

Bundle Charitable Funds Committee 11 June 2021

CF21.18	09:30 - Apologies and Declarations of Interest <i>Apologies Received: Jo Whitehead</i>
CF21.19	09:32 - Welcome and Introductions
CF21.20.01	09:35 - Minutes of the Previous Meeting <i>CF2120 01 Accuracy</i> <i>CF2120 02 Matters Arising and Summary Action Plan</i> <u>CF2120 02 Action Log following meeting 09.03.21_Final.docx</u> <u>CF2120 01 210309 CFC Minutes Draft v.04.docx</u>
CF21.21	09:45 - Charitable Funds Finance Report Q4 2020/21 <i>Ms R Hughes</i> <u>CF2121 Finance Report Q4.docx</u>
CF21.22	09:55 - Investment Manager's Portfolio Report and Presentation <i>Ms R Hughes</i> <u>CF2122 01 Investment Portfolio Q4.docx</u> <u>CF2122 02 Appendix Investments - Appendix 1 Portfolio Report.pdf</u>
CF21.23	10:00 - Charitable Funds Fundraising Update Report Q4 2020/21 <i>Miss K Thomson</i> <u>CF2123 0 KLT_Fundraising Update Paper June 2021_Draft.docx</u> <u>CF2123 01 Appendix 1_Donations and Fundraising Trends comparison.docx</u> <u>CF2123 02 Appendix 2_Covid Response Fund Update for Trade Unions_26.03.21.docx</u>
CF21.24	10:10 - Third Sector Groups Update Report <i>Ms K Thomson</i> <u>CF2124 KLT_Third Sector Group Report June 2021 (2).docx</u>
CF21.25	10:20 - Keep The Beats Fund Report <i>Ms K Thomson</i> <u>CF2125 Keep The Beats Report June 2021.docx</u>
CF21.26	ITEMS FOR DISCUSSION
CF21.27	10:30 - Fund Advisor Verbal Presentation and Q&A: Cancer Services <i>Ms K Thomson</i>
CF21.28	ITEMS FOR DECISION
CF21.29	10:45 - Awyr Las CRM Business Case <i>Ms E Jones</i> <u>CF2129 0 CRM Business Case_Coversheet.docx</u> <u>CF2129 1 Appendix 1_CRM Business Case.docx</u>
CF21.30	Awyr Las Strategic Plan 2021-22 to Inform the 3 Year 2022-25 Awyr Las Strategy <i>Ms K Thomson</i> <u>CF2130 Strategic Action Plan 2021.22_Final.docx</u>
CF21.31	11:05 - Summary of Expenditure Approvals <i>Ms R Hughes</i> <u>CF2131 Summary of Expenditure Applications Awarded.docx</u>
CF21.32	11:10 - Updated Ethical Investment Policy <i>Ms R Hughes</i> <u>CF2132 0 Updated Ethical Investment Policy.docx</u> <u>CF2132 1 Appendix 1 Summary Paper.pdf</u>
CF21.33	ITEMS OF GOVERNANCE
CF21.34	11:20 - Charity Risk Register and Risk Focus <i>Ms R Hughes & Ms K Thomson</i>

CF2134 Charity Risk Register.docx

CF21.35 11:30 - Updated Charity Work Plan for 2021/22

Ms R Hughes & Ms K Thomson

CF2135 Revised Committee Workplan 2021.docx

CF21.36 ITEMS FOR INFORMATION

CF21.37 11:35 - Issues of Significance to Report to the Health Board

CF21.38 Date and Time of Next Meeting: 16 September 2021, 9.30am-12.00pm

BCUHB CHARITABLE FUNDS COMMITTEE**Summary Action Plan – arising from meetings held in public**

Officer	Minute Reference and Action Agreed	Original Timescale	Latest Update Position	Revised Timescale
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Actions from 10.09.20 meeting

All Committee Members	CF20/26.2 The committee decided to review and approve applications via email for all members using voting buttons and a fortnightly meeting between the Chair and Executive Director of Finance. These arrangements will be reviewed at next Charitable Funds Committee meeting.	December 2020	December 2020: The CFC Members agreed to discuss at the March CFC meeting. An Applications Approval Discussion Papers is included in the March 2021 CFC Papers.	Closed
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Actions from 08.12.20 meeting

K Thomson	CF20/35.2 With regards the iPad Grant Scheme (£50k), the committee discussed what happens to the iPads when we no longer need them, when visitors are allowed to visit again at hospital sites. The Head of Fundraising confirmed that IT Project Manager, Brian Laing is overseeing the long-term plan of what happens with the iPads and will be able to provide an update for March 2021 committee meeting.	March 2021	Update on digital devices included in the March 2021 CFC Papers.	Closed
R Hughes	CF20/35.3 For transparency purposes the committee also agreed that it would be helpful to have a reconciliation of digital devices funded from the Welsh Government and charity.	March 2021	Update on digital devices included in the March 2021 CFC Papers.	Closed
K Thomson	CF20/36.1 The committee agreed for this	January 2021	Included in the Trustees Presentation	Closed

	decision (naming of the Charitable Funds Committee) to go to the Annual General Meeting in January 2021.		Agreed not to ask for a decision regarding naming of the Charitable Funds Committee at this point	
K Thomson	CF20/36.2 The committee discussed and agreed a number of amendments for the Head of Fundraising to make on the document, and to work with the Charity Accountant on wording to say 'we'd like to commit this to'.	March 2021	<p>The Head of Fundraising updated the Awyr Las Strategy background and public facing documents which were submitted to the CFC in December 2021, incorporating these changes. Work required to bring proposal back in terms of finance and benefits for the charity. Phraseology to be reviewed, "support, provide and deliver" and volunteering. This was agreed to be continued outside of the meeting. Update to be provided at June meeting.</p> <p>2021/22 Strategic Action Plan provided in the June 2021 Charitable Funds Committee Papers.</p>	June 2021
K Thomson/ S Hill	CF20/36.3 Agreed to have a conversation offline with regards to structural changes and anything needing approval will come back to the committee to be discussed.	March 2021	<p>The charity strategy setting from the committee will be discussed in the Charitable Funds Committee.</p> <p>Included for information to help facilitate future discussions</p> <p>This action merges with action CF20/36.2</p>	Closed
K Thomson	CF20/37 The Head of Fundraising informed the committee that between now and March 2021, the Cancer Services Team with the charity's help need to devise an options appraisal & feasibility study of what's already in North Wales,	March 2021	<p>'Maggie's Centre' included in the Fundraising Support Team Update Report, March 2021 CFC Papers</p> <p>Decision making process with regard to how a meeting between Ysbyty Glan Clwyd (YGC) and</p>	Closed

	as some hospitals already provide what 'Maggie's Centre' provides. The committee agreed for this to be presented to the committee meeting in March 2021.		the Cancer Services Team was documented is to be reviewed.	
K Thomson	CF20/38 The Acting Executive Director of Finance and Head of Fundraising agreed to contact RCN Steward, Mr Billy (William) Nichols to arrange a meeting with a number of key people in attendance.	March 2021	Decision on the timing for the launch of the BCUHB Staff Lottery to be confirmed. An update will be given in the CFC meeting. The Executive Director of Finance agreed to liaise with the Executive Director of Workforce and Organisational Development regarding concerns raised by Trade Union colleagues and Workforce. Update provided in the Fundraising Update	June 2021
R Hughes	CF20/39 The Charity Accountant informed the committee that the Ethical policy isn't as detailed as it could be and specific to the Health Board, and she is currently rewriting the policy. The committee agreed for this and an Investment Policy to come to the March 2021 committee meeting	March 2021	Included in the March 2021 Charitable Funds Committee Papers. Updated Ethical Policy included in the March 2021 Charitable Funds Committee Papers.	Closed
Actions from 09.03.21 meeting				
K Thomson	CF2106.7 It was agreed for the Keep the Beats proposal to be returned to the next Charitable Funds Committee for review and further discussion.	June 2021	Included in the June 2021 Charitable Funds Committee Papers.	
K Thomson	CF2106.10 CRM options appraisal to be presented at the June 2021 Charitable Funds Committee meeting.	June 2021	Included in the June 2021 Charitable Funds Committee Papers.	
K Thomson	CF2106.12 Shooting Star and Maggie	June 2021	Scoping Document updated. Geraint Roberts,	

	Centre business case scoping document to be reviewed with regard to wording and abbreviations/acronyms to be written in full.		Cancer Services General Manager is attending the June 2021 to provide a formal verbal update.	
K Thomson	CF2107.4 Discussions to take place outside of meeting with Executive Director of Workforce and Organisational Development with regard to how the Volunteer Scoping Exercise and Impact Assessment links in with the Volunteering portfolio.	June 2021	<p>The Head of Fundraising (HoF) is working with the BCUHB Public Volunteer & Robins Team on a scoping project to inform the BCUHB Volunteering Strategy.</p> <p>The HoF is working with Estates and Facilities in drawing up a BCUHB Use of Space protocol for working with Third Sector Catering and Retail providers.</p> <p>Reported in the Fundraising Report.</p>	
K Thomson	CF2107.5 Impact on financial income for employees of volunteer organisations to be considered within the Third Sector Groups related work.	June 2021	Impact on partners is being considered within the Use of Space protocol for working with Third Sector Catering and Retail providers.	Closed
K Thomson	CF2109.2 Head of Fundraising to formulate a questionnaire for agreement by the Chair and Executive Director of Finance, prior to circulating to the trustees in order to ascertain view points regarding the charity, including what the priority areas for the charity should be	June 2021	This has been completed and has influenced the 2021/22 Strategic Action Plan and will help inform the three year 2022-25 Awyr Las strategy.	Closed
K Thomson	CF2109.3 Work required to bring proposal back in terms of finance and benefits for the charity. Phraseology to be reviewed, “support, provide and deliver” and volunteering. This was agreed to be continued outside of the meeting.	June 2021	This links to CF20/36.2 therefore this action closed.	Closed

K Thomson	CF2110.4 Short-term IT solutions relating to the grant application process and long-term options to be reviewed for the charitable funds application process.	June 2021	Included in the June Charitable Funds Committee Papers	Closed
K Thomson	CF2110.5 Request for further support from trustees with regard to the application process to be put forward by the Chair.	June 2021	Included in the June Charitable Funds Committee Papers	Closed
R Hughes	CF2110.6 Regular meetings to be arranged between the Chair and Executive Director of Finance to review funding applications.	June 2021	Completed	Closed
R Hughes	CF2112.2 Breakdown of Audit Wales' audit to be presented to the June committee, including breakdown of days and full costs.	June 2021		
R Hughes	CF2113.3 Charity risks to be moved from Datix onto an Excel spreadsheet and returned to the next committee to have further discussions around specific risks.	June 2021	Included in the June Charitable Funds Committee Papers	Closed

CHARITABLE FUNDS COMMITTEE

Draft Minutes of the meeting held on Tuesday 9 March 2021 Via Teams

Present:

Ms Jackie Hughes	Independent Member (Chair)
Ms Cheryl Carlisle	Independent Member
Mrs Sue Hill	Acting Executive Director of Finance
Ms Linda Tomos	Independent Member

In Attendance:

Ms Rebecca Hughes	Charity Accountant
Ms Cath Humes	Fundraising Support Manager
Ms Emma Louise Jones	Fundraising Support Manager
Mr Paul Matthias	Assistant Director, Brewin Dolphin (Part meeting)
Mr David Myrddin-Evans	Head of Charities, Wales, Brewin Dolphin (Part meeting)
Ms Philippa Pearce	PA to Executive Director of Finance
Ms Kirsty Thomson	Head of Fundraising
Ms Nia Williams	Partnership Support Manager

Agenda Item	Action
<p>CF21/01 Apologies for absence & Declarations of interest</p> <p>CF2101.1 Apologies were received from Prof Arpan Guha, Acting Executive Medical Director, Ms Jo Whitehead, Chief Executive and Mr Mark Wilkinson, Executive Director of Planning & Performance.</p> <p>CF2101.2 The following Declarations of Interest were received:</p> <ul style="list-style-type: none"> The Head of Fundraising is Deputy Chair of NHS Charities Together. A family member of the Chair is employed by the Royal Voluntary Service (RVS) and they are referenced in terms of the third sector group report. 	
<p>CF21/02 Welcome & Introductions</p> <p>CF2102.1 All those present were welcomed to the meeting and introductions were made.</p>	

<p>CF21/03 Minutes of the previous meeting held on 8 December 2020:</p> <p>CF21/03.1 Accuracy CF21031.1 The minutes from the previous meeting were approved as an accurate record.</p> <p>CF21/03.2 Matters arising and Summary Action Plan CF21032.1 With reference to CF20/41 Marketing, Advertising and Sponsorship Policy (Page 9 of the minutes), the committee was informed that plans had been put on hold due to current capacity. Trade Unions and Workforce will be invited, along with others, to join the BCUHB Marketing, Advertising and Sponsorship Task and Finish Group in April.</p> <p>CF21032.2 The committee reviewed the Summary Action Plan and the following salient points were made:</p> <p>CF20/26.2: Agenda item therefore action closed. CF20/35.2: Agenda item therefore action closed. CF20/35.3: Agenda item therefore action closed. CF20/36.1: It was agreed not to ask for a decision regarding naming of the Charitable Funds Committee at this point. CF20/36.2: Wording of the draft Awyr Las Strategy has been changed. It will be included in papers for information. CF20/36.3: Included for information to help facilitate future discussions.</p> <p>CF20/37: The Cancer Services Team is in the process of preparing a business case for the Executive Team; meetings have been ongoing and the Business Manager is working with colleagues in this regard. It was agreed that the business case would need to clarify what the Maggie's Centres would offer that is not already in place. Cancer Services Team to bring paper to a future meeting. Decision making process with regard to how a meeting between Ysbyty Glan Clwyd (YGC) and the Cancer Services Team was documented is to be reviewed. ACTION KT</p> <p>The Executive Director of Finance offered support with regard to talking to the Cancer Services Lead in order to ascertain what is currently being provided. Action to remain open.</p> <p>CF20/38: Work had been on hold due to workload but is moving forward with a working group starting in April 2021. The Executive Director of Finance agreed to liaise with the Executive Director of Workforce and Organisational Development regarding concerns raised by Trade Union colleagues and Workforce. Action SH It was confirmed that Workforce would be involved in the working group.</p> <p>CF20/39: Agenda item therefore action closed.</p>	<p>KT</p> <p>SH</p>
<p>CF21/04 Investment Portfolio <i>David Myrddin-Evans and Paul Mathias from Brewin Dolphin were in attendance for this item</i></p>	

<p>CF2104.1 The Chair welcomed Brewin Dolphin to the meeting. The Executive Director of Finance informed the committee that Brewin Dolphin had been appointed to manage the investments for the Charitable Funds Committee portfolio. The portfolio would continue to be managed as per previous arrangements, with moderate risk and long-term strategy.</p> <p>CF2104.2 Brewin Dolphin talked through the key points of their presentation (Appendix 1), which had previously been shared with the committee. They provided the committee with a key point of contact, Karen Norris, Administration Manager.</p> <p>CF2104.3 In going through the tender process, Brewin Dolphin had gained an understanding of the BCUHB's requirements and they advised that the transfer of assets from Rothschild was underway. Assets would be reviewed on an annual review cycle to ensure that they remain aligned with BCUHB's needs.</p> <p>CF2104.4 Brewin Dolphin talked through the Financial Strategy noting that the main basis would be around value and development of the next five year plan. They talked about obligations in terms of trustees and looking after today's beneficiaries and future beneficiaries.</p> <p>CF2104.5 Brewin Dolphin talked through the environmental, social and governance aspects of its decision making process, providing an explanation regarding the appetite for risk and how it is managed, and outlining areas that could potentially result in a conflict with BCUHB's activities, for example, alcohol, tobacco, gambling, fossil fuels. It was explained that the way in which the portfolio would be managed would be to remain within an agreed risk tolerance.</p> <p>CF2104.6 In response to a query regarding Covid-19, it was explained that this had been an extraordinary event to negotiate but had not been mentioned in totality because overall it was an event in the past and there was a route map out of the current situation. It was noted that things would have adapted and changed as a result of Covid-19 but that the crucial moment had been the announcement of the vaccinations. Any future risk would arise if there were to be a change in the variant which the current vaccinations could not deal with. It was explained that Brewin Dolphin work 18 months in the future towards the portfolio.</p> <p>CF2104.7 The Executive Director of Finance queried whether there were any questions in terms of the ethical policy that could be answered in order to help Brewin Dolphin set the parameters for BCUHB's investment. Discussions took place regarding whether the wording of the policy was considered to be appropriate or required reviewing. Brewin Dolphin provided some context in terms of fossil fuels and companies that were used, explaining that companies such as BP or Shell are not in a position to be carbon neutral but are changing their business models to adapt to the new electric/green world and are included within some of the leaders in green energy products.</p> <p>CF2104.8 The Chair raised the subject of countries with bad trade union records or utilise palm oil within their production in terms of the environment. It was pointed out</p>	
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<p>that the Ethical Policy included within the agenda items included a summary of potential exclusions for consideration by the Trustees.</p> <p>CF2104.9 Brewin Dolphin advised that it goes through a bespoke reporting process to produce an annual report for its clients to ensure that the correct strategy has been developed and tailored.</p> <ul style="list-style-type: none"> • The committee noted the requirements of an Investment Policy. • The committee agreed that the Ethical Investments Policy would be presented to the full Health Board for discussion and potential amendment but it was in agreement that it was suitable to be used as a starting point. • The committee noted the portfolio statement report. <p>CF2104.10 Brewin Dolphin informed the committee that it offers training to Trust Board members, recognising that there could be varying levels of expertise, and could be arranged virtually or on-site when that is an option. The Chair noted that training would be an excellent option in the future and thanked Brewin Dolphin for its presentation and joining the meeting.</p> <p><i>Brewin Dolphin left the meeting</i></p>	
<p>CF21/05 Charitable Funds Finance Report Q3 2020/21 <i>Ms R Hughes</i></p> <p>CF2105.1 The Charity Accountant took the committee through the finance report, highlighting some key points from the paper.</p> <p>CF2105.2 Income was down on last year by 52%, which was a significant drop. This was despite Covid-19 donations of just under £500,000. The Charity Accountant explained that this included monies from NHS Charities Together as well as donations from local supporters.</p> <p>CF2105.3 Commitments for the charity budget had been reduced this quarter with the focus being on Covid-19 commitments.</p> <p>CF2105.4 The Charity Accountant drew attention to a specific approval request to the committee to transfer a balance from a hospital in Ethiopia which is no longer active due to unrest in the area to the Ethiopia Link Charitable Fund.</p> <p>CF2105.5 The committee approved the transfer.</p>	
<p>CF21/06 Charitable Funds Fundraising Report Q3 2020/21 <i>Ms K Thomson</i></p> <p>CF2106.1 The Head of Fundraising welcomed members of the Charitable Funds team who had joined the meeting. She thanked the team for their hard work during challenging circumstances as well as extending thanks to NHS Charities Together for ongoing support received.</p>	

<p>CF2106.2 The Head of Fundraising talked through the Fundraising Update Paper; informing the committee that funding had dipped significantly, particularly with regard to donations.</p> <p>CF2106.3 The Head of Fundraising drew attention to item 6 of the paper, Keep the Beats. She explained that the charity has already approved funding for a Public Access Defibrillator Support (PADS) Officer for a two year period. The PADS Officer has multiple connections within the community and currently fits defibrillators, supports and maintains them as well as providing education with regard to sudden adult death.</p> <p>CF2106.4 The proposal was for Awyr Las to purchase the defibrillators and offer them to local companies and organisations for a fee. The charity would be promoted via signage/branding on the defibrillators, and the PADS officer would continue to work with Awyr Las to promote the work it does, while working with businesses and community groups going forward.</p> <p>CF2106.5 In depth discussions took place regarding the ownership and responsibility for the defibrillators. The Head of Fundraising explained that the intention would be for the signage to indicate that the defibrillator had been purchased and was supported by Awyr Las. She advised that currently the signage would be generic and there was an agreement in place for them to be overseen by community groups/business who had made the purchase.</p> <p>CF2106.6 The Executive Director of Finance noted that the proposal was well intentioned but advised that reputational work would need to be undertaken with NWSSP legal experts around the commitment that would be taken on before proceeding. The Chair advised that complete assurance would be required with regard to ownership and responsibility, reputational assessment and public liability. She queried whether approving this would tie the charity into a longer working relationship with the PADS Officer.</p> <p>CF2106.7 Action: It was agreed for the Keep the Beats proposal to be returned to the next Charitable Funds Committee for review and further discussion.</p> <p>CF2106.8 The committee could not approve trading and sponsorship activity but did agree to reconsider the proposal when further information was made available.</p> <p>CF2106.9 The committee supported the Head of Fundraising in obtaining legal and contractual information from NWSSP and in talking to Workforce with regard to implications of a two-year contract for a PADS Officer.</p>	
<p>CF2106.10 In response to a query regarding the new CRM system, the Head of Fundraising confirmed that a full options appraisal was to be completed and presented to the committee in June 2021.</p> <p>Action: CRM options appraisal to be presented at the June 2021 Charitable Funds Committee meeting.</p>	

<p>CF2016.11 Discussions took place with regard to the Maggie's Centre Update, particularly in relation to the language used and the abbreviations/acronyms used within the business case. With it being a public document, it was agreed to review and update the document to ensure that it is suitable.</p> <p>CF2106.12 The Head of Fundraising advised that a SWOT analysis had been provided in order to highlight the opportunities and risks of setting up a Maggie's Centre in North Wales. This had been sent to the Cancer Services General Manager. Action: Shooting Star and Maggie Centre business case scoping document to be reviewed with regard to wording and abbreviations/acronyms to be written in full.</p> <p>CF2106.13 The committee noted the paper for information.</p>	
<p>CF21/07 Third Sector Groups Report <i>Ms K Thomson</i></p> <p>CF2107.1 The Head of Fundraising presented the Third Sector Groups Report and the committee was asked to note the information included within the report.</p> <p>CF2107.2 The Head of Fundraising advised that work was ongoing to review financial procedures. She proposed that work continued outside of the meeting, focusing on the volunteer scoping exercise, with a report be returned to the June 2021 meeting.</p> <p>CF2107.3 The Head of Fundraising requested that funds from within the 2020/21 fundraising budget be utilised to do a large scale scoping exercise, focusing on understanding what we already have, what we could have and what the needs of the organisation are with regards to volunteering. She advised that a steering group was in the process of being set up. The idea was welcomed by the committee, particularly in light of recent levels of unemployment and the potential opportunities this could open for people wishing to develop careers in health and social care.</p> <p>CF2107.4 The Executive Director of Finance queried how this would link into the Volunteering portfolio that sits under the Executive Director of Workforce and Organisational Development. The Charity Accountant advised that the funding can be committed if it is approved by the committee in this financial year. The importance of carrying out full DBS checks and explicitly documenting these requirements were stressed. Action: Discussions to take place outside of meeting with Executive Director of Workforce and Organisational Development with regard to how the Scoping Exercise and Impact Assessment links in with the Volunteering portfolio.</p> <p>CF2107.5 The Chair noted a reference within the paper to the impact on financial income. Action: Impact on financial income for employees of volunteer organisations to be considered within future partnership planning.</p> <p>CF2107.6 The committee agreed to take the volunteer and scoping exercise off line and noted the information.</p>	

<p>CF21/08 Staff Lottery Update <i>Ms K Thomson</i> CF2108.1 Covered under action plan.</p>	
<p>ITEMS FOR DISCUSSION</p>	
<p>CF21/09 Awyr Las Strategy 2021-25 Overview <i>Ms K Thomson</i> CF2109.1 The Head of Fundraising presented a discussion paper and a draft budget following recent workshops and a benchmarking exercise that had taken place in order to review the structure of the team. Work had been undertaken to understand the barriers restricting the development of the charity and what could be done to ensure it is more successful.</p> <p>CF2109.2 Discussions took place regarding the huge impact of Covid-19 in terms of philanthropic giving, normal income and on what other charities are doing in order to recover. In terms of income trends, more is needed to be done regarding digital and legacy giving and more focus is required on regular giving programmes.</p> <p>CF2109.3 In response to a query regarding the intent of the discussions, the Head of Fundraising advised that her expectations would be to go through a selection of questions provided within the agenda to establish the level of satisfaction that the committee has that the charity is operating correctly in terms of finance and probity. The committee noted that a number of the questions were closed and were more in the format of a questionnaire rather than a discussion document. The Head of Fundraising advised that, once agreed, the survey would be circulated to the trustees. Action: Head of Fundraising to formulate a questionnaire for agreement by the Chair and Executive Director of Finance, prior to circulating to the trustees in order to ascertain view points regarding the charity. This questionnaire needs to probe whether to continue with priority areas already agreed or to make changes based on current circumstances, particularly around the need to fund more digital devices.</p> <p>CF2109.4 Work was ongoing with regard to the strategy. Discussion took place around phraseology used in the strategy. Wording around volunteering (pg 2) to be reviewed to ensure that it does not imply that nurses are not focused on their current role. Action: Work required to bring proposal back in terms of finance and benefits for the charity. Phraseology to be reviewed, “support, provide and deliver” and volunteering. This was agreed to be continued outside of the meeting.</p>	
<p>CF21/10 Charitable Funds Applications Process Review <i>Ms K Thomson</i> CF2110.1 The Head of Fundraising presented the Charitable Funds Applications Process Review paper, advising the committee that the paper is focused on the option of using an online application process. She talked through the process and questioned whether the committee would like to see the process change in the short term in order</p>	

<p>to address challenges which are potentially being faced now and whether the committee would like the Charitable Funds Advisory Group (CFAG) to be reinstated.</p> <p>CF2110.2 Discussions took place regarding the option of reinstating the CFAG. The independent member noted that being new to the Health Board, she would welcome advice from the CFAG in order to reach an informed decision on recommendations.</p> <p>CF2110.3 The Head of Fundraising advised that the CFAG membership had been reviewed, and a new group established under new Terms of Reference, but, due to circumstances around Covid-19, had not met. In terms of providing information, it was agreed that the group is very useful, but with the caveat that it slows down the approval process.</p> <p>CF2110.4 Options of a hybrid application system were discussed, which would allow recommendations to be provided online. The Head of Fundraising advised that she had been liaising with other NHS charities to consider which models they are using or hoping to implement. It was agreed that a hybrid application system could be a beneficial option but noted that the process of reviewing options and changing the process could be lengthy. In the interim, it was suggested that existing technology such as voting buttons on Outlook email could be utilised.</p> <p>Action: Short-term IT solutions and long-term options to be reviewed for the charitable funds application process.</p> <p>CF2110.5 Discussions took place regarding whether other trustees would be willing to support the charity and the work being carried out.</p> <p>Action: Request for further support from trustees with regard to the application process to be put forward by the Chair.</p> <p>CF2110.6 It was agreed that applications would continue to be reviewed in the usual manner until agreement has been reached to make any changes.</p> <p>Action: Regular meetings to be arranged between the Chair and Executive Director of Finance to review funding applications.</p>	
ITEMS FOR DECISION	
<p>CF21/11 Summary of Expenditure Approvals <i>Ms R Hughes</i> CF2111.1 The expenditure approvals were approved by the committee.</p>	
<p>CF21/12 Charity Budget for 2021/22 <i>Ms R Hughes</i> CF2112.1 The Charity Accountant talked through the Charity Budget, which had been presented for the committee's approval. She advised that the proposed budget included reasons why things may have changed and noted that there were sufficient general funds to pay the budget. The element of the budget that is not charged to general funds is other fundraising costs.</p> <p>CF2112.2 The Independent Member asked about the increase in fee by Audit Wales of £9,000 for auditing the charity which she considered to be excessive. Discussions</p>	

<p>took place around the charity being unable to go out to competitive tender. The Charity Accountant informed the committee that BCUHB is charged a set fee by Audit Wales from which an arbitrary amount was allocated to the charity. She explained that this had changed and the charity is now paying a larger percentage based on the level of work that is required for the audit of the charity.</p> <p>Action: Breakdown of Audit Wales' audit to be presented to the June committee, including breakdown of days and full costs.</p> <p>CF2112.3 The paper was approved by the Committee.</p>	
ITEMS OF GOVERNANCE	
<p>CF21/13 Charity Risk Register <i>Ms R Hughes</i></p> <p>CF2113.1 The Charity Accountant presented the Charity Risk Register, explaining that it is reviewed and updated on a quarterly basis and presented to the committee annually.</p> <p>CF2113.2 The register includes the risks of the charity and discussions took place regarding where the risks should sit. The risks had previously been moved onto the Health Board's Datix system but a change to policies had meant that the charity risk ratings were considered to be too high on that system and they would be downgraded by the Datix team.</p> <p>CF2113.3 It was proposed that the charity risks be removed from Datix onto an Excel spreadsheet which would be maintained by the Charity Accountant and Head of Fundraising. This would enable the committee to risk rate them as they deem to be appropriate. All were in agreement, although it was suggested that potentially the financial governance risk and reputation risk around charitable fund activity in North Wales could remain on Datix.</p> <p>Action: Charity risks to be moved from Datix onto an Excel spreadsheet and returned to the next committee to have further discussions around specific risks.</p> <p>CF2113.4 The committee was in agreement to move the risks to Excel.</p>	
<p>CF21/14 Charity Reserves Policy <i>Ms R Hughes</i></p> <p>CF2114.1 The Charity Accountant advised that the Charity Reserves Policy was presented to the committee on an annual basis for governance purposes. She advised that the policy remains the same but with a change around the target level of reserves.</p> <p>CF2114.2 The committee agreed the policy.</p>	
<p>CF21/15 Charity Work Plan for 2021/22 <i>Ms R Hughes</i></p> <p>CF2115.1 The Charity Accountant advised that the Charity Work Plan was presented to the committee on an annual basis for governance purposes and would also be provided to the Board Secretary. Due to delays last year arising from Covid-19, the accounts for September were still being discussed with Audit Wales. Work was</p>	

ongoing to September unless there were any further changes, which would result in a delay to December.	
CF2115.2 The committee agreed the Work Plan.	
ITEMS FOR INFORMATION	
CF21/16 Issues of significance to report to the Health Board	
CH2116.1 The Chair to pick up outside of the meeting.	
CF21/17 Date of next meeting: 11 June 2021	
<ol style="list-style-type: none"> 1) It was agreed that times would be allocated against agenda items going forward. 2) It was suggested that fund holders could be encouraged to attend a committee meeting in order to talk about work carried out as a result of charitable funds. 3) Head of Fundraising to invite Yellow Chair Consulting to the next meeting. 4) Brewin Dolphin to provide training at a future Board Development day. 	

Cyfarfod a dyddiad: Meeting and date:	Charitable Funds Committee 11 th June 2021				
Cyhoeddus neu Breifat: Public or Private:	Public				
Teitl yr Adroddiad Report Title:	Charitable Funds Finance Report Q3 2020/21				
Cyfarwyddwr Cyfrifol: Responsible Director:	Sue Hill, Executive Director of Finance				
Awdur yr Adroddiad Report Author:	Rebecca Hughes, Charity Accountant				
Craffu blaenorol: Prior Scrutiny:	Executive Director of Finance				
Atodiadau Appendices:	<u>Appendix 1:</u> Legacies <u>Appendix 2:</u> COVID-19 Grants <u>Appendix 3:</u> Income and expenditure <u>Appendix 4:</u> Outstanding commitments <u>Appendix 5:</u> Analysis of funds by service <u>Appendix 6:</u> Glossary of terms				
Argymhelliad / Recommendation:					
The Committee is asked to note the report.					
Ticiwch fel bo'n briodol / Please tick as appropriate					
Ar gyfer penderfyniad /cymeradwyaeth For Decision/ Approval	<input type="checkbox"/>	Ar gyfer Trafodaeth For Discussion	<input type="checkbox"/>	Ar gyfer sicrwydd For Assurance	<input checked="" type="checkbox"/> Er gwybodaeth For Information
Y/N i ddangos a yw dyletswydd Cydraddoldeb/ SED yn berthnasol Y/N to indicate whether the Equality/SED duty is applicable					N
Equality Impact (EqIA) and a socio-economic (SED) impact assessments not applicable.					
Sefyllfa / Situation:					
<p>The Charitable Funds Committee has responsibility for overseeing the financial management and stewardship of the charitable funds. This is the Finance Report for the charity as at the 31st March 2021, reporting the financial position over the final quarter of 2020/21.</p> <p>The figures presented in this report are draft figures for 2020/21. Adjustments are made to the charity's position up until the draft Financial Statements are produced over the summer. These figures are therefore subject to the closure and submission of the final accounts for 2020/21 and the subsequent audit by Audit Wales.</p> <p>Audit Wales are planning to conduct their work in the autumn, with the final accounts and annual report being brought to the December 2021 Committee meeting for approval. The accounts will then be submitted to the Charity Commission, ahead of the 31st January 2022 deadline.</p>					
Cefndir / Background:					
NHS charitable funds are defined as all monies donated to the Health Board for purposes related to the NHS and include voluntary donations, legacies and fundraising. Awyr Las's objects, as					

recorded with the Charity Commission, are *'for any charitable purpose or purposes relating to the National Health Service'*.

The vision of the Charity expands on this further: *'To use Charitable Funds to make a real difference to our patients, their families and staff across North Wales in the delivery of safe and effective healthcare'*. The Charity's focus is always on the ultimate patient benefit and funding items that go over and above the core NHS service.

Asesiad / Assessment:

Goblygiadau Strategol / Strategy Implications

Aligned to the Awyr Las Charity Strategy.

Opsiynau a ystyriwyd / Options considered

Not applicable – paper is for information on the financial position of the charity.

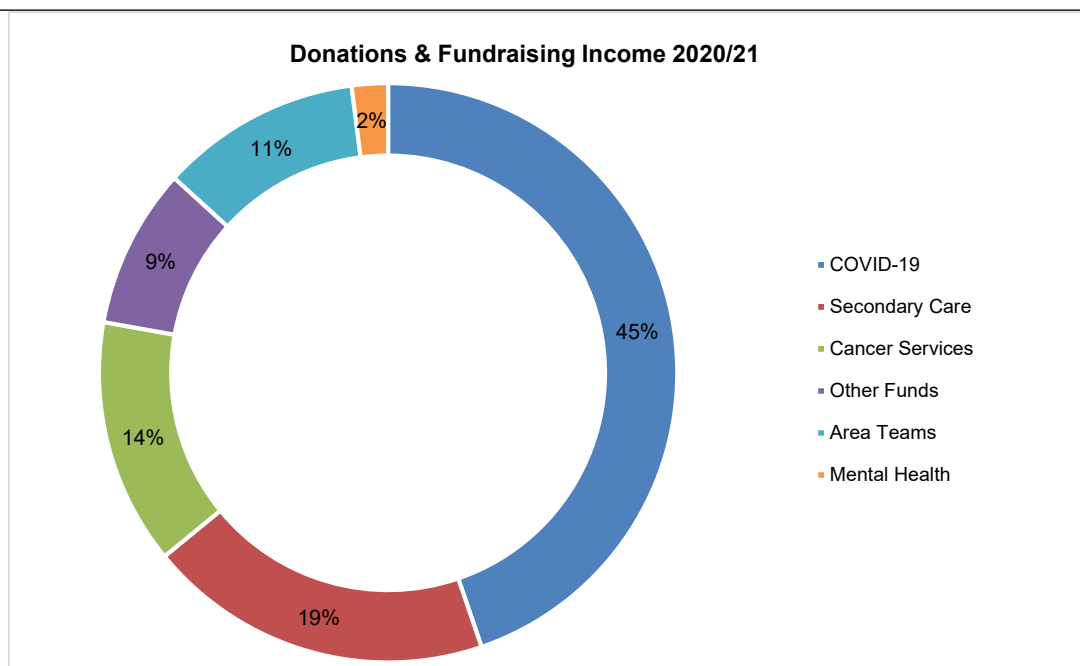
Goblygiadau Ariannol / Financial Implications

Statement of Financial Activities

	Quarter ended 31 st March 2021 £000	Year to 31 st March 2021 £000	Year to 31 st March 2020 £000
Donations & fundraising	255	1,238	1,340
Legacies	910	1,012	1,194
Investment income	12	89	97
Total income	1,177	2,339	2,631
Grants funded	(212)	(1,262)	(2,110)
Governance & support costs	(44)	(124)	(114)
Fundraising costs	(55)	(223)	(217)
Charity budget commitment	99	(90)	0
Investment management	0	(22)	(50)
Total expenditure	(212)	(1,721)	(2,491)
Gain/(loss) on investments	476	2,323	(324)
Net movement in funds	1,441	2,941	(184)

Income

- The draft figures for donation and fundraising income for the year totals £1,238,000, which is £102,000 (8%) lower than last year.
- Current year figures include donations for COVID-19, which totalled £554,000, comprising 45% of all donated income. Included in this figure is £315,600 from NHS Charities Together (of which £49,000 is for Public Health Wales). Without the grants from NHS Charities Together, our overall donation and fundraising income would have been £419,000 (31%) less than last year.
- Donated income to other funds within the charity was down by £656,000 (49%) compared to last year.



- Legacy income for the year totals £1,012,000, which is £184,000 (15%) lower than last year. Further details on legacies are included in Appendix 1.

Expenditure

- Grant funded expenditure of £1,262,000 is £848,000 (40%) lower than last year. Grants of £488,000 have been awarded from COVID-19 funds, which comprises 39% of total grants for the year. Further detail on COVID-19 grants is included in Appendix 2.
- The charity budget commitment relates to the costs for the whole of the year that are chargeable to General Funds, as per the approved budget. These are committed at the start of the year, so that the General Funds balance accurately reflects what is available to use in grant awards. The commitment is reduced throughout the year as costs are realised. It will be closed prior to the completion of the accounts.
- Further detail on items of income and expenditure over £25,000 is included in Appendix 3.

Fundraising Costs

	Total Budget £000	Month 12 Actual £000	Month 12 Variance £000
Fundraising Team Pay Costs	225	188	(37)
Fundraising Team Non-Pay Costs	50	31	(19)
Total Fundraising Team	275	219	(56)
Other Fundraising Costs	28	4	(24)
Total Fundraising Costs	303	223	(80)

- The Fundraising Team costs are £56,000 under spent for the year. The team currently has one vacancy, a 30 hour Band 6 Fundraising Support Manager, which is resulting in the under spend on pay costs. Non-pay costs are also under spent, with many fundraising events unable to take place during the pandemic.

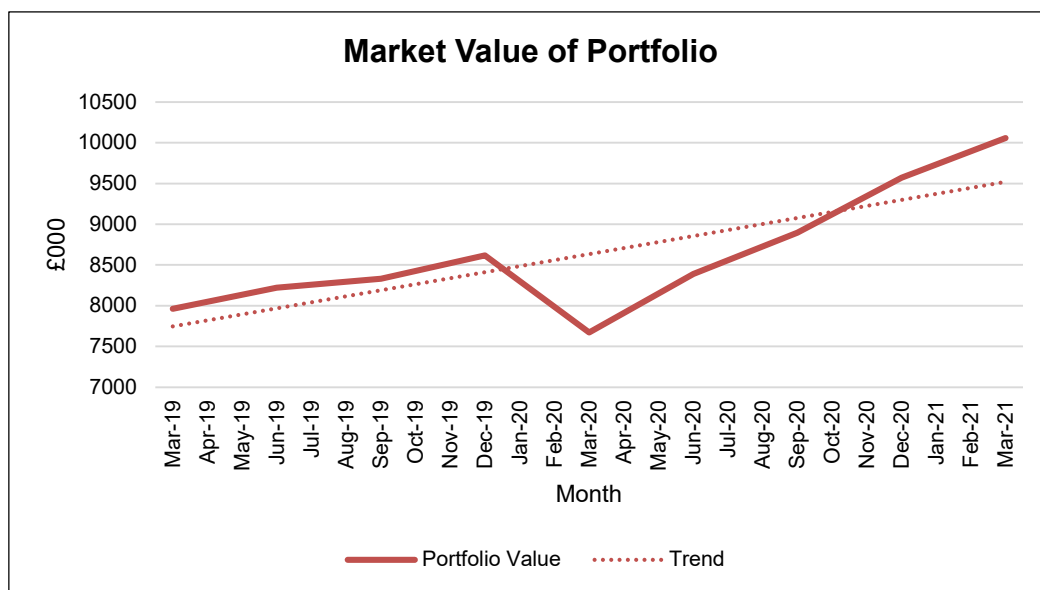
- Other Fundraising Costs arise outside of the Fundraising Team, from Health Board staff members undertaking fundraising activity. Due to COVID-19, very few events have taken place this year and so costs are low.

Balance Sheet

	As at 31/03/21 £000	As at 31/03/20 £000
Long term investments	10,057	7,673
Land	135	135
Total fixed assets	10,192	7,808
Debtors	824	543
Cash at bank and in hand	926	884
Total current assets	1,750	1,427
Creditors	(249)	(220)
Net current (liabilities)/assets	1,501	1,207
Creditor for commitments	(1,098)	(1,361)
Net assets	10,595	7,654
Unrestricted fund balances	6,100	3,813
Restricted fund balances	4,495	3,841
Net assets	10,595	7,654

Investments

- The investments have performed exceptionally well in 2020/21, with a gain of £2,323,000 for the year, equivalent to 30% of the brought forward portfolio value. This is following a loss of £324,000 in 2019/20, which arose due to the start of the pandemic. Although this gain is unrealised, it is included in General Funds as income.



- The investment portfolio is a separate agenda item

Assets and liabilities

- Total cash held has increased by £42,000 over the year. It is forecast that the cash held is sufficient to meet current needs.
- The provision for commitments has decreased by £263,000 (19%) compared to the end of the last financial year. Extensions were given to all commitments during the first half of the year, to ensure that applicants were not disadvantaged by the pandemic, with business as usual being severely disrupted. Applicants with outstanding approvals that have not progressed have been contacted to determine their status. Grants that have not progressed and have no plan to restart have been cancelled. COVID-19 grants approved but not yet spend are also reviewed on a monthly basis. Further details of outstanding commitments are included in Appendix 4.

Funds Analysis

- Available unrestricted fund balances total £6,100,000 compared to a target level of £2,888,000.
- Available General Funds total £1,566,000. General Funds have increased further during the final quarter of the year due to the unrealised gains made on the investments. The first call on these funds will be the charity running costs and Fundraising budget for 2021/22, which were approved at the March Committee. These total £477,000.
- An analysis of funds by service is included in Appendix 5.
- A glossary of terms used in this report is included in Appendix 6.

Dadansoddiad Risk / Risk Analysis

The risks of the charity are reviewed by the Committee on an annual basis, every March and are included as a separate agenda item.

Cyfreithiol a Chydymffurfiaeth / Legal and Compliance

Not applicable.

Asesiad Effaith / Impact Assessment

Not applicable.

Appendix 1 – Legacies

Open Legacies – Quarter 4 2020/21						
Name	Date of Notification	Pecuniary / Residuary	Fund to Benefit	Received in Period £	Total Received £	Current Status
Cunliffe, N M	May-20	Residuary	Cancer Centre, YGC / Ophthalmology, ABH / Audiology, YGC	120,000	120,000	Grant of Probate was awarded in October 2020. A sale on the property has been agreed. All assets and liabilities have been collated. An interim payment was received in the quarter. The only outstanding matters relate to HMRC.
Jones, E T	Jan-21	Residuary	Cancer Centre, YGC	0	0	Grant of Probate was awarded in February 2021. The property is now on the market.
Jones, G	Jan-21	Residuary	Alaw Unit, YG	0	0	The executing solicitors are in the process of collating assets and liabilities to apply for Grant of Probate.
Roberts, G M	Jan-21		Llandudno General Hospital	0	0	Grant of Probate was awarded in March 2021.
Williams, E L	Jan-20	Residuary	Parents and Friends of Rhuddlan Children's Centre	0	0	Grant of Probate has been awarded.
Williams, G	May-21	Residuary	Cancer Centre, YGC	0	0	Grant of Probate has been awarded. An interim payment of £50k was received in May 2021.
Young, G A	Nov-19	Residuary	Aberconwy Ward, Llandudno Hospital / Gwynedd Breast Cancer Research Fund	0	0	A sale has been agreed on the property in Llandudno. A copy of the Estate accounts have been received and approved. Distribution of the Estate is imminent.
Total open legacies				120,000	120,000	

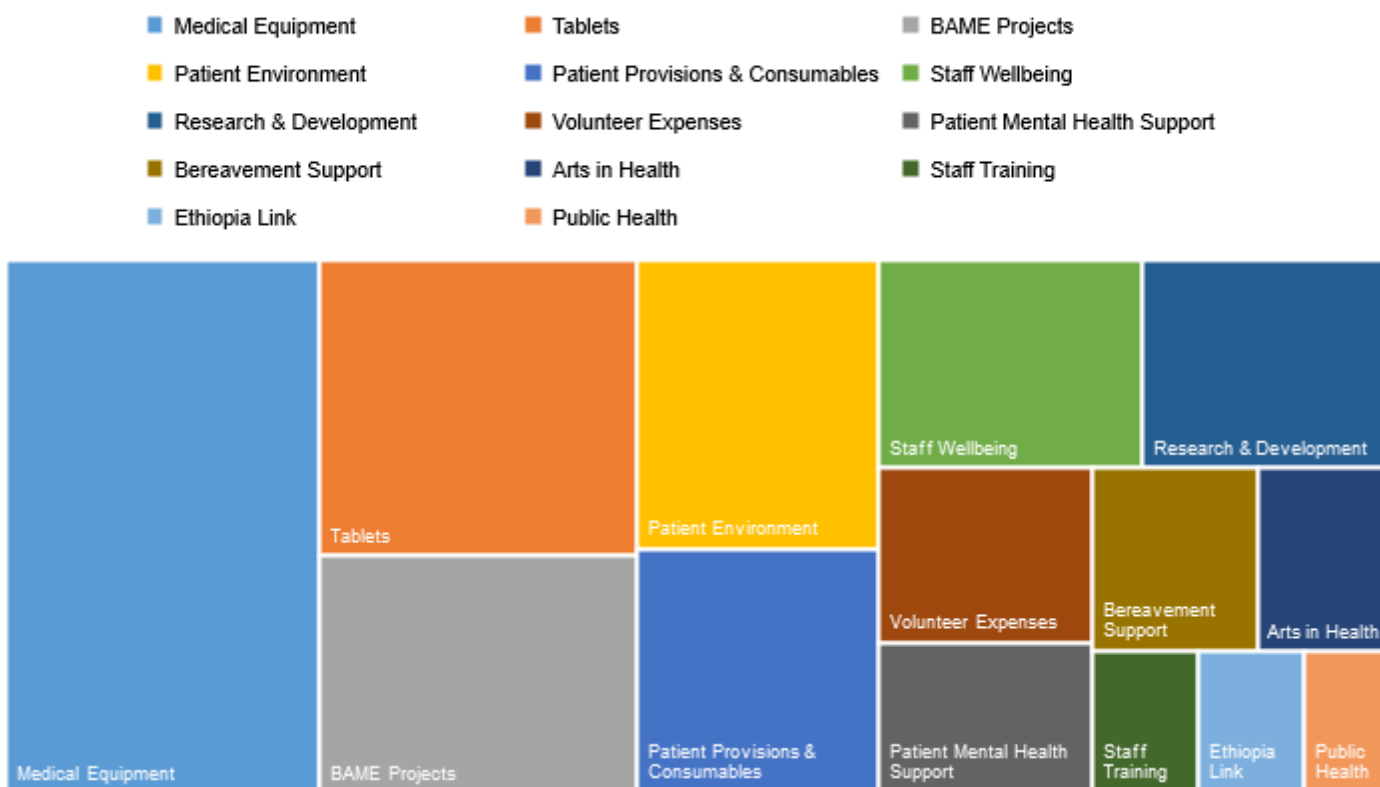
Appendix 1 – Legacies

Closed Legacies – Quarter 4 2020/21				
Name	Pecuniary / Residuary	Fund to Benefit	Received in Period £	Total Received £
Battensby, C	Pecuniary	Cancer Fund, YGC	5,000	5,000
Edwards, J	Pecuniary	Glan Clwyd Staff Amenities Fund	500	500
Lewis, J E	Residuary	Cancer Centre, YGC / Ophthalmology, ABH	96,768	176,768
Lovatt, A	Pecuniary	Cancer Fund, YGC	3,000	3,000
Williams, C J L	Residuary	Renal Unit, YG	105,293	105,293
Edwards, M	Pecuniary	Cancer Fund, YGC	2,000	2,000
Total closed legacies			212,561	
Legacies Accrued in prior years			(107,966)	
Legacies Accrued in 2020/21			685,680	
Total Legacies Received in Quarter 3			<u>910,275</u>	

Appendix 2 – COVID-19 Grants

COVID-19 grants have been available to all divisions, regardless of the specific funds they may hold. A summary of the type grants awarded is shown below.

COVID-19 Grants 2020/21



Type of Grant	£000
Medical Equipment	110.4
Tablets	62.4
BAME Projects	50.0
Patient Environment	46.1
Patient Provisions & Consumables	39.1
Staff Wellbeing	36.1
Research & Development	34.2
Volunteer Expenses	24.5
Patient Mental Health Support	21.3
Bereavement Support	20.0
Arts in Health	16.0
Staff Training	10.0
Ethiopia Link	9.9
Public Health	8.0
Total	488.0

Appendix 3 – Income and Expenditure

Items over £25,000

Income & Expenditure Items Over £25,000				
Division	Fund	Income £'000	Expenditure £'000	Description
Income				
COVID-19	8T33 – Public Health Wales	49		Grant: NHS Charities Together
YGC & Abergele Cancer - YGC	8N04 - Ophthalmic Unit, Abergele 8Q02 - Cancer, YGC	97		Legacy: JE Lewis
Ysbyty Gwynedd	9B71 – Renal Unit. YG	105		Legacy: CJL William
Clinical Support YGC & Abergele Cancer - YGC	8K01 - Audiology 8N04 - Ophthalmic Unit, Abergele 8Q02 - Cancer, YGC	120		Legacy: NM Cuncliffe
Expenditure				
Total		371		

Appendix 4 – Outstanding Commitments

Approval Expiry	Description	Fund No.	Fund Name	Amount Approved £	Amount Paid/ Accrued £	Amount Outstanding £	Notes	Status
31/03/2021	Project Support for ChemoCare Version 6 Upgrade and Roll-out to Haematology	8Q02	Cancer Charitable Fund - Glan Clwyd	92,000	25,674	66,326	Project has been delayed due to COVID-19. We are liaising with the division over when this is likely to restart and what extension may be required.	
31/03/2021	Charity Budget 2020/21	8T28	General Funds - Awyr Las	449,497	359,845	89,652	Budget for 2020/21. This will be closed before the accounts are finalised. It has been kept open in case there is any late expenditure to be charged against it.	
31/03/2021	Provision of Parabl Talking Therapy	8T52	COVID-19 Response Fund	21,274	18,984	2,290	Closed in May 2021 and remaining monies returned to fund.	
30/04/2021	PhD Prudent Healthcare (KESS Scholarships)	8T28	General Funds - Awyr Las	4,000	3,500	500	The student undertaking the PhD withdrew in September 2018 after 2 years on the project. It is hoped that the funding for the final year, some of which is held by Bangor University and some by the charity, can be converted into a 1 year Masters. The submission request for this was in the final call before the lockdown. The project proposals submitted to the call now have to go to the KESS 2 Approval Panel. Two and a half year extension awarded.	
30/04/2021	Exploring Healthcare Professionals Perspectives on Advance Care Planning	7Q03	Palliative Care Fund - YMW	23,993	21,087	2,906	Closed in May 2021 and remaining monies returned to fund.	
30/04/2021	Hearts & Minds Regular Grants Scheme	8T28	General Funds - Awyr Las	20,000	0	20,000	Small grants scheme administered by the Fundraising Team.	

Appendix 4 – Outstanding Commitments

Approval Expiry	Description	Fund No.	Fund Name	Amount Approved £	Amount Paid/ Accrued £	Amount Outstanding £	Notes	Status
30/04/2021	International Year of the Nurse and Midwife	8T28	General Funds - Awyr Las	10,000	0	10,000	Closed in May 2021 and remaining monies returned to fund.	
30/04/2021	Grant for Travelling Community - Flintshire Area	8T52	COVID-19 Response Fund	500	0	500	Ongoing project.	
30/04/2021	Mobile Scanning Unit for Cardiology	9K08	Cardiology Department - West	66,000	21,593	44,407	Ongoing project.	
30/04/2021	KESS 2 Transplant Decliners Research	7B43	Renal Dept Trainee Grants - YMW	3,000	206	2,794	Ongoing research project.	
30/04/2021	KESS 2 Transplant Decliners Research	8T11	Friends of Renal Care Glan Clwyd Hospital	3,000	206	2,794	Ongoing research project.	
30/04/2021	KESS 2 Transplant Decliners Research	9B71	Renal Unit - YG	3,000	206	2,794	Ongoing research project.	
30/04/2021	Wet Rooms - Enfys Ward	8Q02	Cancer Charitable Fund - Glan Clwyd	11,231	6,507	4,724	The communal wet room has been completed, but the bathrooms in the single rooms are still outstanding. Work has been delayed due to COVID-19. Nine month extension awarded.	
30/05/2021	Bereavement Support Provision	8T52	COVID-19 Response Fund	20,000	3,821	16,179	Ongoing project that has been delayed due to COVID-19 pressures. Six month extension awarded.	

Appendix 4 – Outstanding Commitments

Approval Expiry	Description	Fund No.	Fund Name	Amount Approved £	Amount Paid/ Accrued £	Amount Outstanding £	Notes	Status
31/05/2021	Supporting Primary Care Placements for Nurses and Student Nurses	8T28	General Funds - Awyr Las	4,800	3,450	1,350	First cohort of students commenced at the end of 2017, having been a delayed due to the university having to undertake full work based audits on all practices taking part in the scheme. Due to COVID-19, there haven't been any student nurses out in practice, but Bangor University are looking to open up 3rd year placements for primary care students from April 2021 onwards. Four year extension awarded.	
31/05/2021	Covid-19 Medical Education Fellowship	8T52	COVID-19 Response Fund	19,200	11,577	7,623	Ongoing project.	
31/05/2021	Covid-19 Medical Education Fellowship	8T52	COVID-19 Response Fund	20,000	0	20,000	Ongoing project.	
31/05/2021	iPads - MH&LD	8D09	MH & LD CPG Patient Amenities Fund	9,281	0	9,281	Paid in April 2021.	
31/05/2021	ECG Machine	8B42	Cardiology Department Central - Patients Fund	6,000	0	6,000	Awaiting purchase of equipment.	
30/06/2021	Staff Experience Application	8T48	Staff Development Fund	24,000	0	24,000	Small grants scheme administered by the Fundraising Team. This was put on hold due to COVID-19, but will be restarting shortly. One year extension awarded.	
30/06/2021	Nathan Wyburn - Thank you BCUHB/NHS/Artwork	8T27	Creative Well Fund	2,500	684	1,816	There have been delays whilst fire regulation approval is sought for the sites to allow the artwork to be hung. Three month extension awarded.	

Appendix 4 – Outstanding Commitments

Approval Expiry	Description	Fund No.	Fund Name	Amount Approved £	Amount Paid/ Accrued £	Amount Outstanding £	Notes	Status
30/06/2021	iPad Grant Scheme	8T52	COVID-19 Response Fund	50,000	48,715	1,285	COVID-19 project. IT are organising the purchase and roll out of devices. Three month extension awarded.	
30/06/2021	Virtual Hospital Scoping Project	8T52	COVID-19 Response Fund	5,000	0	5,000	The work on this project is coming to an end and an invoice will be issued shortly. Six month extension awarded.	
30/06/2021	Cultural Competence Training	8T52	COVID-19 Response Fund	2,800	0	2,800	COVID-19 grant from NHS Charities Together to be used for BAME projects. There have been difficulties in staff being released for awareness sessions, due to COVID-19 pressures and so the Equality and Human Rights Strategic Forum have agreed sessions will be delayed to April. Six month extension awarded.	
30/06/2021	PALS Hub, YG	8T28	General Funds - Awyr Las	6,819	0	6,819	Ongoing project.	
30/06/2021	COVID-19 Funding Requests - £101 to £4,999	8T52	COVID-19 Response Fund	170,459	100,676	69,783	COVID-19 grants.	
31/07/2021	Nasal Mucous Collection - Study 2	8T28	General Funds - Awyr Las	5,700	2,414	3,286	Ongoing project. Project now planned to cover three hay fever seasons and so take longer than originally anticipated. Two year extension awarded.	

Appendix 4 – Outstanding Commitments

Approval Expiry	Description	Fund No.	Fund Name	Amount Approved £	Amount Paid/ Accrued £	Amount Outstanding £	Notes	Status
31/07/2021	Advancing the Primary Care Nursing Workforce across North Wales	8T48	Staff Development Fund	50,000	20,785	29,215	Difficulty with booking courses due to Procurement regulations around block booking. This has delayed the project. The first cohort of courses took place in September and October 2019. The pandemic delayed the programme; it restarted in August 2020, but has had to be put on hold again due to the rise in COVID-19 cases and the inability to release staff to attend this training. Eighteen-month extension awarded.	
31/07/2021	MSc Biomedical Science 2 year part-time course	9J06	Microbiology Research - YG	3,750	1,254	2,496	Ongoing course.	
31/07/2021	Ethnic Diversity and Opportunities for Public Sector Engagement - CV-19.347	8T52	COVID-19 Response Fund	4,999	0	4,999	Ongoing project.	
31/07/2021	Conwy CMHT Garden Project	8D06	Nant-y-Glyn MHRC Patient Amenities	6,940	0	6,940	Ongoing project.	
31/08/2021	BQL - Lesotho Family Medicine Specialty Training Program	9T27	Betsi-Quthing Fund	5,700	600	5,100	Ongoing project.	
28/02/2021	Rural Community Public Access Defibrillation	8T52	COVID-19 Response Fund	9,698	7,145	2,553	Most of the equipment has been ordered and paid for, but there is still some outstanding. Six-month approval awarded.	
31/08/2021	Neuro Physio Equipment	8T52	COVID-19 Response Fund	9,240	4,449	4,791	Orders for the equipment have been placed. Six-month extension awarded.	

Appendix 4 – Outstanding Commitments

Approval Expiry	Description	Fund No.	Fund Name	Amount Approved £	Amount Paid/ Accrued £	Amount Outstanding £	Notes	Status
30/09/2021	North Wales Adolescent Service (NWAS): Experience Based Co-design (EBCD) Project	8F17	Denbighshire Child Development Centre	4,720	2,589	2,131	Ongoing project. The main project has been undertaken, but there are some outcomes still outstanding - framing service user art work, purchasing items of furniture and signage for the building. Some of this work had to be suspended during the lockdown period, but an order has been raised in May 2021. Three and a half year extension awarded.	
30/09/2021	Hybrid Theatre	8B66	Livsey Fund	500,000	452,150	47,850	Large scale Estates project. Orders raised from November 2018 onwards, in line with the project plan, although paused in 2020 due to COVID-19. Two and half year extension awarded.	
30/09/2021	Additional Equipment – Hybrid Theatre	8B66	Livsey Fund	75,300	0	75,300	Large scale Estates project. Orders raised from November 2018 onwards, in line with the project plan, although paused in 2020 due to COVID-19. Two and half year extension awarded.	
30/09/2021	Replacement Flooring, Tywyn Hospital	9B34	Tywyn General Purposes Fund	6,209	0	6,209	Ongoing project. There were initially delays in commencing due to some asbestos work that needed to be carried out. Then COVID-19 delayed the project further. The hospital team are waiting for Estates to commence the work as soon as they are able to, but it is unlikely to be until later this year. Two year extension awarded.	

Appendix 4 – Outstanding Commitments

Approval Expiry	Description	Fund No.	Fund Name	Amount Approved £	Amount Paid/ Accrued £	Amount Outstanding £	Notes	Status
30/09/2021	Minor Works Scheme - Ysbyty Alltwen	9B10	Madog Community and Hospital Fund	29,700	2,860	26,840	Estates have confirmed that due to other priority COVID-19 works the contractor has been undertaking, the job has been delayed. Some initial materials have been purchased, but the work now will not start until July 2021. Eighteen month extension awarded.	
30/09/2021	BAME NHSCT Grant	8T52	COVID-19 Response Fund	50,000	33,299	16,701	COVID-19 grant from NHS Charities Together to be used for BAME projects. Individual projects are being identified and when approved, they will be set up as separate projects and this ring-fenced amount reduced accordingly.	
31/10/2021	Kess Studentship	8Q03	Cancer Research Fund - Glan Clwyd	7,500	5,625	1,875	Ongoing three year project. Student started in September 2018 and is due to finish in July 2021	
31/10/2021	Complimentary Therapy 2020	7Q02	Cancer Support Group - YMW	16,000	0	16,000	Commitment for 2020/21. Due to COVID-19, this has not been utilised as anticipated. Six month extension awarded.	
31/10/2021	Complimentary Therapy 2020	8Q02	Cancer Charitable Fund - Glan Clwyd	26,000	1,805	24,195	Commitment for 2020/21. Due to COVID-19, this has not been utilised as anticipated. Six month extension awarded.	
31/10/2021	Complimentary Therapy 2020	9Q18	#TeamIrfon	33,000	0	33,000	Commitment for 2020/21. Due to COVID-19, this has not been utilised as anticipated. Six month extension awarded.	
31/10/2021	Oncology Wigs 2020	7Q02	Cancer Support Group - YMW	25,000	2,790	22,210	Commitment for 2020/21. Due to COVID-19, this has not been utilised as anticipated. Six month extension awarded.	

Appendix 4 – Outstanding Commitments

Approval Expiry	Description	Fund No.	Fund Name	Amount Approved £	Amount Paid/ Accrued £	Amount Outstanding £	Notes	Status
31/10/2021	Oncology Wigs 2020	8Q02	Cancer Charitable Fund - Glan Clwyd	25,000	5,220	19,780	Commitment for 2020/21. Due to COVID-19, this has not been utilised as anticipated. Six month extension awarded.	
31/10/2021	Oncology Wigs 2020	9Q04	Janet Jones (Alaw) - YG	25,000	4,230	20,770	Commitment for 2020/21. Due to COVID-19, this has not been utilised as anticipated. Six month extension awarded.	
31/10/2021	Dermatology Wigs 2020 - East	8T28	General Funds - Awyr Las	10,000	4,680	5,320	Commitment for 2020/21. Due to COVID-19, this has not been utilised as anticipated. Six month extension awarded.	
31/10/2021	Dermatology Wigs 2020 - West	8T28	General Funds - Awyr Las	10,000	5,886	4,114	Commitment for 2020/21. Due to COVID-19, this has not been utilised as anticipated. Six month extension awarded.	
31/10/2021	Dermatology Wigs 2020 - Central	8T28	General Funds - Awyr Las	10,000	7,380	2,620	Commitment for 2020/21. Due to COVID-19, this has not been utilised as anticipated. Six month extension awarded.	
30/11/2021	Oncology Research Project	9Q04	Janet Jones (Alaw) - YG	30,000	0	30,000	Ongoing research project.	
30/11/2021	Diagnosis of Meningitis in newborn babies - Research Scientist	8T28	General Funds - Awyr Las	11,500	0	11,500	Ongoing research project.	
30/11/2021	Diagnosis of Meningitis in newborn babies - Equipment	8T28	General Funds - Awyr Las	13,473	0	13,473	Ongoing research project.	
31/01/2022	Patient Advice & Liaison Support Officer	8T52	COVID-19 Response Fund	5,000	0	5,000	Ongoing project.	

Appendix 4 – Outstanding Commitments

Approval Expiry	Description	Fund No.	Fund Name	Amount Approved £	Amount Paid/ Accrued £	Amount Outstanding £	Notes	Status
30/04/2022	Patient Journey App	9N17	Trauma & Orthopaedic (West) CPG GP Fund	13,400	8,500	4,900	Ongoing project. Approval was £5,000 for set up costs and £350 per month for license for 2 years.	
31/05/2022	Keep the Beats Officer	7B67	Cardiology Fund - East	30,000	12,493	17,507	Ongoing project.	
31/05/2022	Keep the Beats Officer	8B42	Cardiology Department Central - Patients Fund	26,000	10,827	15,173	Ongoing project.	
31/05/2022	Keep the Beats Officer	9K08	Cardiology Department - West	18,000	7,495	10,505	Ongoing project.	
31/03/2023	Evaluating Musical Interaction Therapy (MIT) for Autism with Cross-BCU Impact	8T28	General Funds - Awyr Las	16,500	6,412	10,088	Ongoing project.	
31/03/2023	Study - Correlation between novel biomarker expression and interventional treatment in chronic back pain – Pain Management, Wrexham	8T28	General Funds - Awyr Las	51,500	0	51,500	Ongoing project.	
31/05/2023	Gwynt Y Mor Community Fund - Motiv8 Project	8D12	Motiv8 North West Wales	47,190	2,787	44,403	Due to COVID-19 the project was put on hold. However, the project has now recommenced and the person appointed to lead it started in February 2021. Two year extension awarded.	

Appendix 4 – Outstanding Commitments

Approval Expiry	Description	Fund No.	Fund Name	Amount Approved £	Amount Paid/ Accrued £	Amount Outstanding £	Notes	Status
30/09/2023	Assessing the mental health of patients on the Alaw Cancer Care Unit	9Q18	#TeamIrfon	52,038	0	52,038	Project was put on hold due to COVID-19. The division are hoping to recommence the recruitment process as soon as possible. Two year extension awarded.	
31/02/2022	Patient Advice & Liaison Support Officer – Supporting Carers Support Implementation	8T28	General Funds - Awyr Las	25,615	0	25,615	Ongoing project.	

Key to Status coding:

TOTAL

1,097,620

Approval closed
Ongoing
Extension awarded
Overdue

Appendix 5 – Analysis of Funds by Service

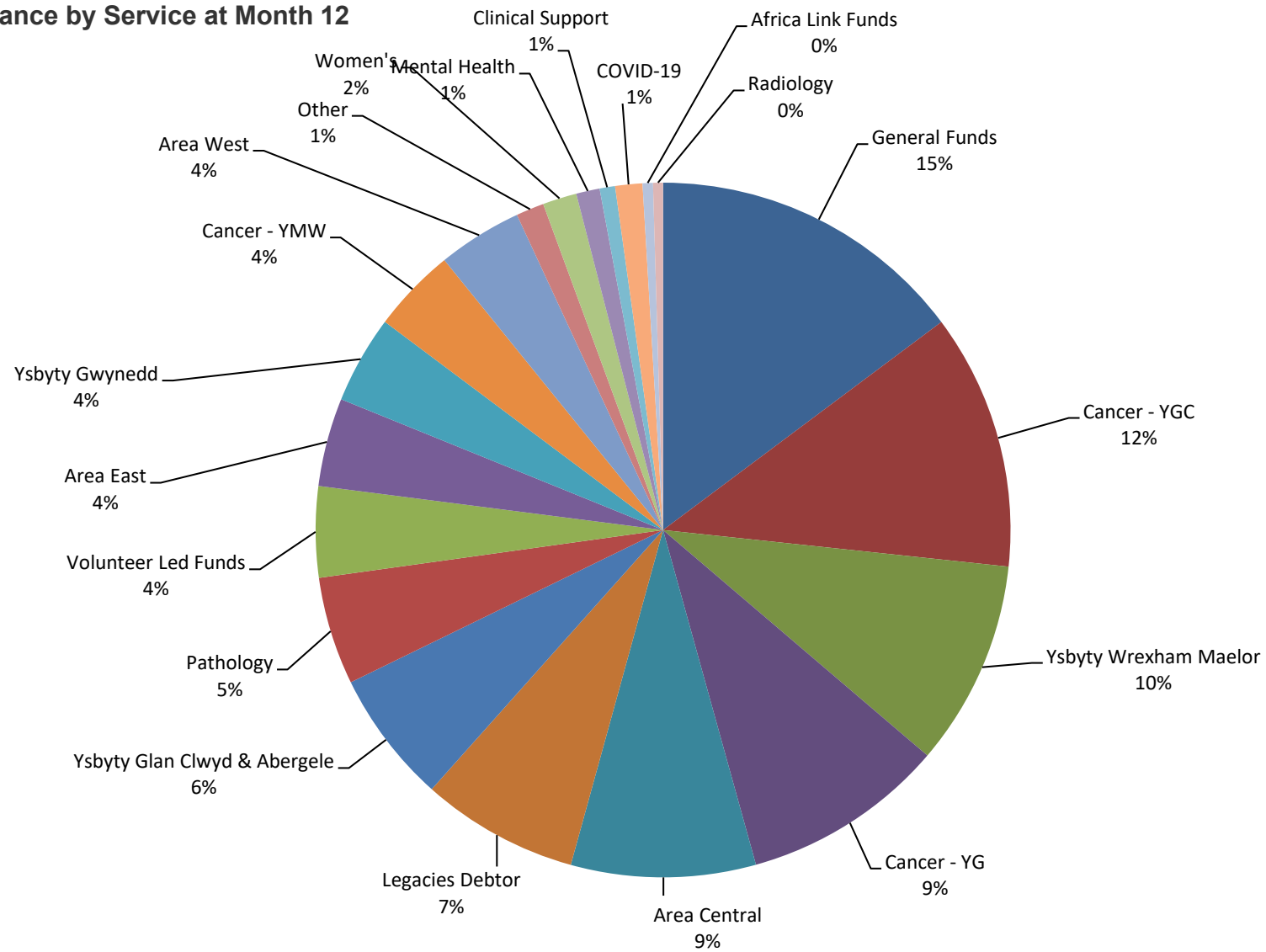
	Opening position M01 £000	Income £000	Expenditure £000	New Unspent Commitments £000	Closing position M12 £000
Area East	431	53	(48)	0	436
Area Central	769	196	(55)	0	910
Area West	434	59	(77)	0	416
Area Teams	1,634	308	(180)	0	1,762
Ysbyty Wrexham Maelor	971	117	(55)	(20)	1,013
Ysbyty Glan Clwyd & Abergel	554	179	(57)	(21)	655
Ysbyty Gwynedd	410	174	(88)	(63)	433
Women's & Maternal Care	180	7	(19)	0	168
Pathology	533	2	(3)	0	532
Radiology	48	2	(1)	0	49
Clinical Support	37	40	(1)	0	76
Secondary Care	2,733	521	(224)	(104)	2,926
Cancer - YMW	384	32	1	0	417
Cancer - YGC	1,097	205	(41)	0	1,261
Cancer - YG	954	95	(18)	(30)	1,001
Cancer Services	2,435	332	(58)	(30)	2,679
Mental Health	114	25	(7)	(16)	116
Africa Link Funds	69	7	(20)	(5)	51
Volunteer Led Funds	441	22	(12)	(3)	448
General Funds	(452)	2,395	(230)	(147)	1,566
COVID-19 Funds	63	554	(323)	(160)	134
Legacies Debtor	371	404	0	0	775
Other	246	94	(200)	(2)	138
Other Funds	738	3,476	(785)	(317)	3,112
Total Charity Balance	7,654	4,662	(1,254)	(467)	10,595

Service Type	£000	%
Area Teams	3,840	36%
Secondary Care	4,388	41%
Cancer Services	1,635	15%
Mental Health	138	1%
Other	594	6%
	10,595	

Health Economy	£000	%
East	3,222	30%
Centre	2,703	26%
West	2,236	21%
BCU Wide	2,434	23%
	10,595	

Appendix 5 – Analysis of Funds by Service

Fund Balance by Service at Month 12



Appendix 6 – Glossary of Terms

Donations

Donations include all income received by the charity as gifts made to it on a voluntary basis.

Fundraising income

This includes income from all fundraising activities, events and sponsorship.

Governance and support costs

These include the recharge from the Health Board for Finance and administration support, external audit fees, software fees, bank costs and other admin charges.

Fundraising costs

This is the total costs of fundraising. It includes the costs of fundraising by individual wards and departments, as well as the pay and non-pay costs of the Fundraising Team.

Long term investment

Fixed asset investments are held to generate income and for their investment potential. For the charity, this consists of the investment portfolio managed by Rothschild.

Unrealised gains

An unrealised gain is a potential profit that exists on paper, resulting from an investment. It is an increase in the value of an asset that has yet to be sold for cash, such as a stock position that has increased in value but still remains open. The gains and losses reported in the charity's accounts are unrealised as the investments are still held. They would only become realised if the assets were sold and converted to cash.

Commitments

The value of all the grants that have been approved by the charity, but not yet spent.

Unrestricted funds

Unrestricted funds are spent or applied at the discretion of the trustees to further any of the charity's purposes. Trustees may choose to set up designated funds that remain part of the unrestricted funds of the charity. This is because the designation has an administrative purpose only and does not legally restrict the trustees' discretion in how to apply the unrestricted funds that they have earmarked.

Restricted funds

Funds held on specific trusts under charity law are classed as restricted funds. The resources of each restricted fund are held and maintained separately from other funds. This is in recognition of the circumstances in which the resources were originally received, and/or the restrictions on the fund that determine the way those resources are subsequently to be treated. Restricted funds in Awyr Las primarily come from legacies. However there are also some specific designated funds that are wholly restricted.

Appendix 6 – Glossary of Terms

Reserves

Reserves are the funds that the charity has which can be freely spent on any of its charitable purposes. This therefore excludes restricted income funds, but includes unrestricted designated funds.

Designated Funds

Funds that are aligned to specific wards, departments and services. They can be restricted or unrestricted. These funds are managed by Fund Advisors.

General Funds

These are the funds held by the charity that are not designated. They can be restricted (where there is a broad restriction to the Health Board rather than a particular service) or unrestricted. General Funds receive the unrealised gains or losses on the investments. General Funds pay for the running costs of the charity – all governance and support costs, plus the costs of the Fundraising Team.

Legacies Debtor Fund

This fund holds the accruals for legacies where probate has been granted, but we have not yet received the cash. This fund is used to protect the designated funds from fluctuations in the final legacy received. When the legacy is received, it will be credited to the designated fund specified in the Will and the accrual will be reversed out from the Legacies Debtor fund.

Dormant Funds

These are designated funds, which have not had any income or expenditure in the preceding year.

Semi-dormant Funds

These are designated funds, which have not had any expenditure in the preceding year, but have received income.



Cyfarfod a dyddiad: Meeting and date:	Charitable Funds Committee 11 th June 2021						
Cyhoeddus neu Breifat: Public or Private:	Public						
Teitl yr Adroddiad Report Title:	Investment Portfolio						
Cyfarwyddwr Cyfrifol: Responsible Director:	Sue Hill, Executive Director of Finance						
Awdur yr Adroddiad Report Author:	Rebecca Hughes, Charity Accountant						
Craffu blaenorol: Prior Scrutiny:	Executive Director of Finance						
Atodiadau Appendices:	<u>Appendix 1</u> : Rothschild Portfolio Statement at 31 st March 2021						
Argymhelliad / Recommendation:							
The Committee is asked to note the portfolio statement report.							
Ticiwch fel bo'n briodol / Please tick as appropriate)							
Ar gyfer penderfyniad /cymeradwyaeth For Decision/ Approval		Ar gyfer Trafodaeth For Discussion		Ar gyfer sicrwydd For Assurance		Er gwybodaeth For Information	✓
Y/N i ddangos a yw dyletswydd Cydraddoldeb/ SED yn berthnasol Y/N to indicate whether the Equality/SED duty is applicable							N
Equality Impact (EqIA) and a socio-economic (SED) impact assessments not applicable.							
Sefyllfa / Situation:							
The Investment Manager contract was awarded to Brewin Dolphin in 2020 and the investments are in the process of being transferred over. The key objective of the portfolio is to preserve and grow its value in 'real' terms, in order to continue to support charitable distributions over the long term.							
Cefndir / Background:							
Many of the donations and legacies that the charity receives cannot be spent immediately, as they need to be accumulated to fund the most appropriate purchases. These donations are therefore invested in order to generate income and protect their value in real terms.							
The charity had used Rothschild & Co to manage its investments for the last ten years. In line with Procurement regulations, the Investment Manager contract was put out to tender at the beginning of 2020. COVID-19 led to delays in awarding the tender; however, Brewin Dolphin were appointed as the successful applicants in August 2020. The process of transferring the portfolio from Rothschild to Brewin Dolphin has taken considerably longer than expected, due to the significant due diligence checks that needed to be undertaken.							

At the end of March 2021, the portfolio was still fully held by Rothschild. Individual investments started to be transferred to Brewin Dolphin in April 2021. This is being done over several months to avoid the portfolio holding too much cash.

At the end of May 2021, Brewin Dolphin held circa £8.7m of the portfolio, with circa £1.6m still to come across from Rothschild. There are 6 stocks left which cannot be transferred between the firms, and Brewin Dolphin are therefore instructing sales of these in a structured way each week and reinvesting the proceeds. The last of these sales should take place on 1st July, as the dealing dates for this particular stock are very infrequent and the notice period required very long.

Asesiad / Assessment:

Goblygiadau Strategol / Strategy Implications

Aligned to the Awyr Las Charity Strategy.

Opsiynau a ystyriwyd / Options considered

Not applicable – paper is for information on the financial position of the charity.

Goblygiadau Ariannol / Financial Implications

The Rothschild portfolio report for the 31st March 2021 is included in Appendix 2. The portfolio performed strongly, appreciating by 5.1% in the quarter, bringing the 2020/21 returns to 31.1%. Over the financial year, the portfolio grew by £2.4m.

Dadansoddiad Risk / Risk Analysis

Not applicable – the Charity Risk Register is reported separately.

Cyfreithiol a Chydymffurfiaeth / Legal and Compliance

Not applicable.

Asesiad Effaith / Impact Assessment

Not applicable.



Portfolio Report

BCUHB ACCOUNTS

in GBP
01/03/2021 to 31/03/2021



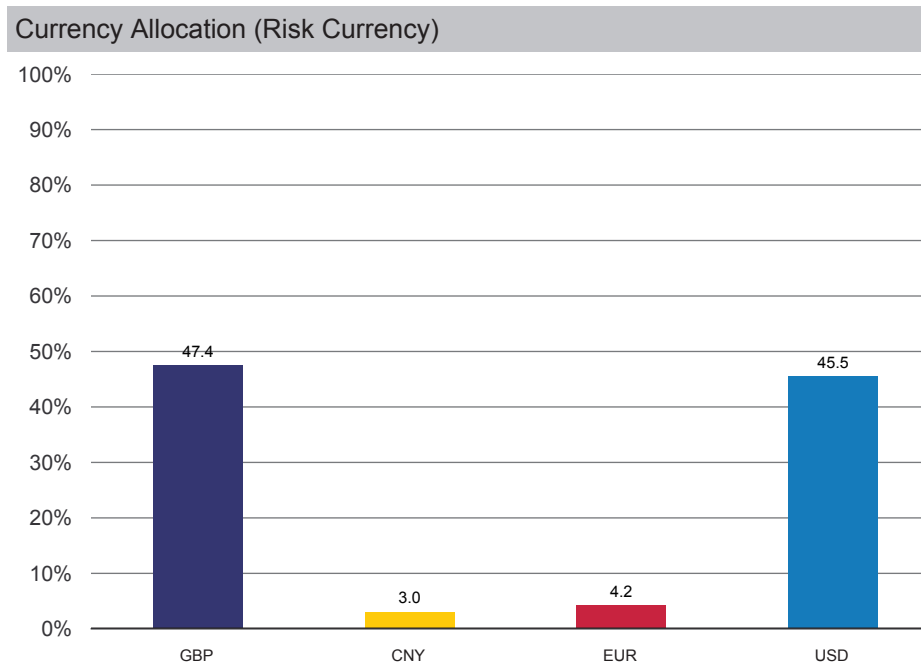
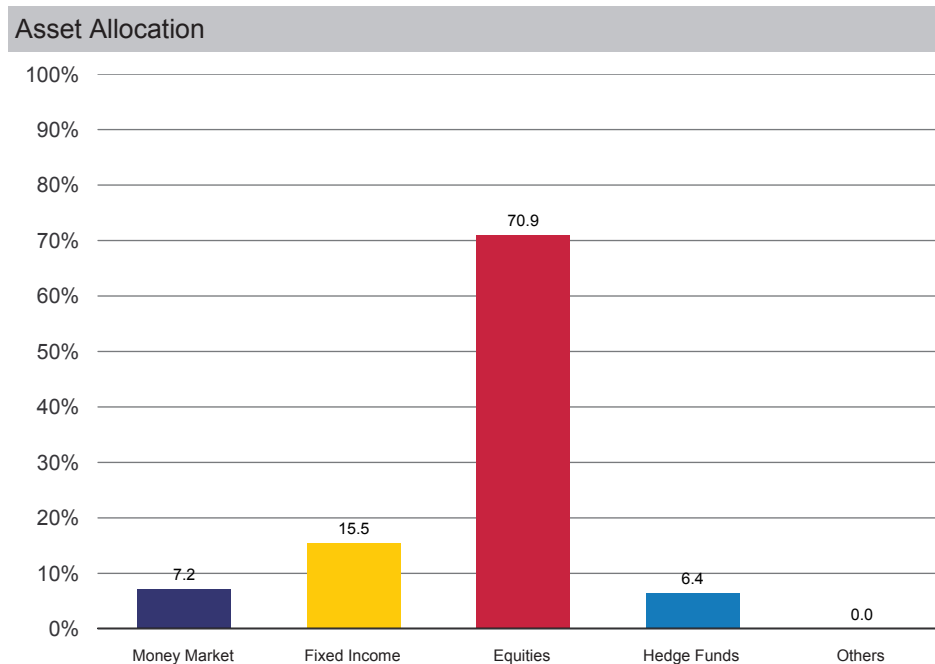
Table of Contents

Consolidated overview for all portfolios	
Overview	2
Performance Overview - 12 Month Rolling	3
Performance Overview - Historical	4
Performance of selected Indices	5
Asset Allocation	6
Currency Allocation (Risk Currency)	7
Overview	9
Portfolio Statement	10
Realisations	16
Cash Statement	17

Overview

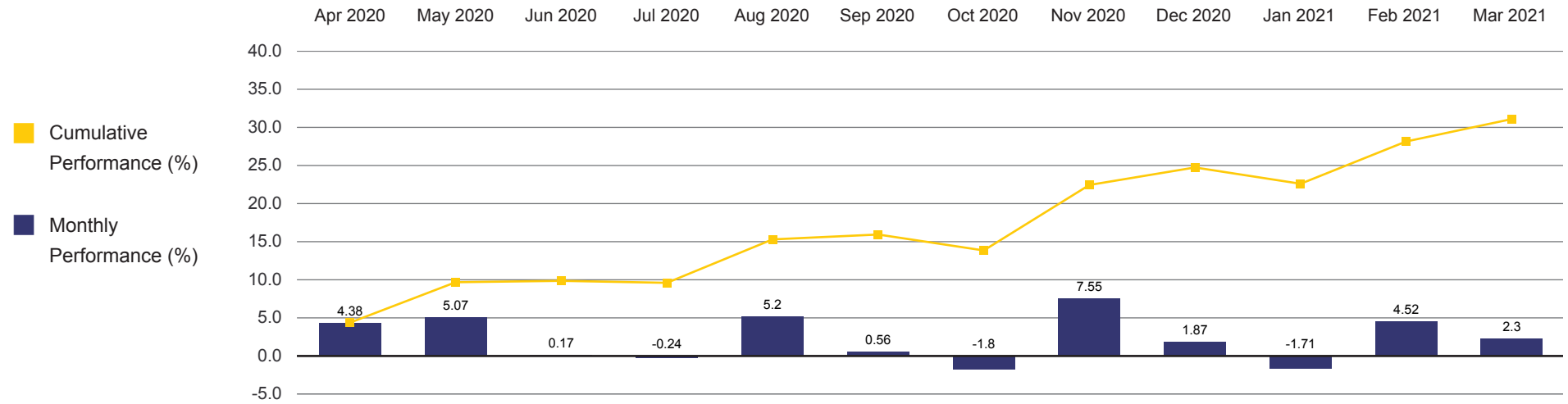


Portfolio	Pound Sterling			Performance	Performance YTD
	Value as at 01/03/2021	Contributions / Withdrawals	Market movements		
1202739.01 BCUHB MAIN ACCOUNT GBP	9,835,489.33	0.00	225,850.51	+2.30%	+5.09%





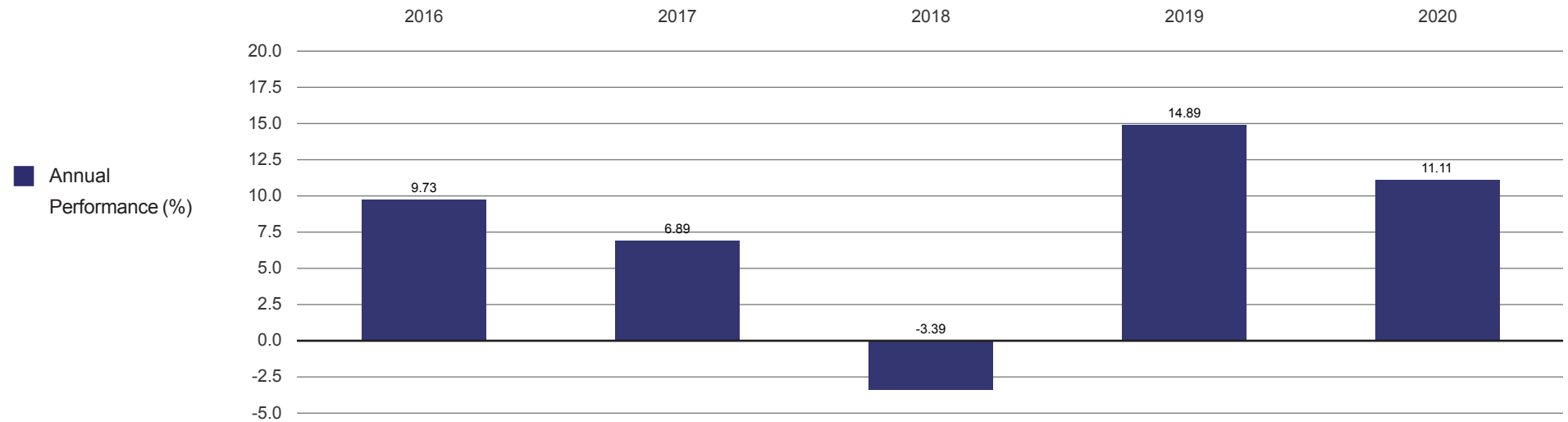
Performance Overview - 12 Month Rolling



Period (in GBP)	Apr 2020	May 2020	Jun 2020	Jul 2020	Aug 2020	Sep 2020	Oct 2020	Nov 2020	Dec 2020	Jan 2021	Feb 2021	Mar 2021
Opening Value	7,675,164	8,011,325	8,417,855	8,432,144	8,411,918	8,849,265	8,898,607	8,737,993	9,397,736	9,573,685	9,409,805	9,835,489
Closing Value	8,011,325	8,417,855	8,432,144	8,411,918	8,849,265	8,898,607	8,737,993	9,397,736	9,573,685	9,409,805	9,835,489	10,061,340
Contributions / Withdrawals	0	0	0	0	0	0	0	0	0	0	0	0
Monthly Performance (%)	+4.38%	+5.07%	+0.17%	-0.24%	+5.20%	+0.56%	-1.80%	+7.55%	+1.87%	-1.71%	+4.52%	+2.30%
Cumulative Performance (%)	+4.38%	+9.68%	+9.86%	+9.60%	+15.30%	+15.94%	+13.85%	+22.44%	+24.74%	+22.60%	+28.15%	+31.09%



Performance Overview - Historical

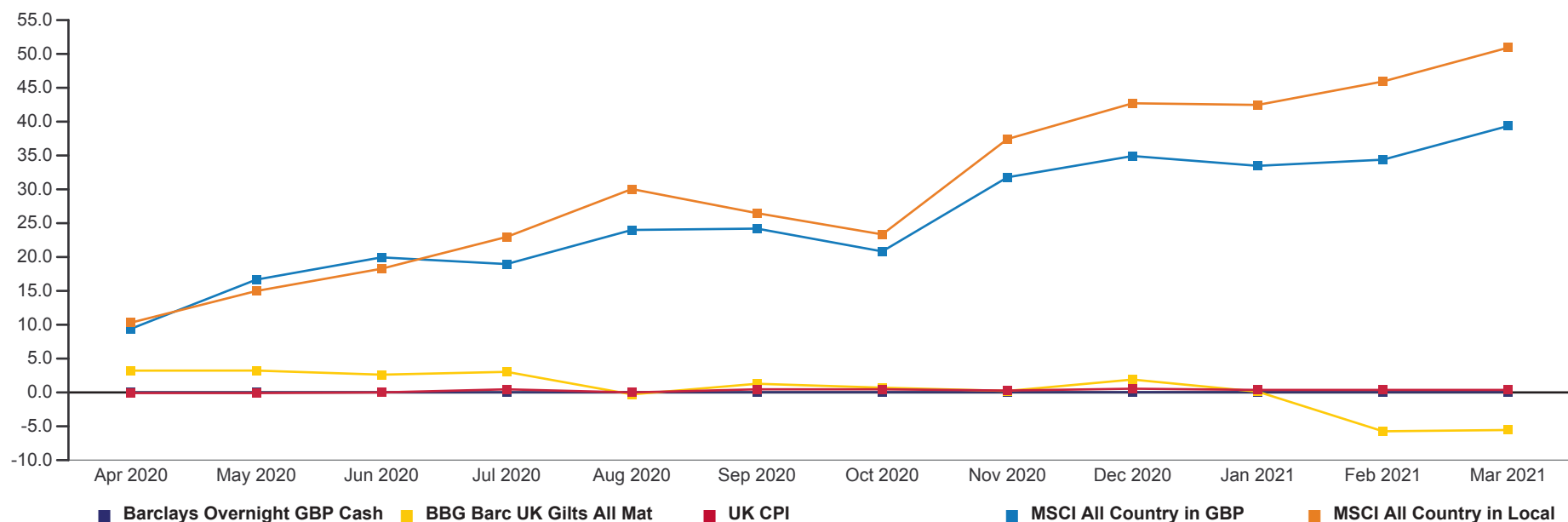


Period (in GBP)	2016	2017	2018	2019	2020
Opening Value	8,388,863	8,627,567	7,763,640	7,500,171	8,616,668
Closing Value	8,627,567	7,763,640	7,500,171	8,616,668	9,573,685
Contributions / Withdrawals	-528,584	-1,400,000	0	0	0
Annual Performance (%)	+9.73%	+6.89%	-3.39%	+14.89%	+11.11%

Opening date: 06/09/2011



Performance of selected Indices

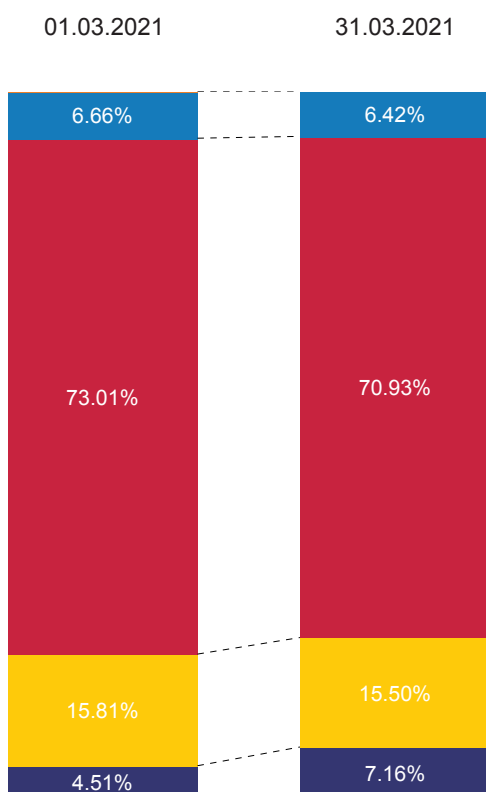


■ Barclays Overnight GBP Cash			■ BBG Barc UK Gilts All Mat		■ UK CPI		■ MSCI All Country in GBP		■ MSCI All Country in Local	
Month	Month	Cumulative	Month	Cumulative	Month	Cumulative	Month	Cumulative	Month	Cumulative
Apr 2020	+0.01%	+0.01%	+3.22%	+3.22%	-0.09%	-0.09%	+9.41%	+9.41%	+10.31%	+10.31%
May 2020	+0.01%	+0.01%	+0.01%	+3.23%	+0.00%	-0.09%	+6.62%	+16.66%	+4.24%	+14.98%
Jun 2020	+0.01%	+0.02%	-0.59%	+2.62%	+0.09%	+0.00%	+2.82%	+19.95%	+2.86%	+18.27%
Jul 2020	+0.01%	+0.02%	+0.42%	+3.04%	+0.46%	+0.46%	-0.82%	+18.96%	+3.97%	+22.97%
Aug 2020	+0.00%	+0.03%	-3.23%	-0.29%	-0.46%	+0.00%	+4.24%	+24.00%	+5.76%	+30.04%
Sep 2020	+0.00%	+0.03%	+1.57%	+1.28%	+0.46%	+0.46%	+0.16%	+24.20%	-2.74%	+26.48%
Oct 2020	+0.00%	+0.04%	-0.58%	+0.70%	+0.00%	+0.46%	-2.71%	+20.83%	-2.49%	+23.34%
Nov 2020	+0.00%	+0.04%	-0.47%	+0.22%	-0.18%	+0.28%	+9.06%	+31.78%	+11.43%	+37.43%
Dec 2020	+0.00%	+0.04%	+1.67%	+1.90%	+0.28%	+0.55%	+2.39%	+34.92%	+3.85%	+42.71%
Jan 2021	+0.00%	+0.05%	-1.75%	+0.11%	-0.18%	+0.37%	-1.08%	+33.47%	-0.17%	+42.47%
Feb 2021	+0.00%	+0.05%	-5.85%	-5.74%	+0.00%	+0.37%	+0.68%	+34.38%	+2.43%	+45.93%
Mar 2021	+0.00%	+0.06%	+0.20%	-5.55%	+0.00%	+0.37%	+3.71%	+39.36%	+3.42%	+50.93%



Asset Allocation

Change during period

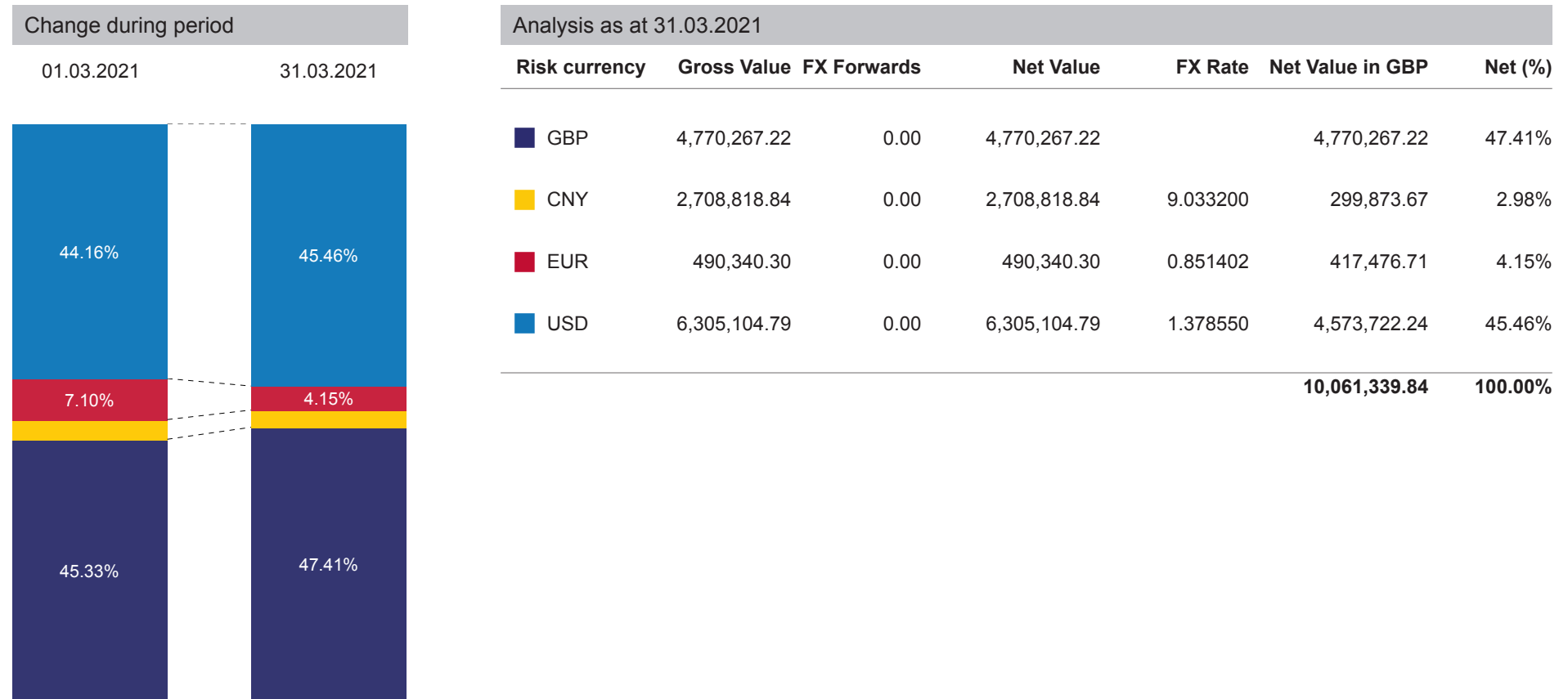


Analysis as at 31.03.2021 in GBP

Asset class	Value as at 31/03/2021	%	Performance in Listing Currency	FX effect	Performance	Contribution
Money Market	720,119.99	7.16%	+0.00%	-0.00%	-0.00%	-0.00%
Fixed Income	1,559,062.21	15.50%	+0.28%	+0.00%	+0.28%	+0.04%
Equities	7,136,263.30	70.93%	+2.66%	+0.67%	+3.36%	+2.35%
Hedge Funds	645,528.18	6.42%	-1.72%	+0.40%	-1.33%	-0.09%
Others	366.16	0.00%	-79.83%	-0.78%	-79.98%	-0.01%
Total	10,061,339.84	100.00%				



Currency Allocation (Risk Currency)



FX forwards are valued on a daily basis using a combination of the current FX rates and the relevant interest rate curves. The values of the FX forwards in their respective risk currencies are shown as per the opening trade amount and as such do not account for the daily change in the interest rate curve.

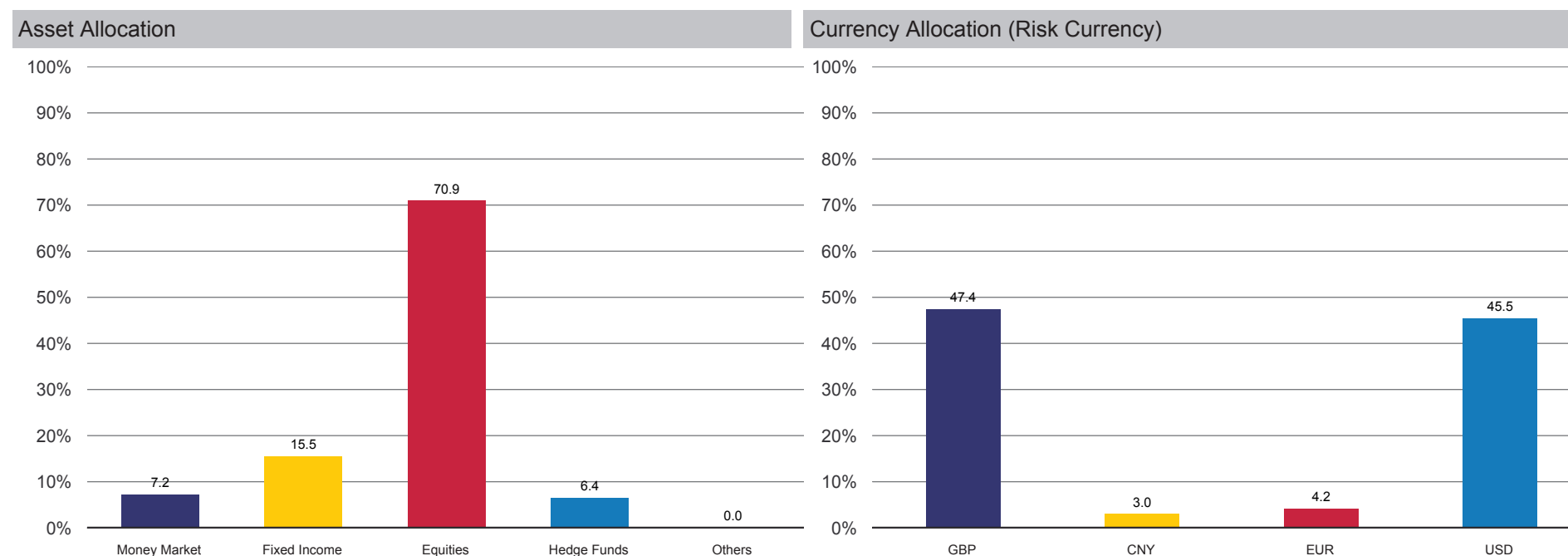


Portfolio Name	1202739.01 BCUHB MAIN ACCOUNT GBP
Reference Currency	Pound Sterling
Reporting period	01/03/2021 - 31/03/2021

Overview



Portfolio	Pound Sterling			Performance	Performance YTD
	Value as at 01/03/2021	Contributions / Withdrawals	Market movements		
1202739.01 BCUHB MAIN ACCOUNT GBP	9,835,489.33	0.00	225,850.51	10,061,339.84	+2.30% +5.09%





Portfolio Statement

Money Market						in Pound Sterling		
Money Accounts								
Units / Nominal	Listing currency	Description	Current FX Rate	Accrued interest	Book cost	Total G/L	Market value	% of assets
0	CHF	Capital Account / GB93ROSW40643910003983	1.298594	0.00	0.00	0.00	0.00	0.00%
0	CHF	Income Account / GB12ROSW40643910003986	1.298594	0.00	0.00	0.00	0.00	0.00%
0	EUR	Capital Account / GB28ROSW40643910003989	0.851402	0.00	0.00	0.00	0.00	0.00%
712,536.84	GBP	Capital Account / GB66ROSW40643910003984	1.000000	0.00	712,536.84	0.00	712,536.84	7.08%
3,251.40	GBP	Income Account / GB82ROSW40643910003987	1.000000	0.00	3,251.40	0.00	3,251.40	0.03%
0	JPY	Capital Account / GB39ROSW40643910003985	152.460734	0.00	0.00	0.00	0.00	0.00%
0	JPY	Income Account / GB55ROSW40643910003988	152.460734	0.00	0.00	0.00	0.00	0.00%
0	NOK	Capital Account / GB71ROSW40643910003991	11.766475	0.00	0.00	0.00	0.00	0.00%
0	SGD	Capital Account / GB98ROSW40643910003990	1.853323	0.00	0.00	0.00	0.00	0.00%
0	USD	Capital Account / GB44ROSW40643910003992	1.378550	0.00	0.00	0.00	0.00	0.00%
Total Money Accounts					715,788.24	0.00	715,788.24	7.11%
Pending dividends								
Units / Nominal	Listing currency	Description	Current FX Rate	Accrued interest	Book cost	Total G/L	Market value	% of assets
1,793.96	USD	Pending dividends - American Express Co Reg Shs (906153)	1.378550	0.00	1,307.74	-6.40	1,301.34	0.01%
1,808.10	USD	Pending dividends - Deere & Co Reg Shs (924235)	1.378550	0.00	1,310.93	0.67	1,311.60	0.01%
2,369.46	USD	Pending dividends - Fox Corp -A- Reg Shs (46187409)	1.378550	0.00	1,716.44	2.37	1,718.81	0.02%
Total Pending dividends					4,335.11	-3.36	4,331.75	0.04%
Total Money Market					720,123.35	-3.36	720,119.99	7.16%



Portfolio Statement

Fixed Income						in Pound Sterling		
Fixed Income - GBP								
Units / Nominal Listing currency	Description ISIN	Current Price	Income	YTM	Book cost	Total G/L	Market value	% of assets
4,785 GBP	Multi Units Luxembourg SICAV - Lyxor Core US TIPS (DR) UCITS ETF Shs -Dist- Dist Shs LU1452600601	110.955	2,679.55	0.00%	519,096.42	11,823.26	530,919.68	5.28%
103,434.862 GBP	Rothschild & Co WM SICAV-SIF - Investment Grade Bonds Shs -GBP UKRep Inc X- Dist Shs LU1073122423	9.94	23,169.19	0.00%	1,036,335.69	-8,193.16	1,028,142.53	10.22%
Total Fixed Income GBP			25,848.74		1,555,432.11	3,630.10	1,559,062.21	15.50%
Total Fixed Income			25,848.74		1,555,432.11	3,630.10	1,559,062.21	15.50%
Equities						in Pound Sterling		
Equities - UK								
Units / Nominal Listing currency	Description ISIN	Current Price	Income	Yield	Book cost	Total G/L	Market value	% of assets
10,374 GBP	Admiral Group PLC Reg Shs GB00B02J6398	31.01	12,303.65	3.82%	167,856.39	153,841.35	321,697.74	3.20%
7,315 GBP	Ashtead Group PLC Reg Shs GB0000536739	43.27	2,973.39	0.94%	156,213.74	160,306.31	316,520.05	3.15%
546,861 GBP	Lloyds Banking Group PLC Reg Shs GB0008706128	0.42535	3,117.17	1.34%	322,630.29	-90,022.96	232,607.33	2.31%
1,859.649 GBP	Pentaris QIAIF - Phoenix Equity Fund - F Class IE00BYSQ2G70	123.5201	0.00	0.00%	183,468.63	46,235.40	229,704.03	2.28%
969.162 GBP	Pentaris QIAIF - Phoenix Equity Fund - S Class IE00BGPFV972	115.43538	0.00	0.00%	96,916.20	14,959.38	111,875.58	1.11%
Total Equities UK			18,394.21		927,085.25	285,319.48	1,212,404.73	12.05%



Portfolio Statement

Equities - Europe ex UK								
Units / Nominal Listing currency	Description ISIN	Current Price	Income	Yield	Book cost	Total G/L	Market value	% of assets
29,620 EUR	Ryanair Holdings PLC Reg Shs IE00BYTBXV33	16.545	0.00	0.00%	224,671.73	192,568.80	417,240.53	4.15%
Total Equities Europe ex UK			0.00		224,671.73	192,568.80	417,240.53	4.15%
Equities - North America								
Units / Nominal Listing currency	Description ISIN	Current Price	Income	Yield	Book cost	Total G/L	Market value	% of assets
4,172 USD	American Express Co Reg Shs US0258161092	141.44	5,205.51	1.22%	202,954.13	225,095.40	428,049.53	4.25%
2,167 USD	Berkshire Hathaway Inc -B- Reg Shs US0846707026	255.47	0.00	0.00%	132,235.10	269,348.80	401,583.90	3.99%
65 USD	Booking Holdings Inc Reg Shs US09857L1089	2,329.84	0.00	0.00%	86,387.85	23,466.42	109,854.27	1.09%
139 USD	Cable One Inc Reg Shs US12685J1051	1,828.36	983.16	0.53%	73,656.83	110,697.77	184,354.60	1.83%
347 USD	Charter Communications Inc -A- Reg Shs US16119P1084	617.02	0.00	0.00%	82,684.55	72,627.87	155,312.42	1.54%
7,249 USD	Comcast Corp -A- Reg Shs US20030N1019	54.11	4,942.91	1.74%	205,287.21	79,246.10	284,533.31	2.83%
2,009 USD	Deere & Co Reg Shs US2441991054	374.14	4,634.04	0.85%	120,641.13	424,603.70	545,244.83	5.42%
10,302 USD	Fox Corp -A- Reg Shs US35137L1052	36.11	3,439.54	1.27%	280,613.45	-10,760.91	269,852.54	2.68%
605 USD	Liberty Broadband Corp Series -C- Reg Shs US5303073051	150.15	0.00	0.00%	38,807.17	27,088.70	65,895.87	0.65%
1,640 USD	Linde PLC Reg Shs IE00BZ12WP82	280.14	516.90	0.16%	143,681.42	189,588.76	333,270.18	3.31%
948 USD	Mastercard Inc -A- Reg Shs US57636Q1040	356.05	1,155.19	0.47%	154,950.62	89,897.52	244,848.14	2.43%



Portfolio Statement

Equities - North America								
Units / Nominal Listing currency	Description ISIN	Current Price	Income	Yield	Book cost	Total G/L	Market value	% of assets
1,489 USD	Moody's Corp Reg Shs US6153691059	298.61	2,484.16	0.77%	163,501.23	159,033.53	322,534.76	3.21%
2,434.556 USD	Pentaris QIAIF PLC - Bares US Equity Fund Shs -F- USD Shs IE00BD0SCN18	251.58065	0.00	0.00%	196,860.70	247,437.43	444,298.13	4.42%
1,249 USD	S&P Global Inc Reg Shs US78409V1044	352.87	2,518.67	0.79%	170,257.67	149,451.18	319,708.85	3.18%
8,545 USD	Wells Fargo & Co Reg Shs US9497461015	39.07	5,020.81	2.07%	253,662.99	-11,485.96	242,177.03	2.41%
Total Equities North America			30,900.90		2,306,182.05	2,045,336.31	4,351,518.36	43.25%
Equities - Asia, Far East								
Units / Nominal Listing currency	Description ISIN	Current Price	Income	Yield	Book cost	Total G/L	Market value	% of assets
1,967.544 USD	Pentaris QIAIF PLC - Vanda Fund Shs -F- USD Shs IE00BTGCYL19	210.10501	0.00	0.00%	143,892.54	155,981.13	299,873.67	2.98%
Total Equities Asia, Far East			0.00		143,892.54	155,981.13	299,873.67	2.98%
Equities - Global								
Units / Nominal Listing currency	Description ISIN	Current Price	Income	Yield	Book cost	Total G/L	Market value	% of assets
1,585.740697 GBP	Lansdowne Developed Markets Long Only Fund Limited Shs -B- GBP Shs KYG5555M1446	154.06	0.00	0.00%	165,000.00	79,299.21	244,299.21	2.43%
Total Equities Global			0.00		165,000.00	79,299.21	244,299.21	2.43%



Portfolio Statement

Equities - Others								
Units / Nominal Listing currency	Description ISIN	Current Price	Income	Yield	Book cost	Total G/L	Market value	% of assets
32,290 GBP	Rothschild & Co WM SICAV-SIF - Selected Opportunities Fund Shs -GBP UKRep Inc X- Dist Shs LU0945520442	18.92	284.08	0.05%	332,589.19	278,337.61	610,926.80	6.07%
Total Equities Others			284.08		332,589.19	278,337.61	610,926.80	6.07%
Total Equities			49,579.19		4,099,420.76	3,036,842.54	7,136,263.30	70.93%
Hedge Funds								
Hedge Funds - Diversifiers								
Units / Nominal Listing currency	Description ISIN	Current Price	Income	Yield	Book cost	Total G/L	Market value	% of assets
10.6420 GBP	36 South Funds ICAV - Okura Fund Accum Shs -C- GBP Shs IE00BX9BYY66	677.92	0.00	0.00%	11,880.83	-4,666.41	7,214.42	0.07%
23.8040 GBP	36 South Funds ICAV - Okura Fund Accum Shs -C- GBP Shs IE00BX9BYY66	677.92	0.00	0.00%	26,802.68	-10,665.47	16,137.21	0.16%
42.1296 GBP	36 South Funds ICAV - Okura Fund Accum Shs -C- GBP Shs IE00BX9BYY66	677.92	0.00	0.00%	32,000.00	-3,439.50	28,560.50	0.28%
25.3427 GBP	36 South Funds ICAV - Okura Fund Accum Shs -C- GBP Shs IE00BX9BYY66	677.92	0.00	0.00%	15,000.00	2,180.32	17,180.32	0.17%
86.4996 GBP	36 South Funds ICAV - Okura Fund Accum Shs -C- GBP Shs IE00BX9BYY66	677.92	0.00	0.00%	44,000.00	14,639.81	58,639.81	0.58%
28.2991 GBP	36 South Funds ICAV - Okura Fund Accum Shs -C- GBP Shs IE00BX9BYY66	677.92	0.00	0.00%	10,892.41	8,292.12	19,184.53	0.19%
1,960 USD	ACL Alternative Fund SAC Ltd Shs -A- Abbey Focus Fund Series A Shs BMG0071J3299	109.78863381	0.00	0.00%	151,617.35	4,478.35	156,095.70	1.55%
169.2879 GBP	CFM Institutional Systematic Trends Fund Limited Red.Ptg.Shs -GBP 1.5xd- Distributing Shares Shs VGG2104K1259	1,221.24	0.00	0.00%	185,000.00	21,741.15	206,741.15	2.05%



Portfolio Statement

Hedge Funds - Diversifiers								
Units / Nominal Listing currency	Description ISIN	Current Price	Income	Yield	Book cost	Total G/L	Market value	% of assets
698.926 GBP	InRIS UCITS PLC - InRIS CFM Trends Shs -WD- Hedged GBP Shs IE00BYVG4917	106.06	0.00	0.00%	69,892.60	4,235.49	74,128.09	0.74%
899.081 USD	Pentaris QIAIF PLC - Artemis Volatility Trading Fund Shs -F- USD Shs IE00BF4R7990	94.52175	0.00	0.00%	67,579.80	-5,933.35	61,646.45	0.61%
Total Hedge Funds Diversifiers			0.00		614,665.67	30,862.51	645,528.18	6.42%
Total Hedge Funds			0.00		614,665.67	30,862.51	645,528.18	6.42%
Others								
Units / Nominal Listing currency	Description ISIN	Current Price	Income	Yield	Book cost	Total G/L	Market value	% of assets
73 EUR	Wts Citigroup 19.03.2021 ESTX50 EUR P EUR 3250 resettable put LU2064604155	3.80	0.00	0.00%	6,660.86	-6,424.68	236.18	0.00%
99 USD	Wts BNP Paribas Iss 18.06.2021 S&P 500 USD 2700 put NL0013533078	1.81	0.00	0.00%	12,623.05	-12,493.07	129.98	0.00%
Total Others			0.00		19,283.91	-18,917.75	366.16	0.00%
Total			75,427.94		7,008,925.80	3,052,414.04	10,061,339.84	100.00%



Realisations

1202739.01 BCUHB MAIN ACCOUNT GBP									
Trade Date	Exchange	Transaction	Units / Nominal	Description	Gross Price	G/L	Our Charges	Book cost	
Value Date	Time	Order type	Currency	ISIN	Proceeds Gross	FX Rate	Other Charges	Proceeds Net	
Transactions from a previous reporting period									
01/01/2021		Security Event	-0.0128	36 South Funds ICAV - Okura Fund Accum Shs -C-		-4.92	0.00	-4.92	
		Transaction - Final		GBP Shs					
		liquidation payment							
01/01/2021			GBP	IE00BX9BYY66	0.00	1.000000	0.00		
Total Previous Period 1202739.01 BCUHB MAIN ACCOUNT GBP						-4.92	0.00	-4.92	
							0.00		
Transactions from the current reporting period									
05/03/2021		Security Event	-1,590	Pentaris QIAIF PLC - Intrinsic Value Europe Shs -F-		129,027.95	0.00	-141,685.29	
		Transaction - Final		Unhedged GBP Shs					
		liquidation payment							
05/03/2021			GBP	IE00BJBLDC78	0.00	1.000000	0.00	-270,713.24	
19/03/2021		Security Event	-176	Wts Citigroup 19.03.2021 ESTX50 EUR P EUR 2600		-36,531.96	0.00	-36,531.96	
		Transaction -		put					
		Expiry of old							
		security							
19/03/2021			EUR	LU2079248493	0.00	0.874707	0.00		
Total Current Period 1202739.01 BCUHB MAIN ACCOUNT GBP						92,495.99	0.00	-178,217.25	
							0.00	-270,713.24	

Cash Statement

1202739.01



Capital Account / GBP / GB66ROSW40643910003984

Value Date	Trade Date	Transaction	Units	Price	Debit	Credit	Balance
Opening balance 01/03/2021:							437,514.48
02/03/2021	02/03/2021	Incoming Payment - Credit from: BCUHB GB91ROSW08661020273962				4,309.12	441,823.60
05/03/2021	05/03/2021	Security Event Transaction - Final liquidation payment Pentaris QIAIF PLC - Intrinsic Value Europe Shs -F- Unhedged GBP Shs (47534315)				270,713.24	712,536.84
Closing balance 31/03/2021:					0.00	275,022.36	712,536.84

Income Account / GBP / GB82ROSW40643910003987

Value Date	Trade Date	Transaction	Units	Price	Debit	Credit	Balance
Opening balance 01/03/2021:							3,791.32
01/03/2021	04/02/2021	Security Event Transaction - Cash dividend Wells Fargo & Co Reg Shs (966021) 8,545 @ 0.10				517.80	4,309.12
05/03/2021	12/02/2021	Security Event Transaction - Cash dividend Cable One Inc Reg Shs (28318642) 139 @ 2.50				211.77	4,520.89
10/03/2021	23/02/2021	Security Event Transaction - Cash dividend S&P Global Inc Reg Shs (32303352) 1,249 @ 0.77				586.23	5,107.12
18/03/2021	24/02/2021	Security Event Transaction - Cash dividend Moody's Corp Reg Shs (1130337) 1,489 @ 0.62				560.45	5,667.57
Revised opening balance 01/03/2021:							5,667.57
02/03/2021	02/03/2021	Payment - Standing order to ROTHSCHILD AND CO BANK INTERNAT.LTD (WEALTH MANAGEMENT) ST. PETER PORT Beneficiary: BCUHB			4,309.12		1,358.45
09/03/2021	04/03/2021	Security Event Transaction - Cash dividend InRIS UCITS PLC - InRIS CFM Trends Shs -WD- Hedged GBP Shs (34874314) 698.93 @ 0.911535				637.10	1,995.55



Cash Statement

1202739.01

Income Account / GBP / GB82ROSW40643910003987								
Value Date	Trade Date	Transaction	Units	Price	Debit	Credit	Balance	
22/03/2021	04/03/2021	Security Event Transaction - Cash dividend Linde PLC Reg Shs (37962490) 1,640 @ 1.06				1,255.85	3,251.40	
Closing balance 31/03/2021:					4,309.12	1,892.95	3,251.40	



Important Information

Custody of Assets

All assets shown in this Portfolio Report are held, unless otherwise stated, by Rothschild & Co Bank International Limited as custodian under the terms of the custody agreement with you. The valuation is prepared on a trade date basis, and constitutes the statement from Rothschild & Co Bank International Limited of all the custody assets held for you and for which Rothschild & Co Bank International Limited is accountable or which are in the course of settlement. In addition, Rothschild & Co Bank International Limited holds assets which were sold during the period where the sale transactions are still in the course of settlement; these assets are not shown as they are accounted for on a trade date basis.

Cash Statement

Client cash relating to ISA Capital and Income accounts are held in a designated client bank account and protected under the UK Financial Conduct Authority client money rules.

Your Investments

For our discretionary and advisory clients, the investments in your portfolio have been made in line with your preferences, objectives, circumstances and risk profile, as set out in the Portfolio Strategy agreed with you, a copy of which has been provided to you.

Income

The figures shown in the column headed 'Income' reflect the estimated full year's dividends (assuming that the portfolio holdings are held for a full year based on last year's dividend rates) and estimated full year's income on cash / deposits (assuming that the amount of cash and the interest rate applicable remain constant throughout one year). These are estimates only and are not guaranteed.

Performance Returns

These are shown after the effect of management fees, where the fee is deducted directly from the portfolio.

Fees and Commissions

The portfolio may be invested in collective investment schemes ("Funds") whose investments are managed by Rothschild & Co Wealth Management and for which Rothschild & Co Wealth Management receive a periodic charge of up to a maximum of 1.50% per annum payable out of the assets of the relevant fund (depending on the particular fund's charging structure). Holdings in such funds are not included for the purposes of calculating the annual management fee on the Portfolio.

Risk Warnings

Past performance is not an indication of future performance. The value of investments and the income therefrom, may fall as well as rise.



Important Information

Pricing

The portfolio valuation has been prepared using the last traded or mid-market prices where available; where it has not been possible to value the securities on this basis, investments have been valued on a basis considered appropriate.

Opening Positions

Due to a variety of reasons arising from the booking of the transactions, the opening positions may differ from the closing positions in previous Portfolio Reports provided to you.

Dealing charges

Rothschild & Co Wealth Management UK Limited or Rothschild & Co Bank International Limited may execute transactions through a third party broker who may charge commission. The commission is in addition to any Rothschild & Co fees and other transaction charges, for example stamp duty. A breakdown of costs and charges paid from the portfolio will be provided annually and can be provided at any time upon request.

Regulatory

For accounts that are managed by Rothschild & Co Wealth Management UK Limited (which is authorised and regulated by the Financial Conduct Authority) this statement constitutes the investment manager's periodic report for the portfolio.

Rothschild & Co Bank International Limited is licensed and regulated by the Guernsey Financial Services Commission for the provision of Banking and Investment Services. Company number 1088.

Cyfarfod a dyddiad: Meeting and date:	Charitable Funds Committee 11th June 2020						
Cyhoeddus neu Breifat: Public or Private:	<i>Public</i>						
Teitl yr Adroddiad Report Title:	BCUHB Fundraising Update Report						
Cyfarwyddwr Cyfrifol: Responsible Director:	Sue Hill, BCUHB Executive Director of Finance						
Awdur yr Adroddiad Report Author:	Kirsty Thomson, BCUHB Head of Fundraising						
Craffu blaenorol: Prior Scrutiny:	<i>No prior scrutiny</i>						
Argymhelliad / Recommendation:							
<i>The Committee is asked to note the information included within the BCUHB Fundraising Update Report.</i>							
Appendices:							
<i>Appendix 1: Awyr Las Donations and Fundraising Trends</i>							
<i>Appendix 2: Covid Response Fund Update for Trade Unions</i>							
Please tick as appropriate							
Ar gyfer penderfyniad /cymeradwyaeth For Decision/ Approval		Ar gyfer Trafodaeth For Discussion		Ar gyfer sicrwydd For Assurance	✓	Er gwybodaeth For Information	✓
Sefyllfa / Situation:							
<p><i>This paper provides an update on the following key areas of the Fundraising Section of the Awyr Las Support Team's activity:</i></p> <ol style="list-style-type: none"> <i>1. Donations and Fundraising Trends</i> <i>2. Complaints Report</i> <i>3. Press Coverage</i> <i>4. Notable events and activities in the past quarter</i> <i>5. Key events and activities: save the dates</i> <i>6. Application Process Review</i> <i>7. Small grants schemes</i> <i>8. Specific Appeals Update</i> <i>9. Staff Lottery Update</i> <i>10. Partnership project development</i> <i>11. NHS Charities Together Stage 2 & 3 Grant Update</i> <p><i>This paper seeks to provide assurance on the main activities, direction and focus of the Fundraising Section of the Awyr Las Support Team for BCUHB's Board representatives who form the Charitable Funds Committee membership. This should be read in conjunction with the Awyr Las Finance Report.</i></p>							
Cefndir / Background:							
1. Donations and Fundraising Trends							

Data in Appendix 1 reinforces the information shared in the Finance Report. Whilst significantly more individual donations were received in 2020/21 in comparison to previous years, with an increase of 58% more donations in 2020/21 compared with 2019/20, the average donation size greatly reduced. The average donation amount in 2020/21 was 38% lower than in the previous year. This reduction in income reflects a national trend in the charity sector, and the increase in donations highlights what we know: people were keen to support the Covid-19 Appeal last year, but we've seen a significant dip in larger donations and fundraising for specific wards and departments. The move towards undesignated giving is a positive one, but equally the aim for 2021/22 for the Awyr Las Support Team is to also support a return to the levels of support for specific wards and departments that saw had pre-pandemic.

2. Complaints Report

The Awyr Las Support Team did not receive any formal complaints in Q1 of 2021.

3. Media Coverage

In the past quarter, Awyr Las has issued press releases on: Cardiology Vehicle, Keep the Beats, Arts in Health Projects, Digital Devices, One Year on from Lock down and Equality grants. Representatives featured on BBC Radio Wales, Radio Cymru and in local press. BCUHB staff have featured on the Brits' Rag and Bone Man & Pink video, and on other 'Be There for Them' NHS Charities Together promotions.

4. Notable events and activities in the past quarter

The Awyr Las Support Team and the Arts in Health & Wellbeing Coordinator organised an unveiling of the 'Thank you BCUHB staff' collages in Ysbyty Glan Clwyd. The intention is for this artwork to be presented across BCUHB premises by September, in tandem with the roll out of new Awyr Las noticeboards on all sites. The Arts in Health & Wellbeing Coordinator is assessing costs and, if required, will submit an additional funding application.

5. Key events and activities: save the dates

05.07.21: The NHS Big Tea. Register here: [Betsi Cadwaladr University Health Board \(awyr-las.org.uk\)](https://www.betsi-cadwaladr.nhs.uk/awyr-las)

01.09.21: One Million Steps [Awyr Las | Blue Sky | 1st May 2021 Million Steps Challenge - Register...](#)

04.09.21: The Team Irfon Swim and Bangor Pier Event

11.10.21: Light Up Our Hospitals (and Bangor Pier)

6. Awyr Las Information Campaign

To coincide with this year's Big Tea, Awyr Las is working with Worldspan, a full service communications agency in North Wales, to engage with existing and new supporters through a digital and mailing campaign. This campaign is an information gathering opportunity that will inform the 2022-25 strategy, budget and operational plan. Information Governance has supported with this campaign.

7. Application Process Review and small grants schemes

The applications process review is moving forward hand in hand with the CRM Business Case. As part of an ongoing plan to streamline applications, the Equality small grant scheme has been managed online this quarter. Six applications were received for the first round of this grant, and the scheme remains open.

8. Specific Appeals Update

The Head of Fundraising is developing the following as appeals for 2022-25, which will feature in the Awyr Las 2022-25 Strategy, which will come for approval to the December 2021 Charitable Funds Committee:

- a) Shooting Star Unit The scoping document for the Unit expansion business case has been developed, it is expected that charitable investment will be required. The Shooting Star Cancer Support Charity has decided not to lead the fundraising campaign, which is expected to commence in 2022. The Head of Fundraising is arranging a formal report to assess the feasibility of a campaign and to ascertain the fundraising and administrative capacity required for a campaign. The aim is for an approx. £1 million Shooting Star Unit to be launched in March 2022, once all approvals and resource are in place.
- b) Virtual Hospital and Digital Support Awyr Las funded a £5,000 Virtual Hospital Research scoping exercise which is coming to an end this month. The findings from this research project inform a business case. Awyr Las is being kept abreast of developments, but is not involved in the business case development currently.
- c) Mental Health Development The Head of Fundraising is working with the Mental Health and Learning Disabilities Team to draw up a business case to support:
- Artwork & arts programmes – brightening clinical spaces, art for wellbeing projects for inpatients and patients in the community
 - Fitness equipment and programmes – quality, accessible gym facilities in inpatient units and access to exercise support for patients in the community
 - Outdoor spaces – easily maintained sensory gardens and access to green sites for patients in the community
 - Comfortable areas & reducing stigma – volunteers to play an integral role in the development of new premises on the Ysbyty Glan Clwyd site.
- This business case will be prepared by the end of September 2021. The aim is for an approx. £250,000 appeal to be launched in March 2022, once all approvals and resource are in place.
- d) Social Prescribing and community activity
The Head of Fundraising is being kept abreast of developments, but there are no plans to develop a specific business case for additional charitable funding currently.
- e) Parental and carers accommodation
The Business Case for BCUHB's parental accommodation will be completed by the end of June 2021. The Head of Fundraising has been working with local charities to identify existing funding streams for the initial phase of the work in Ysbyty Glan Clwyd and Ysbyty Gwynedd. It is expected that a further £100,000 will be required for the improvements to the accommodation. This will be the focus of the Awyr Las 2021 Big Give and Christmas campaign.
- f) MRI Scanner Business Case
The scoping document for BCUHB's mobile MRI scanner will be completed by the end of June 2021. A fundraising feasibility study and business case planning will be carried out in unison and agreed by November 2021. The aim is for an approx. £1 million mobile MRI Scanner Appeal to be launched in March 2022, once all approvals and resource are in place.

9. Staff Lottery Update

Hywel Dda Health Charity's staff lottery plans are currently on hold whilst they carry out a review of their financial controls. Awyr Las had placed a hold on its staff lottery plans until Hywel Dda Health Charity completes its review, and the Staff Lottery Working Group will commence in July.

10. NHS Charities Together Stage 2 & 3 Grant Update

Appendix 2 outlines the funding requests submitted to NHS Charities Together. Grant stage two has been paused by NHS Charities Together, and income is not expected to be received until July 2021.

Asesiad / Assessment & Analysis

Strategy Implications

This report is underpinned by the Awyr Las Strategy 2016-21, see <https://awyrlas.org.uk/content/downloads/The-Awyr-Las-Strategy-2016-to-2021.pdf>.

Options considered

All fundraising, marketing and resourcing options are considered by the Awyr Las Support Team (ALST) during planning phases. All relevant information is included in the Background Section of this paper, where appropriate.

Financial Implications

The items outlined in this report are all costed within the agreed Awyr Las Support Team.

Risk Analysis

An individual Risk Analysis is completed for all Awyr Las events and activities, and for new processes and ways of working introduced by members of the Awyr Las Support Team (ALST). The ALST's perceived main risks are included in the Charity's Risk Register.

Legal and Compliance

All items within this report will be monitored and will be updated on at the June 2021 Charitable Funds Committee meeting.

Impact Assessment

Impact Assessments are carried out for all Awyr Las events and activities, and for new processes and ways of working introduced by members of the ALST.

BCUHB Fundraising Update Report Appendix 1: Donations and Fundraising Trends

The following data demonstrates that whilst significantly more individual donations were received in 2020/21 in comparison to previous years, with an increase of 58% more donations in 2020/21 compared with 2019/20, the average donation size greatly reduced. The average donation amount in 2020/21 was 38% lower than in the previous year. Though no formal reporting has been done at this stage, other NHS Charities are reporting similar trends in reduced overall income and average donation sizes but increases in the number of donations.

	Q1 12/13	Q2 12/13	Q3 12/13	Q4 12/13	Total
Total donations & fundraising	£227,276	£227,768	£309,329	£314,220	£1,078,593
Number of donations	950	1099	1104	975	4128
Average donation	£239	£207	£280	£322	£262

	Q1 13/14	Q2 13/14	Q3 13/14	Q4 13/14	Total
Total donations & fundraising	£275,376	£318,658	£357,826	£389,171	£1,341,031
Number of donations	971	932	955	962	3820
Average donation	£284	£342	£375	£405	£351

	Q1 14/15	Q2 14/15	Q3 14/15	Q4 14/15	Total
Total donations & fundraising	£265,820	£259,515	£438,428	£713,853	£1,677,617
Number of donations	920	1325	1191	1314	4750
Average donation	£289	£196	£368	£543	£349

	Q1 15/16	Q2 15/16	Q3 15/16	Q4 15/16	Total
Total donations & fundraising	£319,072	£292,790	£541,148	£415,179	£1,568,189
Number of donations	1221	1522	1329	1252	5324
Average donation	£261	£192	£407	£332	£298

	Q1 16/17	Q2 16/17	Q3 16/17	Q4 16/17	Total
Total donations & fundraising	£337,059	£282,002	£428,322	£243,867	£1,291,250
Number of donations	1247	1374	1441	668	4730
Average donation	£270	£205	£297	£365	£284

	Q1 17/18	Q2 17/18	Q3 17/18	Q4 17/18	Total
Total donations & fundraising	£287,509	£314,182	£362,113	£571,776	£1,535,580
Number of donations	1157	1482	1212	1342	5193
Average donation	£248	£212	£299	£426	£296

	Q1 18/19	Q2 18/19	Q3 18/19	Q4 18/19	Total
Total donations & fundraising	£310,967	£254,192	£327,892	£366,267	£1,259,317
Number of donations	1277	1062	1263	1024	4626
Average donation	£244	£239	£260	£358	£275

	Q1 19/20	Q2 19/20	Q3 19/20	Q4 19/20	Total
Total donations & fundraising	£313,453	£385,425	£327,657	£296,125	£1,322,661
Number of donations	1394	1501	1378	1530	5803
Average donation	£225	£257	£238	£194	£228

	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21	Total
Total donations & fundraising	£554,605	£211,993	£219,673	£255,216	£1,241,487
Number of donations	4875	967	2352	1799	9993
Average donation	£114	£219.23	£93.40	£141.87	£142

Trade Unions Update on Awyr Las Covid-19 Response Fund, March 2021

Situation

NHS Charities Together (NHSCT) raised over £150 million between March 2020 and December 2020 to help support the NHS' response to Covid-19.

The funds raised are being distributed to all 250 NHS Charity member organisations across the UK. NHS Charities have in recent years collectively given over £1million a day to support NHS services. As a result of the increased challenges that the NHS currently faces due to Covid-19, NHS Charities Together moved from being a membership organisation which provided membership services only to being a significant grant giving organisation.

All the support provided by NHSCT goes over and above what the NHS can provide, and it supplements the general activity of NHS Charities. Most NHS Charities, including Awyr Las, the North Wales NHS Charity, launched successful local Covid-19 Response appeals as well. In total, Awyr Las will receive over £900,000 from NHSCT's national Covid-19 Urgent Appeal.

Thousands of people across the globe supported Captain Tom's fundraising efforts. Together they raised £33million (£39million including Gift Aid) of the £150million raised through the NHSCT Covid-19 Urgent Appeal. This means that 26% of the funding that Awyr Las will receive from NHSCT comes from 'Captain Tom'; Awyr Las will have received approximately £237,000 thanks to 'Captain Tom'.

Background

The breakdown of what has been funded to date through NHSCT's urgent response grants and the funding received through Awyr Las' local Covid-19 Response appeal can be seen here: English: <https://awyrlas.org.uk/covid-impact-hub>
Cymraeg: <https://awyrlas.org.uk/cy/covid-impact-hub>

There are three stages of grants from the NHSCT Covid-19 Appeal. The distribution amounts of these grants can be seen in Appendix 1: NHSCT Grant Information.

The three stages are as follows:

Stage 1: COVID-19 Urgent response Grants

This provided grants to NHS charities to spend quickly on enhancing the well-being of NHS Staff, volunteers and patients impacted by COVID-19, such as:

- Helped to fund the Staff Wellbeing Support Service which provides psychological support for NHS staff
- Funded many additional wellbeing items for frontline staff, including beverages, white goods, devices & furniture for new staff breakout areas and staff and volunteers have together been able to take part in an important virtual arts project too.
- Patient care has been transformed in some cases thanks to the additional support given. The donations funded small but significant items like baby monitors that are used to implement a safe monitoring service for patients in hospitals, and blood pressure machines to monitor heart failure patients in their own homes.

- The support funded large, life changing programmes like the Health Board's bereavement support service, its carers support service, the chronic pain management virtual support service and a talking therapy service for mental health service users.
- Young people benefitted in hospitals, with frontline staff organising children's inpatient activity bags, and at home with a small grant given to help provide extra monitoring equipment for children with diabetes.
- Frontline NHS staff have been able to give extra support to mental health service users in the community by providing self-care and wellness helping hand bags. They've also been able to give patients across many different services in our hospitals a much needed boost by purchasing additional digital devices for virtual visiting and entertainment.
- Thanks to the funding from NHS Charities Together more people have been able to take an active role in improving the care that our patients receive, with grants funding volunteer expenses and extra equipment to help train up nursing staff in care homes as well as hospitals.
- Importantly, the grant received from NHS Charities Together has helped NHS staff learn and share their learning from the initial Covid-19 response period. NHS Charities Together has funded a COVID-19 Medical Education Fellowship, a Covid-19 Simulation Suite for one of our Emergency Departments, three innovation projects that are being led by local NHS staff and new equality and inclusion programmes.
- Additional examples of expenditure can be seen in the links above.

Stage 2: Strategic integrated community and social care pathway Grants

Partnership grants for NHS charities to support their voluntary and care sector, as well as primary care, so that NHS patients can leave hospital more quickly and safely, stay or remain out of hospital. The aim of these grants is to support integrated care partnerships in this way significantly reduces stress on the NHS and provides the wrap around provision for patients which is vitally needed. NHS charities are being encouraged to sustain, develop or establish these partnerships (where they have not done so already) in order to fund collaborative projects.

Stage 3: COVID-19 Recovery and Post pandemic grants

Grants to NHS charities on supporting the mental health and recovery of NHS staff and volunteers and healthcare services. This grant can fund additional equipment, better facilities and extra services or special projects.

Actions

In May 2020 Awyr Las commissioned the Wales Council for Voluntary Action (WCVA) to organise a workshop and produce a report with the aim of carrying out a 'deep dive' into the lessons that were learnt by the voluntary sector in Wales during the initial Covid Response Period. The aim was to understand what support communities in Wales require in order to recover and build resilience in the future and what voluntary organisations planned to do differently in order to meet their communities' needs. Awyr Las' intended outcome of this projects was to:

- Better understand how Awyr Las, and potentially other NHS Charities and other funders in Wales, should partner with local charitable organisations to help meet the needs of vulnerable and disadvantaged communities
- Identify what the perceived gaps in NHS provision are, and understand how the issues raised could be addressed through collaborative working

Awyr Las, the North Wales NHS Charity, has received Stage 1 grants and has submitted applications for elements of Stages 2 & 3.

Stage 2 funding

37% will provide support to help keep some of the most vulnerable people in North Wales out of hospital by giving them the tools to be safe and supported at home. 63% of this grant will provide support in the community for disadvantaged communities in target areas within the region with the aim of maintaining health and wellbeing.

The programmes that aim to keep some of the most vulnerable people in North Wales out of hospital by giving them the tools to be safe and supported at home will focus on the patient groups listed below:

Brief Outline	Patient Focus	Amount
The Talking Therapies programme which has already been part funded by Stage 1 NHSCF funding provides an early intervention for people experiencing low mood, anxiety and depression. People self-refer onto the service, and from April referrals have increased by 50%. The therapy is delivered by talking therapy specialists who provide group therapy or 1:1 counselling or Cognitive Behavioural Therapy. COVID-19 has clearly heightened the need for this service. The service is provided in partnership with Mind and Advanced Brighter Futures.	People that would otherwise need the support of the Mental Health Service (MHS), or those who are already receiving support from the MHS in the community	£26,000
Arts in Health and Wellbeing programmes specially designed for patients with long Covid and vulnerable communities through collaborations between medical professionals and arts companies.	People with long Covid and People that would otherwise need the support of the Mental Health Service (MHS)	£20,000
Home from Hospital support will provide food parcels for elderly and those who need additional support upon discharge from a hospital. This programme will be delivered in partnership with the local social services and voluntary sector representatives. A pilot programme is being launched in two local hospitals, and the aim is to provide this across all of North Wales.	Vulnerable patients at the point of being discharged from hospital	£20,000

The I CAN scheme, which works alongside the Talking Therapies programme, was established by the Health Board in partnership with local voluntary agencies to help provide mental health support for people 'pre crisis'. As part of its wide reaching plan to reduce unnecessary hospital admissions, the Mental Health Team will establish a Volunteer Academy with the aim of providing more Mental Health First Aid training, initially focussing on local businesses and NHS staff.	People that would otherwise need the support of the Mental Health Service (MHS), or those who are already receiving support from the MHS in the community.	£50,000
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The programmes that aim to maintain people's health and wellbeing by providing additional support in the community will focus on the patient groups listed below:

A Project Coordinator for a co-produced Food Waste/Poverty programme will develop a scheme that has been developed by Health Board, local enterprise, voluntary agencies and community groups over the past 18 months. The programme will help upskill as well as provide meaningful activities and education on health and wellbeing in targeted communities.	Unemployed and as well as the elderly from disadvantaged communities	£70,000
The Social Prescribing programme will build on what the Health Board and its academic and third sector partners have already achieved in developing a robust social prescribing service in North Wales through the collaborative 2025 Movement (https://2025movement.org/). The grant will fund a Social Prescribing Co-ordinator to cover the counties that currently don't have this necessary resource, and it will fund the delivery of social prescribing projects in target areas where there are gaps in provision	Community	£125,000

Grant Stage 3 Outline Application

The Grant Stage 3 £354,000 will therefore be divided as follows:

42% will fund improvements to young patients' parental and carers accommodation. and 58% will fund staff wellbeing grants which aim to complement the staff wellbeing support provided by BCUHB.

Brief Outline	Patient Focus	Amount
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<p>A Staff Wellbeing Grant Scheme, for BCUHB staff to decide how funds would best support colleagues. The grants aim to provide support for special projects including additional therapy or team building activities, or extra equipment and facilities that go over and above what BCUHB provides. Awyr Las has an additional £100,000+ to apply to this grant scheme, and applications that cannot be funded can be included in fundraising targets. Hospital Management Teams / Area Teams can submit large requests, and smaller teams can submit small applications.</p>	<p>Staff, with a specific focus on enhancing wellbeing</p>	<p>£204,000</p>
<p>As part of BCUHB's commitment to enhance care that families receive during a child's 'first 1,000 days', improvements will be made to parental accommodation provision across North Wales. In Ysbyty Gwynedd the plans will see a new area for children's ward staff to use as a learning and rest space, as well as new en-suite facilities in the parents' bedrooms.</p>	<p>Parents of babies and children in SCBU and on Children's Ward, and staff.</p>	<p>£150,000</p>

Recommendations

The final stage 2 and 3 applications were submitted in March and are at the peer review stage. The funding from NHSCT is expected to be received in May 2021.

Once funding for the above has been confirmed, Trade Union representatives, along with W&OD representatives and other staff members will be asked to play a leading role in the Awyr Las Staff Wellbeing Grant making process. In the meantime, if any Trade Union representatives have any queries relating to the content of this report, please can I request that you contact me directly on 07779165404 or at kirsty.thomson@wales.nhs.uk.

Appendix 1

Table 1: The NHSCT grants for NHS Charities in Wales

NHS Health Board or Trust (note, the funds are given to the NHS Charity / the charitable arm of the Health Board or Trust, not to the Health Board or Trust itself)	Stage 1.1: £35k for all member charities	Stage 1.2: £7 per staff member as at Dec 2019	Stage 1.3: £50,000 for charities applying for additional funding to focus specifically on communities disproportionately affected by COVID	Stage 1.4: £50,000 for Charities in 'local lockdown' prior to the national lockdown / classed as Tier 3 & 4	Stage 2: % of £30 million based on population figure in the STP / Health Board area	Stage 3: £22 per staff member of the NHS Charity's Health Trust /Board
Aneurin Bevan University Health Board	✓	✓	✓	✓	✓	✓
Betsi Cadwaldr University Health Board	✓	✓	✓	✓	✓	✓
Cardiff & Vale University Health Board	✓	✓	✓	✓	✓	✓
Cwm Taf Morgannwg University Health Board	✓	✓	✓	✓	✓	✓
Hywel Dda University Health Board	✓	✓	✓	✓	✓	✓
Powys Teaching Health Board	✓	✓	✓	N/A	✓	✓
Swansea Bay University Health Board	✓	✓	✓	✓	✓	✓
Velindre University Health Trust	✓	✓	✓	✓	N/A	✓
Welsh Ambulance Service Trust	✓	✓	✓	✓	N/A	✓

Table 2: This table provides an estimate of the funds available for NHS Charities in Wales (note these may not be exact figures these are based on numbers of NHS staff and population figures, and these figures may have been rounded up for grant making). To date Hywel Dda is the only Welsh NHS Charity to have submitted final Stage 2 and Stage 3 applications.

NHS Health Board or Trust (note, the funds are given to the NHS Charity / the charitable arm of the Health Board or Trust, not to the Health Board or Trust itself)	Stage 1.1: £35k for all member charities	Stage 1.2: £7 per staff member as at Dec 2019	Stage 1.3: £50,000 for charities applying for additional funding to focus specifically on communities disproportionately affected by COVID	Stage 1.4: £50,000 for Charities in 'local lockdown' prior to the national lockdown / classed as Tier 3 & 4	Stage 2: % of £30 million based on population figure in the STP / Health Board area	Stage 3: £22 per staff member of the NHS Charity's Health Trust /Board	Total (these figures are estimates, and not all NHS Charities may choose to accept all the grants available)
Aneurin Bevan University Health Board	£35,000.00	£84,001.40	£50,000.00	£50,000.00	£263,410.11	£264,004.40	£746,415.91
Betsi Cadwaldr University Health Board	£35,000.00	£112,622.30	£50,000.00	£50,000.00	£311,146.28	£353,955.80	£912,724.38
Cardiff & Vale University	£35,000.00	£95,542.30	£50,000.00	£50,000.00	£221,168.26	£300,275.80	£751,986.36

Health Board							
Cwm Taf Morgannwg University Health Board	£35,000.00	£76,384.70	£50,000.00	£50,000.00	£198,346.73	£240,066.20	£649,797.63
Hywel Dda University Health Board	£35,000.00	£65,646.00	£50,000.00	£50,000.00	£171,804.12	£206,316.00	£578,766.12
Powys Teaching Health Board	£35,000.00	£13,113.80	£50,000.00	£0.00	£59,009.48	£41,214.80	£198,338.08
Swansea Bay University Health Board	£35,000.00	£82,925.50	£50,000.00	£50,000.00	£173,477.99	£260,623.00	£652,026.49
Velindre University Health Trust	£35,000.00	£29,166.20	£50,000.00	£50,000.00	£0.00	£91,665.20	£255,831.40
Welsh Ambulance Service Trust	£35,000.00	£23,828.70	£50,000.00	£50,000.00	+ new AST Specialist grant. Exact amount TBC	£74,890.20	£233,718.90
Total received	£315,000.00	£583,230.90	£450,000.00	£400,000.00	£1,398,362.97	£1,833,011.40	£4,979,605.27

Cyfarfod a dyddiad: Meeting and date:	Charitable Funds Committee 11th June 2021						
Cyhoeddus neu Breifat: Public or Private:	<i>Public</i>						
Teitl yr Adroddiad Report Title:	BCUHB Third Sector Group Report						
Cyfarwyddwr Cyfrifol: Responsible Director:	Sue Hill, BCUHB Executive Director of Finance						
Awdur yr Adroddiad Report Author:	Kirsty Thomson, BCUHB Head of Fundraising						
Craffu blaenorol: Prior Scrutiny:	<i>No prior scrutiny</i>						
Argymhelliad / Recommendation:							
<i>The Committee is asked to note the information included within this report.</i>							
Please tick as appropriate							
Ar gyfer penderfyniad /cymeradwyaeth For Decision/ Approval		Ar gyfer Trafodaeth For Discussion		Ar gyfer sicrwydd For Assurance	✓	Er gwybodaeth For Information	✓
Sefyllfa / Situation:							
<p><i>The Awyr Las Support Team's Partnerships Support Manager continues to work closely with Third Sector Groups that support BCUHB services, particularly those that run cafes, shops or tea trolley facilities on BCUHB premises.</i></p> <p><i>Included in this report:</i></p> <ol style="list-style-type: none"> <i>1. Existing Third Sector Partners Update</i> <i>2. Streamlining support for all charitable supporters of BCUHB</i> <i>3. BCUHB Volunteer Strategy: Volunteering in BCUHB Scoping Exercise and Impact Assessment</i> 							
Cefndir / Background:							
<u>1. Existing Third Sector Partners</u>							
<p>The cafes and shops on BCUHB premises that are run by third party organisations have been closed since March 2020. In May 2021 representatives from Infection Control, Health and Safety, Planning, Estates and Facilities and the Awyr Las Support Team proposed to have a trial reopening of the MVS Café 1 in Wrexham Maelor Hospital, which was ratified by BCUHB's Executive Team. The Head of Fundraising liaised with BCUHB's Chief Operating Officer, NWSSP's Property Management and Legal Teams and BCUHB's Estates and Facilities Team to draw up a Trial Service Agreement, and a Tenancy at Will agreement is now being drawn up. This formal documentation aims to safeguard Third Sector partners and BCUHB, and is being introduced in accordance with best practice.</p>							

The Head of Fundraising continues to work with the NWSSP's Property Management and Legal Teams and BCUHB's Estates and Facilities Team to advance the reopening of catering and retail provision managed by Third Sector parties across all BCUHB sites. The Partnerships Support Manager continues to provide regular support for these third party organisations during what is an exceptionally challenging time for them.

NWSSP's Property Management representative has advised that BCUHB carry out a scoping exercise for the use of space for catering and retail on BCUHB premises, with the aim of ensuring the very best patient, volunteer, visitor and staff service across all catering and retail provision. This exercise aims to benefit and involve all parties: the Third Sector partners, patients & visitors, and BCUHB staff. A Task and Finish Group to oversee this is being established currently.

2. Streamlining support for all charitable supporters of BCUHB

In March 2021, the Head of Fundraising reported that the Awyr Las Support Team is reviewing the process for invoicing third sector groups and assessing the implications this will have on the Awyr Las Financial Procedures. This programme of work is inextricably linked with the introduction of a new CRM, and will progress alongside with the introduction of a new CRM system and be included in the work plan for the roll out of the new CRM. This review is an inclusive activity, and third sector partners will remain engaged throughout the process of implementing new ways of invoicing and reporting.

3. BCUHB Volunteer Strategy: Volunteering in BCUHB Scoping Exercise and Impact Assessment

In March 2021, the Head of Fundraising requested that up to £30,000 of available funds from the 2020/21 fundraising budget be committed to a 'Volunteering in BCUHB Scoping Exercise and Impact Assessment' project.

The BCUHB Volunteer Team, led by the Associate Director Of Organisational Development in Workforce and Organisational Development, have decided to carry out a scoping exercise in-house. The Head of Fundraising and Partnerships Support Manager are working closely with the BCUHB Volunteer Team on this. The aim is to have a new BCUHB Volunteer Strategy in place by March 2022. The Awyr Las Support Team still expects to need to use external suppliers to carry out aspects of the scoping exercise, but anticipated that this activity can be funded through the existing approved 2021/22 Awyr Las Charity budget.

Asesiad / Assessment & Analysis

Strategy Implications

This report is underpinned by the Awyr Las Strategy 2016-21, see <https://awyrlas.org.uk/content/downloads/The-Awyr-Las-Strategy-2016-to-2021.pdf>.

Options considered

The options for reopening cafes and shops are considered by senior representatives from BCUHB's Infection Control, Health and Safety and Estates and Facilities Teams.

The options for working with external agencies to carry out the 'Volunteering in BCUHB Scoping Exercise and Impact Assessment' will be considered by the Steering Group and the BCUHB Procurement Team.

Financial Implications

The fact that shops and cafes have been unable to open will have an impact on charitable income given directly to BCUHB from the Leagues of Friends.

Risk Analysis

A Risk Analysis has been drawn up for all the cafes and shops on BCUHB premises.

A Risk Analysis will be drawn up as part of the 'Volunteering in BCUHB Scoping Exercise and Impact Assessment' Steering Group Terms of Reference

Legal and Compliance

All items within this report will be monitored and will be updated on at the June 2021 Charitable Funds Committee meeting.

Impact Assessment

An Impact Assessment will be carried out as part of the 'Volunteering in BCUHB Scoping Exercise and Impact Assessment'

Cyfarfod a dyddiad: Meeting and date:	Charitable Funds Committee 11th June 2021
Cyhoeddus neu Breifat: Public or Private:	<i>Public</i>
Teitl yr Adroddiad Report Title:	Keep the Beats Report
Cyfarwyddwr Cyfrifol: Responsible Director:	Sue Hill, BCUHB Executive Director of Finance
Awdur yr Adroddiad Report Author:	Kirsty Thomson, BCUHB Head of Fundraising
Craffu blaenorol: Prior Scrutiny:	<i>No prior scrutiny</i>

Argymhelliad / Recommendation:

The Committee is asked to note the information included within this report.

Please tick as appropriate

Ar gyfer penderfyniad /cymeradwyaeth For Decision/ Approval		Ar gyfer Trafodaeth For Discussion		Ar gyfer sicrwydd For Assurance	✓	Er gwybodaeth For Information	
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Sefyllfa / Situation:

The Keep the Beats Fund Advisors wish to enter into trading and sponsorship activity, providing defibrillators for organisations that approach the Fund Advisor for this equipment. The Charitable Funds Committee has agreed funding for defibrillators for the Keep the Beats Fund before, so the purchase of defibrillators through the charity is not new. What is new is the purchase of defibrillators for specific groups or companies that give to the charity in return for a defibrillator.

Currently the Keep the Beats Fund: 1. Fundraises / receives a grant for a defibrillator 2. Purchases a defibrillator 3. Transfers ownership of the defibrillator to a responsible organisation that oversees the maintenance of the defibrillator. The Keep the Beats Fund now wants to also: 1. Receive monies raised or given for a defibrillator in a specific location, which benefits the organisation giving the funding 2. Purchase the defibrillator 3. Transfer ownership of the defibrillator to the organisation which gave the funds, so they can oversee the maintenance of the defibrillator.

At the March 2021 Charitable Funds Committee meeting, the Head of Fundraising raised the Keep the Beats potential trading activity, and was requested to provide assurance for the Committee members who specifically wanted to know:

- All Charity Commission and Fundraising Regulator guidance is be followed at all times
- All BCUHB procedures are being followed
- There is a robust partnership working arrangement in place

This document provides an overview of the steps that have been taken to ensure all of the above have been considered. It demonstrates that: entering into trading of this kind poses a very limited risk to the charity; all possible risks have been mitigated through the actions of the Keep the Beats Fund Advisors

and the Awyr Las Support Team; and all activity related to this will be monitored and reported on regularly.

Please note that the following acronyms are used in this report:

AED: An Automated External Defibrillator (AED) is a type of defibrillator

Awyr Las Fund Advisor: BCUHB staff member responsible for overseeing the income and expenditure of a specific Awyr Las Fund. CPAD Sites: Community Public Access Defibrillator Sites

CPAD Guardian: A voluntary guardian who is responsible for checking a specific CPAD on a regular basis to ensure that the device is rescue ready CPR: Cardiopulmonary Resuscitation

KTB: Keep the Beats, the Awyr Las Fund dedicated to reducing the incidence of and increasing awareness of sudden cardiac deaths. MOU: Memorandum of Understanding

PADS Officer: Public Access Defibrillator Support (PADS) Officer SADS UK: Sudden Arrhythmic Death Syndrome UK (Registered charity number 1113681, part of the international SADS network)

WAST: Welsh Ambulance Service Trust

Cefndir / Background:

The Keep the Beats Fund (KTB) is committed to reducing the incidence of and increasing awareness of sudden cardiac deaths. The primary purpose of the fund is to ensure there are sufficient CPADs, awareness of CPAD sites and people trained in CPR so that no person need die of a sudden cardiac death in North Wales. Julie Starling, the Arrhythmia Advanced Clinical Nurse Specialist, established the Fund because she is passionate about this cause, and she volunteers in her own time to carry out the objectives of the fund through three key means:

- Developing a defibrillator programme for the region, and to support others develop defibrillator programmes out of the region as appropriate
- Developing and delivering educational programmes at events and schools in North Wales
- Fundraise for the above two programmes

An example of how KTB have engaged with local communities since it was established can be found here: [Heart specialists ask public to join in North Wales defibrillator treasure hunt - Betsi Cadwaladr University Health Board \(nhs.wales\)](#).

In 2020 the Keep the Beats Fund Advisor, who also oversees the North Wales Community Out of Hospital Cardiac Arrest Project, requested funding for a grant for the Sudden Adult Death Trust (SADS) UK. This Awyr Las grant was provided to support the full salary costs of a North Wales Community Public Access Defibrillator Support (PADS) Officer for a fixed term period. The PADS Officer had previously been self-employed, carrying out the same duties, working in partnership with SADS, WAST and BCUHB's Cardiology Service. The PADS Officer's main role is to:

1. Support communities with community public access defibrillator (CPAD) sites, ensuring they are on the CAD system and are well maintained and kept operational.
2. Improve data collection for North Wales post out of hospital cardiac arrest.
3. Provide communities with CPR and familiarisation training on how to use the CPAD.

The KTB Fund Advisors and PADS Officer have been working with external partners including schools, community groups and businesses for over three years, guiding them through the purchase, installation and management planning for CPADs. In order to create a full cost recovery model, securing funds for education and information programmes, to create meaningful long-term relationships with the external partners and raise the profile of KTB, KTB wishes to set up formal sponsorship agreements with some of these external partners.

Asesiad / Assessment & Analysis

Strategy Implications

The work carried out by the Keep the Beats Fund is underpinned by the North Wales Community Out of Hospital Cardiac Arrest Project Memorandum of Understanding established in 2018 between the Betsi Cadwaladr University Health Board, Welsh Ambulance Service and Sudden Arrhythmic Death Syndrome UK (Registered charity number 1113681, part of the international SADS network).

The North Wales Out of Hospital Cardiac Arrest Project is carried out with the support of Save a Life Cymru, which was established following the publication of the Welsh Government's Out of Hospital Cardiac Arrest Plan in 2017. Save a Life Cymru sits within the Wales Cardiac Network in the NHS Wales Health Collaborative.

The strategic plans that underline the work of KTB can be seen here:

- [Save a Life Cymru - NHS Wales Health Collaborative](#)
- [Welsh Ambulance Service NHS Trust - Register Your Defibrillator \(wales.nhs.uk\)](#)
- [About Us | Help Us Save Lives | SADS UK](#)
- [Touch someone's life | GOV.WALES](#)

The Out of Hospital Cardiac Arrest Project's first three Year Report will be published on 10th June 2021 and will be presented in the June Charitable Funds Committee meeting. The author, BCUHB's Arrhythmia Advanced Clinical Nurse Specialist, Julie Starling, is a Fund Advisor for Keep the Beats. In her role as an Arrhythmia Advanced Clinical Nurse Specialist, Julie is BCUHB's responsible officer for the work of the North Wales Public Access Defibrillator Support (PADS) Officer.

Options considered

The North Wales Public Access Defibrillator Support (PADS) Officer role, which is currently being funded by Awyr Las, is providing the model for a Save a Life Cymru Out of Hospital Cardiac Arrest Service for all of Wales. Plans are currently being drawn up for PADS Officers to be recruited for the whole of Wales (details of these plans have not been finalised)

The Keep the Beats Fund Advisors and the PADS Officer have considered whether Keep the Beats should / should not fundraise for and fund AEDs and CPAD sites. When considering their options, the Keep the Beats Fund Advisors have considered:

Does the purchase of AEDS and CPADS fit with the aims of the Fund: YES

KTB is committed to reducing the incidence of and increasing awareness of sudden cardiac deaths. The primary purpose of the fund is to ensure there are sufficient CPADs, awareness of CPAD sites and people trained in CPR so that no person need die of a sudden cardiac death in North Wales. The fund objectives are carried out through three key means:

- *Developing a defibrillator programme for the region, and to support others develop defibrillator programmes out of the region as appropriate*
- *Developing and delivering educational programmes at events and schools in North Wales*
- *Fundraise for the above two programmes*

Is it right for the AEDS and CPADS to be funded by the Fund: YES

The Keep the Beats Fund Advisor works closely with the PADS Officer, who ensures all AEDS and CPADS in the region are registered on the National Defibrillator Network ([The Circuit | Our National Defibrillator Network | British Heart Foundation \(bhf.org.uk\)](#)) and who is also responsible for ensuring all AEDS and CPADS have a designated guardian who owns and maintains the equipment. It is the PADS Officer's duty to ensure the guardian knows what their responsibilities are, and that there is a formal agreement in place attesting to those responsibilities. A guardian may be a member of a community council, company employee or local volunteer.

Is it right for an NHS Charity to be involved in funding AEDS and CPADS: YES

Awyr Las has already funded defibrillators, as have other NHs Charities ([NHS Charities Together allocates £7m to fund thousands of ambulance service volunteers - Association of NHS Charities](#)). The Keep the Beats Fund has been established specifically for this purpose, and with well-established links with AEDS and CPADS manufacturers, Julie Starling, the Keep the Beats Fund Advisor, is in a position where she can procure the best quality equipment, which is suitable for all locations in North Wales, at a low cost.

Aside from meeting the objects of the Fund, are there other benefits of receiving donations, grants and sponsorship to fund AEDS and CPADS: YES

- In order to fund its education programmes and additional AEDs and CPADS, Keep the Beats needs to gain more awareness. All AEDS and CPADS funded through Awyr Las will be: promoted on social media and other media channels and will bear the Keep the Beats and Awyr Las logos.
- Those that fund AEDS and CAPDS through the Keep the Beats Fund will continue to have a relationship with Awyr Las, receiving updated on KTB and other charitable activity, which will help create advocates for the charity.
- As the Out of Hospital Cardiac Arrest Project Team, led by the Keep the Beats Fund Advisor, is overseeing the procurement and installation of the Keep the Beats AEDS and CAPDS there is an additional layer of coordination and support for the AEDS or CAPDS Guardian, and a guarantee for all involved that there is accountability and professional oversight.
- The Keep the Beats Fund needs to report on its activity to its supporters and demonstrate impact; the more Keep the Beats AEDS and CAPDS there are, the more demonstrable impact there is of what Keep the Beats is achieving in partnership with others.

These are benefits for those giving to Keep the Beats, and the Keep the Beats Fund itself.

Have the Awyr Las Support Team considered how AEDS and CPADS and the other activity carried out by Keep the Beats should be funded: YES

Keep the Beats aims to raise £100,000 per annum through:

- a) General Donations and Fundraising
- b) Community Organisation - Targeted donations / fundraising
- c) Sponsorship – Targeted
- d) Sponsorship – Non-specific
- e) Grants from Trusts, Foundations and other partners including local charitable organisations

a) Donations and Fundraising:

All funds received through traditional channels will fund AEDS and CAPDS and education programmes in ‘high risk locations’ (for example, frequently visited mountains) which have been identified by the Out of Hospital Cardiac Arrest Project Team as requiring this kind of support. The Keep the Beats Fund will receive the funds, purchase a defibrillator and arrange for it to be installed by the PADS Officer, and pass ownership on to the organisation that the defibrillator Guardian is representing.

b) Community Organisation - Targeted fundraising or donations for a specific AEDS and CPADS:

An organisation, often a community council, will fundraise and request donations for a defibrillator at a specific location. The organisation will pass on the funds to the Keep the Beats Fund specifically for a defibrillator for that organisation. The Keep the Beats Fund will receive the funds, purchase a defibrillator with those funds and arrange for it to be installed by the PADS Officer. Ownership of the defibrillator stays with the organisation which gave the money to the Keep the Beats Fund. The Keep the Beats Fund is purchasing the CPADS on behalf of partners, accepting funding for the purchase

and ownership of the defibrillator is then transferring to the partner, which means that Awyr Las will be entering into trading. Advice on how this impacts on Awyr Las has been sought by the Fundraising Regulator and from the Charity Commission as well as other NHS Charities.

The charity is following the latest published guidance, [Trustees trading and tax: how charities may lawfully trade \(CC35\) - GOV.UK \(www.gov.uk\)](#), which dictates when and how charities can engage in trading to raise funds and how to apply income on trading profits. The guidance states: Charities may carry out trading activities which contribute directly to the furtherance of their charitable objects, or (where the purpose is to raise funds for the charity) which do not involve significant risk. Keep the Beats (KTB) is purchasing CPADS, which is one of the primary purposes of the KTB Fund and which is crucial to meeting the Fund's objectives to reducing the incidence of and increasing awareness of sudden cardiac deaths. KTB will only purchase the CPAD (defibrillator and box) when funding for the CPAD has been pledged to ensure there is no significant risk to the charity.

The type of trading being entered in to is 'Primary purpose trading'. This is trading which contributes directly to one or more of the objects of a charity as set out in its governing document. It includes trading in which the work in connection with the trading is mainly carried out by beneficiaries of the charity, as that will normally be primary purpose trading. Whether it is so or not, both the charity law and the tax treatment are similar.

Awyr Las is permitted to enter into trading currently. The small-scale exemption provision in section 46 Finance Act 2000 exempts from income and corporation tax charity trading profits, and some other income of charities, provided that the trading turnover, together with the other relevant income, does not exceed a specified threshold. It applies only where all the relevant profits or income are applied for the charity's purposes. Where a charity's gross annual income is over £320,000, the maximum permitted small trading turnover is £80,000.

The amount paid for the defibrillator is trading income. All additional donations and fundraising income received through these means is classed as donations and fundraising income.

c) Sponsorship – Targeted

A company may wish to fund a defibrillator on its own premises to help protect its workers and the community it serves. A company can enter into a sponsorship agreement with KTB, funding a defibrillator which they own, and providing additional funding for associated sponsorship benefits: media exposure, use of logo on signage, and providing funding for more defibrillators elsewhere in the region or education programmes. The Sponsorship Packages are completely transparent, so all organisations entering into a sponsorship agreement will be aware of the breakdown of the charges associated with it. All tangible benefits of the sponsorship package – the defibrillator on the company's premises and any other services provided in return for the sponsorship – are classed as trading income.

d) Sponsorship – Non-specific

A company can sign up to a sponsorship package in which the defibrillator ownership and management goes to another organisation. The sponsorship funds a defibrillator in a high risk location which is not close to or directly benefitting the company. This is not classed as trading, unless clear tangible benefits for the company are included in the sponsorship package.

e) Grants from Trusts, Foundations and other partners including local charitable organisations

A Trust, Foundation or charity can give a grant in which the defibrillator ownership and management goes to another organisation. The grant funds a defibrillator in a high risk location which is not close to or directly benefitting the company. This is not classed as trading income.

Financial Implications

Active promotion of Keep the Beats activity by the Fund Advisors and representatives, supported by the Awyr Las Support Team, is expected to generate £100,000 annually to fund new AEDS, CPADS and education programmes:

Donations and fundraising: £20,000

Sponsorship: £50,000

Grants: £30,000

Risk Analysis

The Risk Assessment of all Keep the Beats activity is monitored regularly by the Keep the Beats Fund Advisors and the Head of Fundraising. The main risks identified in the Fund's activity are as follows:

- *Not raising enough to meet the aims of the Fund. Medium Risk. Mitigated by having a Fundraising and Marketing Plan in place, which is regularly monitored and evaluated.*
- *Not having sufficient capacity to meet the aims of the Fund. Medium Risk. Mitigated by establishing a Keep the Beats (KTB) Volunteer Programme.*
- *Not having the governance in place to ensure best practice is carried out and regulation is adhered to at all times. Medium Risk. Mitigated by having necessary documentation in place (see Legal and Compliance below), the fact that the PADS Officer is obligated to comply with the Policies and Procedures of BCUHB and WAST as if he were a member of BCUHB / WAST staff, and all KTB activity is reviewed on a monthly basis by the Fund Advisor and Head of Fundraising. The KTB Fund Advisors recognise they must adhere to Awyr Las Financial Policies at all times, and always use BCUHB procurement channels.*
- *A breakdown in partnership working. Low Risk. Mitigated by: the revised Memorandum of Understanding (MOU) which is being put into place which captures the requirements of all participating partners, the updated Guardian Agreement which outlines the responsibilities of the individual Guardian and the organisation that the Guardian is representing, and the Sponsorship Agreement Template.*
- *Exceeding Awyr Las' maximum permitted small trading turnover of £80,000. Low Risk. The anticipated sponsorship income that could be classed as trading will be under this amount. All income is formally recorded and monitored by the dedicated Charity Assistant Accountant, and it is reviewed by internal and external audit. Should the charity be generating trading income over £60,000, the situation will be reviewed and a new policy will be adopted to ensure the turnover does not exceed the permitted amount.*
- *Reputational damage to the Charity. Low Risk. The promotional information, which includes the Keep the Beats and Awyr Las logos, that is included on the AEDS & CPADS that are installed on behalf of Keep the Beats is logged by the Keep the Beats Fund Advisor to ensure it is well maintained. The CPADS that Keep the Beats purchases are of the very best quality, they are added to the British Heart Foundation Network as soon as they are installed and they all have a Guardian attached to them to ensure the service remains online. There are robust WAST approved systems in place to ensure excellence.*
- *Lack of Exit strategy for the management of AEDS & CPADS bought through the charity and the coordination of other Keep the Beats activity. Low Risk. The AEDS and CPADS are managed by and are the responsibility of Guardians who are not acting on behalf of the charity. The Education activity will continue only whilst there is capacity to do so.*

- *Entering into trading. Low Risk. The risk is mitigated almost completely because the Keep the Beats Fund will only purchase a defibrillator when the funding for it has been secured or pledged.*

Legal and Compliance

The following documents are in place; Template Sponsorship Agreement; Template Promotional materials for Keep the Beats' AEDS and CPADS; Template AED and CPAD Guardian Agreement.

The following is in the process of being approved, and is with NHS Wales Legal Team for review currently: Updated Memorandum of Understanding between Betsi Cadwaladr University Health Board, Welsh Ambulance Service, SADS UK and Awyr Las

Impact Assessment

An EQIA and SEIA has been carried out by the Keep the Beats Fund Advisor, supported by the Head of Fundraising.

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Report Template V2.0 July 2020.docx

Appendix 1 – Work Plan 2021/22



GIG
CYMRU
NHS
WALES

Bwrdd Iechyd Prifysgol
Betsi Cadwaladr
University Health Board

Cyfarfod a dyddiad: Meeting and date:	Charitable Funds Committee 11 th June 2021						
Cyhoeddus neu Breifat: Public or Private:	Public						
Teitl yr Adroddiad Report Title:	Committee Work Plan for 2021/22						
Cyfarwyddwr Cyfrifol: Responsible Director:	Sue Hill, Executive Director of Finance						
Awdur yr Adroddiad Report Author:	Emma Jones, Awyr Las Digital and Data Manager						
Craffu blaenorol: Prior Scrutiny:	None						
Atodiadau Appendices:	<u>Appendix 1</u> : CRM Business Case						
Argymhelliad / Recommendation:							
The Committee is asked to approve the Customer Relationship Management (CRM) Business Case							
Please tick one as appropriate (note the Chair of the meeting will review and may determine the document should be viewed under a different category)							
Ar gyfer penderfyniad /cymeradwyaeth For Decision/ Approval	<input checked="" type="checkbox"/>	Ar gyfer Trafodaeth For Discussion	<input type="checkbox"/>	Ar gyfer sicrwydd For Assurance	<input type="checkbox"/>	Er gwybodaeth For Information	<input type="checkbox"/>
Sefyllfa / Situation:							
The Charitable Funds Committee is responsible for the oversight of the risks for the charity. A potentially increasing risk, particularly as charities adapt to changes in giving methods and behaviours which have been accelerated by the Covid-19 pandemic, is not having an effective CRM in place and instead relying on manual data and communications management.							
Cefndir / Background:							
The Awyr Las Support Team submitted a scoping document to the Charitable Funds Committee (CFC) in December 2020, requesting that the team, specifically Emma Jones who oversees digital and data for the charity, dedicates time and resource to developing a business case for a CRM.							
Appendix 1 provides the full business case. The CRM will be funded through the existing approved charity budget. The costs for a new CRM and the associated implementation costs are anticipated to exceed £25,000, so an open tender process will take place.							
The business case highlights the importance of procuring the services of a professional implementation partner. Without robust implementation and dedicated capacity within the team to support the implementation and the subsequent roll out of the CRM's use, the introduction of this new system will not be worthwhile.							
Currently the fundraising function of the charity team is unable to clearly report its effectiveness and activity. A CRM will provide the CFC with the assurance it needs to oversee the charity							

Appendix 1 – Work Plan 2021/22

support team well, and most importantly, the CRM will greatly enhance our supporters' experience.

Asesiad / Assessment:

Strategy Implications

Aligned to the Awyr Las Charity Strategy.

Options considered

Included in the business case

Financial Implications

All costs are covered in the Charity Budget

Risk Analysis

Included in the business case

Legal And Compliance

Information Governance and IT Systems Teams will be involved in all stages of the CRM implementation and procurement exercise.

Impact Assessment

Completed

Division / Area / Department	Awyr Las, the North Wales NHS Charity
Development or Scheme Title	Customer Relationship Management (CRM) Modernisation
Author/s	Emma Jones, Fundraising Support Manager
Executive Sponsor	Sue Hill, Executive Director of Finance
Version	1.1
Date	27/05/2021

1	Executive Summary
<p>Introduction</p> <p>The Awyr Las Support Team (ALST) has been using a Customer Relationship Management (CRM) solution called “Harelquin” for nine years. The system is “on-premise”, meaning it is hosted on a Betsi Cadwaladr University Health Board (BCUHB) server. There are a number of issues and risks with the system. Changing to a new cloud-based CRM would present many opportunities to streamline processes, improve data security, and increase donor satisfaction.</p> <p>This is a proposal for moving to a CRM solution to would address the following:</p> <ul style="list-style-type: none"> • Silos of data in disparate systems • Manual time entering data from external systems • No visibility of supporters and their engagement with the charity • Out of date and inflexible system • Lack of compliance, audit and access to data controls • Manipulation of data for reporting – time consuming & out of date • Not user friendly and available from home and via mobile devices <p>Strategic case</p> <ul style="list-style-type: none"> • A new CRM is essential to ensure the success of the Awyr Las strategy • The current CRM does not offer the integrations that are considered “as standard” from modern systems • The charity is at risk of becoming less relevant, missing opportunities to innovate and connect with supporters in the digital-first way that they have come to expect • Fundraising is now happening everywhere, with the majority being online – the right tools are needed to effectively steward this cohort of supporters • A new CRM with better functionality would enable ALST colleagues to use a range of digital communication methods to suit supporters’ needs and preferences 	

- ALST would be able to work more efficiently through new ways of working, including from home
- Supporters and donors would feel more listened to (through tailored communications), they would have greater trust that their data is safe, and they would feel satisfied that they received communications in a way that is best for them

Options

The status quo is not a viable option because the current system is not fit for purpose, even if the access and duplicate record issues were resolved. Two main alternative options are identified in the business case:

- Subscribe to an off-the-shelf CRM that has a fundraising focus but is customisable enough to integrate with other solutions in the future (e.g. lottery management, grant management) via APIs. Work with an implementation partner to get the system working optimally.
- Purchase a bespoke CRM and work with a consultant to set up and configure the system to the charity's needs as they are now. As the charity grows and develops, work with a consultant again to switch on and configure the additional functionality within the system (e.g. lottery management, grant management).

These are the main differences between the two options:

- Cost – a bespoke system is significantly more expensive to configure
- Functionality – a bespoke system could be excessive, with the charity paying for reams of unnecessary features, risking the basic function of the CRM becoming clouded by complex interfaces and processes
- Customisability – off-the-shelf options are customisable to a point (they tend to focus on doing one thing really well and then integrating where feasible with other platforms, rather than trying to do absolutely everything in-house), whereas with bespoke systems the possibilities are almost endless, budget permitting
- User experience – the learning curve tends to be steeper with bespoke systems, so in a small team the loss of their “data specialist” could undermine the entire system, whereas off-the-shelf CRMs tend to be more user-friendly and accessible

Financial case

Changing CRM would represent an increase in annual cost, compared with the current CRM. Additionally, there are one-off costs associated with implementing and configuring a new system.

- The main cost in Year 1 would be implementation
- A large part of the implementation is the data cleanse and migration
- The data that the charity holds on its supporters is a valuable asset

- Supporters rightly expect their data to be handled securely and stored safely; the charity has a duty to do so under GDPR
- The best and most straightforward way to honour this expectation is to use a professional service to migrate the data

Approaching the migration in this way reduces the risks when transferring the data. Though the migration could be attempted using the in-house resource, it is not the best approach. This judgement is based upon the following:

- Data cleansing and migration is a specialist service – though it could be attempted in-house, there is no guarantee that it would be performed correctly or to the highest standard
- Migration comes with a risk of data loss – using a specialist provider, who has the capacity and the expertise to perform several test migrations before the final live migration, down time post-implementation where errors need to be rectified, additional investment post-implementation to tweak the system

Ultimately, it is essential that data is transferred properly. This is not just a new system; it is a cultural change that will fundamentally affect the way the ALST works. It is necessary to invest at the beginning to ensure we “start as we meant to go on”. The data cleanse and migration is key to getting it right the first time. Not doing so risks having to rectify issues, retrofit solutions after the system is in place, and make it more likely that uptake within the team is poor or not sustained because users are experiencing issues.

Governance & project management

The Fundraising Support manager within the ALST, who has a focus on Digital & Data, would lead the project, with support from the Head of Fundraising.

Representatives from key departments, namely Informatics, Information Governance and Communications, would provide assurance throughout the project’s duration, until the new system went live.

Conclusion & Recommendations

Summary

It is necessary to replace the charity’s CRM with a cloud-based solution, ensuring consistent access to donor data for the ALST, to deliver improvements in data security and information governance processes, and provide an improved service for donors through integrations with other platforms, such as JustGiving. ALST’s current system does not offer integrations with any platforms, is on-premise (not cloud-based), and does not function reliably, which is exacerbated when accessed from home – causing the system to crash.

Risk of not proceeding

The greatest risk of not proceeding with this proposal is data loss or breaches because of information stored inappropriately. This happens because the system is unreliable and sometimes not accessible, so informal “workarounds” are developed (e.g. using Excel to store data). Other risks include compromised security from running an out of date version of the CRM (because the current system needs manual updates), and errors wasting resources (e.g. duplicate correspondence being sent).

Input from procurement

Procurement have been consulted during the preparation of this Business Case.

Their recommendation is that the charity commence an open tender process to find a new CRM provider. The providers that have been evaluated during the preparation of this business case would be invited to submit a bid.

An open tender process is necessary because, following research into costs conducted during the preparation of this proposal, costs for a new CRM solution plus implementation could exceed £25,000.

Recommendation

- Produce a specification using the non-financial criteria developed during scoping
- Advertise the tender on Sell2Wales for seven days
- Invite the providers that have been evaluated during the preparation of this business case to apply

2	The Strategic Case
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2.1	Introduction
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In 2019, Digital & Data was identified as a priority for the charity and a Fundraising Support Manager was given a specific focus on this area of work. Part of this work stream involved evaluating the charity’s current CRM and identifying opportunities for improvement.

In August 2020, a survey was completed by members of the ALST. The feedback from this was used to create an outline case for change. This was presented to the Charitable Funds Committee (CFC) in December 2020. Members of the CFC requested an options appraisal to be completed as part of the business case, to be considered at its next meeting.

The Fundraising Support Manager has subsequently carried out significant research and scoping exercises to develop a full business case, including a webinar with NHS charities and a second webinar with representatives of the wider third sector. Through this, contact was made with Addenbrooke’s charity, who recently changed CRM provider and used a specialist implementation partner to expedite this process. Addenbrooke’s has been used as a case study and a peer reviewer for this proposal.

The business case is presented now for consideration.

2.2	Strategic Context
	<p>The CRM system sits within a wider digital transformation project, identified as a priority in the Awyr Las Strategy and aligned with BCUHB's digital transformation agenda, as set out in "Our Digital Future: Digital Roadmap for Health in North Wales 2021-2024".</p> <p>In particular, this proposal would contribute to "transforming the patient (donor) experience... through digital ways of working".</p> <p>Under Ambition 1 – Enabled Patient and Carers Experiences, this proposal would help meet the following:</p> <ul style="list-style-type: none"> • I am listened to • I trust that my data is safe • I am communicated with in a way that is best for me <p>Under Ambition 2 – Connected Staff, this proposal would help meet the following:</p> <ul style="list-style-type: none"> • I can use a range of digital communication methods to suit my patients' (supporters') needs • I have the digital skills, confidence and the right equipment to do my job • I can work more efficiently through new ways of working • I can work effectively as part of an internal team or with key partners • I am actively involved in improving my service <p>Additionally, the CRM Modernisation business case will address the following themes:</p> <p>Information governance / data security</p> <ul style="list-style-type: none"> • Charities must be able to respond swiftly to requests under the Freedom of Information Act, the General Data Protection Regulation and the Privacy and Electronic Communications Regulations • Such requests can be complex and time consuming to meet, but are simplified when an effective CRM is in place • Donors rightly have an expectation that their information is handled and stored securely – modern cloud-based CRMs offer cutting edge data security, with information hosted on market leading servers such as Microsoft Azure or Amazon Web Services (AWS), offering additional layer of assurance for donors <p>Inefficient processes</p> <ul style="list-style-type: none"> • In the modern world, there is an expectation that communication should be instant • During the pandemic, we have all spent more time online • This has resulted in more demanding consumers of digital media • As we have come to rely more and more on digital channels to meet important needs, we have raised our expectations - charities are not immune from this expectation

The modern fundraising landscape

- Competition for charitable support is fierce
- As charities in North Wales and beyond seek to rebuild following COVID-19, which throttled the fundraising ability of most non-profit organisations – the fundraising market will become increasingly saturated
- The onus is on the charities to inspire people to give
- The ability to offer a positive, authentic, enriching experience that inspires loyalty in donors, not just a simple transaction
- It's clear that there has been a shift towards embracing a more digital-first approach in the charity sector, using the tools available to provide a more tailored and rewarding experience for the donor
- Innovation is required more now than ever, and there is a need to adapt to a constantly changing digital world, meeting the expectations of donors
- Digital is also central to enabling growth within the charity, and its ability to attract new and different supporters
- Digital is central to the development of appeals and campaigns that generate unrestricted funds
- By facilitating the huge potential of digital projects in a way that current systems can't
- There is a need to keep pace with other forward-thinking NHS Charities, sharing good practice and demonstrating impact
- Significant research has been carried out looking at what others are doing in the sector, specifically what NHS charities are doing
- Evidence that NHS charities are opting to leave Harlequin in favour of more modern cloud-based CRM

The need for agile working

- Fundraising happens everywhere
- Supporters can now fundraise “at the drop of a hat”, adding a donation button to their Facebook post, Instagram story, or their live stream
- Without the right tool for the job, it can be difficult to track and engage with these “causal” supporters, and almost impossible to convert them into loyal ambassadors
- Modern CRMs recognise the need for charities to “be where their supporters are” and come with the tools needed for the job, accompanied by a development roadmap that anticipates and responds to developments in the digital landscape
- Additionally, there is a need for BCUHB's charity digital and data services to move forward at the same time as other departments within BCUHB
- BCUHB's Communications Team is expanding to provide improved digital and internal communications, and more effective community engagement
- The CRM modernisation will support the Charity to develop professional digital services that complement activity managed by other departments within BCUHB

2.2.1

Organisational Overview

The ALST is part of the BCUHB Finance Division. The Finance, Fundraising and Partnerships functions of the team will all benefit from having a new CRM.

At the scoping, solution build and implementation stage, key representatives from BCUHB will provide input, via a remote working group consisting of representatives from:

- Communications
- Informatics
- Information Governance

The working group will ensure that the CRM project will fit into BCUHB's wider organisational plans and aims.

2.2.2 Relevant National and Local Strategies

Welsh Government

In its Digital Strategy for Wales, the Welsh Government sets out a commitment to use digital, data and technology to improve the lives of people in Wales. As our society becomes increasingly digital, it is essential that the Charity can contribute to this digital approach, and "deliver modern services at pace".

In particular, this proposal is relevant to:

Mission 5: digital connectivity

- *"The public sector in Wales will be able to use fast and reliable digital connectivity to deliver effective digital public services, enable remote working, drive efficiency and innovation."*

Mission 6: data and collaboration

- *"People and organisations have full confidence that their data is being treated responsibly, handled securely and used ethically."*
- *"People will receive better, seamless, services and outcomes will be improved because data is being used effectively and innovatively."*
- *"Public sector data is made available and published openly, where it is appropriate (i.e not personal data), in formats that support transparency, re-use and accountability, and work together and share information appropriately and securely to deliver better outcomes."*

Civil Society

Every year, Civil Society carries out a large-scale survey of third sector organisations, ranking their CRM providers. The results are published in Fundraising Magazine.

The pool of options considered in this proposal was formed using the CRMs that are evaluated as part of the annual survey.

See Appendix 1 for full results of the survey in 2020 and 2021.

CRM	Number of responses	Functionality	Cost	Integration with other systems	Integration with website	Ease of use	Accessibility	Security	Ability to customise	Overall
Beacon	53	4.9	4.9	4.7	4.7	4.9	4.8	4.9	4.8	4.9
Donorfy	81	4.7	4.7	4.5	4.2	4.6	4.6	4.6	4.3	4.7
Harlequin	14	4.2	4.3	3.7	3.6	4.1	4.1	4.4	3.9	4.1
Salesforce	7	3.9	3.4	4.1	3.4	3.3	4.1	4.3	4.3	3.9
Raiser's Edge	148	3.9	3.2	2.9	2.8	3.6	3.6	3.6	2.9	3.5

2.3 The Case for Change

- Through survey and research, ALST has reached the conclusion that Harlequin is no longer fit for purpose
- Whilst at the time, it was the right CRM - nine years on, the CRM is largely the same as it was when it was implemented
- Elsewhere, in recent years CRMs have seen rapid developments in terms of functionality and integration, with many providers offering integration with popular apps and platforms “out of the box”
- Some of the integrations on offer are genuinely powerful and will make a significant difference to the day to day work of the ALST, translated into more time to do what matters (like supporting fundraisers)
- Ultimately, changing CRM will result in a hugely improved service for donors, resulting in better donor retention, improved satisfaction, and increased levels of giving – in turn, leading to more money to spend on supporting patients and staff
- COVID-19 has accelerated need for agile working, and ways to communicate with donors in remote ways; this project is timely
- BCUHB has set out its commitment to working more efficiently through new ways of working; cloud-based solutions will facilitate the following Staff Experiences under Ambition 2 – Connected Staff:
 - *“If my role allows, I can work from any location and meet my colleagues virtually which means I spend less time travelling.”*
 - *“I have confidence in the systems that I use and the information held in them is up to date.”*
- Greater data security is offered by cloud-based systems – which are updated immediately and instantly, meaning users are never running an outdated version
- Data is safeguarded as backups are automatic
- Modern CRMs provide an integrated solution enabling real-time communication with recognised fundraising platforms (e.g. JustGiving); this is currently not possible for Awyr Las, as the existing system does not offer such integrations

2.3.1 Existing Arrangements

- The ALST currently uses Harelquin as its CRM
- It has been the charity's CRM for the past nine years
- Harlequin is an on-premise solution, hosted on a BCUHB server
- Harlequin can only be accessed when logged in to the BCUHB network
- Although it is possible to access Harlequin when logged in to the BCUHB network using the Virtual Private Network (VPN), it is slow, and causes freezing and lagging
- Often, attempts to run queries (e.g. to generate a report on the number of people donating over a certain amount within a defined date period) will cause the system to crash, necessitating a restart
- This is an issue that Harelquin is aware of and have tried to rectify, though fundamental it is caused by the system being on-premise rather than cloud-based
- The Awyr Las Charity Accountant and Assistant Charity Accountant currently use the Harlequin financial package as well as the Harlequin CRM package

2.3.2 Issues and Risks with the Existing Arrangements

Information governance / data security

- Risk of data loss or breaches because of data stored inappropriately (e.g. on Excel) because Harlequin behaves unreliably in the current setup
- Security risks arise as ALST is often running an outdated version of the CRM – the current CRM requires manual updates, upgrades and backups, with updates not done consistently; moving to a cloud-based system would mean updates, upgrades and backups performed instantly, automatically
- Duplicates on the system means there is a risk of sending duplicate communications to donors, leading to annoyance and wasted resources – or miscommunications (e.g. sending correspondence to old addresses)

The need for agile working

- Difficult to access from home means informal “workarounds” are implemented (e.g. using a different solution to store data), or the CRM is only used in an ad hoc way
- Many of the current processes rely heavily on key members of staff, making it fragile – loss of key members of staff would have a disproportionate impact on ability to use the CRM and access the data it holds

Inefficient processes

- Though the current system costs less than the alternative options explored, it does not represent good value for money as it is being largely underused (because of user friendliness and access issues) – this proposal argues that the efficiencies achieved by a new system outweigh the costs
- Gift Aid claims are manual, meaning loss of potential income on some donations where declaration is not collected or followed up

- Repetition and duplication of effort because of poor or broken processes, many adopted because the CRM is configured ineffectively
- Current system causes bottlenecks (batches of donations are uploaded on to the system weekly, with the data from the batches used to generate thank you letters – potential for a new system to have donations added instantly and automated email receipt generated – with thank you letter as a follow up) leading to delays in donor communications, and donor communications are not sufficiently tailored – poor donor satisfaction could lead to lost income in potential repeat or upgraded donations

The modern fundraising landscape

- Risk of falling behind / becoming irrelevant – currently missing out on innovation because of lack of integration
- The charity is not connecting as well with donors in the digital-first way that they have come to expect

2.3.3

Scope of the Case

- This proposal relates to implementing a new CRM to address the issues outlined in section 2.3.2
- The proposal should be viewed as part of a larger digital transformation project
- This business case does not cover implementing a new financial system, though the two systems are intrinsically linked, and changing to a new CRM will present opportunities to explore a new financial solution, potentially leading to efficiencies and improvements in that regard
- This business case does not explore a staff lottery solution or a grant management platform, though scoping has been carried out in such a way that the solution identified is future proofed and sufficiently customisable, and it is possible to extend the functionality in the future to accommodate new functions and activities, like the lottery

2.3.4

Objectives and Benefits

Objective

Benefits

To fully integrate the CRM with JustGiving by December 2021, leading to 100% of donations on that platform being automatically allocated to the correct fund

Less time spent manually allocating JustGiving donations, better communication with fundraisers

To establish a regular giving scheme raising £5,000 per annum by September 2023

Realise and untapped market, generate unrestricted income for the charity

To have a functional dashboard for the ALST by September 2021

ALST better able to run reports from the CRM, able to make evidence-based decisions around events, marketing materials, and appeals

To provide an immediate automated acknowledgement for 90% of donations by December 2021

Less reliant on outdated manual processes, better service for the donor, greater transparency and reassurance for the donor

To reduce waiting times for thank you letters by 20% by September 2022		Increased donor satisfaction, repeat donations, upgrades, recommendations
To claim 20% more in Gift Aid on eligible donations within 12 months of adopting the new system (when compared to the previous year)		Maximise value of donations, increased income
To achieve 100% compliance with CRM Standard Operating Procedures by January 2022		Consistency, staff satisfaction, robust procedures
To reduce the time it takes to generate a batch of thank you letters for donors by 50% by January 2022		More time available to be spent on other priority tasks (donor care, lead nurturing, etc), increased donor satisfaction
To reduce duplicate records on the CRM by 80% by October 2021		More confidence in the system, easier to navigate and use the data available, data becomes more valuable / powerful
To establish systematic process map for every CRM-related procedure by January 2022		Consistency, staff satisfaction, robust procedures
Launch a charity e-newsletter by December 2021, supported by the CRM		Better engagement with donors, opportunities to share impact of charity, cultivate stronger relationships with donors
To review and update 100% of donor communications by March 2022, using automation and digital channels to enhance the donor journey		Charity’s communications become more tailored and effective, potential for elements of the thanking process to become digitised (where appropriate) resulting in cost savings and reduced environmental impact
2.3.5	Constraints	
<ul style="list-style-type: none">• Some CRMs, although more customisable, are prohibitively expensive (see 3.3)• Not all CRM providers and implementation specialists are familiar with NHS charities and, whilst they may have a good understanding of the sector as a whole, experience of working with NHS charities provides assurance		
2.3.6	Dependencies	
<ul style="list-style-type: none">• This proposal would not necessitate a change in the financial package used, though it could prompt one• The success of the project would be dependent upon upfront financial investment• There would be an ongoing revenue commitment (see section 4.1)• The project would require a dedicated resource within the team to ensure a consistent approach• Engagement from affected departments would be necessary to ensure the success of the project (e.g. Finance, Informatics)• General Office colleagues are central to the operation of the charity, taking phone and in-person donations from members of the public, and supporting ward staff with banking donations taken on the ward – their engagement would be essential		

<ul style="list-style-type: none"> • Involvement from Informatics would be necessary to ensure a new CRM is implemented properly and in such a way that it integrated well with relevant in-house systems (e.g. Office 365). • Buy-in from ALST members would be essential – digital transformation such as this is an ongoing process and commitment would be needed to prevent reverting to old habits • There would be a need for the new system to be underpinned by reviewed and improved internal processes, to ensure they were mapped correctly to the new CRM 									
3	Options								
3.1	Non-Financial Criteria for Options Appraisal								
<p>The development of these non-financial criteria has been informed by a survey that the ALST completed in August.</p> <ul style="list-style-type: none"> • User friendliness • Support available (from provider and peers) • Availability of specialist implementation support • Integration with relevant platforms • Welsh language capabilities • Donor satisfaction • Hosted in the cloud • Accessible from anywhere • Data security 									
3.2	Longlist of Options								
<p>A) Invest time and money in improving the current Harlequin set up B) Change to an off the shelf solution, like Donorfy or Beacon C) Implement a fully customised system, like Salesforce or Raiser's Edge NXT</p>									
3.3	Appraisal of Longlist and Creation of Shortlist of Options								
A) Invest time and money in improving the current Harlequin set up									
<table border="1"> <thead> <tr> <th>Strengths</th><th>Weaknesses</th></tr> </thead> <tbody> <tr> <td>This is the system already in use so members of the ALST are familiar with it</td><td>Very little on offer in terms of integration – risk of missing out on innovation</td></tr> <tr> <td>Less expensive than the other options explored in this business case</td><td>Pay per user license, limits access to the CRM</td></tr> <tr> <td>Modules available so, if configured and used correctly, possible to have multiple processes covered by the CRM</td><td>On-premise set up means it would be challenging to speed up access</td></tr> </tbody> </table>		Strengths	Weaknesses	This is the system already in use so members of the ALST are familiar with it	Very little on offer in terms of integration – risk of missing out on innovation	Less expensive than the other options explored in this business case	Pay per user license, limits access to the CRM	Modules available so, if configured and used correctly, possible to have multiple processes covered by the CRM	On-premise set up means it would be challenging to speed up access
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Less expensive than the other options explored in this business case	Pay per user license, limits access to the CRM								
Modules available so, if configured and used correctly, possible to have multiple processes covered by the CRM	On-premise set up means it would be challenging to speed up access								

	<p>Consensus among team that the user experience leaves a lot to be desired</p> <p>No online training or free resources</p> <p>Modular nature sometimes means it is “like fitting square pegs in round holes” – it’s not always necessarily the right tool for the job</p>
Opportunities	Threats
<p>Long relationship with provider could help leverage additional support to resolve issues</p>	<p>High chance of falling back into old habits if issues remain (e.g. slow to access = data begins to be stored elsewhere)</p> <p>Sometimes running outdated version because updates are manual – could miss out on patches and security fixes</p> <p>Poor experience to date means team is disillusioned with system</p>
Conclusion	
<p>Even if Harlequin is fully embedded, and the access issues are resolved, it still lacks the basic functionality and integrations offered by other CRMs. On that basis, Option A has been rejected.”</p>	
B) Change to an off the shelf solution, like Donorfy or Beacon	
Strengths	Weaknesses
<p>Appetite for change within ALST</p> <p>Cloud-based = quick and easy to access from anywhere</p> <p>Sector specific – designed for charities</p> <p>Easy to learn</p> <p>User friendly</p> <p>Good reputation among current users</p>	<p>Not modular – specialise in being a CRM, and anything else needs to be integrated</p>
Opportunities	Threats
<p>Chance to get it right the first time</p> <p>Almost limitless integrations thanks to APIs</p>	<p>Changing to a new system means upheaval, data migration is a major process, learning curve</p>

Flexible enough to accommodate growth without being overly complex	Success of the system depends on staff buy in; need a comprehensive and ongoing programme of training to maintain a consistent approach
Conclusion	
This option would offer significant improvements quickly and for a relatively low cost. Being cloud-based, it would rectify some of the biggest challenges facing the charity in terms of consistent use of the CRM, as it would be much quicker to access, and accessible from anywhere via mobile or desktop. Out of the box integrations with software the charity already uses offers potential for multiple “quick wins” with regard to streamlining processes. This is the preferred option.	
C) Implement a fully customised system, like Salesforce or Raiser’s Edge NXT	
Strengths	Weaknesses
<p>Appetite for change within ALST</p> <p>Cloud-based</p> <p>Free for first ten licenses (Salesforce)</p> <p>High specification and very powerful – could run all / most of the charity’s processes through the CRM</p>	<p>Need to hire a “Consulting Partner” from an approved list to make the system work (Salesforce)</p> <p>Can be complex and challenging to configure to the user’s exact needs</p> <p>Raiser’s Edge NXT is one of the more expensive CRMs</p> <p>Feedback from other charities suggests integrating Raiser’s Edge NXT is challenging</p> <p>Steep learning curve</p>
Opportunities	Threats
<p>Modular so can bolt on new processes or functions as and when needed</p> <p>Specialist training on offer to help users get the most out of the system (Raiser’s Edge NXT)</p> <p>Chance to get it right the first time</p> <p>Almost endlessly customisable and can carry out almost any kind of automation or workflow (Salesforce)</p>	<p>Risk that it becomes unmanageable – need to strike a balance between functionality and future proofing, and what the charity needs in the here and now</p> <p>Limited resource within the ALST would make it precarious – if the individual with specialist knowledge was on annual leave, off sick, or left the team, it would be a challenge to sustain the CRM</p> <p>Changing to a new system means upheaval, data migration is a major process, learning curve</p>

	Success of the system depends on staff buy in; need a comprehensive and ongoing programme of training to maintain a consistent approach	
Conclusion		
Salesforce offers a free system for charities (for up to ten users), but feedback gathered during scoping indicated that it takes significant time and expertise to customise the system to make it work effectively according to the charity’s needs. Realistically, external support is needed to configure it properly. Raiser’s Edge NXT is highly regarded in the sector, but is expensive – starting at ~£700 per month. The size of the charity’s supporter base, and the charity’s needs at this time, do not warrant a high spec, bespoke system. Because of this, Option C has been rejected.		
Shortlist		
<ul style="list-style-type: none">• Move to Beacon and use Beacon’s in-house implementation system for the migration• Move to Donorfy and use a Donorfy-approved implementation partner for the migration		
Please note: This shortlist is indicative and other providers may choose to submit a bid during the tendering process, and subsequently win. Beacon and Donorfy are examples of “off the shelf” CRMs and have been appraised for the purpose of this business case, to provide an insight into the strengths, weaknesses, opportunities and threats associated with such a system.		
3.4	Appraisal of Shortlisted Options	
	Beacon	Donorfy

Strengths	<p>Cloud-based</p> <p>Data hosted on AWS, global market leader</p> <p>Multiple integrations</p> <p>Easy to learn</p> <p>User friendly</p> <p>Rated “Best CRM” in 2020 and 2021 (Fundraising Magazine)</p> <p>Has an opportunities pipeline, which could be configured to act as a basic grant management tool</p> <p>Integrates “out of the box” with tools such as MailChimp, JustGiving</p> <p>Part time licenses available, meaning the charity would pay less for a license for someone working 3 days per week that it would for full time license</p>	<p>Cloud-based</p> <p>Data hosted on Microsoft Azure, 2nd only to AWS</p> <p>Several NHS Charities already use Donorfy – track record</p> <p>Able to pair the charity up with an implementation partner who recently supported an NHS charity to move to Donorfy and therefore already has good insight into the needs and structure of NHS charities</p> <p>Integrates “out of the box” with tools such as MailChimp, JustGiving</p> <p>Has a focus on improving fundraising</p> <p>Easy to learn</p> <p>User friendly</p> <p>Founded in 2017; three years ahead of Beacon in terms of track record and development</p> <p>Transparency around development – publishes roadmap so users can see developments and improvements that are in the pipeline</p> <p>Pay according to size of supporter base, not users</p>
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Weaknesses	<p>Depends on having integrations / APIs</p> <p>Relatively new – founded in 2017; track record is good but more limited than Donorfy</p> <p>Focus is on fundraising – relies on other systems to cover other functions (like lottery)</p> <p>Pay per user license, limits access to the CRM</p> <p>Fees deducted on donations being made through Beacon forms</p>	<p>Depends on having integrations / APIs</p> <p>Focus is on fundraising – relies on other systems to cover other functions (like lottery)</p> <p>Feedback from users with experience of both CRMs suggests Donorfy is not as user friendly as Beacon (but still very user friendly when compared with other CRMs)</p>
Opportunities	<p>Flexible – not having everything from one provider means if a different / better solution becomes available for a particular process (e.g. grant management), it's easier to switch to it without having to overhaul every process</p>	<p>Flexible – not having everything from one provider means if a different / better solution becomes available for a particular process (e.g. grant management), it's easier to switch to it without having to overhaul every process</p> <p>Pricing structure lends itself to widening access to the CRM – opportunities for more people to have access = room for innovation, streamlining of processes and improved donor stewardship</p>
Threats	<p>If the charity had a surge in donations being taken through the forms, fees could increase dramatically</p>	<p>If the charity experienced massive growth in its supporter base without a corresponding increase in income, the cost of the CRM could become unsustainable</p>
3.4.1	Appraisal against Non-Financial Criteria	
User friendliness	<ul style="list-style-type: none"> Both Beacon and Donorfy are rated highly in the 2021 Annual CRM Survey, scoring 4.9 and 4.6 out of 5 respectively for user-friendliness 	
Support available (from provider and peers)	<ul style="list-style-type: none"> Both Beacon and Donorfy offer support through raising support tickets via the website, as well as telephone support Beacon offers training at £150 (excluding VAT) per 2 hour session 	

	<ul style="list-style-type: none"> • Donorfy offers monthly “deep dive” webinars where a key feature of the CRM is explored • Numerous NHS charities using Donorfy having migrated recently; a ready-made peer support network
Availability of specialist implementation support	<ul style="list-style-type: none"> • Donorfy matches charities with a specialist implementation partner – for Awyr Las, they have recommended MAST ICT, who recently supported Addenbrooke’s NHS Charity to migrate to Donorfy • Beacon does the implementation in-house
Integration with relevant platforms	<ul style="list-style-type: none"> • Both CRMs offer integration with the most relevant platforms • Donorfy matches charities with an implementation partner that can build custom APIs if needed, if a native implementation is not available
Welsh language capabilities	<ul style="list-style-type: none"> • Donorfy donation forms are natively bilingual
Donor satisfaction	<ul style="list-style-type: none"> • Both CRMs would lend themselves to an improved experience for donors
Hosted in the cloud	<ul style="list-style-type: none"> • Both Beacon and Donorfy are cloud-based solutions
Data security	<ul style="list-style-type: none"> • Donorfy recommends a Microsoft Azure SQL database • Beacon would host the charity’s data on AWS • Both Beacon and Donorfy provide automatic, instant updates, upgrades and data backups

3.4.2

Comparative Costs

See section 4.1 for full details of Donorfy cost

Current cost of Harlequin (CRM only): £1,905.00 plus VAT (£2,286.00) per year

Beacon CRM license and implementation

- Beacon’s pricing structure is different from Donorfy’s
- They charge per user, per month – for a charity the size of Awyr Las, this would be £90 per user, per month (though slightly cheaper licenses are available for part-time staff)
- They also charge according to the volume going through their donation forms, on a sliding scale (e.g. 1% of £3,000 = £30 per month)
- They offer the implementation in-house, at a cost of £600 per day

Illustrative cost of Beacon (excluding VAT):

License: £5,616 per year

Implementation: £9,000 (one off)
Fees on payments: £420 per year*

Total: £15,036

**Based on volume of £3,000 per month in one-off donations and £1,000 per month in recurring donations*

Comparison of potential costs - license and implementation only (excluding VAT)

Element	Beacon	Donorfy
License (annual)	£5,616	£5,028
Implementation – one off	£9,000	£10,700
Total	£14,616	£15,728

Other providers of third-party implementation

- Implementation costs vary, and companies tend to specialise in just a handful of CRMs making like-for-like comparison difficult
- As an illustration, Infinity Group quoted a day rate of £1,050 for a project of this scale
- They estimate that implementation could take 30 to 40 days (£31,500 – £42,000), and their preferred CRM is Microsoft Dynamics 365

3.4.3 Risk Appraisal

Beacon

- Beacon is a relatively new CRM, with current users considered fairly early adopters – they have high levels of satisfaction from users, but its relative newness as a provider has had a bearing on the decision making process
- Charges on forms is undesirable – the charity already has to pay a processing fee to the payment gateway provider; this would represent an additional 1% charge on top of the 1.2% + 20p charged by Stripe
- Peer feedback gleaned during scoping webinars indicated that reporting within Beacon was more complex to achieve than in Donorfy
- Beacon’s training is charged at a day rate of £150 (excluding VAT) for a 2 hour session

Donorfy

- Risk in migrating the data; large and complex operation, mitigated by employing the services of an implementation partner, who propose doing two test migrations before a third and final live migration
- Staggering the CRM and the finance package change reduces the upheaval
- Significant additional investment in the CRM, when compared with current solution – although cost of current CRM is moot as it is largely underused and

therefore does not represent good value for money; mitigated by using an implementation partner to “get it right the first time” and to ensure all staff have sufficient training, and feel supported to confidently use the new system

- Investment of time in facilitating the necessary cultural change within the team, with Fundraising Support Manager (Digital & Data focus) leading on monthly CRM meetings mitigates resistance to change and risk of reverting to old habits; Donorfy provide free training resources and monthly deep dives to help embed the change and a culture of learning

3.4.4

Conclusion - Preferred Option

The preferred option would be to implement an off-the-shelf CRM, with support from a specialist implementation partner.

The preferred option should be able to offer:

- Proven track record with an active user group
- Opportunities for peer support
- Ease of use and user friendly
- Significant positive user feedback
- Free training offered remotely
- Tailored training available for a reasonable cost, remotely or in person
- Transparency around development plans – a roadmap to demonstrate innovation and new features
- Responsiveness to user feedback
- Understanding of the Welsh language and ability to adapt the system to work bilingually
- Accessible pricing
- Track record of working with NHS charities

Costs

Please note: These costs are for illustration only – other providers may choose to bid and win the contract.

The base cost for license plus implementation of Beacon and Donorfy is similar, costing £14,616 and £15,720 respectively – a difference of £1,104. The main advantage of Donorfy is that it is the same price regardless of how many users are on the system, whereas Beacon charges per license. Beacon also charges a 1% fee on donations being made through their forms. Donorfy’s pricing structure is based on the number of records charities have, on the assumption that the more supporters a charity has, the larger its income is likely to be. The costings for the Donorfy license in this proposal have been made on the assumption that the 36,000 records in Harlequin would all be migrated over. In reality, the number of records is likely to be lower, since the ALST is aware that there is an ongoing issue with duplicate records in Harlequin, though the extent of this is not known. If that is the case, then the charity’s subscription could well cost less initially (e.g. £359 per month, excluding VAT, for up to 30,000 records), only increasing as and when the supporter base grows.

Risks

The main risks are related to the data migration. It is a big operation and data loss is a possibility. This can be mitigated by using a specialist to oversee the process, for example, MAST ICT. The recommended implementation partner has proposed two test migrations and a third and final live migration, to reduce the margin of error and iron out any issues before the go-live date.

There is likely to be some downtime during the switchover, which could lead to delays to donor communications. Again, working in partnership with an implementation partner means it is more likely that the task is completed promptly, and correctly the first time; limiting the scope for error and the need to repeat or redo the process.

As with any major change to a team's processes, it is likely that this will take time to bed in and minor setbacks are to be expected. To mitigate this, the ALST has already begun holding monthly CRM meetings; these meetings will remain a staple in the team calendar, and will become the forum for training and sharing good practice, helping to ensure that the system is adopted well from the start, and good habits and robust processes established at the start are maintained. Additionally, working with a specialist implementation partner, who will provide tailored training not just on the CRM but on the specific set up of the CRM – that they have built for the charity – will ensure that the team is setting off from the best possible foundation. The proposal from MAST ICT has allowed for 15 to 30 hours (£1,500 to £3,000) of post go-live support, to include ad-hoc assistance and follow up sessions following the launch.

Summary

As an off the shelf fundraising-specialist CRM, Donorfy represents a significant step up from the current system, without the need for reams of customisation like the bespoke systems (e.g. Salesforce).

Though some functionality is not available within the CRM itself, assurance has been given by Donorfy that it is possible for it to be the “single source of truth”; unifying data from multiple sources, with support available to build the necessary APIs or custom exports / imports to gain the “whole person picture” (e.g. donor, fundraiser, lottery member, grant recipient).

Implemented by MAST ICT, with its recent experience of supporting an NHS charity with migration to the CRM, would provide a solid foundation for the ALST to work from.

3.5	Preferred Option Detailed Analysis
	<ul style="list-style-type: none">• Take out a subscription to the new CRM• Contract an Implementation Partner to deliver all aspects of the implementation• Go live in November 2021
3.5.1	Full Description of the Proposed Change

The ALST will cease to use Harlequin CRM and will adopt the new CRM Solution. A comprehensive migration will take place, overseen by the Implementation Partner, where data stored on the existing CRM will be cleansed, before being systematically moved onto the new CRM Solution. The ALST will be given in depth training by the Implementation Partner, before the new CRM Solution goes live.

In parallel, all internal processes related to thanking, banking and donor stewardship will be reviewed by the ALST and streamlined, and mapped according to the new capabilities and functionality offered by the New CRM Solution.

Monthly CRM workshops, led by the Fundraising Support Manager (Digital & Data focus) will ensure adoption by the team. These meetings will be the forum for information sharing, good practice, and training opportunities.

As part of the implementation, the following will be established:

- Integration with JustGiving, meaning fundraiser data is automatically drawn into the CRM (as opposed to needing manual transfer and allocation)
- Integration with MailChimp to launch an e-newsletter for supporters
- Improved and consistent processes for Facebook fundraisers, with a dedicated import feature bringing data into the CRM
- Reporting dashboard for at-a-glance insights into performance against key fundraising targets
- Bilingual donation forms on the charity's website, mapped to every fund within the charity so donations are allocated automatically

3.5.2	Impact on Activity and Performance
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- | |
|--|
| <ul style="list-style-type: none"> • Improved efficiencies, time spent on manual tasks freed up – greater engagement with supporters, greater speed, satisfaction levels for donors potentially leading to increased donations, upgrading to regular gifts • Upheaval during migration may lead to delays in donor communications; these would resolve quickly once the new system is in place |
|--|

3.5.3	Other Areas affected by the Proposal / Interdependencies / Assumptions
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- | |
|--|
| <ul style="list-style-type: none"> • The new CRM will need to be coded so that it reconciles with the Harlequin finance package (and any future financial package) • The CRM may result in changes to how donations are taken by General Office staff – the ALST already benefits from a good working relationship with General Office colleagues, who are the “face” of Awyr Las for many, and support will be provided in the event of any change to processes affecting this staff cohort • Informatics will need to be involved and may be required to support with implementation, APIs, integration with Office 365, etc – it is assumed that they will be supportive • A business requirement mandate has been submitted to Informatics to formally request their support |
|--|

3.5.4	EqlA of the Preferred Option
<p>An EqlA has been carried out for the preferred option - see Appendix 2.</p> <p>No negative impact has been identified.</p> <p>There is a risk that through digitising some of the charity's processes, this could exclude people who are less digitally capable; typically, those in older age groups, though this could also include people who are socio-economically disadvantaged or people living in areas with poor internet access. To mitigate this the charity will retain its commitment to communicating with donors using their preferred methods, including distribution hard copies of reports and correspondence where requested and/or appropriate (e.g. for donors giving over a certain amount). A more effective CRM will facilitate better understanding of donors and their needs and more consistent communication.</p> <p>If adopted, a new CRM could help the charity to deliver a better service for Welsh-speaking supporters.</p> <p>To illustrate, Donorfy and MAST ICT have confirmed that:</p> <ul style="list-style-type: none"> • Forms (to collect donations, event registrations, etc) would be bilingual, adapting to the user's preferred language (depending upon which version of the website they are interacting with) • Both the Welsh and the English names for funds would be recorded within the system • Both versions of the fund name would be coded to a single fund code, meaning transactions are automatically credited to the correct fund regardless of whether they originate from a Welsh or English form • Both the Welsh and English names would be used in thank you letters and other correspondence • Reports (e.g. for Fund Advisors) would be generated in both Welsh and English <p>The full extent of these improvements depends upon which provider is successful.</p>	
4	The Financial Case
4.1	Revenue Cost
<p>The costs are summarised as follows:</p> <ul style="list-style-type: none"> • Recurring subscription to the New CRM Solution • Recurring subscription to a cloud-based database (e.g. Microsoft Azure SQL Database) • One off set up of the cloud-based database • One off implementation – to include scoping, solution build, data migration, training, post go-live support and project management (see Appendix 3 for example costs) • One off custom reports & Power BI dashboard set up 	

- Additional training (optional)
- Custom Application Programming Interfaces* (APIs) for third party software, such as lottery or grant management (optional)

These costs are presented in more detail in Table 1.

**An API is a software intermediary that allows two applications to talk to each other*

Table 1 – Example cost summary (CRM only)

Item	Cost (ex. VAT)	Type	Frequency	Note
Donorfy license	£419	Essential	Monthly	A
Azure subscription	£49	Essential	Monthly	B
Azure installation	£400	Essential	One off	C
Implementation	£10,700 - £17,300	Essential	One off	D
Custom Power BI & Excel Reports	£2,000	Optional	One off	E
Additional training	£750	Optional	Per day	F

Notes on Table 1

- A. Donorfy pricing is a sliding scale; the more records a charity has, the more it pays for its license. This is in contrast with other CRMs, which charge according to the number of users a charity needs. (Donorfy offers unlimited users per subscription, i.e. no additional cost per new user).

There are 36,000 records on the current CRM, putting Awyr Las in the £419 per month price bracket. If, after data cleansing that number is lower, the required subscription could be in a lower bracket – e.g. up to 25,000 @ £339 per month.

When the charity's supporter base grows, the price for Donorfy will increase but so too would the income of the charity (assumption being more supporters = more income) – the cost is relative.

The exact pricing structure will depend on which provider is successful during the tendering process.

- B. As a not-for-profit organisation, Awyr Las could apply for "sponsorship" each year from Microsoft, resulting in a reduced or waived fee for Azure (if this is the database of choice for the successful CRM provider)
- C. As an example, MAST ICT have quoted £400 for setting up an Azure database

- D. Implementation includes scoping, solution build, data migration, training, post go-live support and project management – depending on the specification. As an example, the cost of implementation could range from £10,700 minimum to £17,300 maximum (see Appendix 3)
- E. This is optional from MAST ICT and could potentially be achieved in-house with support from Informatics
- F. This would be in addition to the training provided as part of implementation

It is unlikely that this would be necessary, as there is a designated resource within the team (Digital & Data Manager) to cascade training.

The ALST is currently meeting once a month for focused CRM group sessions; it is envisaged that once a new solution is implemented, these meetings will become the forum for ongoing in-house CRM training and innovation, helping to ensure members of the team keep their knowledge current.

As an example, Donorfy provides a free monthly “deep dive” for members, looking in detail at a key feature or function of the CRM. In addition, there is a catalogue of free training webinars, available on demand. Donorfy publishes its development roadmap, helping member charities anticipate and prepare for updates and changes. There is an active Donorfy support group on Facebook, made up of member charities and Donorfy representatives. A webinar has been held between NHS charities who have migrated to Donorfy, or who are in the process of doing so – there is an appetite to build on this network and form a mutual-interest peer support group.

Actual training provided would depend on the successful provider.

Costs for additional training would be met from the Awyr Las training budget.

Table 2 – Example ongoing cost projection (CRM only)

	Year 1	Year 2	Year 3	Note
Essential	£16,716 – £23,316	£5,616	£6,336	G
Optional	£4,500	£2,500	£750	H
Total	£21,216 – £27,816	£8,166	£7,086	I

Notes on Table 2

- G. Year 1: Based on implementation, set up & all necessary licenses
Year 2: Based on necessary licenses only
Year 3: Based on necessary licenses only*

- H. Year 1: Based on Custom Power BI & Excel Reports se- up and 1 x custom API build
 Year 2: Based on 1 x custom API build
 Year 3: Based on 1 x one-day refresher training from MAST ICT
- I. Year 1: Anticipated initial cost varies depending on scope of implementation
 Year 2: If no custom API required then cost will be lower
 Year 3: If no refresher training required then cost will be lower

**As explained above, Donorfy license cost could increase if supporter base increases significantly – Year 3 assumes supporter base growth resulting in movement to the next price bracket (up to 50,000 @ £479 per month)*

Table 3 - Additional costs

Item	Cost (ex. VAT)		Type	Frequency	Note
	Current	Potential (illustrative)			
Finance package	£2,802	£120 – £360	Essential	Annual	J
Grant management	£0	£990 – £3,790	Optional	Annual	K
Staff lottery management	£0	£10,000	Optional	One off*	L
Custom API	£0	£2,500	Optional	One off	M

Notes on Table 3

- J. Until such a time that Finance colleagues migrate to a new accounting software, the charity will continue its subscription to the Harlequin financial package, at a cost of £2,802.00 + VAT per annum (£3,362.40).

It is proposed that the Harlequin financial package is retained for time being, with alternative solutions considered from September 2021 onwards. This has been agreed in principle with the Charity Accountant. Having spoken to multiple charities and implementation partners, it is widely accepted as good practice to stagger the CRM and finance package migration.

As an illustration, one well-regarded cloud-based accounting package – Xero – integrates with Donorfy and is available for between £10 and £30 per month, representing an annual cost of between £120 and £360 (excluding VAT).

A separate scoping exercise would need to happen to identify potential new finance solutions (or justify retaining Harlequin) and ensure any proposed package met the accounting needs of the charity.

- K. Currently, grant management is handled manually. Modernising the charity's granting processes is a priority, to make them more accessible to BCUHB staff, more transparent for supporters, and overall more efficient.

An example of a third party provider of Grant Management software is Good Grants, whose solutions range from £990 to £3,790 per year, depending upon the level of customisation required. Good Grants have their own API (which would facilitate integration with Donorfy).

Alternatively, working in partnership with BCUHB Informatics / Business Systems could yield an in-house solution.

The grant management solution itself falls outside of the scope of this business case, but it is essential that the CRM solution chosen can accommodate information from grant management software.

- L. NHS Fleet Solutions offers an NHS Staff Lottery platform at a cost of £10,000 (this fee is waived for health boards who have NHS Fleet Solutions car scheme or Home Electronics Solutions) plus an administration charge of £2,000 per annum.

Costs for running the lottery have been factored into the Staff Lottery business case (a separate document). Eventually, the lottery would generate enough to cover its own administration costs.

A potential solution, with it being an internal lottery for BCUHB staff and volunteers only, is to work with BCUHB Informatics / Business Systems to build a custom solution in-house, and use an API to integrate with the New CRM Solution (or an export/import). This is likely to be more cost-effective than using an off the shelf lottery solution, or an External Lottery Manager, and would be tailored exactly to the charity's requirements. This would require input and expertise from Informatics.

The staff lottery falls outside of the scope of this business case, but it is essential that the CRM solution chosen is future-proofed against the plans to introduce a staff lottery.

- M. The successful implementation partner would be able to build custom APIs. Generally, a simple API can be built in two days whereas more complex APIs can take between five and ten days to complete. As an example, MAST ICT have quoted £2,500 to build a custom API to link a third party lottery software with Donorfy.

MAST ICT and Donorfy have confirmed in writing that APIs are not necessary in all instances, and that sometimes a properly configured data export uploaded to Donorfy is more effective, and less costly.

Anticipated cost savings

<ul style="list-style-type: none"> • The charity currently pays £843 per year for an online form provider, which is used for event registrations and online donations – this would become redundant once The New CRM Solution was in place. • The nature of the current system and how it must be set up, and its resulting propensity to lag and crash, means that a not insignificant amount of time is wasted waiting, restarting the system, and correcting errors. It is difficult to estimate the value of this without performing a full ROI exercise for all ALST personnel, but it is anticipated that implementation would result in efficiency savings from staff spending less time on CRM processes, or developing “workarounds” (e.g. recording data in Excel or elsewhere) because the CRM is not performing reliably. • Additionally, the automation of many processes – such as drawing JustGiving data into the CRM and claiming Gift Aid – would result in further efficiencies, freeing up time that could be used more effectively elsewhere. 	
4.2	Capital Cost
<ul style="list-style-type: none"> • N/A 	
4.3	Affordability and Source of Funding
<ul style="list-style-type: none"> • If approved, the cost of the proposal will be covered by existing funds within the Awyr Las fundraising budget. 	
5	Governance and Project Management
5.1	Approval Route
<ul style="list-style-type: none"> • Charitable Funds Committee: 11/06/21 	
5.2	Project Management
<ul style="list-style-type: none"> • Led by the Fundraising Support Manager (Digital & Data focus) with support from Head of Fundraising • Key representatives involved at relevant stages, featuring representation from Finance, Informatics, Information Governance & Business Systems 	
5.3	Project Plan – Implementation Timeline
<ul style="list-style-type: none"> • Assumed date of approval: 11/06/21 • Specification finalised: 28/06/21 • Tender open: 12/07/21 • Tender close: 19/07/21 • Contract awarded: 16/08/21 • Scoping completed with Implementation Partner: 13/09/21 • Solution build completed: 25/10/21 • Test migrations completed: 22/11/21 • Training for ALST from MAST ICT: 29/11/21 • Go live: 06/12/21 	

5.4	Post Implementation Review
<ul style="list-style-type: none"> • Progress report at Charitable Funds Committee: 16/09/21 • Post go-live review at Charitable Funds Committee: 16/12/12 • Snagging list compiled and addressed on an ongoing basis • Monthly CRM meetings to continue, to ensure system is adopted successfully by ALST members <p>Should a situation arise where, after implementation, the CRM is not performing as expected or adoption is not as successful as anticipated, all or some of the following steps could be taken</p> <ul style="list-style-type: none"> • Support tickets submitted to CRM provider • Liaison with Informatics to rule out any issues related to BCUHB infrastructure • Support sought from CRM user group (e.g. on Facebook) • Webinar / workshop with other NHS charities using the CRM to glean best practice • Frequency of CRM meetings increased • 1:1 training provided for key members of the ALST • “Super Users” identified within the ALST, who could provide mentoring for other colleagues • Root cause analysis exercise undertaken to identify snags • Implementation Partner brought in to provide additional training 	
6	Conclusions and Recommendations
<p>Benefits</p> <p>There are significant benefits to be had when changing CRM providers, namely:</p> <ul style="list-style-type: none"> • Improved, streamlined processes and less repetition; resulting in more time available to “do the things that matter”, e.g. donor care • More tailored and effective communications for donors, resulting in greater satisfaction for the charity’s supporters • More accessible and detailed reporting available to all members of the team, enabling all colleagues to make data-led decisions <p>Depending on the successful provider, Awyr Las could benefit from:</p> <ul style="list-style-type: none"> • Free online training resource and monthly deep dives • An informal peer support group on Facebook • A transparent roadmap, giving assurance that the software will be developed to keep pace with technological advances and in response to user feedback • The ability to work with fund names bilingually within the CRM, on donor correspondence, and on donation forms <p>Risks</p>	

- Though there are risks in implementing a new CRM, approaching the project in this systematic way mitigates the major ones – an implementation partner will help to ensure that the data is cleansed and migrated correctly, and that ad hoc support is available once the new system is live
- Having a dedicated resource within the team to act as the charity’s first “Super User”, and protected time to meet at least once a month, will ensure that colleagues have a point of contact for all issues and concerns, with challenges being resolved quickly in house or escalated to the CRM provider and/or Implementation Partner where necessary

Implementation

- The implementation would be led by an ICT specialist. For example, one CRM provider (Donorfy) matches their users with a compatible partner with relevant experience. For Awyr Las, they would recommend MAST ICT, a Donorfy-approved company which specialises in supporting charities with technology projects (see Appendix 3)

Costs

- Changing CRM would represent an increase in spend on CRM software licenses (e.g. if Donorfy won the tender, this would be equivalent to £3,713 annually)
- The efficiencies achieved by a new system would outweigh the costs
- Having a system with greater functionality would make it possible for events and campaigns to be scaled up, and more effective
- It would also facilitate significant improvements in donor communications and relationship management, which could lead to more income
- Having the support of an implementation partner comes at an additional cost, but it is necessary to protect the integrity of the data and ensure the project is set up for success.

Summary

Changing CRM represents an increase in cost when compared with the current CRM provider. However, the charity would be gaining much more functionality; functionality which is expected as standard from modern CRMs and just isn’t available from the current provider.

Currently, reporting is largely based on income and expenditure, and members of the ALST are reliant upon the Assistant Charity Accountant to produce reports on their behalf. Moving to Donorfy would make data much more accessible to all members of team, meaning individual fundraisers can use data to work more effectively and gain insights

into giving trends, performance of communications they send, monitor the success of events, and cultivate and track relationships with corporates and individuals working for those businesses. This list is not exhaustive.

There are challenges associated with moving CRM, but approaching the project in such a planned and comprehensive way means that the main risks can be mitigated.

Far from being a proposal to simply implement a new system; this is a catalyst for digital transformation within the charity. Done well, it could be a real step change, enabling the charity to ramp up its activities, with precious time that is currently spent doing repetitive, manual tasks (e.g. the current process for thank you letters) released and channelled into priority activities, like supporter care and donor stewardship, corporate giving, raising unrestricted income, and planning large-scale events.

Final recommendation

Following comprehensive research into contemporary CRM solutions, trends in CRM technologies among NHS charities and the wider third sector, and the capabilities offered by modern CRMs, it is recommended that Awyr Las adopts a new CRM by end of November 2021.

Following consultation with Procurement, because the cost could exceed £25,000, it is recommended that Awyr Las invites bids in an open tender process, for both the CRM provider and the implementation partner to oversee migration.

The tender specification will be based on the non-financial criteria outlined in this proposal.

The providers referenced in this proposal should be invited to apply.

7	Declarations
	The above information has been reviewed to ensure it is accurate and represents a true and fair view of the service to be provided, the benefits and the costs
	Where third parties have provided information this is in writing/e-mail format and they have confirmed it is correct to the best of their knowledge
	Where the business case has an impact on another Area / Division / Department the impact has been agreed with that Area / Division / Department in writing and the relevant Managers have signed below to confirm

Signed by:

.....
**Area / Corporate /
Secondary Care
Director**

.....
**Area / Secondary
Care Nurse Director**

.....
**Area / Secondary Care
Medical Director**

.....
Chief Finance Officer

.....
**Director / Asst.
Director (Other Area
/ Corporate if
required)**

.....
**Director / Asst.
Director (Other Area /
Corporate if required)**

Appendices

- Appendix 1a: Fundraising Magazine survey results 2020
- Appendix 1b: Fundraising Magazine survey results 2021
- Appendix 2: EqIA
- Appendix 3: MAST ICT Proposal to Awyr Las

Cyfarfod a dyddiad: Meeting and date:	Charitable Funds Committee 11th June 2020					
Cyhoeddus neu Breifat: Public or Private:	<i>Public</i>					
Teitl yr Adroddiad Report Title:	BCUHB Strategic Action Plan					
Cyfarwyddwr Cyfrifol: Responsible Director:	Sue Hill, BCUHB Executive Director of Finance					
Awdur yr Adroddiad Report Author:	Kirsty Thomson, BCUHB Head of Fundraising					
Craffu blaenorol: Prior Scrutiny:	<i>No prior scrutiny</i>					
Argymhelliad / Recommendation:						
<i>The Committee is asked to approve the plans and time table laid out in this document</i>						
Please tick as appropriate						
Ar gyfer penderfyniad /cymeradwyaeth For Decision/ Approval	<input checked="" type="checkbox"/>	Ar gyfer Trafodaeth For Discussion	<input type="checkbox"/>	Ar gyfer sicrwydd For Assurance	<input checked="" type="checkbox"/>	Er gwybodaeth For Information
Sefyllfa / Situation:						
<p><i>The current Awyr Las Strategy runs from 2016-21. The Awyr Las Support Team, with the support of Yellow Chair Consultants, drew up a draft Awyr Las Strategy for the Charitable Funds Committee (CFC) to discuss at the December 2020 CFC Meeting. Further work on the Strategy and the Operational Plan and budget that underpin it has been carried out, but a decision has been made to pause the introduction of a new strategy for the following reasons:</i></p> <ul style="list-style-type: none"> <i>▪ The Large Appeal Business Cases, which will inform the Strategy are in development, and will be approved by December 2021.</i> <i>▪ The Operational Plan that will underpin the Strategy needs to be reviewed and approved.</i> <i>▪ Other NHS Charities in Wales and elsewhere are reshaping their organisation structures, and there have been changes within the Awyr Las Support Team and the BCUHB Communications Team, so it would be prudent to review the Awyr Las Support Team structure and position within BCUHB.</i> <i>▪ The BCUHB Volunteering Strategy will be able to be launched at the same time as the new Awyr Las Strategy</i> <p><i>The Awyr Las Support Team will work to this Strategic Action Plan for 2021/22 from June to December. A new three-year 2022-25 Strategy will be brought to the Charitable Funds Committee for approval in December 2021.</i></p>						
Cefndir / Background:						
This plan shows the five most important themes for the six-month period between June and December 2021. The activity outlined below will be reported on in the September and December 2021 CFC meetings.						

Key aim

To have inspired supporters and an inspired team.

Strategic Themes

- Educated Advocates
- Motivated Team
- Consistent Communications
- Effective Planning
- Robust Systems

Strategic Goals

There are the Charity's goals for the next six-months:

Strategic Theme	Goal
Educated Advocates	Provide key internal and external stakeholders with useful, up to date information about the charity.
Motivated Team	Ensure all team members are engaged, enthused and involved.
Consistent Communications	Give all supporters the very best possible experience possible.
Effective Planning	Dedicate time and resource to putting foundations in place so the charity can develop effectively.
Robust Systems	Establish new ways of working to better existing processes in place.

Objectives

Goal	Objective
Provide key internal and external stakeholders with useful, up to date information about the charity.	<ul style="list-style-type: none"> ▪ Attend HMT & AMT meetings minimum 2 x per annum ▪ Quarterly Board Updates ▪ All general social media management ▪ NHS Big Tea Plan ▪ Christmas Lights Plan & Christmas Lights Planning Support ▪ Million Steps Plan ▪ Arrange for all Hospitals and BCUHB premises to have an Awyr Las notice board & a champion responsible for maintaining it ▪ Monthly Updates for all Fund Advisors ▪ 2 x Digital Support Campaigns ▪ NHS Big Tea & Digital Mailing ▪ 6 x Press Releases
Ensure all team members are engaged, enthused and involved.	<ul style="list-style-type: none"> ▪ Compete recruitment of vacant role in the team

	<ul style="list-style-type: none"> ▪ Ensure weekly team catch-ups, fortnightly 1:1s and monthly all team formal meetings.
Give all supporters the very best possible experience possible.	<ul style="list-style-type: none"> ▪ Provide excellent finance function ▪ Provide excellent administrative support ▪ Support all Corporate Partnerships
Dedicate time and resource to putting foundations in place so the charity can develop effectively.	<ul style="list-style-type: none"> ▪ Gain approval for the new Charity strategy ▪ Gain approval for a new Charity Team structure ▪ Gain approval for a revised operational plan ▪ Complete Fundraising Plans for the Large Appeals ▪ Complete a Digital and Data 2022-25 plan ▪ Large Appeals Feasibility Reports
Establish new ways of working to better existing processes in place.	<ul style="list-style-type: none"> ▪ Implement the CRM ▪ Establish and commence work with the Marketing, Advertising and Sponsorship Task and Finish Group ▪ All grants co-ordination ▪ Introduce Agreements for all Third Sector Groups overseen by the BCUHB Charity Support Team ▪ Refresh Awyr Las Volunteers Policy ▪ Initial Draft of a BCUHB Third Sector Catering and Retail Partners Protocol ▪ Use of space scoping exercise

Responsibilities

Objective	Responsibility	Timeframe (month of completion in 2021)
Complete Fundraising Plans for the Large Appeals	Head of Fundraising	November
Gain approval for the new Charity strategy	Head of Fundraising	December
Gain approval for a revised operational plan	Head of Fundraising	November
Gain approval for a new Charity Team structure	Head of Fundraising	October
Complete recruitment of vacant role in the team	Head of Fundraising	October
Attend HMT & AMT meetings minimum 2 x per annum	Head of Fundraising	Ongoing
Implement the CRM	Digital and Data Manager	December

Complete a Digital and Data 2022-25 plan	Digital and Data Manager	October
Quarterly Board Updates	Digital and Data Manager	Ongoing
All general social media management	Digital and Data Manager, Partnerships Support Manager & Charity Support Manager	Ongoing
NHS Big Tea Plan	Charity Support Manager	July
Christmas Lights Plan	Charity Support Manager	Ongoing
Support all Corporate Partnerships	Charity Support Manager	Ongoing
Million Steps Plan	Charity Support Manager	September
Establish and commence work with the Marketing, Advertising and Sponsorship Task and Finish Group	Partnerships Support Manager & Charity Support Manager	October
All grants co-ordination	Charity Assistant Accountant	Ongoing
Provide excellent finance function	Charity Assistant Accountant	Ongoing
Monthly Updates for all Fund Advisors	Partnerships Support Manager	Ongoing
Introduce Agreements for all Third Sector Groups overseen by the BCUHB Charity Support Team	Partnerships Support Manager	November
Refresh Awyr Las Volunteers Policy	Partnerships Support Manager	November
Initial Draft of a BCUHB Third Sector Catering and Retail Partners Protocol	Partnerships Support Manager	November
Arrange for all Hospitals and BCUHB premises to have an Awyr Las notice board & a champion responsible for maintaining it	Partnerships Support Manager & Awyr Las Administrator	October
Provide excellent administrative support	Awyr Las Administrator	Ongoing
Ensure weekly team catch-ups, fortnightly 1:1s and monthly all team formal meetings.	Awyr Las Administrator	Ongoing
Use of space scoping exercise	External Support	November
Christmas Lights Planning Support	External Support	(July to) December
NHS Big Tea & Digital Mailing	External Support	July
6 x Press Releases	External Support	Ongoing
Large Appeals Feasibility Reports	External Support	September
2 x Digital Support Campaigns	External Support	(July to) December

Asesiad / Assessment & Analysis

Strategy Implications

This report is underpinned by the Awyr Las Strategy 2016-21, see <https://awyrlas.org.uk/content/downloads/The-Awyr-Las-Strategy-2016-to-2021.pdf>.

Options considered

All fundraising, marketing and resourcing options are considered by the Awyr Las Support Team (ALST) during planning phases. All relevant information is included in the Background Section of this paper, where appropriate.

Financial Implications

The items outlined in this report are all costed within the agreed Awyr Las Charity Budget.

Risk Analysis

An individual Risk Analysis is completed for all Awyr Las events and activities, and for new processes and ways of working introduced by members of the Awyr Las Support Team (ALST). The ALST's perceived main risks are included in the Charity's Risk Register.

Legal and Compliance

All items within this report will be monitored and will be updated at the September 2021 Charitable Funds Committee meeting.

Impact Assessment

Impact Assessments are carried out for all Awyr Las events and activities, and for new processes and ways of working introduced by members of the ALST.



Cyfarfod a dyddiad: Meeting and date:	Charitable Funds Committee 11 th June 2021					
Cyhoeddus neu Breifat: Public or Private:	Public					
Teitl yr Adroddiad Report Title:	Summary of Expenditure Approvals					
Cyfarwyddwr Cyfrifol: Responsible Director:	Sue Hill, Executive Director of Finance					
Awdur yr Adroddiad Report Author:	Rebecca Hughes, Charity Accountant					
Craffu blaenorol: Prior Scrutiny:	Executive Director of Finance					
Atodiadau Appendices:	<u>Appendix 1</u> : Expenditure Approvals Awarded Quarter 4 2020/21					
Argymhelliad / Recommendation:						
The Committee is asked to note the applications that have been approved.						
Ticiwch fel bo'n briodol / Please tick as appropriate)						
Ar gyfer penderfyniad /cymradwyaeth For Decision/ Approval		Ar gyfer Trafodaeth For Discussion		Ar gyfer sicrwydd For Assurance	Er gwybodaeth For Information	✓
Y/N i ddangos a yw dyletswydd Cydraddoldeb/ SED yn berthnasol Y/N to indicate whether the Equality/SED duty is applicable						N
Equality Impact (EqIA) and a socio-economic (SED) impact assessments not applicable						
Sefyllfa / Situation:						
The Charitable Funds Committee has responsibility for the management and stewardship of Charitable Funds. This includes approval of expenditure from the charity, as per the Scheme of Delegation.						
Cefndir / Background:						
Since March 2020, the COVID-19 pandemic has required the charity to approve grants in a short timescale, in order to respond to the demands on the NHS. It was therefore agreed that applications over £5,000 that require Committee approval would be considered outside of meetings.						
Asesiad / Assessment:						
Goblygiadau Strategol / Strategy Implications Aligned to the Awyr Las Charity Strategy.						
Opsiynau a ystyriwyd / Options considered Not applicable.						
Goblygiadau Ariannol / Financial Implications						

Grants approved

Between January and March 2021, 6 applications over £5,000 have been approved outside of Committee meetings, at a total cost of £124,786. These applications are listed in Appendix 1

Dadansoddiad Risk / Risk Analysis

Not applicable.

Cyfreithiol a Chydymffurfiaeth / Legal and Compliance

Not applicable.

Asesiad Effaith / Impact Assessment

Not applicable.

Appendix 1 – Expenditure Approvals Awarded in Q4 2020/21

Description	Approval Ref	Date Approved	Fund Number	Fund Name	Amount Approved £
Patient Advice & Liaison Support Officer – Supporting Carers	CA-20/18	27/01/2021	8T28 & 8T52	General Funds & COVID-19 Response Fund	30,615
Mobile scanning unit for Cardiology	CA-20/60	27/01/2021	9K08	Cardiology Department, West	66,000
Conwy CMHT Garden Project	CA-20/63	27/01/2021	8D06	Llandudno District Nurses Fund	6,940
Lymphatouch equipment	CA-20/58	09/02/2021	9Q09	Palliative Care Lymph Nursing, West	5,950
ECG Machine	CA-20/69	25/02/2021	8B42	Cardiology Department Central - Patients Fund	6,000
iPads for Mental Health	CA-20/70	25/02/2021	8D09	MH & LD CPG Patient Amenities Fund	9,281
Total					124,786



Cyfarfod a dyddiad: Meeting and date:	Charitable Funds Committee 11 th June 2021						
Cyhoeddus neu Breifat: Public or Private:	Public						
Teitl yr Adroddiad Report Title:	Updated Ethical Investment Policy						
Cyfarwyddwr Cyfrifol: Responsible Director:	Sue Hill, Executive Director of Finance						
Awdur yr Adroddiad Report Author:	Rebecca Hughes, Charity Accountant						
Craffu blaenorol: Prior Scrutiny:	Executive Director of Finance						
Atodiadau Appendices:	<u>Appendix 1</u> : Ethical Investments Policy Update						
Argymhelliad / Recommendation:							
The Committee is asked to review and approve the Ethical Investments Policy.							
Ticiwch fel bo'n briodol / Please tick as appropriate)							
Ar gyfer penderfyniad /cymradwyaeth For Decision/ Approval	<input checked="" type="checkbox"/>	Ar gyfer Trafodaeth For Discussion	<input type="checkbox"/>	Ar gyfer sicrwydd For Assurance	<input type="checkbox"/>	Er gwybodaeth For Information	<input type="checkbox"/>
Y/N i ddangos a yw dyletswydd Cydraddoldeb/ SED yn berthnasol Y/N to indicate whether the Equality/SED duty is applicable							N
Equality Impact (EqIA) and a socio-economic (SED) impact assessments not applicable.							
Sefyllfa / Situation:							
The Investment Manager contract was awarded to Brewin Dolphin in 2020 and the investments are in the process of being transferred over. The key objective of the portfolio is to preserve and grow its value in 'real' terms, in order to continue to support charitable distributions over the long term.							
Cefndir / Background:							
Many of the donations and legacies that the charity receives cannot be spent immediately, as they need to be accumulated to fund the most appropriate purchases. These donations are therefore invested in order to generate income and protect their value in real terms.							
As part of the transfer of the portfolio to Brewin Dolphin, it was identified that the charity's Ethical Investment Policy is not as robust as it could be. Brewin Dolphin provided the Committee with a discussion paper on how the policy could be improved, using best practice guidance and based on their knowledge of the charity. Following discussions at the March 2021 Committee and April 2021's Board Workshop, Brewin Dolphin amended their proposal.							
Asesiad / Assessment:							

<p>Goblygiadau Strategol / Strategy Implications Aligned to the Awyr Las Charity Strategy.</p>
<p>Opsiynau a ystyriwyd / Options considered Not applicable – paper is for information on the financial position of the charity.</p>
<p>Goblygiadau Ariannol / Financial Implications</p> <p>The final proposal for the charity's Ethical Investment Policy is included in Appendix 1.</p> <p>In summary, the policy will state:</p> <p><i>It is recommended that there is negative exclusion of investment in companies involved in the manufacturing and distributing of:</i></p> <ul style="list-style-type: none"> • <i>Alcoholic products [10% of turnover];</i> • <i>Tobacco products [10% of turnover];</i> • <i>Armaments or civilian firearms [10% of turnover]</i> • <i>Adult entertainment [5% of turnover]</i> • <i>Gambling [10% of turnover]</i> <p><i>Investment in companies which have a poor record in human rights and child exploitation should not be permitted [controversy risk mitigation as defined by VE as being “weak” or “limited”].</i></p> <p><i>In addition, investment in companies that demonstrate compliance with the principles of the Equality Act 2010 should be supported.</i></p> <p>It is asked that the Committee approve this policy. It will then be submitted to the next Board meeting for ratification.</p>
<p>Dadansoddiad Risk / Risk Analysis Not applicable – the Charity Risk Register is reported separately.</p>
<p>Cyfreithiol a Chydymffurfiaeth / Legal and Compliance Not applicable.</p>
<p>Asesiad Effaith / Impact Assessment Not applicable.</p>

Ethical Policy Summary Paper - Betsi Cadwaladr UHB Charity

May 2021

Background

Prior to the Board workshop held on 8 April 2021, we had provided an ethical policy discussion paper which demonstrated the implications of a number of potential exclusions which we felt may be of interest to the Trustees in constructing an ethical policy.

This included the issues currently specified in your current policy (i.e. alcohol, tobacco, human rights and child exploitation), and proposed further issues to clarify which other products may or may not be considered in conflict with the Health Board's activities.

Your Current Ethical Investments Policy

'It is recommended that there is negative exclusion of investment in companies manufacturing and distributing:

- *Alcoholic products;*
- *Tobacco products; and*
- *Any products which may be considered in conflict with the Health Board's activities.*

Investment in companies:

- *Which have a poor record in human rights and child exploitation;*
- *Which derive their profits from countries with poor human rights records*

should not be permitted.

In addition, investment in companies that demonstrate compliance with the principles of the Equality Act 2010 should be supported.

Board Workshop Discussion

In summary, at the Board workshop there was acceptance of the straightforward proposed implementation for alcoholic products and tobacco products.

It was deemed that the suggested issues of armaments, civilian firearms, adult entertainment and gambling fell within the definition of being in conflict with the Health Board's activities and should be specified as such and implemented as proposed.

Issues suggested around obesity and fossil fuels were not to be included at the present time.

There was clarification on the issues of human rights and child exploitation and we resolved to consider an appropriate means of implementation to give effect to your intentions. Ethical screening of these categories is more difficult to analyse as materiality can't be measured in financial terms like the criteria above and therefore a high degree of subjectivity is introduced. Instead, we refer to news flow.

Our recommendation is to use our screening software (VE) to identify alleged breaches of fundamental human rights from verified sources. VE provide a 'Controversy Risk Mitigation' rating, ranging from weak, limited, robust to advanced. These ratings are based on frequency of breaches, severity of the allegation and responsiveness to the problem. We would suggest a 'weak' rating captures the sorts of companies deemed to be repeat offenders involved in high severity issues.

Proposed Revised Policy Wording

We would therefore suggest the wording be revised as follows. The following criteria exclude 46 companies in the FTSE All Share, or 32.2% of the market, which we are comfortable with implementing at the present time.

It is recommended that there is negative exclusion of investment in companies involved in the manufacturing and distributing of:

- *Alcoholic products [10% of turnover];*
- *Tobacco products [10% of turnover];*
- *Armaments or civilian firearms [10% of turnover]*
- *Adult entertainment [5% of turnover]*
- *Gambling [10% of turnover]*

Investment in companies which have a poor record in human rights and child exploitation should not be permitted [controversy risk mitigation as defined by VE as being “weak”].

In addition, investment in companies that demonstrate compliance with the principles of the Equality Act 2010 should be supported.

Supporting Documentation

The following supporting documents provide further background information about our approach to implementing your criteria and to responsible investment issues more widely:

- **21 05 25 Ethical Paper**
- **21 05 25 Responsible Investment Paper**

Cyfarfod a dyddiad: Meeting and date:	Charitable Funds Committee 11 th June 2021					
Cyhoeddus neu Breifat: Public or Private:	Public					
Teitl yr Adroddiad Report Title:	Charity Risk Register					
Cyfarwyddwr Cyfrifol: Responsible Director:	Sue Hill, Executive Director of Finance					
Awdur yr Adroddiad Report Author:	Rebecca Hughes, Charity Accountant					
Craffu blaenorol: Prior Scrutiny:	Executive Director of Finance					
Atodiadau Appendices:	<u>Appendix 1</u> : Risk Register					
Argymhelliad / Recommendation:						
The Committee is asked to review and note the report.						
Ticiwch fel bo'n briodol / Please tick as appropriate)						
Ar gyfer penderfyniad /cymeradwyaeth For Decision/ Approval		Ar gyfer Trafodaeth For Discussion		Ar gyfer sicrwydd For Assurance	✓	Er gwybodaeth For Information
Y/N i ddangos a yw dyletswydd Cydraddoldeb/ SED yn berthnasol Y/N to indicate whether the Equality/SED duty is applicable						N
Equality Impact (EqIA) and a socio-economic (SED) impact assessments not applicable						
Sefyllfa / Situation:						
The Charitable Funds Committee has responsibility for the management and stewardship of Charitable Funds. This includes overseeing the risks of the charity.						
Cefndir / Background:						
As agreed at the Charitable Funds Committee meeting in March 2021, the charity's risks have been removed from Datix and are included in a standalone risk register.						
The charity's risks are normally brought to the Committee every March, with any red rated risks brought to every Committee meeting. At the March 2021 meeting, the Committee requested that all risks be brought back in June, to allow for further discussions.						
Asesiad / Assessment:						
Goblygiadau Strategol / Strategy Implications Aligned to the Awyr Las Charity Strategy.						
Opsiynau a ystyriwyd / Options considered Not applicable.						

Goblygiadau Ariannol / Financial Implications

Not applicable.

Dadansoddiad Risk / Risk Analysis

There are currently eight risks recorded for the charity. None of these are red rated. The details of each these risks is included in Appendix 1.

Cyfreithiol a Chydymffurfiaeth / Legal and Compliance

Not applicable.

Asesiad Effaith / Impact Assessment

Not applicable.

Appendix 1 – Risk Register

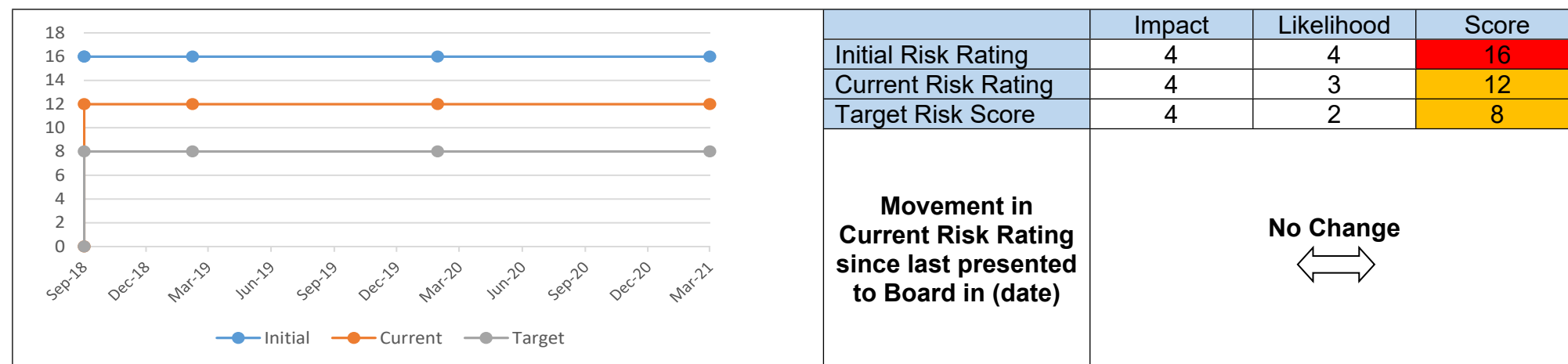
CFRR01	Director Lead: Executive Director of Finance	Date Opened: 04/09/2018
	Assuring Committee: Charitable Funds Committee	Date Last Reviewed: 25/05/2021
	Risk: Fundraising	Target Risk Date:

There is a risk of non-compliance with fundraising regulations.

This could be due to:

1. Involvement with third parties.
2. Not being aware of all the fundraising taking place in the charity's name.
3. Lack of resources meaning basic processes are not in place.
4. New regulations which the charity is not aware of.

The impact of this could be damage to the charity's reputation and potential investigation/fine by the Fundraising Regulator.



Controls in place	Further action to achieve target risk score
1. The Joint Working Protocol, which has established the need for signed Joint Working Agreements (JWA) for all relationships with third parties in order to clearly set out the terms and expectations of the relationship.	1. All new or different engagement projects must be checked to ensure all activity complies with GDPR and Fundraising Regulation.

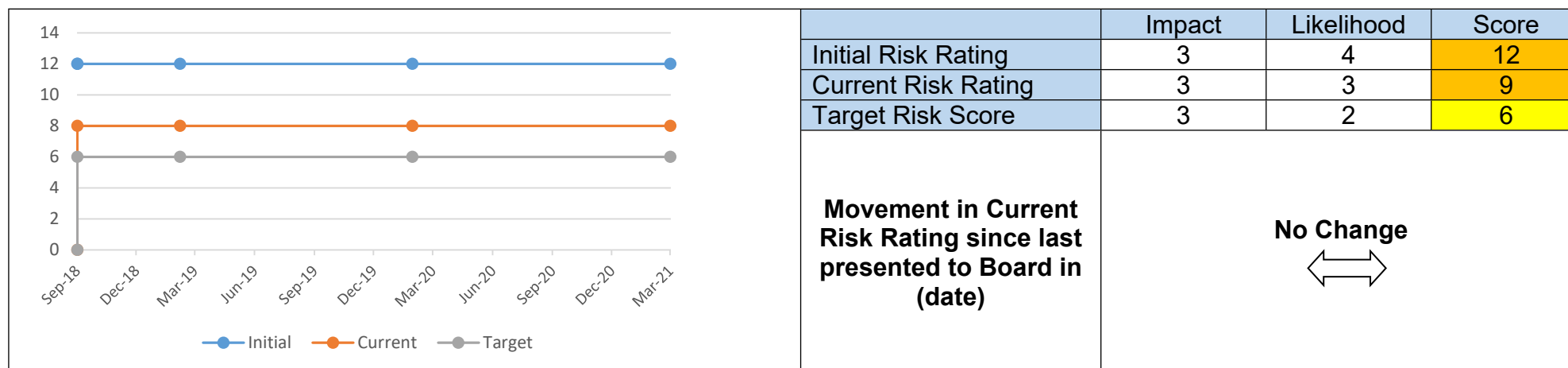
Appendix 1 – Risk Register

<p>2. The Charity Support Team maintains a log of fundraising that is taking place in the Charity's name.</p> <p>3. The Fundraising Support team is working towards set targets for ensuring basic processes are in place.</p> <p>4. The Charity Strategy provides the direction for the Charity and is crucial for informing what its priorities are and where fundraising efforts should be directed.</p> <p>5. The Charity is a member of the NHS Charities Together (formerly the Association of NHS Charities), which provides updates on new legislation and regulations that may impact the Charity.</p>	<p>2. Continue to ensure that all new third party relationships have a signed Joint Working Agreement (or Memorandum of Understanding if more appropriate).</p> <p>3. Continue to establish and maintain good communication links with staff, the public and donors so that everyone is aware of the need to seek approval from the Charity for any fundraising being undertaken in its name.</p>
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Assurances	Links to		
Wales Audit Office Charity Commission	Strategic Goals	Principal Risks	Special Measures Theme
	8	Not Applicable	Not Applicable

Appendix 1 – Risk Register

CFRR02	Director Lead: Executive Director of Finance	Date Opened: 05/09/2018
	Assuring Committee: Charitable Funds Committee	Date Last Reviewed: 25/05/2021
	Risk: Fund Advisors	Target Risk Date:
<p>There is a risk that the charity's Fund Advisors are unaware of their role and responsibilities.</p> <p>This could be due to:</p> <ol style="list-style-type: none"> 1. Lack of training. 2. Lack of understanding of a Charity and the appropriate rules and regulations. <p>The impact of this could be that the charity's funds are not spent or not spent in accordance with its objectives.</p>		



Controls in place	Further action to achieve target risk score
<ol style="list-style-type: none"> 1. A Fund Advisor Handbook was developed and issued to all Fund Advisors, to provide guidance and support in discharging their responsibilities. 2. Fund Advisor training days are held at various dates throughout the year (on hold during the pandemic). 	<ol style="list-style-type: none"> 1. Fund Advisor training days have not been possible in 2020/21 due to COVID-19. Whilst the pandemic is ongoing, it is unlikely that staff would be released to attend. However, options around when these can be restarted and how they may take place are under consideration.

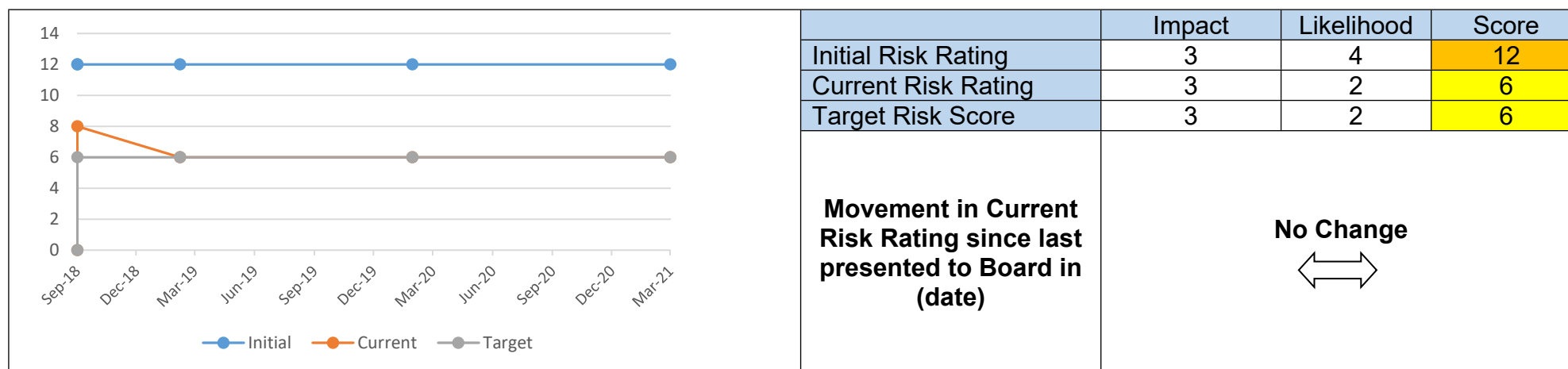
Appendix 1 – Risk Register

<p>3. The Handbook includes a requirement for all Fund Advisors to undertake an Annual Review of their fund and prepare an expenditure plan. This also includes an Accountability Agreement for all Fund Advisors, established to ensure that roles and responsibilities are understood and accepted.</p> <p>4. A review of dormant funds is under taken every year. Funds that are not being utilised and do not have future expenditure plans in place are referred to divisional management teams.</p>	<p>2. The Awyr Las Support Team needs to undertake further work to engage with Fund Advisors of the lesser active funds to help establish expenditure plans for the future. Fund Advisors need to be aware that funds should be used and they need to be clear and transparent about their plans.</p> <p>3. The Fund Advisor Handbook needs to be reviewed and updated. It is planned that the Annual Review and Accountability Agreement are moved online and the work to set this up needs to be done.</p>
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Assurances	Links to		
Wales Audit Office Charity Commission	Strategic Goals	Principal Risks	Special Measures Theme
	8	Not Applicable	Not Applicable

Appendix 1 – Risk Register

CFRR03	Director Lead: Executive Director of Finance	Date Opened: 05/09/2018
	Assuring Committee: Charitable Funds Committee	Date Last Reviewed: 25/05/2021
	Risk: Appeals	Target Risk Date:
<p>There is a risk that the charity is unable to identify a potential major Appeal.</p> <p>This could be due to:</p> <ol style="list-style-type: none"> 1. Lack of detailed information about the priorities for charitable support. 2. The geography of BCU making it difficult to identify one appeal for the whole Health Board. <p>The impact of this could be that the charity does not undertake a major appeal and loses out on potential income.</p>		



Controls in place	Further action to achieve target risk score
<ol style="list-style-type: none"> 1. The Charity Support Team reviews the unfunded requests submitted to voluntary organisations and also those on the capital register. 	<ol style="list-style-type: none"> 1. Campaign leads are now in place and Business Plans are being developed.

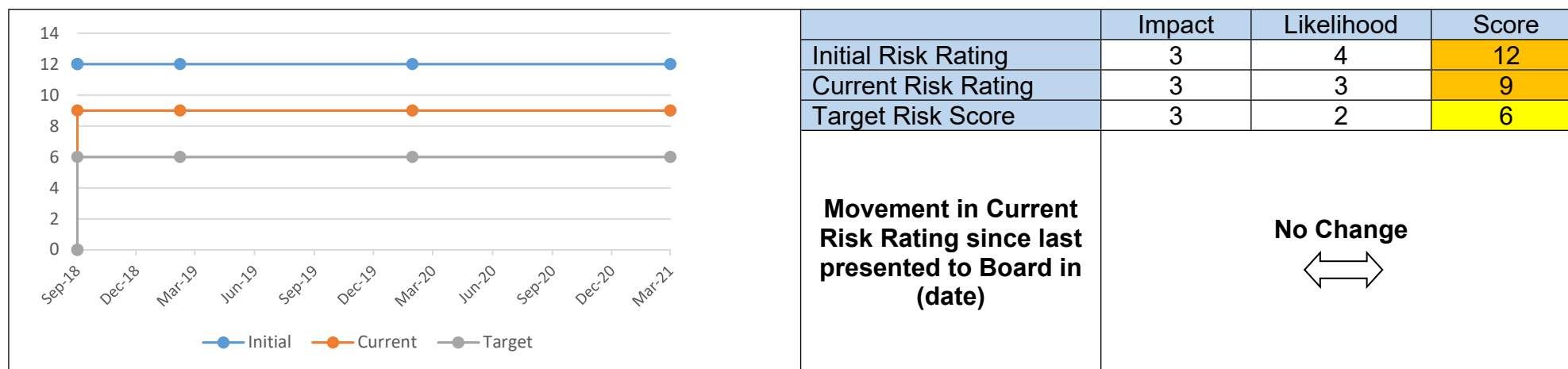
Appendix 1 – Risk Register

<p>2. The Annual Review section in the Accountability Agreement requires Fund Advisors to formally document their priorities and identify any future fundraising that may be required.</p> <p>3. Initial engagement with the Planning Team has taken place to help align the priorities of the charity with those of the Health Board.</p> <p>4. Discussions of the Health Board as Trustee have identified four key priority areas (Mental Health, Older People, Younger People and Cancer Care) as key strategic priorities for the charity. Projects aligned to these areas will be a focus for the charity over the next year.</p>	
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Assurances	Links to		
	Strategic Goals	Principal Risks	Special Measures Theme
Wales Audit Office Charity Commission	8	Not Applicable	Not Applicable

Appendix 1 – Risk Register

CFRR04	Director Lead: Executive Director of Finance	Date Opened: 05/09/2018
	Assuring Committee: Charitable Funds Committee	Date Last Reviewed: 25/05/2021
	Risk: Staff Engagement	Target Risk Date:
<p>There is a risk that staff are disengaged, or unaware of the charity.</p> <p>This could be due to:</p> <ol style="list-style-type: none"> 1. Lack of training. 2. The size of the Health Board making it difficult to communicate messages. 3. Negative media impacting on their opinion of the charity. 4. Difficulty with placing orders. <p>The impact of this could be that staff do not positively promote the Charity with patients and potential donors and it loses out on potential income.</p>		



Controls in place	Further action to achieve target risk score
1. The introduction of the Charitable Funds Advisory Group has allowed front line staff to become involved in decision making on charitable expenditure (on hold during the pandemic).	1. A network of Charity Champions at ward, department or locality level needs to be established to aid the promotion of the

Appendix 1 – Risk Register

<p>2. The Fund Advisor Handbook highlights to Fund Advisors that they have a key role to play in promoting the benefits of the charity. This is reinforced through the Fund Advisor training days.</p> <p>3. An action plan for staff engagement, including working with Workforce & Organisational Development and the Communications team has been developed as part of the Communication Strategy.</p> <p>4. The use of social media has been increased and used to promote good news stories about the charity, as well as responding to any negative media coverage.</p> <p>5. A process for ordering items not available on Oracle has been agreed with Procurement, to ensure that staff can order the items that they want, whilst still complying with Procurement procedures and maintaining an audit trail.</p>	<p>Charity and the work that it is doing. This has been delayed due to COVID-19.</p> <p>2. Staff communications will be issued around the charity's Annual Report to help inform staff of the work that the charity does and how they can become involved.</p> <p>3. The Staff Lottery aims to assist with staff engagement and communicating key messages more effectively.</p>
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Assurances	Links to		
Wales Audit Office Charity Commission	Strategic Goals	Principal Risks	Special Measures Theme
	8	Not Applicable	Not Applicable

Appendix 1 – Risk Register

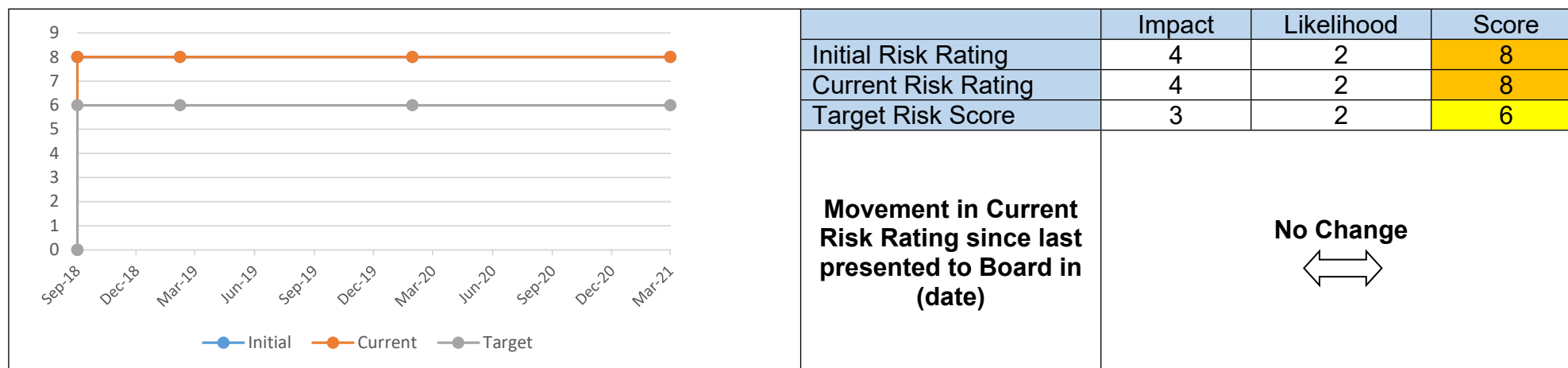
CFRR05	Director Lead: Executive Director of Finance	Date Opened: 05/09/2018
	Assuring Committee: Charitable Funds Committee	Date Last Reviewed: 25/05/2021
	Risk: Investments	Target Risk Date:

There is a risk that the investment portfolio falls significantly in value.

This could be due to:

1. Changes in the markets or economy.
2. Poor performance from the investment managers.

The impact of this could be that a severe impairment to the charity's ability to support future projects.



Controls in place	Further action to achieve target risk score
1. The charity's investment portfolio is monitored on a monthly basis by the Charity Support Team and on a quarterly basis by the Charitable Funds Committee.	1. Monitoring of investments and the portfolio performance needs to be a continual process. The investment policy needs to be reviewed in light of the income and capital needs of the charity for the short to medium term.

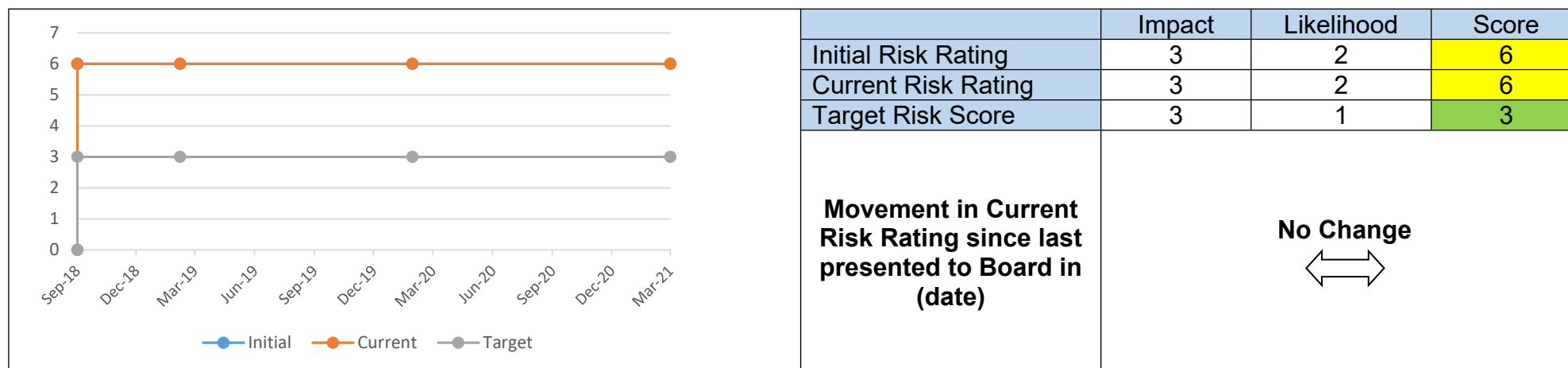
Appendix 1 – Risk Register

2. The investment policy is reviewed by the Committee on an annual basis, in conjunction with the Investment Managers, to ensure it remains relevant to the charity's long term strategy.	
3. The Investment Managers attend Committee meetings on an annual basis, but are available to answer any issues raised throughout the year.	

Assurances	Links to		
Wales Audit Office Charity Commission	Strategic Goals	Principal Risks	Special Measures Theme
	8	Not Applicable	Not Applicable

Appendix 1 – Risk Register

CFRR06	Director Lead: Executive Director of Finance	Date Opened: 05/09/2018
	Assuring Committee: Charitable Funds Committee	Date Last Reviewed: 25/05/2021
	Risk: Financial	Target Risk Date:
<p>There is a risk that the charity does not have sufficient reserves to support the projects it wishes to.</p> <p>This could be due to:</p> <ol style="list-style-type: none"> 1. Reduction in the income to the charity, 2. Approval of expenditure above the level of resources available. <p>The impact of this could be that a severe impairment to the charity's ability to support future projects.</p>		



Controls in place	Further action to achieve target risk score
<ol style="list-style-type: none"> 1. Funds available are monitored through the Reserves Policy, which is updated and reviewed by the Committee on an annual basis. 2. The level of reserves is monitored against the target and reported to the Committee on a quarterly basis. 	<ol style="list-style-type: none"> 1. Further work needs to be done to establish income plans in order to develop new and different income streams. 2. The Staff Lottery is intended to increase undesignated income (General Funds) to help fund small and medium sized

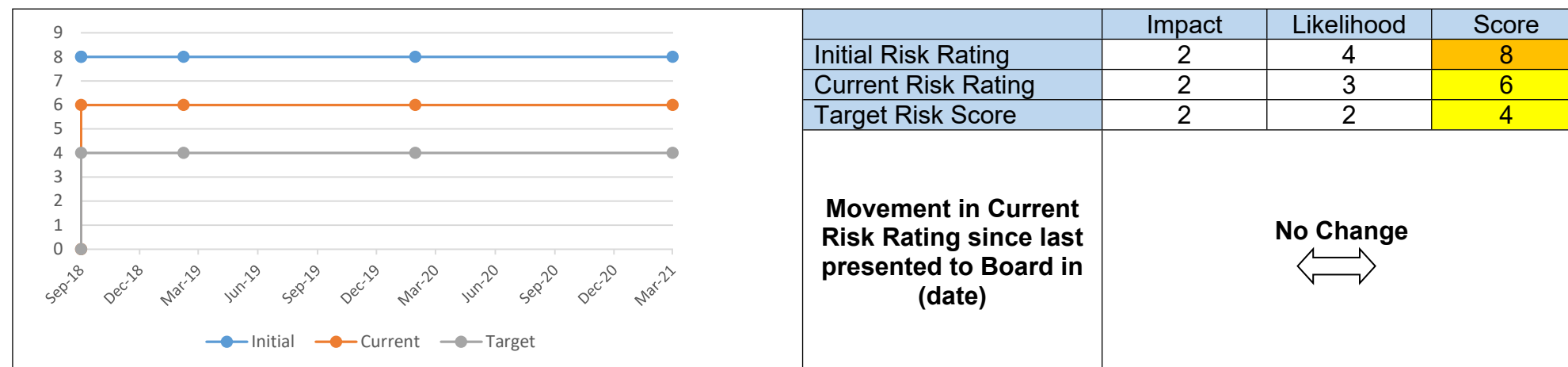
Appendix 1 – Risk Register

<p>3. Individual funds are checked to ensure there is enough monies available before any expenditure is approved from them.</p> <p>4. Available General Funds are monitored closely and reported to the Committee on a quarterly basis.</p>	<p>applications for funding from priority services, which don't traditionally receive charitable funding.</p>
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Assurances	Links to		
Wales Audit Office Charity Commission	Strategic Goals	Principal Risks	Special Measures Theme
	8	Not Applicable	Not Applicable

Appendix 1 – Risk Register

CFRR07	Director Lead: Executive Director of Finance	Date Opened: 05/09/2018
	Assuring Committee: Charitable Funds Committee	Date Last Reviewed: 25/05/2021
	Risk: Use of Technology	Target Risk Date:
<p>There is a risk that the charity is not using technology as effectively as possible.</p> <p>This could be due to:</p> <ol style="list-style-type: none"> 1. Lack of resources meaning the basics are not in place. 2. Lack of expertise. <p>The impact of this could be a lack of engagement with donors.</p>		



Controls in place	Further action to achieve target risk score
<ol style="list-style-type: none"> 1. The charity's internet site has been redeveloped and is now live. 2. The Communications Strategy includes specific actions around social media to engage widely with the population of North Wales. 	<ol style="list-style-type: none"> 1. Further developments to the internet site are required to allow the charity to significantly improve its engagement with donors, volunteers and staff, whilst providing a platform for the promotion of events and social media streams.

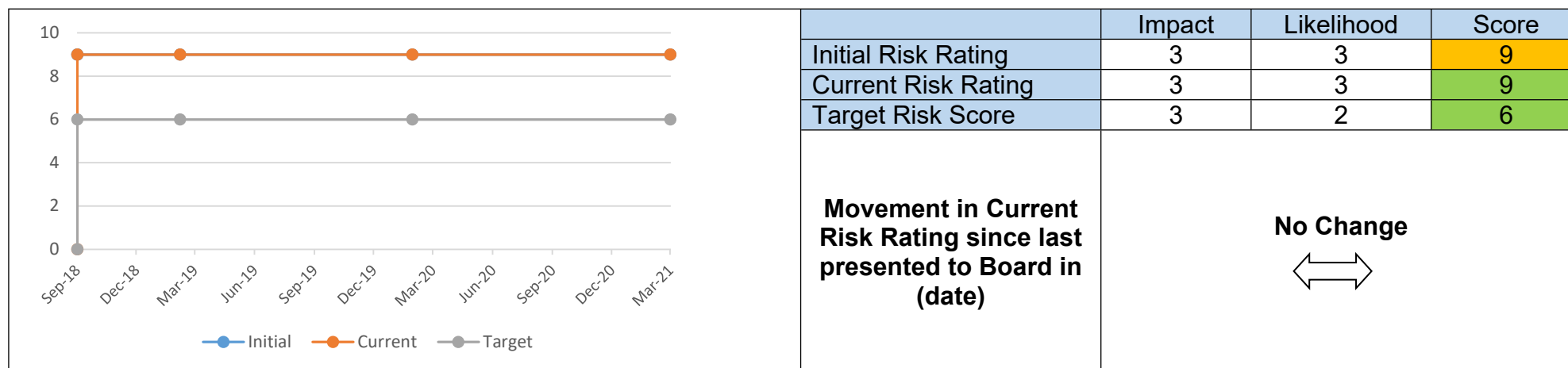
Appendix 1 – Risk Register

3. New ways of donating, via text giving, Facebook and debit/credit card have been introduced to maximise the use of technology in this area.	2. A member of the Awyr Las Fundraising Section will be responsible for Data and Digital. Having a dedicated point person for digital and data projects will enable the team to improve use of existing resources and trial new technology.
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Assurances	Links to		
Wales Audit Office Charity Commission	Strategic Goals	Principal Risks	Special Measures Theme
	8	Not Applicable	Not Applicable

Appendix 1 – Risk Register

CFRR08	Director Lead: Executive Director of Finance	Date Opened: 05/09/2018
	Assuring Committee: Charitable Funds Committee	Date Last Reviewed: 25/05/2021
	Risk: Reputation	Target Risk Date:
<p>There is a risk that the charity's reputation is damaged.</p> <p>This could be due to:</p> <ol style="list-style-type: none"> 1. Adverse publicity in the media. 2. Disagreement with a funding decision among donors/supporters/the public. <p>The impact of this could be a reduction in the income that the charity receives.</p>		



Controls in place	Further action to achieve target risk score
<ol style="list-style-type: none"> 1. The charity's Fund Advisors make decisions on how funds should be spent, so involving front line staff in decision making. 2. The use of the charity's social media platforms has increased and is used to promote good news stories about the charity, as well as responding to negative media coverage. 	<ol style="list-style-type: none"> 1. Regular updates on grant making need to be maintained on the charity's internet site and social media to continue to improve engagement with staff, donors and the public. 2. Consideration needs to be made of the public and donor view in all funding decisions, to ensure that grants awarded would pass

Appendix 1 – Risk Register

<p>3. There is an external audit and sign off of the charity's accounts and annual report by Wales Audit Office.</p> <p>4. Regular reporting of any complaints received to the Charitable Funds Committee, so that they can be monitored and assurance given that actions have been taken to address them.</p>	<p>the 'Daily Mail test', as recommended by the Association of NHS Charities.</p> <p>3. Improvements are being made to the funding application form to ensure that it allows applicants to clearly identify the impact that the grant will have for patients. This will help to support funding decisions.</p>
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Assurances		Links to		
Wales Audit Office Charity Commission		Strategic Goals	Principal Risks	Special Measures Theme
	8		Not Applicable	Not Applicable

Cyfarfod a dyddiad: Meeting and date:	Charitable Funds Committee 11 th June 2021						
Cyhoeddus neu Breifat: Public or Private:	Public						
Teitl yr Adroddiad Report Title:	Committee Work Plan for 2021/22						
Cyfarwyddwr Cyfrifol: Responsible Director:	Sue Hill, Executive Director of Finance						
Awdur yr Adroddiad Report Author:	Kirsty Thomson, Head of Fundraising						
Craffu blaenorol: Prior Scrutiny:	None						
Atodiadau Appendices:	<u>Appendix 1</u> : Work Plan 2021/22						
Argymhelliad / Recommendation:							
The Committee is asked to approve the cycle of business and work plan presented, as a starting point for the work to be undertaken in 2021/22.							
Please tick one as appropriate (note the Chair of the meeting will review and may determine the document should be viewed under a different category)							
Ar gyfer penderfyniad /cymeradwyaeth For Decision/ Approval	<input checked="" type="checkbox"/>	Ar gyfer Trafodaeth For Discussion	<input type="checkbox"/>	Ar gyfer sicrwydd For Assurance	<input type="checkbox"/>	Er gwybodaeth For Information	<input type="checkbox"/>
Sefyllfa / Situation:							
The Charitable Funds Committee has responsibility for the management and stewardship of Charitable Funds.							
Cefndir / Background:							
<p>The Charitable Funds Committee, in common with other committees and sub-committees, needs to agree a cycle of business setting out regular business to be considered on a recurring basis each year. A work plan is also required, setting out additional and one-off items of business planned for each agenda in-year. Ad-hoc items can be added to this plan as and when issues arise.</p> <p>This work plan is reviewed annually. The Head of Fundraising requested it be updated and resubmitted for approval from the Committee. There are two requested changes:</p> <p>1) An additional item: the annual strategic review to assess progress against the charity's strategy. The current Awyr Las strategy runs from 2021-25 and a new three year strategy for 2022-2025, with a budget and operational plan to underpin it, will need to be approved in December to commence from 2022. The strategy must be reviewed annually to ensure key milestones are being met.</p>							

2) A change of date for the budget from March to December of the previous year. This will mean the budget can be approved in advance of the new financial year. The change from March to December means this can be approved alongside the review of the charity strategy.

Asesiad / Assessment:

Strategy Implications

Aligned to the Awyr Las Charity Strategy.

Options considered

Not applicable.

Financial Implications

Not applicable.

Risk Analysis

Not applicable.

Legal And Compliance

Not applicable.

Impact Assessment

Not applicable.

Appendix 1 – Work Plan 2021/22

Agenda Item	June 2021	September 2021	December 2021	March 2022
Opening Business				
Apologies & declarations of interest	X	X	X	X
Minutes of the previous meeting	X	X	X	X
Matters arising and action plan	X	X	X	X
Standing Items				
Finance report	X	X	X	X
Fundraising report	X	X	X	X
Third sector groups report	X	X	X	X
Staff Lottery	X	X	X	X
Charitable Funds Advisory Group minutes	X	X	X	X
Charity Risk Register	X	X	X	X
Investment manager's portfolio report	X	X	X	X
Items for Decision				
Request for expenditure approvals	X	X	X	X
Budget for forthcoming year			X	
Audited accounts and annual report		X		
Charity Strategy – Annual Review			X	
Wales Audit Office ISA 260 report		X		
Items of Governance				
Investment manager presentation	X			X
Review of reserves policy				X
Committee work plan for forthcoming year	X			X
Closing Business				
Issues of significance	X	X	X	X
Date of next meeting	X	X	X	X
Planning / agenda setting for next meeting	X	X	X	X
In Year / Ad hoc items				