.5.4 Invoices should be sent to CAVHC, stating fund number 9672, via fundraising.cav@wales.nhs.uk, marking this for the attention of the Business and Operations Manager

6. Reporting arrangements

6.1 Financial reporting

6.1.2 CAVUHB Finance will provide the Fund Signatories a summary statement, via email, relating to Cancer Care Africa fund monthly. Further detailed transactions can be provided upon request. The Fund Manager will review the transactions in a timely manner, to ensure they are consistent with the purpose of the fund and approved use. Any discrepancies or queries will be raised to CAVUHB finance within 10 working days of receipt.

6.1.3 WCC will supply updates on its projected financial position on request from the Finance team.

6.2 Other reporting

6.2.1 WCC and CAVUHB will produce an end of year report each April setting out its activities during the preceding year and submit to the UHB Charitable Funds Committee via the CAVHC. The Charitable Funds Committee may also ask for an interim update during the year as required via the CAVHC.

6.2.2 WCC and CAVUHB will supply reports to its funders as required under the respective grant funding arrangements or donor management pathways.

6.3 Acknowledgement

6.3.1 All parties may acknowledge the partnership - including any joint or individual support for the Sierra Leone project - on their websites, in publications and across social media and other media outlets.

6.3.2 All parties will ensure that the collaboration between organisations is made clear and ensure that acknowledgement is given to all parties in all public information about the work in Sierra Leone. This should be done through the use of organisation logos in printed and electronic material.

6.3.3 WCC and CAVUHB will provide information to CAVHC as required to support the promotion, evaluation, and visibility of the project's impact.

7. Review of this Memorandum

7.1Disputes, Amendments, and Termination

7.1.1 This MOU shall take effect on and from the date of execution of this MOU and shall continue to be effective until any Party notifies the other of their intention to terminate in writing no less than three (3) months prior to the proposed date of termination.

7.1.2 If an issue arises, the Parties will seek to resolve any disagreements informally in the first instance.

7.1.3 Where resolution cannot be achieved operationally, matters shall be escalated to designated senior officers.

7.1.4 If an issue of substance arises that cannot be resolved through direct communication, all partners will agree to terminate the partnership within three (3) months, unless gross negligence and/or dishonesty by one of the partners warrants an immediate termination of the partnership.

7.1.5 All partners retain the right to terminate this agreement if for any reason either partner breaches any of the above terms and conditions or any members of the governing body, staff or volunteers of the partners has acted at any time during the project period dishonestly or negligently and directly or indirectly to its detriment.

7.1.6 This MOU may be amended or varied from time to time provided that such amendment or variation is in writing and agreed by the partners.

7.1.7 All partners will convene periodically (and at least annually), either in person or by teleconference, to discuss progress of the collaborative efforts under this MOU and to review its effectiveness or need for amendment.

8. Contacts and signatories

8.1 Primary contacts

8.1.1 Day-to-day contacts for each party to this MOU are listed below, correct at the time of signing. These individuals should be the first point of contact for liaison on any issue covered by this MOU.

8.1.2 Should there be any changes to the primary contacts for a given party during the period of this MOU, the new contact details should be notified to all the existing contacts and signatories listed below:

Party	Post	Post-holder
World Child Cancer UK	Programme Advisor Malawi and Sierra Leone	Ghazaleh Kad
CAVUHB Children and Women	Deputy Director of Operations	Samuel Barrett
CAVUHB Finance	Head of Financial Services	Rebecca Holliday
CAVUHB Corporate Governance	Head of Corporate Governance	Frankie Thomas
Cardiff and Vale Health Charity	Head of Charity	Carys Wynne-Morgan

8.2 Signatories

Joseph Dixon
Director of Programmes, World Child Cancer UK — Date:

Catherine Wood
Deputy Chief Operating Officer, CAVUHB — Date:

Judi Rhys
Chair, Charitable Funds Committee, CAVUHB — Date:

Report Title:	Health Charity Financial Position & Investment Update		Agenda Item No:	6.1
Meeting:	Charitable Funds Committee	Public	X	15.09.2026
		Private		
Lead Executive Title:	Executive Director of Finance			
Report Author/s Title:	Deputy Director of Finance			

Report Focus Summary – **AAA Framework:**
*The AAA framework reflects the **overall position of the matter being reported**. **Select one category only** and complete the **relevant box** with a brief summary. A useful guide can be found here: NHS Triple A Guide*

ALERT *(Highlights areas of significant concern, such as non-compliance, urgent risks, or major issues that require immediate action or that the Board/Committee must be immediately aware of).*

ADVISE *(Any areas of ongoing monitoring where an update has been provided to a sub-Committee/Group AND any new developments that will need to be communicated or included in operational delivery)*

The Committee is advised of the Charity's current financial position, including a forecast General Fund deficit of £0.664m by 31 March 2027 and ongoing volatility within investment markets. Members are updated on the implementation of financial recovery measures, revised income allocations and the Charity Team restructure intended to improve long-term sustainability and income generation. The report enables ongoing monitoring of financial performance, cashflow and reserve levels to inform future decision making.

ASSURE *(details areas where the Board/Committee will receive evidence of effective control, high-quality performance, or improvements)*

Board/Committee Response Required ***(please select only one)**:*

Assurance	X	Approval		Information/Noting	X

Recommendations*:*

The Committee are requested to:

NOTE

a) The financial performance of the Funds Held on Trust in 2026-27 (NB. Draft Position)
b) The draft 2026-27 position of the General Fund and the projected deficit on the General Fund in future financial years.
c) The cashflow for 2026-27.
d) The on-going restructure of the Charity Team and the Financial Framework which aims to enhance future resilience and increase income sustainability of the Funds Held on Trust in future years.

Governance Route *(please list all other Committee/Groups this report has been to)*

***Where** it's been:*	
***When** it went:*	
***What** decision was made:*	

Main Report
Background & Current Situation

The financial update report provides:

- Information on the annual financial performance of the Charity for the period 1st April 2026 to the period 31st July 2026.
- The forecast final financial position of the Charity for 2026-27 including existing commitments.
- An assessment of the current position and future trajectory of the General Fund Reserve.

Executive Director Opinion and Key Issues to bring to the attention of the Committee:

There are two key issues to bring to the attention of the Committee:-

- The value of the Charitable Funds increased by £0.359m in the period from 1st April 2026 to 31st July 2026. This incorporates net income of £0.059m over expenditure and a gain in the Investment Portfolio value of £0.300m. In the current market environment, the value of the Investment Portfolio value remains volatile.
- The General Reserve is forecast to be in deficit by £0.664m at 31st March 2027.

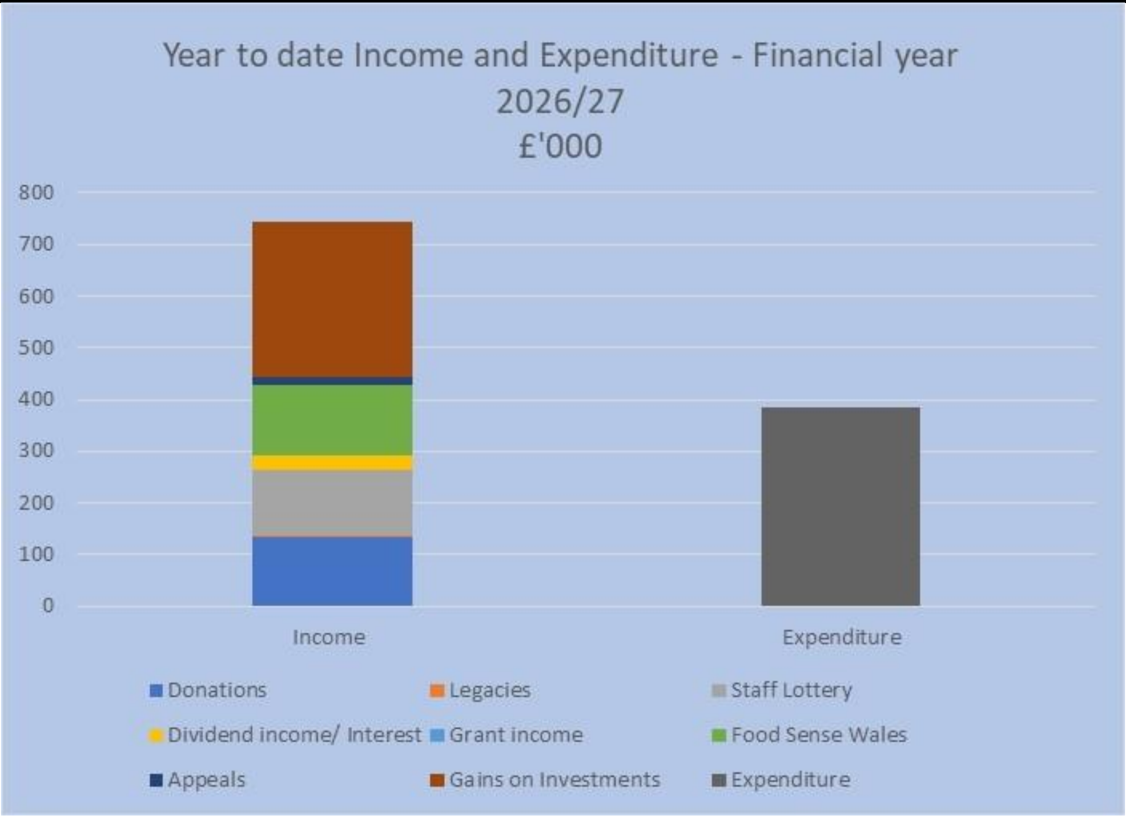
The year-to-date financial position of the charity is summarised in Table 1.

The opening position brought forward from 2025-26 remains draft until the completion of the Funds Held on Trust Annual Accounts and their subsequent audit by Audit Wales.

Table 1: Draft financial position of the Charity for the period to 31st July 2026

	Unrestricted Funds £'000	Restricted Funds £'000	Endowment Funds £'000	Total Funds £'000
Fund Balances brought forward April 2025	**2,963**	**2,221**	**4,295**	**9,479**
Total Income Resources	156	289		445
Total Resources Expended	-191	-193	-2	-386
Net Incoming/(Outgoing) Resources	**-35**	**96**	**-2**	**59**
Gains / (Losses) on Investment Assets	**300**	**0**	**0**	**300**
Transfer between funds	0	0	0	0
Fund Balances carried forward to 31st July 2026	**3,228**	**2,317**	**4,293**	**9,838**
Net Movement in Funds	**265**	**96**	**-2**	**359**

Table 1 shows the Charity generated £0.445m in income and spent £0.386m for the financial year to date, resulting in net income of £0.059m. In addition, the Charity has seen market value gains on its investments of £0.300m for the period to 31st July 2026. The combined effect of income, expenditure and investment gains led to a net increase in fund balances of £0.359m for the period ending 31st July 2026.



An analysis of the income received by the charity for the year, is contained in Table 2. This also shows the comparison of income received for the same period over the previous 2 years.

Table 2: Schedule of Income for the period to 31st July 2026

Income	Unrestricted £000	Restricted £000	Total Year to Date £000		25/26 To March £000		24/25 To March £000
Legacies	**3**	0	3		101		255
Grants (Other)	0	0	0		0		12
Donations	126	9	135		83		33
Staff Lottery	0	126	126		81		**54**
Appeals	0	18	18		12		59
Dividend Income / Interest	27	0	27		32		40
Sub-total	**156**	**153**	**309**		**309**		**453**
Food Sense Wales (Grants)	0	136	136		187		141
Total	156	289	445		496		594

In accordance with the new distribution of income process, the sum of £24k has been top-sliced from the above income streams and reallocated to the General Purpose Fund.

The closing balance sheet of assets and liabilities for the period to date is shown in Table 3.

Table 3: Summary Balance Sheet as at 31st July 2026

	Opening Balance £000 01.04.26	Closing Balance £000 31.07.26	Change in Financial Year £000
Fixed Assets			
Investment Portfolio	5,363	5,663	300
Rookwood Hospital	4,361	4,361	0
Net Current Assets / Liabilities			
Cash	386	368	(18)
Debtors	107	0	(107)
Liabilities	-738	(554)	184
Total Net Assets	**9,479**	**9,838**	**359**
Unrestricted Funds	2,963	3,228	265
Restricted Funds	2,221	2,317	96
Endowment Funds	4,295	4,293	(2)
Total Funds	**9,479**	**9,838**	**359**

The underlying Investment Portfolio value increased in the year by £300k.

The balance sheet has increased by £0.359m in the period, including the increase in the value of investment portfolio, and the movement in debtors and creditors.

The Committee is asked to note that the Charity reported net Income over expenditure of £59k for the period ending 31st July 2026.

The charity's investment manager, Rathbone, expects continued market volatility in the immediate future and aims to invest in companies with both strong balance sheets and profit margins to maintain the value of the portfolio.

Cashflow Forecast

A cashflow forecast for 2026-27 is included as **Attachment 1** to this report. Based on current spending plans and trajectory, the committee will note that the forecast cashflow does not project the requirement to raise any monies from sales of the investment portfolio in the financial year 2026-27.This is subject to the Charity's income performance and the Finance Team will continue to monitor the situation closely throughout the year, liaise with the investment advisors accordingly and report any changes in future updates.

Forecast Financial Position of the Charity's General Fund Reserve

I&E Outlook analysis of the General Reserve Fund

In prior financial years, whilst investment portfolio values remained buoyant, the General Fund was in surplus and this position supported the decision of the Charity to support a number of initiatives funded from the General Fund. However, a period of lower growth in the investment portfolio value has exposed the lack of general income to meet the net operating costs of the Charity and has caused the General Fund to decline into a deficit position.

From 1st April 2025 following the approval of the Charitable Funds Committee, the following recharges and income are now posted to the General Purpose fund.

- Charge - Administrative & Management Costs
- Charge - Audit Costs
- Charge - Investment Management Fees

- Income – 10% of income received by funds
- Income - 5% of non-grant income from Food Sense Wales
- Income – Dividend & Interest Income
- Income/Charge – movement on the value of investments

These measures were introduced to restore the General Fund to financial health over a period of years. There are still some legacy commitments outstanding against the fund and these are included in Table 4

Table 4: Outstanding commitments against General Reserve

Commitments	Approved £'000	Outstanding £'000	Detail
Welsh Transplant Team	40	16	
Neurological Gardens - On - Going Maintenance Cost	94	75	8 years remaining
Total	**134**	**91**	

Attachment 2 is a current forecast of the General Purpose Fund to 2029/30

The draft out-turn valuation of the General Fund is projected to be £0.664m in deficit at 31st March 2027.

The Committee is asked to note that the gross cost of the Fundraising Charity Team will increase in the 2026-27 financial year as a result of the planned appointment of a Head of Charity and a part-time Band 4 Administrative Assistant.

These appointments have been made with the aim of strategically re-positioning the Charity and increasing income, especially non-restricted income where this is possible.

Revised General Fund deficit forecast positions have full incorporated the additional expenditure (broadly £125k increase in cost per annum). At this stage, the forecasts do not incorporate an improvement in general income that it is hoped will arise as a result of this team re-structure.

Prior to actions taken in 2024-25, which included the right-sizing of the Charity Team and a change in the income distribution process, the General Purpose Fund had been projected to be £0.489m in deficit by the end of 2028- 29. After the team re-structure this deficit is now forecast to be £0.730m, before the realisation of any additional income that can be generated through the new appointments and attributed to the General Fund.

Appendices:

Attachment 1 – Cashflow Forecast 2026-27
Attachment 2 - General Purpose Forecast

Strategic Alignment – Shaping Our Future Wellbeing:

Putting People First	Providing Outstanding Quality

Delivering in the Right Places		Acting for the Future	

Impact Assessment
Risk: No
Safety: No
Financial: Yes
The financial implications have been addressed in the main body of the report.
Workforce: No
Legal: No
Reputational: No
Socio Economic: No - *https://www.gov.wales/socio-economic-duty-guidance*
Equality & Health: No
Decarbonisation: No
Welsh Language: No

Cardiff and Vale Health Charity Cash Flow Forecast - Financial Year 2026-27

	Apr-26	May-26	Jun-26	Jul-26	Aug-26	Sep-26	Oct-26	Nov-26	Dec-26	Jan-27	Feb-27	Mar-27	Total	2025/2026	CHANGE
Brought forward balance	**380,124**	**346,481**	**294,797**	**375,454**	**365,360**	**462,164**	**425,478**	**381,392**	**293,546**	**260,991**	**182,024**	**187,562**		**432,979**	
	ACT	**ACT**	**ACT**	**ACT**	**EST**	**EST**	**EST**	**EST**	**EST**	**EST**	**EST**	**EST**		**Total**	**Total**
Receipts															
Staff Lottery	**30,761**	**31,286**	**31,213**	**31,492**	31,000	31,000	31,000	31,000	31,000	31,000	31,000	31,000	372,753	385,609	(12,856)
Grants														19,790	(19,790)
Legacies	**3,000**			**40,000**	155,557	43,173	130,000		100,000		100,000		571,730	453,626	118,104
Investment Income			**34,057**			26,000			26,000			26,000	112,057	98,647	13,410
Food Sense Wales	**112,444**		**108,767**	**7,766**		30,000		30,000		30,000		34,405	353,382	453,356	(99,974)
VAT Reclaim										4,933			4,933	25,190	(20,257)
Other Donations	**16,795**	**19,173**	**7,238**	**28,443**	20,000	20,000	20,000	20,000	20,000	20,000	20,000	20,000	231,650	196,640	35,010
Bank Account Interest	**674**	**1,222**	**968**	**1,020**	800	800	800	800	800	800	800	800	10,285	14,085	(3,800)
Gift Aid		**1,311**				1,300			1,300			1,300	5,211	8,630	(3,419)
JustGiving	**5,847**	**10,981**	**5,708**	**4,844**	8,500	8,500	8,500	8,500	8,500	8,500	8,500	8,500	95,379	77,805	17,574
Paypal	**391**	**1,068**	**585**	**566**	857	857	857	857	857	857	857	857	9,466	9,430	36
Stripe		**2,170**	**1,922**	**3**	1,281	1,281	1,281	1,281	1,281	1,281	1,281	1,281	14,343	13,247	1,096
Much loved			**12**	**303**	200	200	200	200	200	200	200	200	1,915	1,586	329
Operational Receipts	**169,912**	**67,211**	**190,470**	**114,438**	218,195	163,111	192,638	92,638	189,938	97,571	162,638	124,343	1,783,103	1,757,641	**25,462**
Cash Withdrawal Rathbone Sale of Investments													0	125,000	
Total Cash Receipts	**169,912**	**67,211**	**190,470**	**114,438**	218,195	163,111	192,638	92,638	189,938	97,571	162,638	124,343	1,783,103	1,882,641	25,462
Payments															
Christmas Allocation									(9,100)				(9,100)	**(9,100)**	0
Food Sense Wales	**(82,668)**	**(6,706)**	**(9,315)**	**(70,675)**		(72,047)	(66,367)	(64,796)	(64,796)	(64,796)	(64,796)		(566,962)	**(380,300)**	(186,662)
Rookwood Fees							(30,000)			(20,000)			(50,000)	**(58,658)**	0
Horatios Gardens			**(9,418)**										(9,418)	**(9,418)**	0
Other Creditors	**(61,123)**	**(35,281)**	**(64,959)**	**(31,354)**	(65,962)	(65,962)	(65,962)	(65,962)	(65,962)	(65,962)	(65,962)	(65,962)	(720,409)	**(827,392)**	106,983
Staff Lottery Approvals	**(7,971)**	**(882)**	**(5,413)**	**(650)**	(5,000)	(5,000)	(5,000)	(5,000)	(5,000)	(5,000)	(5,000)	(5,000)	(54,915)	**(60,385)**	5,470
Investment Management Fees		**(5,000)**	**(6,709)**			(8,000)			(8,000)			(8,000)	(35,709)	**(32,244)**	(3,465)
Staff Lottery Prizes	**(4,000)**		**(14,000)**		(5,000)	(4,000)	(29,000)	(4,000)	(29,000)	(4,000)	(4,000)	(5,000)	(102,000)	**(81,000)**	(21,000)
C&V Quarterly Salary Recharges (Admin)	**(23,615)**	**(23,615)**			(23,615)	(23,615)	(23,615)	(23,615)	(23,615)				(165,304)	**(94,292)**	(71,012)
C&V Quarterly Salary Recharges (Internal Audit)												(23,000)	(23,000)	**0**	(23,000)
C&V Charity Wales Audit charges												(25,792)	(25,792)	**(54,818)**	29,027
C&V Quarterly Health Charity Salaries	**(24,179)**	**(47,411)**		**(21,855)**	(21,815)	(21,172)	(16,780)	(17,111)	(17,021)	(16,780)	(17,343)	(19,022)	(240,489)	**(327,889)**	87,400
Total Payments	**(203,555)**	**(118,894)**	**(109,813)**	**(124,533)**	**(121,392)**	**(199,796)**	**(236,724)**	**(180,484)**	**(222,493)**	**(176,538)**	**(157,100)**	**(151,775)**	**(2,003,097)**	(1,935,496)	**(76,259)**
In Month Movement	**(33,643)**	**(51,683)**	**80,657**	**(10,094)**	**96,804**	**(36,685)**	**(44,086)**	**(87,846)**	**(32,555)**	**(78,967)**	**5,538**	**(27,432)**	**(219,994)**	(52,855)	**(50,797)**
Balance carried forward	**346,481**	**294,797**	**375,454**	**365,360**	**462,164**	**425,478**	**381,392**	**293,546**	**260,991**	**182,024**	**187,562**	**160,130**	**160,130**	380,124	

Cardiff and Vale Charity General Reserve Profile

	2025/26	2026/27	2027/28	2028/29	2029/30
Balance Brought Forward	(891,325)	(644,755)	(664,173)	(703,591)	(730,009)
Income (Legacies, Donations - Not Restricted)	0	0	0	0	0
Transfers (From Dormant Funds)	4,077	5,000	5,000	5,000	5,000
Total Income	**4,077**	**5,000**	**5,000**	**5,000**	**5,000**
Gross Cost of Fundraising Team	(236,000)	(361,000)	(372,000)	(383,000)	(394,000)
Expenditure - General Reserve Commitments	(14,551)	(14,418)	(9,418)	(9,418)	(9,418)
Total Expenditure - Operational	**(250,551)**	**(375,418)**	**(381,418)**	**(392,418)**	**(403,418)**
Operational Sub Total	**(246,474)**	**(370,418)**	**(376,418)**	**(387,418)**	**(398,418)**
Unrealised change in Investment Values - Increase / (Decrease)	**326,000**	**161,000**	**166,000**	**171,000**	**176,000**
Balance of General Reserve	**(811,799)**	**(854,173)**	**(874,591)**	**(920,009)**	**(952,427)**
MEMORANDUM - Cumultive impact on General Fund of operational cost and movements in investment value					
Change in fund value arising from operations	(2,853,000)	(3,223,418)	(3,599,836)	(3,987,254)	(4,385,672)
Change in fund value arising from movement in Investments	2,041,200	2,202,200	2,368,200	2,539,200	2,715,200
Balance of General Reserve	**(811,799)**	**(1,021,217)**	**(1,231,635)**	**(1,448,053)**	**(1,670,471)**
RECOVERY ACTIONS TAKEN					
1 Restructure of Charity Team	108,000	108,000	108,000	108,000	108,000
2. Allocation of all dividend income to General Fund (based on 4 year average)	**111,044**	120,000	120,000	120,000	120,000
3. Recharge of all other relevant annual costs to General Fund (Audit, Finance & Investment Managers)	(153,000)	(148,000)	(167,000)	(148,000)	(148,000)
4. 10% on all income received by FHoT (estimated where allowable)	101,000	110,000	110,000	110,000	110,000
Commissioining of professional external review of stratgey					
Sub Total of Options	**167,044**	**190,000**	**171,000**	**190,000**	**190,000**
Revised Surplus / Deficit in year	**246,570**	**(19,418)**	**(39,418)**	**(26,418)**	**(32,418)**
Revised Cumulative Forecast Value if all options are realised in line with the values forecast	**(644,755)**	**(664,173)**	**(703,591)**	**(730,009)**	**(762,427)**
CUMULATIVE CHANGE RESULTING FROM ACTIONS TAKEN	**167,044**	**190,000**	**171,000**	**190,000**	**190,000**

MEMORANDUM - Cumultive impact on General Fund of operational cost and movements in investment value after applying options	**2025/26**	**2026/27**	**2027/28**	**2028/29**	**2029/30**
Change in fund value arising from operations	(2,685,956)	(2,866,374)	(3,071,792)	(3,269,210)	(3,477,628)
Change in fund value arising from movement in Investments	2,041,200	2,202,200	2,368,200	2,539,200	2,715,200
Balance of General Reserve	**(644,755)**	**(664,173)**	**(703,591)**	**(730,009)**	**(762,427)**

Report Title:	Risk Register			Agenda Item No:	6.2
Meeting:	Charitable Funds Committee	Public	x		15.09.2026
		Private			
Lead Executive Title:	Executive Director of Finance				
Report Author/s Title:	Head of Charity				

Report Focus Summary – **AAA Framework:**
*The AAA framework reflects the **overall position of the matter being reported**. **Select one category only** and complete the **relevant box** with a brief summary. A useful guide can be found here: NHS Triple A Guide*

ALERT *(Highlights areas of significant concern, such as non-compliance, urgent risks, or major issues that require immediate action or that the Board/Committee must be immediately aware of).*

The Health Charity has developed a Risk Register to record its approach to and management of risk. This is the first time this has been reported on at the Charitable Funds Committee and will, going forward, enable reporting by exception to support raising significant areas of concern.

ADVISE *(Any areas of ongoing monitoring where an update has been provided to a sub-Committee/Group AND any new developments that will need to be communicated or included in operational delivery)*

ASSURE *(details areas where the Board/Committee will receive evidence of effective control, high-quality performance, or improvements)*

Board/Committee Response Required ***(please select only one)***

Assurance	x	Approval		Information/Noting	

Recommendations*:*

Note for assurance the inclusion of the Health Charity Risk Register as a Business Unit incorporated in Cardiff and Vale University Health Board's central governance led AMat Risk register.

Governance Route ***(please list all other Committee/Groups this report has been to)***

***Where** it's been:*	*N/A*
***When** it went:*	*N/A*
***What** decision was made:*	*N/A*

Main Report
Background & Current Situation

Following a review of the way in which the Health Charity record and manage risk, and subsequent discussion with Governance colleagues, the Health Charity has been added to the Health Board's Risk Register platform.

Managed by the Head of Charity and Health Charity Manager (Business and Operational), the charity risk data has been collated and assessed in partnership with colleagues across the Health Charity and Finance. This will be an ongoing process as risks are continually reflected on, assessed and mitigated.

This change aligns the Health Charity with all departments and services across the Health Board and facilitates compliance monitoring by its Governance Department, with clear escalation processes in place for areas of significant concern.

There are currently 22 risks identified, with 14 exceeding acceptable levels of tolerance, although none of these presents as areas of significant concern. Attached is a redacted version of the Risk Register that illustrates those areas outside tolerance and the planned actions in place to mitigate these. Many of these are linked to the lack of a Health Charity Strategy and associated streamlining of processes. It is hoped that many of these risks will be within tolerance by the end of the financial year.

A summary report on the Risk Register will be included as a standing item on the quarterly Charitable Funds Committee agenda, and, where a new risk is identified and requires escalation, will be presented by the Head of Charity to the next scheduled committee meeting.

Appendices:

1. Risk Register – current areas exceeding tolerance

Strategic Alignment – Shaping Our Future Wellbeing:

Putting People First		Providing Outstanding Quality	x
Delivering in the Right Places		Acting for the Future	

Impact Assessment
Risk: No
Safety: No
Financial: No
Workforce: No
Legal: No
Reputational: No
Socio Economic: No - *https://www.gov.wales/socio-economic-duty-guidance*
Equality & Health: No
Decarbonisation: No
Welsh Language: No

Risk Identifier	Risk title	Risk Statement	Risk Effect	Existing Controls	Response (Status) (Treat / Tolerate)	Gaps in controls	Planned actions	Person responsible	Review date
FP1	Depletion of general fund	Expenditure is inappropriately high resulting in depletion of the General Fund, risking not being able to honour charitable fund commitments	Charity becomes untenable	1. Monthly monitoring of charity spend by finance team 2. Monthly meetings between Head of Finance and Head of Charity 3. Quarterly reporting of performance to the Charitable Funds Committee with 5 year forecast in place. 4. Authorisation processes in place. 5. General Funds closed to new bids, only unapportioned staff costs now spent from this fund	Treat	1. Existing processes heavily rely on Finance team input 2. Limited autonomy for the Charity team	1. Develop operational budget for Charity 2. Develop income generation opportunities that apportion increased levels of staff costs to other funds	Head of Charity / Head of Finance	Mar-27
FP2	Investment practices	Poor investment arrangements and volatility of investment market	Insufficient funds to realise charitable funds' ambitions	1. Investment company procured through competitive tender process 2. Monthly monitoring of investment portfolio 3. Quarterly reporting on investment performance to Charitable Funds Committee	Treat	1. Exisiting procedure involves UHB finance representatives only in procurement evaluation process	1. Inclusion of Charitable Funds Committee / Independent Members and Charity representatives in future procurement evaluation process	Deputy Director Finance	Mar-27
FP3	Expenditure practices	Expenditure is inappropriate or not spent for purposes intended	Reputational damage Inability to realise specific charitable funds' ambitions	1. Cost centres apportioned to each fund 2. Authorisation process in place with fund holder and Head of Department 3. Monthly, quarterly and annual monitoring of fund expenditure 4. Expenditure over £25,000 presented to Charitable Funds Committee for approval 5. Scheme of delegation in place	Treat	1. Lack of formal, automated process within clinical boards holding endowment funds limits opportunity for a streamlined process of application, approvals, and evaluation feedback on high value projects, risking limiting governance compliance regarding the use of charitable funds and limited demonstration of impact 2. Existing processes rely heavily on Finance team input 3. Limited autonomy for the Charity team to make decisions on appropriate spend of charitable funds. Fund utilisation is determined by current Fund Holders and Health Charity do not have capacity to influence this within current fund structure 4. Volume of funds and limited input from Charity team decreases opportunity for scrutiny and recording impact 5. Lack of awareness within Clinical Boards regarding potential of working with the Health Charity to support acquisition and expenditure of charitable funds	1. Develop robust protocols/guidance and increased automation processes to support expenditure of charitable funds in line with financial controls and governance requirements, setting clear parameters for expenditure of charitable donations together with requirements to report on impact for distribution to all clinical boards 2. Rationalise number of funds 3. Review and distribute guidance on core/non core expenditure of charitable funds and approvals/procurement processes for over £25k expenditure	Head of Charity / Head of Finance	Mar-27

FP6	Handling of cash	Cash handling not compliant with charity guidance	Loss of gambling commission licence Fraud potential Reputational damage Cash not accounted for in appropriate reporting period Cash spent outside of procurement processes	1. Processes in place to enable individual wards/departments to receive income and deposit into charitable funds 2. Fundraising volunteers talked through protocols of handling cash as part of event support provided by Charity	Treat	1.Potential for oversight or non sharing of process within departments 2. Lack of scrutiny/internal audit to ensure governance compliance for receipt and expenditure of charitable funds 3. Potential for people to fundraise without oversight/support from the Charity	1. Develop robust protocol/guidance in line with financial controls and governance requirements relating to the receipt of all charitable donations to CAVUHB, for distribution to all clinical boards	Head of Charity	Mar-27
OP1	Governance	Failure to comply with governance obligations in respect of charity law, safeguarding, data protection and other relevant legislations/regulations	Loss of reputation Termination of charity	1. Head of Charity has knowledge and expertise in charity governance 2.Charitable Funds Committee has independent member with charity expertise 3. Existing protocols and policies of UHB	Tolerate	1. Additional policies needed to comply with charity governance best practice that add charity nuance to UHB policies	1. Develop Ethical Fundraising Policy, Complaints Policy and Procedure, Privacy Statement and Framework	Head of Charity	Dec-26
OP2	Strategy	Strategy and planning not in place to deliver charity ambitions	No clear rationale for existence of charity No direction for the charity or its team members Charity does not achieve its potential Opportunities are lost leading to loss of value and reputation Team members working ad hoc rather than strategically	1. New Head of Charity appointed 2. Strategy development underway	Treat	1. Strategy and associated KPIs	1. Develop strategy and associated KPIs 2. Develop clear roles and responsibilities for team members	Head of Charity	Mar-27
OP3	Meeting charitable aims	Charity delivers work outside of its charitable objects or not in accordance with charity law	Loss of charity status Loss of reputation	1. Governance arrangements in place to monitor Charity activities 2. Authorisation levels set to approve expenditure in line with charitable objects 3. Funds from staff lottery spent in accordance with terms of grant giving approved by Charitable Funds Committee	Treat	1. Limited oversight by the Charity on spend of charitable funds 2. Blurred lines between what is statutory spend and charitable spend	1. Develop improved workflows for expenditure approval 2. Develop clearer protocols for what constitutes charitable spend 3. Develop streamlined grant giving processes	Head of Charity	Mar-27

OP4	Income target	Income target not met	Charity becomes untenable Excessive spend of General Fund on core costs Value of charitable funds diminished Loss of income potential through reputational damage Inability to realise value potential	1. General funds acting as reserves for core activity	Treat	1. No clear income target or diversification ambitions 2. No KPIs / measurements of success defined 3. Lack of charity operational budget 4. Volume of funds prohibits sufficient engagement with clinical boards to understand where spend is most needed to maximise income opportunities	1. Develop operational budget for the charity that sets targets for income generation limiting reliance on minimal sources / funds 2. Develop KPIs and clear roles and responsibilities aligned with strategy development 3. Rationalise charitable funds 4. Increase proactive fundraising efforts	Head of Charity / Deputy Director of Finance	Dec-27
OP5	Staff lottery	The staff lottery fails to meet its statutory obligtions	Loss of Gambling Commission licence Significant loss of income Loss of reputation	1. Gambling Commission licence reviewed / renewed annually 2. Processes in place to mitigate loss of data and ensure transparency of process 3. Gambling Commission guildeines adhered to 4. No administrator of the lottery plays the lottery 5. Grant giving process delivered through the Staff Lottery Bids Panel	Treat	1. Manual input means human error in processing likely 2. Limited guidance available about lottery protocols	1. Increase automation of lottery processes 2. Develop protocols to provide additional guidance around use of lottery funds and appropriate behaviours linked to administering the lottery	Head of Charity	Mar-27
OP7	Capacity	Charity unable to meet its obligations due to team capacity, sickness, burnout, turnover	Loss of reputation Loss of income generation potential Loss of experience and knowledge Interruption of service delivery	1. Regular team meetings and 1-1s 2. Rota in place for Hub cover and key events 3. Working to develop a bank of volunteers to support delivery	Treat	1. Lack of clarity around roles, responsibilities and expectations of team members 2. Limited pool of trained volunteers 3. Limited opportunities for team get-togethers 4. Limited opportunities for staff to engage with Head of Charity on a 1-1/informal basis	1. Build clarity around roles, responsibilities and expectations of team members 2. Recruit and train volunteers to support increased capacity at the hub and community events 3. Increase opportunities for team get-togethers 4. Increase opportunities for staff to engage with Head of Charity	Head of Charity	Mar-27

OP8	Conflict of interest	Lack of separateness between the charity and the health board	Decisions made not in the best interest of the charity at Trustee level Health board processes limit charitable activity	1. Interests declared at Trustee, Charitable Funds Committee and Staff Lottery Bids Panel meetings	Treat	1. No dedicated conflict of interest policy for charity 2. Limited understanding of the differentiation between the role of health board Trustee and Trustee of Health Charity	1. Develop a charity Conflict of Interest Policy 2. Disseminate policy among all those with vested interest in the charity and the health bord e.g., Trustees, fund managers 3. Build awareness of charity and its function within the health board	Head of Charity / Executive Director Finance	Mar-27
CM1	Income receipts	Donor income not acknowledged when received	Reputational damage Loss of longer-term income potential	1. System in place that acknowledges donations 2. Dot Digital supports donor engagement	Treat	1. Limited donor management pathways in place 2. Manual systems risk human error	1. Utilise Dot Digital facilities to streamline and maintain engagement with donors following donations	Head of Charity	Mar-27
CM2	Relationship management	Supporter/donor relationships not built / managed appropriately	Diminishing ability to secure funds Fewer opportunities for partnership working Overreliance on a few trusted relationships to secure funds in volatile external environment Impact of funding not demonstrated or acknowledged	1. System in place that manages process of charitable funds spend 2. System in place that acknowledges donations 2. Dot Digital supports donor engagement	Treat	1. Limited engagement with Clinical Boards to identify need/opportunity 2. Lack of demonstration of impact of donations / charitable funds spend 3. Limited engagement with other health charities with similar objectives 4. Limited donor management pathways in place	1. Develop mechanism to engage with clinical boards to identify priorities for campaigns/fund spend 2. Develop workflows that support engagement and storytelling from receipt/allocation of funds to their spend and impact 3. Develop network that minimises duplication and prioritises partnership working to maximise impact and visibility 3. Utilise Dot Digital facilities to streamline and maintain engagement with donors following donations / funding awards	Head of Charity	Dec-27

CM3	Brand and visibility	Charity not recognised or valued within the health board and in wider society	Loss of income generation potential Charity potential not realised Fewer opportunities to add value to health services Other health charities on UHB sites prioritised for support	1. Online presence through website and social media channels 2. Visibility across health board sites, including the Hub on the University Hospital of Wales concourse 3. Policy in place that identifies the Health Charity as the only charity that can raise funds on UHB sites	Treat	1. Limited recognition of the role of the charity in supporting the work of the health board 2. Limited engagment online or in-person 3. Analytics underutilised in developing forward strategy 4. Aging brand 5. Limited interaction with other health charities	1. Dovetail charity strategy into wider health board ambitions 2. Consult on and disseminate strategy to raise profile of the charity and its ambitions 3. Develop Communications Strategy to underpin the charity strategy 4. Maintain awareness of best practice across the sector to support benchmarking and recommendations for progress 5. Consider options for re-brand 6. Develop partnerships with other health charities on UHB sites via network initially	Head of Charity	Mar-27

Report Title:	Health Charity Fundraising Report		Agenda Item No:		7.1
Meeting:	Charitable Funds Committee	Public	X		15.09.2026
		Private			
Lead Executive Title:	Executive Director of Finance				
Report Author/s Title:	Head of Charity				

Report Focus Summary – **AAA Framework:**
*The AAA framework reflects the **overall position of the matter being reported**. **Select one category only** and complete the **relevant box** with a brief summary. A useful guide can be found here:* NHS Triple A Guide

ALERT *(Highlights areas of significant concern, such as non-compliance, urgent risks, or major issues that require immediate action or that the Board/Committee must be immediately aware of).*

ADVISE *(Any areas of ongoing monitoring where an update has been provided to a sub-Committee/Group AND any new developments that will need to be communicated or included in operational delivery)*

ASSURE *(details areas where the Board/Committee will receive evidence of effective control, high-quality performance, or improvements)*

Cardiff & Vale Health Charity ("the Health Charity") is the official charity and working/trading name of Cardiff and Vale University Health Board General Purposes Charitable Fund, Charity Registration Number 1056544.

This report provides assurance to the Charitable Funds Committee that the day-to-day work of the Health Charity Team to support fundraising activities are undertaken in accordance with principles of best practice and pose no risk to the reputation of the Health Board and the brand of the Health Charity.

Board/Committee Response Required ***(please select only one)***

Assurance		Approval		Information/Noting	x

Recommendations:

The Charitable Funds Committee is requested to:
- **Note** the Health Charity Fundraising Quarterly Update

Governance Route

***Where** it's been:*	*N/A*
***When** it went:*	*N/A*
***What** decision was made:*	

Main Report
Background & Current Situation

This report provides an update on fundraising initiatives undertaken by the Health Charity in the previous quarter and advises on events and planned activities for the remaining financial year. These activities aim to strengthen community engagement, enhance the visibility of the Health Charity across the region, and raise essential funds for services within Cardiff and Vale University Health Board.

Staff Lottery
The Staff Lottery continues to perform well and remains an important source of unrestricted income for the Charity. Membership levels have remained strong, generating regular income that supports patient care, staff wellbeing, and service improvement projects across Cardiff and the Vale. The forthcoming £25,000 Super Draw is expected to generate further interest and

engagement amongst staff.
Fund Balance at end of month 4: £320,282

Make it Better – General Purpose Fund
Strengthened Position: Through consistent income from event fundraising, legacy and donations, the Make it Better Fund has grown, enabling greater flexibility in responding to urgent needs and supporting projects across the Health Board.
Fund Balance at end of month 4: £106,343

Legacy Funds
Growth: Legacy donation enquiries have shown a positive upward trend, reflecting increased awareness and trust in the Health Charity. This income stream provides long-term sustainability and supports major initiatives.
Legacy income at end of month 4: £43,000 benefiting
Renal Unit, UHW: £40,000
Mental Health Clinical Board: £3,000

The Health Charity continues to explore opportunities for partnership working with Clinical Boards, creating stories demonstrating how legacy income has been spent, to raise public awareness and encourage future legacy donations through its Gift in Wills campaign.

Gifts In Kind initiative
The Health Charity has commenced a pilot project, by the setting up of Amazon Wishlists to facilitate direct public gift donations to Health Board services. Initially being rolled out to 3 areas: Maternity Services and Critical Care, with the addition of Looked After Children's Services in the lead up to their annual Christmas campaign. The three-month pilot will be monitored and reviewed with the departmental Wishlist lead, and if successful, offered to other Health Board wards/departments from the new year.

Summary of key fundraising events this quarter
1. **Inflatable 5K Run –** A family-friendly event promoting health and wellbeing that attracted a diverse range of participants and raised just under **£2,000**.
2. **Ladies Race Day,** Penarth Yacht Club – A successful fundraising event in support of the Breast Centre Appeal, raising nearly **£2,000.**
3. **Spinathon –** The Neuro Rehabilitation Team at UHL took part in a successful Spinathon, demonstrating excellent staff engagement and support for the service. The event raised over **£2,000**, which will help enhance the environment and experience for patients undergoing rehabilitation**.**

Future key fundraising Initiatives
1. **Cardiff Half Marathon –** One of Wales's premier running events, offering significant fundraising and awareness opportunities. The Charity has secured 40 participants for the event on 4th October 2026, with fundraising activity well underway. Estimated income from this event is **£10,000**.
2. **Strictly Top Dancer Does Bollywood**, Breast Centre Appeal. Taking place on 10 October 2026, this vibrant event combines entertainment and fundraising, bringing together participants and supporters to raise funds for breast cancer services across Cardiff and Vale.
3. **Christmas Campaign 2026**
   Planning for the 2026 Christmas Campaign is underway, with the fundraising team developing festive fundraising activities, particularly within the Charity Hub, UHW, alongside supporter engagement opportunities and the provision of Christmas fundraising packs.
4. **London Marathon 2027 –** Cardiff & Vale Health Charity has secured four charity places for this internationally recognised event. Participants have committed to raising a

combined minimum of **£10,000**, while also increasing the Charity's profile on a national stage.

Fundraising initiatives being explored

1. **Robotics campaign**
   Consideration is being given to developing a Robotics Surgery campaign as a pilot fundraising campaign for the Health Charity. This would involve a crowdfunding campaign, exploring a commercial partnership, and the potential for a sponsored event in addition to utilising existing charitable funds. This would support the Medicine Clinical Board to in their efforts to implement this innovative initiative.
2. **National Eisteddfod of Wales**
   The Eisteddfod has announced it is coming to Cardiff in 2028, coinciding with the 80th birthday of the NHS. Early discussions are underway to consider opportunities to increase awareness of the Health Charity and its work, both locally and nationally.

Partnership working

1. **Teenage Cancer Trust**
   Discussions are underway with the Teenage Cancer Trust considering options to support their proposal to develop the Teenage Cancer Centre in UHW, ensuring it is fit for purpose for future service users.
2. **Health Charity survey**
   A survey has been sent out to third sector charities across Cardiff and the Vale of Glamorgan with a 22% return rate, all indicating a desire for a more joined-up approach to supporting health board services. An initial network meeting is scheduled in September to establish collaborative ways of working to enhance patient pathways and care.
3. **Llantrisant Health Park**
   With the new capital development underway, discussions are taking place with Cwm Taf Morgannwg Health Charity and Aneurin Bevan Health Charity to consider partnership working to support the combined health board's patient and staff experience, when the site is operational.

The Health Charity has continued to generate income, raise awareness and strengthen engagement with supporters, staff and local communities. Good participation in events, continued support for the Staff Lottery, and ongoing development of future campaigns demonstrate the Charity's ability to generate income while promoting the impact of charitable funding across Cardiff and the Vale.

Looking ahead, the team will continue to build on this momentum through a programme of fundraising events, supporter engagement initiatives and the 2026 Christmas Campaign, helping to maximise opportunities to support patients, families and colleagues across the Health Board.

Strategic Alignment – Shaping Our Future Wellbeing:			
Putting People First	X	Providing Outstanding Quality	X
Delivering in the Right Places	X	Acting for the Future	X

Impact Assessment
Risk: No
Safety: No
Financial: Yes
The core work of the Health Charity team continues to have a negative impact on the General Fund

Workforce: No
Legal: No
Reputational: No
Socio Economic: No - *https://www.gov.wales/socio-economic-duty-guidance*
Equality & Health: No
Decarbonisation: No
Welsh Language: No