

**DOWAGER COUNTESS ELEANOR PEEL TRUST**

**GRANT MAKING STRATEGY POLICY DOCUMENT**

**Effective from 23 March 2016**

## 1 Introduction

1.1 After reviewing and considering policy and strategy towards grant making at their meetings held on 10 and 18 November 2015, the following Grant Making Strategy Policy Document was confirmed and approved by the Trustees following their meeting on 23 March 2016, with immediate effect.

1.2 The rationale for the Grant Making Strategy Policy Document is to establish and maintain a streamlined strategy for grant making; for reasons of transparency, consistency, accountability and efficiency in the management of the Trust, clarity for potential applicants but at the same time maintaining flexibility in the allocation of the Trust's income.

### 1.1 Background

1.2 The Trust Deed dated 3 May 1951 contains the express powers given to the Trustees for making grants.

1.3 Clause 3 of the Trust Deed states as follows;

*"The Trust Fund shall be held Upon trust that the income thereof and (subject as hereinafter mentioned) the capital thereof shall be paid and applied for such charitable purposes as the Trustees shall from time to time think fit and as shall not be prohibited under the provisions hereinafter contained."*

1.4 Clause 4 of the Trust Deed states as follows:

*"WITHOUT prejudice to the generality of the trusts declared by Clause 3 hereof the following principle shall be observed namely that the income and (subject as hereinafter mentioned) the capital shall be paid and applied primarily in grants in aid of charitable bodies and particularly of all or any of the following bodies that is to say;*

- (i) Charitable bodies administering;*
  - (a) medical charities including medical research*
  - (b) charities in connection with old people*
  - (c) charities assisting people who have fallen upon evil days through no fault of their own and*
- (ii) The charitable bodies specified in the Schedule to the said Will and set out in the Schedule hereto."*

1.5 For ease of reference a list of the Scheduled Charities is set out in the Appendix 1 to this paper.

1.6 Clause 5(1) of The Trust Deed states as follows:

*"Grants shall not be made to charitable bodies primarily devoted to children or which for the time being are wholly or substantially under the control of the central or any local government but the prohibition contained in this clause shall not apply to the charitable bodies specified in the Schedule to the said Will."*

"Charitable bodies" are defined as "*societies, organisations or institutions or other bodies corporate or incorporate established and existing for charitable purposes only.*"

## 2 Previous consideration of Grant-Making Strategy

2.1 The Grant Making Strategy was most recently considered by the Trustees at their meetings on 10 and 18 November 2015 and confirmed at their meeting on 23 March 2016.

2.2 Prior to that, grant making policy was last considered by the Trustees at meetings on 18 December 1997, 15 May 1998, 15 June 1998, 24 November 2005, 16 March 2006, 20 July 2006, 23 November 2006, 7 September 2010 and 8 December 2010.

2.3 Relevant factors in relation to the Trust's Grant Making Strategy

2.4 The Trustees have relatively modest sums available to distribute in comparison to some other charitable trusts.

2.5 The Trustees ONLY SUPPORT applications from the "Preferred Locations" of Lancashire (especially Lancaster and District including all LA postcodes), Cumbria, Greater Manchester, Cheshire and Merseyside OR from Charities who work therein OR are well known to a Trustee.

2.6 The Trustees aim to ensure that available monies are well spent.

2.7 The Trustees aim to make use of their particular specific relevant expertise when making grants.

4.5 The Trustees, in general, do not fund large charities.

4.6 The Trustees review their Grant Making Strategy at least every five years.

4.7 The description of charities in Clause 4 of the Trust Deed forms the basis for the categorisation of charities for administration purposes.

4.8 The Trustees aim to be acquainted with charities including on occasions visiting or receiving presentations and/or reports from those being supported or considered for support.

4.9 In making decisions over grants, the Trustees will consider whether a grant awarded would "*make a difference*".

4.10 The Secretary may reject certain applications as detailed in Appendix 2.

4.11 Following an award of a grant, the Trustees will not consider a further grant application based on the same annual accounts unless there are exceptional

circumstances.

4.12 The Trustees will only consider one application from a charity in the Trustees' financial year ending on 5 April.

4.13 The Trustees do not provide any feedback or reasons for rejecting an application for grant.

4.14 The Trustees apply a consistency policy in considering applications as set out in Appendix 3.

## 2.8 CATEGORISATION OF APPLICANTS

### Objectives:

- **Linkage of Clauses 3, 4 and 5 of the Trust Deed**
- **Clause 4 of the Trust Deed forms the basis of categorization**
- **Categorization aligned with Trust Deed**

To achieve the objectives in this Section 4, the Trustees operate the following categorisation system for applications:

<b>Category</b>	<b>Description</b>	<b>Sub-category for administration purposes only</b>
1.	Medical and health related charities	(i) Research (ii) Care (iii) Travelling Fellowship
2.	Charities in connection with old people	(i) Old age (ii) Homes (iii) Carers
3.	Charities assisting people who have fallen upon evil days through no fault of their own	(i) Disabled people (ii) Hospital, Hospices (iii) Ex services (iv) Natural or man-made disasters (v) Mental Health (vi) Homelessness (vii) Miscellaneous
4.	Scheduled Charities	See Appendix 1

Category	Description	Sub-category for administration purposes only
5.	Other Charitable Purposes	(i) Cl. 3 Charities (ii) International Charities – not more than 7½% (iii) Peel Studentship Trust, University of Cumbria (formerly St Martin's College), Lancaster Royal Grammar School

Note: The Trustees seek to allocate the charitable expenditure roughly equally between Category 1 (along with travelling fellowship grants) and 2-5 above.

### 3 Using Trustees' knowledge and expertise

#### Objectives:

- **Greater knowledge and understanding more of charities being supported**
- **Using expertise of Trustees in grant making decisions**

The Trust has historically received a large number of applications from a broad range of applicants.

The Trustees general aim is, in future, to receive a smaller number of applications from Charities with whom the Trustees are or become familiar. The Trustees aim to be pro-active in encouraging funding applications from charities that the Trustees know well. As part of the assessment process for applications received, the Trustees may make assessments and familiarisation visits to shortlisted applicants at their offices or other premises, or ask applicants to attend Trustees' meetings.

### 4 Medical and Healthcare Research APPLICATIONS

4.1 Review of and recommendations on medical and healthcare research applications are undertaken and provided by Trustees with relevant qualifications and/or experience..

4.2 The Trustees adopt the following approach to grant making in respect of medical and healthcare applications:

4.2.1 Fields of research the Trustees support are generally limited to specific areas aimed at benefiting older people, for example

Alzheimer's, Macular Disease, Prostate Cancer, Parkinson's Disease etc;

4.2.2 Institutions that the Trustees support are generally limited to Universities or other bodies engaged in medical and healthcare research located in the "Preferred Locations" .

7.3 Medical and healthcare research grants are currently restricted to a maximum of £15,000 to be used for consumables, a pilot project or to enable an addition to an existing research activity already funded. Requests for a contribution towards the cost of a more expensive project not yet funded are not eligible.

## **8 MAJOR GRANTS**

8.1 Funding for major grants (of over £15K) is fully allocated until the end of the 2016/17 financial year.

8.2 The Trustees intend to place at least 10% of available funds for grant expenditure annually, into a reserve account to enable them at some time in the future to make a major grant or grants (whether for significant medical research or otherwise). Applications for this will be by invitation and entirely at the Trustees' discretion.

## **9. POSTGRADUATE TRAVELLING FELLOWSHIPS**

9.1 The Trustees will award annual Travelling Fellowships (usually two, the Peel and Rothwell Jackson post graduate travelling fellowships) which will be for a maximum of £30,000 each.

9.1.1 The aim of a Fellowship may be research, advanced study, or the acquisition of a new clinical skill, unlikely to be available in the UK.

9.1.2 The Fellowships will be awarded to postgraduates who are expected to be planning a career in the UK which will be enhanced by spending up to a year at a centre of international excellence.

9.2 In addition, a limited number of Minor Travel Fellowships (not for attendance at conferences) for up to £5,000 each are available.

**Objectives:**

- **Grants should make a difference**
- **Small charities (other than in the case of research applications) to be favoured over large well-funded charities**

As the Trustees have relatively modest sums available to distribute, the Trustees will generally support smaller locally based charities to ensure that grants will "*make a difference*" to the charity in question.

The Trustees apply the following criteria in assessing whether a grant would "*make a difference*":

10.1 There is a presumption that a grant to a "*large well-funded* charity" will **not** "*make a difference to the degree that the Trustees intend*". Applications from large well-funded charities will normally be automatically rejected, unless they are for capital projects.

10.2 The Trustees define a "*large well-funded* charity" to mean a charity with income in excess of £2.5m per annum.

10.3 This presumption can be rebutted if the content and subject matter of the application is robust, and is aligned with the Trust's objectives. In these circumstances, the Chairman would recommend consideration at the next Trustees' meeting.

10.4 The Trustees believe that "*making a difference*" can best be achieved by increasing the size of average grants in order to give maximum benefit to the charities receiving the Trust's support. The Trustees aim to support fewer charities with larger average grants.

10.5 The Trustees are willing on occasions to consider modest sums to provide prime pumping for new charities and innovative or unusual projects.

10.6 The Trustees' focus for grant making to scheduled charities is on those with assets below £10 million.

The Trustees, while being supportive of them in principle, will consider carefully the viability of smaller charities before reaching a decision.

11. CAPITAL grants or grants for running costs?

11.1 The Trustees preference is to support capital projects or project-related applications however, the Trustees are prepared to support running costs in certain cases.

11.2 The Trustees are willing to consider funding projects/running costs over a period of up to 3 years. If the Trustees do fund a charity over more than a year a report will be required each year. It is most unlikely that at the end of a specified year or multi-year grant that it will be renewed or extended.

## 12 Streamlining

12.1 The Trustees aim to ensure that administration costs for applicant charities are minimised so that, as far as possible, only charities with a realistic chance of receiving support apply for a grant.

12.2 Charities receiving grants from the Trust in excess of £5,000 will be required to provide a written report to the Trustees as to the progress of the project supported.

12.3 Where appropriate, the Trustees aim to visit charities where appropriate which may request or receive grants totalling between £10,000 and £50,000. Grants in excess of £50,000 will only in exception be awarded without a presentation to a meeting of the Trustees.

12.4 The Trustees require applications to be via the Trust's website.

## 13 Ad Hoc

13.1 Individual Trustees are encouraged to actively seek opportunities of "*making a difference*" through their various experiences or observations of charities or needs (within the rules of the Trust Deed) outwith their formal area of expertise.

13.2 The Trustees also make grants to emergency appeals. Potential grants to such appeals are considered on a case by case basis.

13.3 The Trustees are prepared to commit limited funds (subject to an annual maximum of 7½% of grant fund available) for international projects under the control of a UK charity.

13.4 The Trustees recognise that from time to time it may be appropriate to make grants outside the parameters of this Grant Making Strategy.

John Parkinson

Chairman

23 March 2016

## APPENDIX 1

### LIST OF SCHEDULED CHARITIES

NAME OF CHARITY	CHARITY NUMBER
<b>GIBB RESEARCH FELLOWSHIP ENDOWMENT FUND (BRITISH EMPIRE CANCER CAMPAIGN)</b>	<b>253507</b>
<b>EX-SERVICES MENTAL WELFARE SOCIETY</b>	<b>206002</b>
<b>FAMILY WELFARE ASSOCIATION</b>	<b>264713</b>
<b>FRIENDS OF THE ELDERLY (FRIENDS OF THE ELDERLY GENTLEFOLK'S HELP) (FRIENDS OF THE POOR)</b>	<b>226064</b>
<b>GREATER LONDON FUND FOR THE BLIND</b>	<b>240566</b>
<b>THE GUILD OF AID FOR GENTLEPEOPLE</b>	<b>209522</b>
<b>INVALID MEALS FOR LONDON</b>	<b>237653</b>
<b>THE LEAGUE OF REMEMBRANCE</b>	<b>213364</b>
<b>THE SPECIAL TRUSTEES OF MOORFIELDS EYE HOSPITAL –</b>	<b>228064</b>
<b>GENERAL FUND (MOORFIELDS EYE HOSPITAL - LONDON)</b>	
National Council for Voluntary Organisations (National Council of Social Service)	225922
<b>MACMILLAN CANCER SUPPORT (NATIONAL SOCIETY FOR CANCER RELIEF)</b>	<b>261017</b>
<b>NAVY LEAGUE - THE NOT FORGOTTEN ASSOCIATION</b>	<b>229666</b>
<b>PEOPLE'S DISPENSARY FOR SICK ANIMALS</b>	<b>208217</b>
<b>THE QUEEN ALEXANDRA HOSPITAL HOME</b>	<b>1072334</b>
<b>THE ROYAL BLIND SOCIETY FOR THE UNITED KINGDOM (ROYAL BLIND PENSION SOCIETY OF THE UK)</b>	<b>207827</b>
<b>THE ROYAL BRITISH LEGION</b>	<b>219279</b>
<b>THE ROYAL EYE HOSPITAL LEAGUE OF FRIENDS</b>	<b>226709</b>
<b>THE ROYAL MARSDEN HOSPITAL CHARITY</b>	<b>1050537</b>
<b>THE ROYAL MARSDEN HOSPITAL CANCER FUND (ROYAL CANCER HOSPITAL (FREE))</b>	<b>274034</b>
<b>ROYAL MEDICAL BENEVOLENT FUND</b>	<b>207275</b>
<b>THE ROYAL UNITED KINGDOM BENEFACT ASSOCIATION</b>	<b>210729</b>
<b>ROYAL WANSTEAD FOUNDATION</b>	<b>310916</b>
<b>ST DUNSTAN'S</b>	<b>216227</b>
<b>ST JOHN'S GUILD FOR THE BLIND</b>	<b>268889</b>
<b>THE FRIENDS OF ST KATHARINE'S HOUSE (ST JOHN'S HOSTEL FOR ELDERLY LADIES)</b>	
<b>ST MARTIN-IN-THE-FIELDS XMAS APPEAL CHARITY</b>	<b>261359</b>
<b>2 CARE (THE SOS SOCIETY)</b>	<b>207893</b>
<b>SCHOOLMISTRESSES &amp; GOVERNESSES BENEVOLENT INSTITUTION</b>	<b>205366</b>
<b>SHIPWRECKED FISHERMEN MARINERS' ROYAL BENEVOLENT SOCIETY</b>	<b>212034</b>
<b>SOCIETY FOR THE ASSISTANCE OF LADIES IN REDUCED CIRCUMSTANCES WINCHESTER HOSPITAL (AMENITIES FUND)</b>	<b>205798</b>

## APPENDIX 2

### **List of Applications the Secretary can turn down at his/her discretion**

Applications which the Secretary can turn down, excluding Scheduled Charities, are as follows:

- 1** Applications from individuals (other than Travelling Fellowships).
- 2** Charities prohibited by reason of Clause 5(1) of the Trust Deed namely:
  - 4.3 A charitable body wholly or substantially under the control of Local or Central Government; or
  - 4.4 A charitable body primarily concerned with children - taken as meaning persons under 18.
- 5** Charities which do not fall within the letter of these prohibitions but which are contrary to its spirit e.g. a 'Friends' trust for a national health hospital raising money for the better routine treatment of patients including scanner and like appeals; or a social welfare trust which is in practice more concerned with young people rather than older people.
- 6** The following charitable bodies:
  - 4.1 Charities not based or operating within the preferred locations, unless a Trustee has notified the Chairman and Secretary to the contrary, or international charities.
  - 4.2 Abbeyfield branches except the preferred locations.
  - 4.3 Age UK (Age Concern) in all forms (except the preferred locations).
  - 4.4 Animal Charities except for the PDSA.
  - 4.5 Church and Cathedral buildings, except for projects which provide benefit to wider community than Church members alone.
  - 4.6 Holidays - Charities which provide these.
  - 4.7 Minibuses - Appeals for these.
  - 4.8 Running costs (as opposed to capital projects) of hospices.
  - 4.9 St John's Ambulance including branch appeals.
  - 4.10 Local branches of national charities except for those established in the preferred locations.
  - 4.11 Charities which merely collect monies and distribute them to other charities except in the case of medical research projects.

4.12 Overseas organisations not registered as UK charities.

4.13 Large well-funded charities with a gross income of more than £2.5m, unless a capital project or research.

5. The Chairman requires sight of the Headquarters accounts for Abbeyfield and Cheshire Homes.

**Last revised 23 March 2016**

## **APPENDIX 3**

### **Consistency Policy**

There are three types of grants, excluding Travelling Fellowships, Medical and Healthcare research grants and grants to International Organisations which can be summarised as follows:

#### **Capital Projects**

For example: building projects (including refurbishment) and purchase of equipment, furnishings, white goods and vehicles.

#### **Revenue projects**

For example: staffing and associated costs for a new (or pilot) project or service. The project or service to be completed within 3 years.

#### **Running Costs**

General/routine running costs by their very nature unlimited by time.

The Trustees are not normally keen to support running costs, particularly if the charity is in surplus

It is agreed that the following should be adopted at both the main meeting and at the "Review" meeting

	<b>Capital Projects</b>	<b>Revenue Projects</b>	<b>Running Costs</b>
<b>Charities within our preferred location</b>			
With up to £2.5m of Annual Income	Yes	Yes	Yes if in Deficit
Over £2.5m of Annual Income	Yes	No	No

It is agreed that the Trustees have total discretion and therefore are able to fund "whim" projects if they feel that there would be benefit to the charity. They also are prepared to support charities where any Trustee has specialised knowledge.