

Thames hospice

Policy: LOTTERY KEY EVENTS POLICY

Date	Author/ Reviewer	Approved by	Doc name	Comment	Responsible Committee	Next Review
Nov 2018	Head of Individual Giving Fundraising Director	IG&M Committee	FR-P-0004	<u>November 2018</u> Policy reviewed. Policy detail updated. <u>August 2017</u> Policy reviewed <u>August 2016</u> Policy reviewed. <u>July 2015</u> New	IG&M Committee	Nov 2019

1 Purpose of Policy

- 1.1 This policy describes Lottery Key Events at Thames Hospice.
- 1.2 Should anyone become aware of any of the following key events affecting the company then we will immediately notify the Gambling Commission by letter or digitally through their online portal. A full account of the situation will also be recorded.

2 Responsibilities

- 2.1 Director of Fundraising and Marketing - Overall responsibility to ensure that the policy is fit for purpose, disseminated throughout the organisation, and available to Thames Hospice lottery players.
- 2.2 Finance Director and Head of Income Generation are responsible for this policy if the Director of Fundraising and Marketing is not available.

3 Policy Statement

- 3.1 Section 4 lists the Thames Hospice Lottery Key Events.
- 3.2 Should anyone become aware of any of the following key events affecting the company then we will immediately notify the Gambling Commission by letter. A full account of the situation will also be recorded.

4 Policy Detail – Thames Hospice Lottery key events are as follows

- 4.1 If the Hospice is placed in liquidation, administration or receivership: in this condition a 'group company' is any subsidiary or holding company of the licensee – as those terms are defined in section 736 Companies Act 1985 or any statutory modification or re-enactment thereof – and any subsidiary of such holding company.
- 4.2 If key staff named in Annex A become bankrupt within the meaning of section 381 of the Insolvency Act 1986 or sequestration of their estate under section 12(1) of the Bankruptcy (Scotland) Act 1985.
- 4.3 Any unplanned change of auditor including a change prompted by a dispute or resulting from auditors being unable or unwilling to sign an audit certificate.

- 4.4 The departure from the Hospice of any key staff (on the lottery licence), other than those with oversight of the day to day management of licensed premises of a licensee operating more than four licensed premises.
- 4.5 Any reduction in employed staff by more than 10%.
- 4.6 The disposal of assets to the value of 10% or more of Thames Hospice total net assets.
- 4.7 Any breach of a covenant given to a bank or other lender.
- 4.8 Any default in making repayment of the whole or any part of a loan on its due date.
- 4.9 Any court judgements remaining unpaid 14 days after the date of judgement.
- 4.10 The commencement of any material litigation against the licensee.
- 4.11 Any instance of internal or external fraud or theft involving a sum in excess of £10,000.
- 4.12 The commencement of disciplinary action against the key personnel where the licence holder is suspended or serious misconduct is alleged.

5 Breach of Policy

- 5.1 Any deviation in practice from the above policy and procedure will be deemed a breach of policy.
- 5.2 Any breach of this policy by Thames Hospice employees may lead to formal disciplinary action.
- 5.3 Any breach of this policy by Thames Hospice volunteers may lead to formal action under the Problem Solving Policy and Procedure.