**Policy 69: Income and Ethical Fundraising Policy**

**Last updated by:** SH, JH

**Links to policies:** 7, 79

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1. Introduction

i) This policy is concerned with the financing of services by Age UK York (AUKY);

ii) AUKY provides services and support for the older people of York, building on York Old People’s Welfare Association that began after World War II;

iii) AUKY provides support and services for a vastly growing number of people each year. The turnover has grown to over £1 million per year;

iv) This sum is raised locally since AUKY is an independent charity;

v) The Board of Trustees works towards a 70% proportion of AUKY’s funds being raised independently to reduce over-reliance on statutory funding;

vi) d) The Trustees of AUKY are committed to maintaining the levels of service provision that are currently provided, and to aim towards increasing and improving the opportunities for York’s older people to lead enjoyable and fulfilling lives;

vii) Where anyone is in doubt regarding the ethical financing or selection of equipment, they should seek advice from the CO and Trustees via their line manager or supervisor.

2. Related policies

i) Several AUKY policies are relevant to the financing of services:

   • Banking, investment and accounts Policy 78
   • Equipment Policy 7
   • Shops and tills Policy 28
   • Trustee’s finance Policy 79

ii) The income arrangements for some services are to be found within their own policies:

   • In Safe Hands Policy 40
   • Day clubs Policy 73

3. Legislation

AUKY acknowledges and adheres to the requirements of current legislation including the Financial Services Acts and regulations, Gambling Act, 2005 and anti-money laundering legislation; and vets and trains its workers for these purposes.

4. Premises

i) AUKY operates from a Georgian Grade II listed building that the Trustees are committed to retaining and maintaining;

ii) AUKY also:

   • Rents offices within the Priory Street Centre;
   • Has shops selling second hand goods, one of which also houses a training room;
• Holds Day Clubs in premises owned by other organisations;
• Works out of the York Hospital office and the discharge lounge for the Home From Hospital service.

5. Services provision costs

i) AUKY’s operations are funded through statutory and independent income;

ii) All capital and running costs are met from funds raised for that purpose;

iii) The Trustees will endeavour to ensure that core funded services would not be affected by any sudden cessation of a contract with a statutory body;

6. Income Generation

i) AUKY actively seeks opportunities to work with external organisations and individuals to achieve shared objectives. However, it is essential that AUKY maintains its independence and does not allow any third party to bring its name into disrepute;

ii) The outcomes of fundraising will benefit the care and quality of life of the older people of York;

iii) Fundraising activities will bring no adverse publicity either to Age UK York or Age UK regionally or nationally;

iv) No attempt is made by any company or individual to link a donation with an attempt to influence the policy or activities of Age UK York either explicitly or implicitly;

v) The independent status of Age UK York is not in any way compromised by fundraising activities; novel or contentious must first be approved by the Board of Trustees.

vi) In all cases fundraising must be consistent with best practice and with the guidelines provided by the Institute of Fundraising and the Charity Commission.

vii) AUKY will raise funds through:

• Sale of donated goods via charity shops and other initiatives. Where appropriate or required, AUKY will move shop premises to better/different locations. (See Policy on Shops and Tills.)
• Cleaning business and other charged-for services;
• Legacies;
• Charitable trusts;
• Partnerships;
• Social enterprises such as Care and Home help support;
• Other fundraising.

viii) The fundraising group will consider all fundraising activities, gain approval from the Trustee Board and ensure that all such activities are in harmony with the aims and objectives of AUKY;

ix) AUKY will always carry out fundraising so as to comply with relevant legislation on:

• Data protection;
• Money laundering;

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• Acts of terrorism;
• And with guidance on political activity;

x) AUKY will accept financial support from, and work in partnership with, third parties (companies and individuals) on the following conditions:

• AUKY will maintain its independence;
• Any such third party will not bring AUKY’s name into disrepute. This includes, but is not limited to, third parties involved in:
  ◦ Criminal or other illegal activity;
  ◦ Any activity that is inconsistent with Government policy;
  ◦ Activities that might impact adversely on AUKY’s reputation and/or its ability to carry out fundraising activities in the future;
  ◦ Any activity where the third party’s objectives are in conflict with those of AUKY.

• The outcomes of fundraising will benefit the care and quality of older people in York;
• The fundraising activities will bring no adverse publicity to AUKY or Age UK regionally or nationally;
• AUKY will accept no donation that would attempt to influence the policy of AUKY either explicitly or implicitly;
• The independent status of AUKY is not in any way comprised by fundraising activities.

xi) Any fundraising initiative that is in any way novel or likely to be contentious will be first approved by the Trustees;

xii) Where appropriate, AUKY will take part in Age UK regional and national fundraising activities and will be a partner in the national fundraising partnership.

7. Outside fund-raising events

i) Various fund-raising events are held from time to time. AUKY acknowledges and operates within Charities Acts and Charity Commission guidance on all such occasions;

ii) Fund-raising events include:
  
  • St. Crux refreshments and stalls;
  • So-called ‘flag days’ when workers collect donations via collecting boxes;
  • Carol singing;
  • Stalls at local fetes and fairs;
  • Individual workers and friends may take part in sponsored events such as parachute jumps and distance running.
  • Other appropriate fund raising

iii) AUKY offers Keep Your Pet to service users in association with the RSPCA.

iv) On any occasion when collecting boxes are used:

  • The location of all collecting boxes is recorded by the Finance managerer;
  • An official AUKY sticker is placed on the box at the outset and not removed until the contents are counted;

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• Dual control over counting and recording takes place;
• On one-off occasions such as stalls and events the collecting box contents are counted at the end of the event or sooner if a box is full;
• For general use of collecting boxes e.g. when the box is on a shop counter, collecting boxes are emptied every three months or more frequently as necessary and dual counting and recording takes place;
• All income raised via collecting boxes is recorded by the Finance Officer in the Incomes Book.

v) Tickets for events are pre-numbered, records are kept of all persons selling tickets, the number of tickets allocated and reconciliation of tickets against income is carried out at the end of the event;

vi) Raffles are held in accordance with the requirements of the Gambling Act, 2005;

vii) Sponsored events are held in accordance with the specific terms of those events. Income is recorded by the Finance Manager.

8. Donations

i) AUKY will ensure that all marketing and fundraising activities carried out on its behalf are consistent both with its aims and with best practice in the charitable sector, and that any donation from, or relationship with, a third party does not in any way compromise this policy, damage AUKY’s reputation or jeopardise future fundraising opportunities;

ii) AUKY will ensure that at all times and in all things it complies with relevant legislation, including legislation on data protection, money laundering and bribery, as well as following government guidance in relation to acts of terrorism and political activity;

iii) The Trustees of AUKY will always acts in a manner consistent with the policy of the Charity Commission;

iv) AUKY will not accept donations where:

• The donor is known to be associated with criminal sources and/or illegal activity;
• The donor’s personal objectives conflict with those of AUKY;
• Accepting a donation might impact adversely on AUKY’s reputation, and thus damage its longer term fundraising prospects;
• Accepting a donation from any particular source is inconsistent with Government policy.

v) When individuals give direct donations (other than odd coins put into collecting boxes), the donor will be asked for their name and address. Where practicable, the donor will also be asked if the donation can be gift-aided. A receipt will be issued and a letter of thanks may be sent by the Finance Officer of Chief Officer;

vi) These cash or cheque donations are passed directly to the Finance Officer or Administration Officer who pays each donation into the relevant account;

vii) The Finance Officer is responsible for all receipt books;

viii) Cash received in this way is banked and not put directly into the petty cash;
ix) For cash or cheques through the post that are donations, see Policy 9, Mail Handling;

x) Where AU KY is the recipient of a bequest, the CO will be informed by the executors of that will and make the bequest known to the Trustee Board.

xi) Donations handed in by members of the public are recorded and the entries reconciled as with donations through the post. See Policy 9, Mail Handling;

xii) Gift aid is claimed from HMRC by the Finance Officer or other member of staff as directed by her, on a regular basis.

9. Contracts

i) AU KY will negotiate funding through contracts to provide services with statutory partners;

ii) AU KY will not enter into any financial commitment regarding service provision without independent funding to support and sustain the service in the foreseeable future;

iii) AU KY will work towards ensuring that all contracts to provide services will be for as long a period as possible:

- To promote quality;
- To promote sustained service provision;
- in accordance with the principles of:
  - The York Centre for Voluntary Organisations;
  - The City of York Council;
  - The North Yorkshire Clinical Commissioning Group;

10. Charging for services

i) AU KY provides a wide range of personal and practical support including information and advice giving, arranging for respite care, befriending, help at hospital discharge, holidays and day clubs;

ii) AU KY services aim to provide best quality and value for money;

iii) As a charity, AU KY is a non-profit making organisation. It makes charges for some of its services and these are immediately and automatically used to provide further services for York's older people;

iv) Generally, there is no charge for the befriending service or the advice and information service, but there are specific costs for information books and contributions are invited towards postage for fact sheets and books.

11. Purchasing

Policy 8 contains full guidance on the purchasing and leasing of equipment. However, in considering whether to make purchases for fundraising purposes, AU KY will:

- Not purchase goods or services produced and delivered under conditions that involve:
  - Any form of abuse or exploitation of third parties;

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◦ Any use of child labour;
◦ Failure to pay a living wage;
◦ Any inhuman, unreasonable or discriminatory treatment of employees.

• Expect suppliers to accept responsibility for the labour and environmental conditions under which products are made and services provided, and make a written statement of intent regarding that company's policy.

12. **Investments**

The Board of Trustees will always invest Age UK York’s funds in a manner that is consistent with this ethical fundraising policy.