



A GUIDE TO THE CHARITY'S FUNDRAISING & FINANCE POLICIES

January 2022

This Handbook sets out the Charity's general practices and policies and forms the fourth of four such Handbooks which are:

General Policy Handbook
Employee Handbook
Service Specific Handbook
Fundraising & Finance Specific Handbook

If you are unsure about any aspect of these policies, please contact the Executive Manager or Chair of Trustees for clarification.

Comment	Date	Signed off:
Handbook compiled	30 th September 2021	Nick Dutt
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WELCOME

We are delighted to welcome you to the Dame Vera Lynn Children's Charity ("DVLCC"). With over 20 years of history, we are truly recognized as leaders in the provision of help and support to children under the age of 5 with Cerebral Palsy and other motor learning impairments so that they can lead as independent a life as possible.

As well as our considerable history, our greatest assets are the team of great people associated with the Charity including service users and their families, employees, volunteers, contractors, donors and sponsors, Vice Presidents, Patrons, Ambassadors and Trustees and it is these people that make DVLCC special.

As a member of the DVLCC team, you play an important role in making sure we continue to improve the service we deliver and maintain our special place in the community and we want the DVLCC to be a place everyone can enjoy, and that they feel their contribution is recognized and rewarded.

We ask that you carefully study the contents of this Handbook as, in addition to setting out our rules and regulations regarding service, it also contains a great deal of helpful information. It should be read in conjunction with the General policies handbook as well as the Employee and Service handbooks where they might apply to you. Much thought and effort has gone into the Charity's policies and guidelines described in this Handbook and we believe that they underline the value and confidence placed in our people.

On behalf of the Trustees, we welcome you.

Nick Dutt
Chair of Trustees
30 September 2021

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SERVICE SPECIFIC POLICY HANDBOOK - SECTION 1: DVLCC POLICIES

The standards set by the Charity are consistent with the standing of a professional charitable organisation.

You should familiarise yourself with all the policies in this Handbook, even though some of them may not seem to be directly relevant to your particular role in the Charity.

You should also familiarise yourself with the General policies handbook and, depending on your role, you may also be asked to familiarise yourself with one or more of the Charity's other policy Handbooks which are:

Employee Handbook

Service Specific Handbook

Definitions used in this handbook

Whenever we say parents in this document, we mean parents and carers, and whenever we say child, we mean children and young people aged 0 to 19 years old (up to 25 years old for young people with special educational needs and disability (SEND)). Whenever we say team members, we include all paid employees as well as any volunteers.

FUNDRAISING & FINANCE SPECIFIC POLICY HANDBOOK - SECTION 1: ETHICAL FUNDRAISING

Avoidance Criteria

Dame Vera Lynn Children's Charity will not endorse products, medical or surgical practices or companies. The Charity will not knowingly accept financial support or partnerships with individuals or organisations that would be inappropriate for a children's charity to be associated with, including those that make or sell armaments, manufacture tobacco, provide adult entertainment, exploit children or vulnerable adults or who have committed human rights violations. There may be other industries and companies where serious issues will need to be considered and for these, we adopt a risk management approach. We consider the advantages to our beneficiaries of accepting donations against any possible risk to our ability to continue to be there for our beneficiaries in the longer term.

We receive support from a small number of clinical negligence law firms and work with them on projects of mutual benefit. We do not directly market their services to our supporters or beneficiaries and do not receive referral fees.

Approved Authorisation Levels

The authorisation levels for accepting donations or contracts are given below. It is important to note that ultimate responsibility for all decisions, even where the decision making has been delegated to staff, rests with the Trustees.

Donation Value Authorisation Level:

Up to and including £500	Fundraiser
£501 up to and including £5,000	Member of Senior Management Team
£5,001 to £20,000:	Executive Manager
£20,000 and over:	Board of Trustees

All prospective supporters will be reviewed, and a decision made as to whether to proceed before an approach is made. For unsolicited donations, a decision will be sought as soon as is practically possible (24 business hours) and before the donation is banked.

Anonymous Donations:

Special consideration should be given to all truly anonymous donations (i.e. where we have no idea of the source) and any anonymous donations over £10,000 should be referred directly to the Board of Trustees due to the potential risk of money laundering. Anonymous donations over £25,000 will be reported to the Charity Commission as a serious incident.

Donations from Vulnerable People:

Special consideration will be given to donations involving potentially vulnerable donors e.g. accepting money from people with illnesses which may affect their judgement or lead to external control of their money. If this is suspected, then the Institute of Fundraising's Guidance on Accepting Donations from Vulnerable Adults should be followed.

Cause Related Marketing, Affinity Marketing and Product/Service Endorsement

Dame Vera Lynn Children's Charity does not endorse or approve products or services of any company.

A statement outlining how we will benefit from the sale of items will be included in all promotional materials e.g. a donation of 30p will be made to Dame Vera Lynn Children's Charity from the sale of each product

Only Dame Vera Lynn Children's Charity will have direct access to our database and our beneficiaries

In order to ensure that all of our cause-related promotion reflects our charity's values any potential initiative will be approved by the Executive Manager

Complaints

We have a Fundraising Complaints Procedures Policy which is available on the Charity's website ([https://dvlcc.org.uk/media/content/files/Fundraising%20Complaints%20Policy\(3\).pdf](https://dvlcc.org.uk/media/content/files/Fundraising%20Complaints%20Policy(3).pdf)).

Dame Vera Lynn Children's Charity is registered with the Fundraising Regulator which is the independent regulator of charitable fundraising. As a member, we are committed to the highest standards in fundraising. We follow the Institute of Fundraising's Codes of Fundraising Practice. These codes set the standards for fundraising activity throughout the UK, and we use the Fundraising Regulator's logo to show that we are following these standards. More information about the scheme is available on the Fundraising Regulator's website (<https://www.fundraisingregulator.org.uk/>).

Related Legislation

This Ethical Fundraising Policy takes into consideration the relevant legislation and regulations, with key examples including:

- The Charities Act 1992: in relation to commercial participators and professional fundraisers.
- The Charities Act 2011: in relation to seeking the views of the Charity Commission on whether to accept or refuse a particular donation, or an order to sanction the trustees' dealings with charity property.
- Data Protection Act 2018: in relation to handling the personal data of any donors.
- Freedom of Information Act 2000: in relation to freedom of information requests.
- The Bribery Act 2010: in relation to bribery offences.
- Finance Act 2011: in relation to tainted charity donations.
- Proceeds of Crime Act 2002: in relation to suspected money laundering
- Terrorism Act 2000: in relation to disclosures of beliefs or suspicions of terrorism offences

And the following Charities Commission guidelines:

- CC20 "Charities and Fundraising" - section F4 covers accepting donations with conditions attached and refusal of donations.
- The Charity Commission Compliance Toolkit "Protecting Your Charity from Harm"

FUNDRAISING & FINANCE SPECIFIC POLICY HANDBOOK - SECTION 2: FUNDRAISING PROMISE

The Fundraising Promise

Dame Vera Lynn Children's Charity is proud to be registered with the Fundraising Regulator, the independent regulator of charitable fundraising. Being registered with the Fundraising Regulator demonstrates our commitment to the Fundraising Promise. This means we ensure that our fundraising is legal, open, honest and respectful.

The standards for fundraising are set out in the Code of Fundraising Practice.

We will commit to High Standards

- We will adhere to the Fundraising Code of Practice.
- We will monitor fundraisers, volunteers and third parties working with us to raise funds, to ensure that they comply with the Code of Fundraising Practice and with this Promise.
- We will comply with the law as it applies to charities and fundraising.
- We will display the Fundraising Regulator badge on our fundraising material to show we are committed to good practice.

We will be clear, honest and open

- We will tell the truth and we will not exaggerate.
- We will do what we say we are going to do with donations we receive.
- We will be clear about who we are and what we do.
- We will give a clear explanation of how you can make a gift and change a regular donation.
- Where we ask a third party to fundraise on our behalf, we will make this relationship and the financial arrangement transparent.
- We will be able to explain our fundraising costs and show how they are in the best interests of our cause if challenged.
- We will ensure our complaints process is clear and easily accessible.
- We will provide clear and evidence-based reasons for our decisions on complaints.

We will be respectful

- We will respect your rights and privacy.
- We will not put undue pressure on you to make a gift. If you do not want to give or wish to cease giving, we will respect your decision.
- We will have a procedure for dealing with people in vulnerable circumstances and it will be available on request.
- Where the law requires, we will get your consent before we contact you to fundraise.
- If you tell us that you don't want us to contact you in a particular way we will not do so. We will work with the Telephone, Mail and Fundraising Preference Services to ensure that those who choose not to receive specific types of communication don't have to.

We will be fair & reasonable

- We will treat donors and the public fairly, showing sensitivity and adapting our approach depending on your needs.
- We will take care not to use any images or words that intentionally cause distress or anxiety.

- We will take care not to cause nuisance or disruption to the public.

We will be accountable and responsible

- We will manage our resources responsibly and consider the impact of our fundraising on our donors, supporters and the wider public.
- If you are unhappy with anything we've done whilst fundraising, you can contact us to make a complaint. We will listen to feedback and respond appropriately to compliments and criticism we receive.
- We will have a complaints procedure, a copy of which will be available on our website or available on request.
- Our complaints procedure will let you know how to contact the Fundraising Regulator in the event that you feel our response is unsatisfactory.
- We will monitor and record the number of complaints we receive each year and share this data with the Fundraising Regulator on request.

FUNDRAISING & FINANCE SPECIFIC POLICY HANDBOOK - SECTION 3: FUNDRAISING COMPLAINTS

Policy

Dame Vera Lynn Children's Charity is committed to fundraising in a way that is legal, open, honest and respectful. We recognise the importance of continuous improvement and view any complaint received as an opportunity to improve our approach and procedures.

Our commitment

We commit to ensuring that:

- people who support us and the wider public know how to make a complaint and can do so easily.
- anyone making a complaint can expect it to be dealt with sensitively, honestly and fairly.
- complaints are dealt with in a timely and efficient manner.
- all staff are aware of and confident following the fundraising complaints policy.
- complaints are reviewed on a regular basis to inform our approach to fundraising and process any improvements necessary.

How to make a complaint

Complaints can be made in writing and addressed to:

Dame Vera Lynn Children's Charity, Unit 1 The Courtyard, Holmsted Farm, Staplefield, Cuckfield, West Sussex RH17 5JF.

Complaints can be made by email to: info@dvfcc.org.uk Complaints can be made by telephone to 01444 473274

What will be done with my complaint?

- all complaints will be acknowledged within two working days of receipt.
- we will appoint a staff member or manager to investigate the complaint.
- we will inform you of the name of the person who will be dealing with your complaint.
- we aim to resolve complaints within ten working days of receipt. If you feel that the problem has not been satisfactorily resolved, you can request that the complaint is reviewed at Board level. At this stage, the complaint will be passed to the Chair of Board of Trustees.
- we will keep you informed of the progress of your complaint once it has been passed to the Board of Trustees and a definitive reply should be received within 28 days.

What can I do if I am not happy with the response I receive?

If you are not satisfied with the final response you receive from us, then you have the opportunity to refer your complaint direct to the Fundraising Regulator. www.fundraisingregulator.org.uk/make-a-complaint/complaints-procedure

FUNDRAISING & FINANCE SPECIFIC POLICY HANDBOOK - SECTION 4: GIFT AID

It is important that we follow the correct procedures for Gift Aid to comply with HMRC regulations. It is also as important to ensure we ask our donors to complete Gift Aid Declaration forms if they are able to so that we can claim tax back on all donations made to the Charity by individuals as this is a valuable source of income.

Please ensure you are familiar with the following procedures relating to Gift Aid.

- When a donation is received from an individual who is already on our database when entering the income, we should check their record to see if they have a valid Gift Aid Declaration and the Gift Aid Declaration box has been ticked. If not, when writing the acknowledgement letter we should insert the 'Gift Aid Declaration' paragraph (under Templates Forms and Letters) and send them a Gift Aid Declaration form.
- When we receive a completed Gift Aid Declaration form from an individual we should 'Edit' the person's record on Salesforce and tick the 'Gift Aid Declaration' box. The form should then be scanned and saved under 'Letters' and then attached to the record. The form should then be filed in the Gift Aid Declaration binder.
- When a sponsor form is received with cheques/cash a 'Sponsor Summary Form' should be completed to show which donations are eligible for Gift Aid. For anyone who has made a donation which is eligible for Gift Aid who is already on our database we need to check they already have a Gift Aid Declaration recorded. If not and the individual is a new donor, has ticked to say they are eligible for Gift Aid and wishes to be added to our database, we can use the 'Sponsor Form' as the Gift Aid Declaration and on Salesforce under 'Notes and Attachments' we need to add a 'New Note' stating the following:
 - "Gift Aid Declaration received on Sponsor Form for (name of event) (Date) (Name of Participant) please see Sponsor Summary Form held on file.
- **IMPORTANT:** For any donation to be eligible for Gift Aid on a Sponsor Form we must have the individuals Full Name, Address, Post Code and the Gift Aid Box ticked in their own handwriting.
- The Gift Aid Declarations are submitted every three months to HMRC.

FUNDRAISING & FINANCE SPECIFIC POLICY HANDBOOK - SECTION 5: FINANCIAL PROCEDURES

Financial Procedures and Record Keeping Policy

Cash Expenditure and Invoice Authorisation

Any potential expenditure must be approved in accordance with the approval matrix below prior to making a commitment or placing an order.

The Executive Manager maintains cash flow projections for a 3-month period going forward which detail all projected expenditures and circulates this to the Charity's Board of Trustees on a monthly basis to ensure that they are aware of all intended expenditures.

For any major equipment or furniture expenditure, the Executive Manager will seek the approval of the Treasurer in advance of making a commitment or placing an order.

The Executive Manager will seek and must receive approval from the Board of Trustees prior to entering into any leasehold commitments for premises or equipment.

Once an invoice is received, the Executive Manager (or bookkeeper) will compare this to the purchase order and if matching, then will log this onto the Charity's accounting software, Xero, along with a scanned or electronic copy of that invoice. If the amount does not match, the Executive Manager and/or individual staff member involved directly will query this with the supplier.

If the expense relates to money received as Restricted Funding, the source of the Funds will be clearly identified and marked on the invoice as well as within the Charity's accounting software as well as tracked internally.

Payment for all invoices will be arranged by the Executive Manager with the Bookkeeper by BACS.

Cheque Writing and Signing

It is expected that the requirement to issue cheques will be minimal and most payments made by BACS.

Payments by cheque will be posted directly to the supplier unless otherwise requested.

Signatories will be in line with the bank mandate and the approval matrix.

BACS Payments

BACS payments are usually processed in batches at least once per fortnight, unless a payment needs to be made more urgently.

All BACS payments require two separate authorisations by authorised signatories to the Charity's Bank account who must also have access to the Charity's online bank account.

The Bookkeeper will set up all BACS payments using the Charity's online banking facility, and will provide a detailed list of payments in that BACS run along with copies of all related invoices for the 2 authorised signatories to review prior to completing the BACS authorisation process in line with the Approvals matrix above

Cash Handling

The Charity will try to minimise the cash that it has on its premises.

Any cash donations received (either by post or in collection boxes) will be promptly processed and stored within the Charity's locked, secure storage cabinet until it can be deposited in the bank.

Once processed and recorded within the Charity's Donor Management System, either the Executive Manager or another member of the Charity's Fundraising staff will take the cash directly to the bank to be deposited.

The Charity holds a small petty cash float and which is maintained by the Executive Manager.

Should the Charity require a cash float for an event, the individual responsible for the event will provide a detailed breakdown of the cash required and the Executive Manager will ensure the funds are available on the date required.

Once the event is complete, the individual responsible will return the remaining cash float along with a detailed breakdown of any expenditure.

Corporate Credit Card

The Charity has a business card that is debited directly from the Charity's main bank account - the Executive Manager has the Charity's only card.

For any expenditure for which the corporate card might be required in excess of £100 (such as purchase of educational resources or training), the Executive Manager will seek approval from the Treasurer or Chair of Trustees in advance of that expenditure, wherever possible.

The Executive Manager produces a monthly statement of all credit card payments for the Treasurer detailing the item(s) purchased, the amount spent and the purpose for each item/service and, if funded, by what trust, corporate or community donation.

All receipts will be sent to the bookkeeper on a weekly basis for reconciliation and recording.

Approval Matrix

Policy		Authority limits	Authorisers
Placing orders	Event costs **	Up to £1,000	Any one from list A
		£1,000 to £2,500	Any two from list A
		Over £2,500	Any one from list A plus Chair of Trustees
	Operating expenses **	Up to £1,000	Any one from list A
		Over £1,000	Any two from list A
	Capital expenditure **	Over £1,000	Any two from list A
Invoice sign off	Invoice in line with order placed		Executive Manager
	No order requisition raised, or invoice not matched within £50 of order placed	Rental invoices in line with lease	Executive Manager
		Other invoices less than £1,000	Executive Manager
		Other invoices more than £1,000	Any two from list A
Expenses sign off		Under £1,000	Any one from list A
		Over £1,000	Any two from list A
Payment requests without invoice back up		Under £500	Any one from list A
		Over £500	Any two from list A
Payments	With back up signed off in accordance with the above		Any two from List B
Payroll adjustments	Including hours, overtime, salary levels, bonuses	Any	Chair of Trustees

** any regular on-going commitments to be added together to determine limit level i.e. 12 payments of £100 each total £1,200 and therefore exceed the £1,000 limit

List A	List B (CAF bank signatories)
Head of Service Trustees Chair Treasurer	Nick Dutt (Trustees Chair) Doug Hill (Treasurer) Colin Darnell (Trustee) Debbie Hay (Trustee)

Income, Banking & Acknowledgment Procedures

All post should be opened by the Executive Manager unless marked Strictly Private & Confidential in which case it is given, unopened, to the person named on the envelope. In his/her absence, this will be delegated to another responsible person within the Fundraising team. If not already on Salesforce, the relevant member of staff will enter details as soon as possible. The necessary income form should be completed, cheque photocopied, and the form and the cheque passed to the Executive Manager or Bookkeeper to process on Salesforce and bank.

Cash received at the Charity's Office must be counted when received in the main office. Contents of collection boxes should always be counted with another member of staff present in the office. The necessary income form should be completed and passed with the cash to the Executive Manager who will process on Salesforce and bank.

Credit card income. If payment is taken over the telephone by credit/debit card, the details should be recorded directly onto the Merchant Card Save online form. A receipt should then be printed with all the relevant details given to the Executive Manager.

Thank You letters must be done as a priority and as soon as possible by the relevant member of staff and copies linked to the appropriate record on Salesforce. The letter will be named with the initials of the writer, the date, who to, and a Thank You (if appropriate) and the amount which was received and filed in the LETTERS folder within the month is written on the Z Drive using the following protocol: initials of sender long date of letter who sent to and for what amount (e.g. nb01092019JoanSmithTU£100).

The Bookkeeper logs all income on Salesforce to ensure that the CRM system is kept up to date.

Cash and cheques to be banked at least once per week.

Any cheques/cash that cannot be processed on the day of receipt, should be given to the Executive Manager to lock away. No cash or cheques should be kept on desks overnight and must be locked safely in our secure storage unit.

Financial Records

The Board of Trustees and all employees understand their responsibility to maintain adequate, up to date and accurate accounting records as well as an appropriate system of internal control for the Charity.

The Board of Trustees also understands its responsibility to prepare an annual report and financial statement that gives a true and fair view of the year and that is prepared in accordance with the UK's Accounting Standards and the Companies Act 2006 and regulations thereunder.

Each year, the Charity's Board of Trustees engages an independent accounting firm to undertake an independent examination of the Charity's accounts and to report upon its findings in a timely way

All expenditure is recorded within the Charity's accounting software that is accessible online and by the Charity's Board of Trustees as well as by the Charity's Independent Examiner, at any time.

All income is recorded within the Charity's Donor Management System, and copies of all cheques received are filed chronologically and stored securely.

On a monthly basis, the Treasurer produces a statement of the income and expenditure, comparative against the same period from previous years and also as compared to the Charity's annual budget which

is approved by the Board of Trustees. This is normally provided to the Board of Trustees within 10 working days after the close of the month.

The Executive Manager also produces cash flow projection for the next 3 months which is sent to the Board of Trustees along with the monthly financial statement.