

## Northumbria Healthcare NHS Foundation Trust

### Charitable Funds

#### Staff Lottery Scheme Procedure

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## **1.0 Introduction**

The Northumbria Healthcare NHS Foundation Trust Staff Lottery is promoted by the trust for the benefit of charitable funds to support community based projects.

The lottery is run as a small society lottery under the terms of the Gambling Act 2005. The Trust through appropriate mechanisms regulates the conduct of the lottery.

The Lottery is managed by the Charitable Funds Committee. The promoter of the lottery is the Director of Communications and Corporate Affairs. Delegated responsibility for the operational running of the lottery may be allocated to the Head of Charity, Volunteering, Arts & International and another nominated manager within the communications department. All officers involved in the management and operational running of the lottery will not be eligible to participate in the staff lottery.

## **2.0 Executive Summary**

2.1 The Purpose of the Staff Lottery procedure document is to affirm the Trust's commitment to comply with the requirements of the Act and to set out procedural arrangements to ensure compliance.

2.2 The rules within the Staff Lottery must be adhered to by any member of staff wishing to conduct any form of gaming including lotteries as a means of raising funds.

This Staff Lottery Scheme procedure provides a guide on the process for registering and operation of the staff lottery. The Staff Lottery rules are shown at appendix 1.

## **3.0 Staff Lottery Rules of Play**

Entry to the lottery is limited to paid substantive employees of Northumbria Healthcare NHS Foundation Trust. This is due to the process of paying for tickets via salary deduction only.

The purpose of the lottery shall be the raising of money wholly or mainly for the following purposes:

- Charitable – to fund community based projects
- Charitable – to fund applications to support the community health and wellbeing
- Any purposes within the community not described above but which neither have purposes of private gain nor purposes of any commercial undertaking.

The above purposes shall include without limitation the raising of funds by the Trust to support bids submitted by staff under the Trust's Charitable Funds Committee.

## **4.0 Regulation of the Staff Lottery**

There will be two named lottery managers who shall have the authority/responsibility for the overseeing of the operation of the lottery. This will also include the management of 3<sup>rd</sup> party partner organisation responsible for the technical management and operation of the lottery system.

It is the responsibility of the Charitable Funds Committee to manage the application process and dissemination of funds to community based projects.

The Charitable Funds Committee will:-

- Ensure the draw is compliant and appropriately registered in accordance with relevant legislation and regulations.
- Ensure that members lottery ticket deductions are collected and recorded.
- Ensure that the draw is administered in a fair and transparent manner.
- Review and agree prize levels.
- Co-ordinate the process of allocating the proceeds of the prize fund to community based projects.
- Manage and monitor the application process for funding to support community based projects, through the agreed medium of the Community Lottery Group based on the governance principles of the Charity Development Groups subject to meeting agreed criteria. In order to qualify for funding for community based projects applicants must meet agreed criteria (Appendix 2).
- Ensure that transparent and comprehensive financial records of the lottery proceeds and outgoings of the draw are maintained and available for audit or other independent scrutiny.
- Produce an annual report which will include a full breakdown of lottery proceeds and outgoings, and an account of the activities of the lottery draws in promoting staff benefits. Lottery activity will be reported formally through CF Committee and will include details of funds raised as well as projects that are being supported.
- Be responsible for maintaining the staff lottery constitution, formally agreeing any changes or amendments, and ensuring that an up to date constitution is available to view by members.

#### **5.0 Duties - Individual Officers**

It is the responsibility of Northumbria Healthcare NHS Foundation Trust Charity Representative to submit a quarterly report to the Charitable Funds Committee in respect of any and all charitable funds raised as a result of the lottery.

It is the responsibility of the named lottery manager to submit regular statements to the Local Authority, in accordance with the regulations.

#### **6.0 Procedure**

Entry to the staff lottery is limited to the members of staff employed by Northumbria Healthcare NHS Foundation Trust who have a paid substantive post.

Eligible staff will be required to register on the lottery website to become a member of the staff lottery.

By becoming a member of the Northumbria Healthcare NHS Foundation Trust staff lottery and by purchasing a ticket, staff will be bound at all times by the lottery rules, as may be amended from time to time. The lottery rules in force at the date of this constitution are appended at appendix 1.

The total proceeds of the lottery will be disseminated as follows:-

67.5%	-allocated to the prize funds
12.5%	-administration/operation of the lottery system
20%	-allocated to charitable funds (community based projects)

The staff lottery will be drawn on a monthly basis and a winner will be drawn at random. A further 10 numbers will be drawn at random for allocation of smaller prizes.

It is intended that prizes shall be cash prizes, the allocation and value of this shall be as follows:-

Winning ticket holder	50% of the 67.5% of total proceeds
10 tickets	50% of the 67.5% total proceeds will be shared amongst the 10 runner up ticket holders.

The proceeds allocated to charitable funds shall be allocated at the charitable funds sole discretion. Details about how to access charitable funds can be found at (Appendix 2)

## Appendix 1

### STAFF LOTTERY RULES

1. The staff lottery is run as a small society lottery under the terms of the Gambling Act 2005. The Trust through appropriate mechanisms regulates the conduct of the lottery.
2. Entry to the staff lottery is limited to the members of staff employed by Northumbria Healthcare NHS Foundation Trust who receive a salary payment. Membership is not transferable to any other person.
3. Payment of entry fees can only be made by a direct deduction from salary. It is the responsibility of each employee to check that deductions are accurate.
4. No prize shall be paid to any person other than the person to whom the winning number was allocated.
5. Members may join or leave the scheme at any time. To join or leave the scheme the member of staff can tick the appropriate box on the staff lottery website - [www.northumbrialottery.co.uk](http://www.northumbrialottery.co.uk).
6. Tickets are £1 each and a maximum of 4 tickets per person can be purchased.
7. Tickets must be purchased before the 5<sup>th</sup> of the month to be included in the draw for that month.
8. Draws will be held monthly on or after the 1<sup>st</sup> of the following month. Each draw will be performed by a random number generator. A password will be issued on the day of the draw by LovelyPears Limited, the external lottery scheme operator, and an adjudicator from Northumbria Healthcare NHS Foundation Trust will undertake each draw.
9. At each draw the appropriate number of winning numbers will be drawn and allocated to prizes available. No number will be eligible for more than one prize in each monthly draw.
10. If you have more than one number, you may win more than one prize each month depending upon the numbers drawn.
11. Prize money will only be paid in the form a BACS transfer to the winning employees account.
12. Numbers will only be entered into the lottery following full payment having been made by you by salary deduction to the value of the ticket (s). You shall only be entitled to take part in a draw if you have paid for the ticket (s) in full for that particular month. If payment for your ticket (s) is not received in full or deducted from your salary prior to the date of the draw, the relevant number will be immediately suspended from the draw until the necessary payments recommence. You will receive an email notifying you of the suspension.

13. If you win a prize, you hereby grant the trust permission to disclose and circulate your name and identity to others and/or any publicity as winner of a prize. This includes listing winners names on the website <https://www.northumbrialottery.co.uk/winners/> and on the Northumbria staff facebook page.
14. The value of prizes will be maintained as close to 67.5% of the annual proceeds as possible.
15. All lottery entry fees are final and no refund will be made at any time. All members acknowledge that their payment of £1 per ticket does not guarantee that they will win any prize.
16. If the winning number of the 1<sup>st</sup> prize is subsequently identified as ineligible for any reason then the prize will not be awarded to the respective staff member. The number subsequently drawn will be awarded the winnings of the 1<sup>st</sup> prize. All prizes therefore beneath the ineligible number will be uplifted one place and duly awarded. The final unallocated prize will be added to the prize fund of the following month, no alternative number will be drawn.
17. The winning numbers for prizes will be drawn in descending order, i.e. the winning number first for the largest prize will be drawn first, the remaining 10 smaller prizes will also be in descending order.
18. All prize winners will receive notification by email, which is system generated and sent automatically to staff.
19. There will be no roll over prizes from any draw.
20. The trust accepts no liability whatsoever for any failure to include your numbers in a draw, whether or not such failure is the result of payments not being made by you or not being deducted from your salary, the result of your number (s) being omitted accidentally or otherwise from the relevant draw.
21. Immediately upon you ceasing to meet the eligibility criteria specified in rule 1 above, you shall cease to be a member of the trust's staff lottery and automatically cease to be entitled to participate in the lottery. This shall include, but without limitation, where you resign, your contract is terminated or you retire from your employment or engagement with Northumbria Healthcare NHS Foundation Trust.
22. Staff who leave the employment of the trust, for whatever reason, will be automatically withdrawn from the draw in the month following their termination. Should a member of staff terminate their employment with the trust, but continue to be wrongly in receipt of pay (with a payroll deduction being made for the price of a lottery ticket) following their termination date, for whatever reason, that former employee will not be permitted to win a prize in the monthly lottery.
23. If you have a period of sick leave, maternity leave or career break that results in a no pay situation your membership will be suspended for a period of 3 months and you will not be entered into the lottery. Should your no pay situation continue beyond the 3 month period your membership will be terminated and your account disabled.

24. You shall be entitled to withdraw from the lottery and to cease to be a member of the trust's staff lottery at any time through your account on the website. Members withdrawing from the staff lottery will receive formal notification by email that their membership has been terminated and will confirm the month of their last entry into the draw. You must ensure you have updated your account with your request to leave before the 5<sup>th</sup> of the month.
25. The trust reserves the right to refuse you entry to the lottery or withdraw your membership at any time in accordance with the Association's Constitution.
26. The charitable funds committee reserves the right to set limits on the total number of entries within the lottery draw by restricting access to membership of the trust lottery. This will take into account limits applied to small society lotteries as per the Gambling Act 2005.
27. The trust reserves the right to temporarily suspend or permanently cease to run the lottery immediately at any time without cause and without notice.
28. The trust makes no representation and gives no guarantee or warranty in relation to any prize and shall not be liable for any loss, damage or delay which arises out of your participation in the lottery or your use of any prize, including without limitation financial, indirect or consequential loss. Nothing in these lottery rules shall seek to limit or exclude the trust's liability for death or personal injury resulting in negligence.
29. If there is any dispute in relation to the interpretation of these lottery rules, the management of the lottery or the conduct of the lottery draws, the decision of the charitable funds committee will be final. Complaints must be made in writing to Charitable Funds Committee. A written response will be made to the complainant following discussion and review by the charitable funds committee.
30. The charitable funds committee reserves the right to vary these lottery rules from time to time. The latest version of the lottery rules will be posted on the staff intranet and the staff lottery website at [www.northumbrialottery.co.uk](http://www.northumbrialottery.co.uk).
31. The charitable funds committee will instruct an external third party to undertake the draw, and will ensure that independent verification is in place to guarantee fairness of the draw.



## **Appendix 2**

### **Staff Lottery Grant Allocation Group**

#### **Terms of Reference**

##### **1. Introduction**

The Staff Lottery Grant Allocation Group will be responsible for dispensing funds generated by the staff lottery. This will be undertaken by way of the well-established governance arrangements set up for Charity Development Groups.

The Charitable Funds Committee has ultimate responsibility for directing the affairs of the Charity Development Groups and associated grant allocation groups and ensuring that they are well run and delivering the charitable outcomes for which they have been set up.

The Charity Trustees provide general direction to the Charitable Funds Committee regarding priorities to be supported by charitable funds. The Non-Executive Director, as Chairman of the Group, and Head of Charity, Volunteering, Arts & International can provide guidance to the meeting regarding agreed priorities.

##### **2. Membership**

The Staff Lottery Grant Allocation Group may be attended by any member of staff who has submitted a bid for consideration. The Group will be chaired by a Non-Executive director who will represent the interests of the corporate trustee or in their absence another Non-Executive Director, or the Head of Charity, Volunteering, Arts & International may be delegated authority to deputise on their behalf.

The chairman of the Staff Lottery Grant Allocation Group shall be nominated by the Charitable Funds Committee.

Membership of the group shall comprise:

- Non-Executive Directors
- Head of Charity, Volunteering, Arts & International
- Representative of Community Business Unit
- Community Matron
- Operational manager (Community)
- Public Governors for the area
- A representative of staff side

##### **3. Attendance**

The Staff Lottery Grant Allocation Group shall operate as an open forum which members of staff may attend.

Officers of the Trust and other individuals who wish to make a presentation to the Staff Lottery Grant Allocation Group, to support an application for funding, are required to attend meetings of the CDGs to answer queries. Failure to attend a meeting to support an application will result in immediate deferral of the application.

#### **4. Frequency of Meeting**

Meetings shall be called when the Chairman of the group deems it appropriate and when sufficient funds are available to the group for allocation.

#### **5. Notice of Meetings**

Unless otherwise agreed, notice of each meeting confirming the venue, time and date together with an agenda of items to be discussed, shall be forwarded to each member of the group and any other person attending or who has been invited to attend no later than five working days before the date of the meeting.

Agenda items are to be approved by the Head of Charity, Volunteering, Arts & International as being appropriate for charitable funding.

A poster displaying notice of the date and time of the Staff Lottery Grant Allocation Group will be put on display on notice boards within the area.

Agenda papers shall be sent to members of the group no later than five working days before the meeting. Additional copies of agenda papers will be made available for circulation at the meeting.

#### **6. Secretary**

The Charity Support Officer or their nominee shall act as secretary to the Staff Lottery Grant Allocation Group.

#### **7. Minutes of Meetings**

The Charity Support Officer shall minute the decisions taken regarding the award of funding for all applications and shall ensure that this information is provided as a record of expenditure to the Charitable Funds Committee.

The Charity Support Officer shall keep a separate record of all points of action arising from the meetings and all issues carried forward.

The Charity Support Officer shall ascertain, at the beginning of each meeting, the existence of any conflicts of interest and minute them accordingly.

The Charity Support Officer shall issue a notice detailing the financial decisions of the Staff Lottery Grant Allocation Group to be displayed in a public space at the appropriate sites. This information will also be posted on the trust intranet and external internet sites.

#### **8. Duties of the Charity Support Officer**

To inform members of staff regarding the operation and management of the Staff Lottery Grant Allocation Group.

To ensure that information including guidelines for the bid process is available on the Trust intranet.

To ensure that applications to the Staff Lottery Grant Allocation Group have been approved by the appropriate operational manager, and are in accordance with trust policy. This is to ensure that all on-costs, including maintenance of equipment, will be picked up by the requesting department.

To ensure that applications to the Staff Lottery Grant Allocation Group have been assessed by the supplies department against Value-for-money (VFM) criteria regarding expenditure and on-costs, and that the finance department has considered VAT implications and / or VAT exemption and this is confirmed within the bid price.

To ensure that applications to the Staff Lottery Grant Allocation Group have been considered by the supplies department, who will also provide advice regarding the availability of products, and preferred contractors.

To ensure that all successful applicants are notified about funding granted to them and are provided with appropriate advice regarding the Trust's procurement protocols and Standing Financial Instructions where appropriate.

To ensure that all expenditure is properly and accurately accounted for/ attributed in accordance with the intended purpose of the staff lottery.

To ensure that feedback is received from the community service areas which have received funding from the Staff Lottery Grant Allocation Group. This is a condition of all funding awards.

To ensure that members of staff who obtain funding through the Staff Lottery Grant Allocation Group for pilot projects submit evaluation of the project to the Staff Lottery Grant Allocation Group in the first instance and also ensure that the relevant business unit is provided with this information.

The Head of Charity, Volunteering, Arts & International is to provide regular reports regarding the performance of the Staff Lottery Grant Allocation Group to the Charitable Funds Committee.

The Head of Charity, Volunteering, Arts & International is to ensure wider dissemination of information about the work of the Staff Lottery Grant Allocation Group to members of staff, volunteers, patients, visitors and members of the public.

## **9. Authority**

The Chairman of the Staff Lottery Grant Allocation Group and / or Head of Charity, Volunteering, Arts & International has delegated authority to act on behalf of the Charitable Funds Committee, to provide advice regarding spending priorities and ensure that spending decisions are appropriate.

The Staff Lottery Grant Allocation Group is authorised to implement actions agreed within the group in accordance with the terms of reference. The Matron(s) of service areas and community leads in the area will ensure that staff are invited to bring forward proposals to enhance the patient, visitor and staff experience for discussion by the group. This will form the basis of a 'wish list' to encourage fundraising efforts.

The Head of Charity, Volunteering, Arts & International shall be authorized to verify and approve expenditure of sums agreed by the Staff Lottery Grant Allocation Group for the purposes of the procurement process.

The Staff Lottery Grant Allocation Group is authorized to act within its terms of reference and:

- To seek any information that it requires from an employee of the Trust in order to perform its duties.
- To require any employee to attend a meeting of the Staff Lottery Grant Allocation Group to present information or answer questions on a matter under discussion.
- To take advice from external advisors, whenever it is appropriate to do so.

## **10. Quorum**

There is no fixed quorum for the meeting but a duly convened meeting of the Staff Lottery Grant Allocation Group shall require the attendance of a properly appointed chairperson, who shall be competent to exercise all or any of the authorities, powers or discretions vested in or exercisable by the Trust as corporate trustee.

The purpose of the Staff Lottery Grant Allocation Group shall be to ensure a fair and equitable forum to dispense charitable funds across all healthcare services and disciplines within the area.

Items or any issue from the Staff Lottery Grant Allocation Group which proves unable to gain consensus shall be referred to the Charitable Funds Committee for decision on the behalf of the Charity Trustees.

## **11. Review of Effectiveness**

An annual review of the effectiveness of the Staff Lottery Grant Allocation Group will be conducted by the Head of Charity, Volunteering, Arts & International and findings will be reported to the Charitable Funds Committee.

## **12. Review and Revision**

These terms of reference will be reviewed annually by the Charitable Funds Committee.

## **Appendix 3**

### **Staff Lottery – Process of Grant Allocation**

The duly appointed representatives of the Staff Lottery Grant Allocation Group shall be empowered to consider requests for funding from individuals (healthcare professionals and managers) within the Community Health Services Business Unit and distribute funding in the form of profits raised from the staff lottery.

It has been agreed by Executive Management Team that the profits raised from the staff lottery will be apportioned as follows:

67.5%	prize fund
12.5%	administration costs
20%	community based projects and trust health & wellbeing programme (15% and 5% respectively)

The Staff Lottery Grant Allocation Group will therefore be responsible for the allocation of 15% of the income from lottery proceeds.

The grant allocation agreed in support of the staff health & wellbeing programme will be authorised annually by the Charitable Funds Committee.

### **Grant eligibility criteria**

In order to qualify to apply for funding through the staff lottery grant scheme the initiative/ project / equipment identified within the bid must meet the following criteria:

1. Each bid must clearly demonstrate a clear health or wellbeing focus for the wider community
2. The fund may be used to purchase equipment which improves health outcomes for the wider community
3. The fund may be used to pump prime wellbeing projects on the understanding that funding will be time limited and that there would be an expectation from the users of the service to cover costs should the activities continue beyond the pilot period.
4. The fund may be used to establish/ pump prime social engagement opportunities for those who are socially marginalised. However the same conditions apply as per (3)
5. The fund may be used to improve facilities used to support health & wellbeing in the community
6. The fund must not provide sole benefit for an individual

### **Schedule of meetings**

Following implementation of the staff lottery it is suggested that grant applications are invited twice a year. A report and follow up on the meetings will be made to the Charitable Funds Committee.