



# Department of Human Resources

## NON EXCHEQUER FUNDS AND LOTTERY RULES POLICY

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### 1 Introduction and Legal References

- 1.1 The City Hospitals Sunderland Non Exchequer Funds District Wide Lottery (the Lottery) is registered under the terms of the Lotteries and Amusements Act 1976 with the City of Sunderland. The conduct of the Lottery is regulated by the Director of Finance of City Hospitals Sunderland, who is the “promoter” for licensing purposes.

### 2 Policy

- 2.1 Entry to the Lottery is limited to members of staff employed by City Hospitals Sunderland, South of Tyne Mental Health Care Trust, Sunderland Teaching Primary Care Trust, other NHS staff employed to work within the District; as well as their family/friends. Payment of entry fees can normally be made by direct payroll deduction from employees’ salaries/wages.

### 3 Lottery Rules

- 3.1 No prizes shall be paid or delivered by the promoter to any person other than the person to whom the winning number was allocated. All prizes will normally be in the form of a crossed payable order. Other arrangements can only be made at the discretion of the Director of Finance.
- 3.2 Members may join or withdraw from the Lottery at any time. Joining the Lottery will be effected by completing a written application including a signed authority to deduct the appropriate amount from salary/wages.
- 3.3 Withdrawal will be by one month’s notification to the promoter, or on ceasing to work within the Trust(s). Weekly paid employees must join the Lottery before they receive their pay for the first week of the month when they join. Staff who leave will only be eligible for inclusion in the draw following their departure if the promoter has received their full payment for that month.
- 3.4 Draws will be held monthly, normally on the first Friday of each calendar month, in respect of income collected in the previous month. Each draw will be undertaken in public by senior staff as agreed by the Director of Finance.
- 3.5 At each draw the appropriate amount of winning numbers will be drawn and allocated as the prizes available in the order of prize value. The highest value prize will be drawn first, then the second, etc. In the event of the winning number being found to be ineligible and therefore disqualified, that prize will be carried forward to the next month’s draw and drawn as an additional prize in that month. No number will be eligible to win more than one prize in any one monthly draw. Individual members with more than one number may, however, win more than one prize each month depending on the numbers drawn.
- 3.6 If any subscription is not received on the date it falls due, the relevant number will be immediately suspended from the draw until subscriptions recommence. The onus will be on each individual member to ensure that his or her subscriptions are paid by the date due. If he or she receives no pay for any one week or month, or there is insufficient pay to cover the subscription due, he or she must ensure that the amount of the subscription or the balance, therefore, is paid in cash to the promoter by the date when the subscription falls due.
- 3.7 All winners will be notified in writing. In addition, notices indicating the winners’ units and the winning numbers will be circulated throughout the organisations. The winners name will not normally be circulated.
- 3.8 The value of prizes distributed shall not exceed 50% of annual takings. The actual prize values will be as stipulated by the Director of Finance and will vary from time to time depending on income received and will be approximately as follows:

**1st prize - 35%    2nd prize - 10%    3rd prize - 5%**

of each month’s income (subject to adequate level of income being received and subject to the legal stipulation that no one prize will exceed £2,000). The number and size of prizes may be varied from time to time at the discretion of the promoter and subject to the 50% limit as above stated.

- 3.9 The Lottery will be limited to a maximum monthly gross income of £10,000 i.e. chances at £1.00 each. Chances will cost £1.00 each per month, or 23p per week (31p for term-time only). Members may purchase as many chances as they wish, subject to the £10,000 maximum stated above.
- 3.10 Chances will be allocated on first come first served basis. In the event of an over-subscription for chances the additional names will be held on the waiting list. They will be allocated a number as soon as possible. No payment will be deducted from a prospective member's salary/wages until a number has been allocated.
- 3.11 Chances must not be sold:
- a) by or to persons under 16
  - b) to members of the general public or patients
  - c) by staff during official duties in a person's home.
- 3.12 The Director of Finance may vary the entry fee at any time provided that he notifies the members in advance by such means as is considered reasonable.
- 3.13 On receipt of authority to take a reduction from salary/wages a notification will be sent to the members of the allocation chance number or that their name has been placed on the waiting list.
- 3.14 All net proceeds will be available to the Non Exchequer Funds for the purchase of equipment and service related to the treatment and welfare of patients and/or medical research, or to purchase staff facilities or benefits. (Proceeds will be available to the NHS Body whose payroll has received the deduction).
- 3.15 City Hospitals Sunderland reserves the right to discontinue the Lottery at any time without notice at which time salary/wages deductions will be automatically suspended.
- 3.16 Annual accounts will be produced.
- 3.17 All information regarding entry to the draw will be confidential. The names of those staff who win prizes will not normally be published although the Director of Finance reserves the right to do so if this is deemed to be appropriate. The promoter also reserves the right to refuse entry to the draw where he feels that this action is appropriate.
- 3.18 In the event of a dispute about the interpretation of the Lottery rules or conduct of the draw, the decision of the Director of Finance, acting as the promoter shall be final.
- 3.19 These rules may need to be revised in the light of actual experience.

## 4 Date Last Reviewed

October 2002

## 5 Date to be Reviewed

October 2003

## 6 Other Related Policies/Documents

## 7 Appendices

Appendix 1 - Purpose and Constitution

Appendix 2 - Process and Criteria for Expenditure



## Appendix 1

# City Hospitals Lottery - Administration of Trust Fund

## PURPOSE AND CONSTITUTION

**Title:** A group will set up to administer the Lottery Trust Fund. It will be known as the Lottery Administration Group.

**Purpose:** The purpose of the group will be:

- To receive formal bid for expenditure of income from the staff Lottery funds.
- To devise and keep under review the criteria against which bids will be approved.
- To agree those bids which will be allocated funds.
- To ensure that all such allocations are in line with paragraph 17 of the Lottery rules which state "All net proceeds will be available to Non Exchequer Funds for the purchase of equipment and service related to the treatment and welfare of patient and/or medical research and staff amenities (facilities/Service for staff). (Proceeds will be available to the NHS Body whose payroll has received the deduction).

**Membership:** Chair Head of Human Resources

Plus Finance Manager  
Business Manager  
Two Staff Side representatives

(The Staff Side representatives will be nominated through the joint Consultative Group)

The Director of Finance will be the final arbiter on Probity.

**Meetings:** The group will meet twice per year to review bids received and allocate funds. These meetings will take place in October (for the preceding six months April - September); and in April (for the preceding six months October - March).

**Administration arrangements:**

- The Head of Human Resources will arrange meetings and ensure supporting papers, including details of bids, are circulated at least seven days in advance.
- Notes of meetings will be kept and distributed within two weeks by the Head of Human Resources.
- Directorates who have submitted bids will be informed of the outcome within one week of the meeting.
- Trust funds will be released to those Directorates/Departments who have made successful bids within two weeks.

## Appendix 2

### City Hospitals Lottery - Administration of Trust Fund

#### PROCESS AND CRITERIA FOR EXPENDITURE

1. Any department or directorate may make a bid for monies from the Lottery Trust Fund for the purchase of equipment and service related to the treatment and welfare of patients and/or medical research, and for staff amenities (facilities and service for staff).
2. Each bid must be made in writing, and should be addressed to the Head of Human Resources. It must outline:
  - The exact nature of equipment or service or facilities required.
  - The total cost:
    - if capital equipment is to be bought, the bids must include details of maintenance running costs.
    - recurring costs must be met from within the Directorate/Department budget.
  - The benefits the equipment or service would bring to patient care or medical research e.g.
    - who would it benefit i.e. type of patient/numbers of patients.
    - in what way would they benefit.
    - will it solve a problem or issue that has already been highlighted e.g. through Integrative Audit.
  - The benefits the service or facilities would provide for staff.
  - Whether or not the Department/Directorate has any other resources available to contribute to or support the bid.

All such bids must be made by the Business Manager/Head of Department and must be signed by their Divisional Finance Manager.

3. Bids can be made at any time during the year, and the Lottery Administration Group will meet twice yearly (October and April) to consider bids received during the preceding six months.
4. The criteria against which bids will be assessed is as follows:
  - The benefits to patient care.
  - Type and number of patients/clients benefiting.
  - Qualitative benefits.
  - The benefits to staff and whether a need previously identified by, for example, the Health in the Workplace Group, will be met.
  - If the bid is costly, the willingness of the Directorate or Department to contribute some funds of their own towards purchase will be considered.

Advice will be sought from the Medical Director/Director of Nursing if clarification is required, particularly on the benefits to patients.

5. Bids for medical equipment will not be considered if the equipment is already identified in the replacement programme for that year. Advice will be sought from the Medical Director if required.
6. The decision of the Lottery Administration Group will be final. If appropriate, unsuccessful bids will be put forward for consideration at the next meeting.