



U·H·N·M  
charity



# ANNUAL REVIEW AND FINANCIAL STATEMENTS 2020/2021

Registered Name: University Hospitals of North Midlands NHS Trust Charity (known as UHNM Charity)  
Registered Charity Number: 1054889  
Registered Office: Springfield, Trust HQ, Newcastle Road, Stoke-on-Trent, Staffordshire, ST4 6QG

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*The following individuals served on the Trustee Board (of Directors) during the year ended 31 March 2021.*



**David Wakefield**  
Trust Board Chairman



**Leigh Griffin**  
Non-Executive Director/  
Charitable Funds  
Committee Chair



**Gary Crowe**  
Non-Executive Director



**Andrew Hassell**  
Non-Executive Director/  
Associate Non-Executive  
Director



**Peter Akid**  
Non-Executive Director



**Sonia Belfield**  
Non-Executive Director



**Ian Smith**  
Non-Executive Director



**Patricia Owen**  
Non-Executive Director



**Tracy Bullock**  
Chief Executive



**John Oxtoby**  
Medical Director



**Michelle Rhodes**  
Chief Nurse



**Ro Vaughan**  
Director of Human  
Resources



**Mark Oldham**  
Chief Finance Officer



**Paul Bytheway**  
Chief Operating Officer



# A Message from UHNM Charity Chair

## Leigh Griffin



**Welcome to our 2020/21 Annual Report and Accounts for the UHNM Charity. This document records just a small snapshot of the many fundraising activities and donations which have taken place during what has been an unprecedented year for everyone.**

We are immensely grateful for the thousands of gifts, donations and offers of help. All of these have supported our patients, visitors and our staff throughout the pandemic. Donations range in size from a few pennies to over a hundred thousand pounds but all are underpinned by an overwhelming desire to help us to continue to improve the care we provide for our patients. On behalf of the Board, our patients, service users, carers and our staff we send our appreciation to everyone who has

helped in any way to make this another successful year. The funds and gifts we have received have supported a wide range of charitable and health related activities over the past year enhancing the experiences of our patients, service users, their carers and our staff.

I hope that you enjoy reading about some of the work we have been doing, the incredible stories and the differences it has made. Like organisations across the world, as a charity we have had to do things differently and this has led to new friendships and different new offers of support. Our traditional Christmas in hospital celebrations became virtual involving some very famous faces, including Robbie Williams, leaving messages for staff and patients. Local businesses small and large went out of their way to provide thank you donations for our staff and some of our supporters took to holding virtual fundraising events when they were in isolation.

Donations which are not used immediately are invested in accordance with the Charity Commission guidelines ensuring an appropriate financial return is achieved. The performance of the investments is reviewed regularly to ensure we protect the value of the portfolio until such time as they are needed to be spent. As our financial year drew to a close, we are filled with optimism. Throughout the year the response from our local communities and our staff has been inspirational and over the coming year we want to build on the new friendships we have made to build an even stronger future for the important work of our Charity.

As Chair of the Charitable Funds Committee, I offer my sincere thanks to everyone who has contributed so generously in time, energy and money to support the Fund.

The Financial Statements and Accounts on pages 16 to 29 were approved by the Board of Directors on 5th January 2022 and signed on its behalf by David Wakefield, UHNM Chairman.

*Leigh*

**Leigh Griffin**  
**UHNM Charity Chair**



# Highlights of the Year 2020/2021

The following is just a small selection of some of the many projects and initiatives UHNM Charity has been able to support during 2020/21 thanks to the generous donations and gifts from patients, their families and friends, local companies and organisations, and staff fundraisers.

## Staff Contemplation Gardens



Thanks to UHNM Charity funding, Staff Contemplation Gardens were opened at both Royal Stoke and County hospitals. The gardens provide staff with a tranquil place of relaxation and reflection. The gardens each feature a unique rainbow sculpture, the symbol of the NHS during the Covid-19 pandemic. This provides additional meaning for staff who can use the area to remember colleagues and patients lost and reflect on personal experiences during the pandemic.

## Staff Rest Areas



Staff at Royal Stoke University Hospital are now able to access new rest areas thanks to the generosity of the local community, businesses and the Denise Coates Foundation. The two areas provide staff with a tranquil environment to relax and escape the busy demands of clinical life during the Covid-19 pandemic. Staff using the facilities can watch television and make use of the vending machine, as well take a well-earned break in comfortable surroundings.

## Wellbeing Donations



During 2020/2021, UHNM Charity hand-delivered thousands of goods donated to staff by local businesses and community groups at both Royal Stoke and County hospitals. This included approximately 30,000 Easter eggs, 15,000 Mr Kipling cakes, 2,000 hand creams and more than 1,000 hot meals. The donations greatly boosted team's morale and let them know that the local community appreciated and supported them during a difficult period.

## Staff Rest Pods



UHNM staff looking for somewhere quiet to eat, relax and reflect can take advantage of a number of rest pods thanks to UHNM Charity funding. Installed near to the Pathology Department in the Royal Stoke University Hospital's main building and Nightingales Restaurant at County Hospital, the colourful and popular pods are part of UHNM's ongoing commitment to support staff wellbeing.



## UHNM Charity Christmas Appeal



In response to the Covid-19 pandemic, UHNM Charity ran a Virtual Christmas Appeal, asking supporters to make a donation towards patient benefit online or via text rather than in person. The campaign greatly increased the Charity's profile and featured a number of local celebrities and community figures. The highlight for many was watching Senior Sister Sharon Brissett being interviewed by Robbie Williams and wife Ayda as part of their Christmas podcast.

## UHNM meets RITA



RITA, which stands for 'Reminiscence Interactive Therapy Activities', is a state-of-the-art digital therapy system. It allows patients to use apps and games, watch movies, listen to music and view messages from family members at home as part of their hospital recovery. Thanks to UHNM Charity funding, the system has been rolled out on wards across UHNM.

## Who's Your Hero Campaign



UHNM Charity celebrated our lockdown heroes through the 'Who's Your Hero Campaign'. Business owners, community groups and healthcare workers were just some of the local key workers UHNM Charity said thank you to during the campaign. It used a range of media to focus on highlighting the ways our local community has gone above and beyond during the past 12 months. During the campaign we reached almost a million people.

## Defibrillators installed across UHNM



Six potentially life-saving defibrillators have been installed across UHNM thanks to UHNM Charity funding. Four defibrillators went live at Royal Stoke University Hospital with a further two at County Hospital. The initiative was spearheaded by colleagues of maintenance technician Louis Fallows who suffered a cardiac arrest whilst at work in August 2019. The devices are fully accessible 24 hours a day to both staff, patients and members of the public.



# Our Charity

UHNM Charity is the official NHS Charity for both hospitals operated by University Hospitals of North Midlands NHS Trust (UHNM) – County Hospital, Stafford, and the Royal Stoke University Hospital. As such, we touch the lives of everyone in the North Midlands and beyond, no matter their age or condition. Our wish is for our patients to receive the best care in the best possible environment.

Each year we invest in key areas such as equipment, research, patient and family support, staff training and transforming our two hospitals into more comfortable and welcoming environments. The core mission of UHNM Charity is to enhance the care and treatment of patients accessing NHS services by supporting high priority areas which are beyond the scope of government funding. We also support our staff to enable them to provide the best care possible.

The Charity's income comes from fundraising, donations, charitable grants, legacies and sponsorship. The Charity employs a small team of professional fundraising staff. UHNM Charity organises events and supports many fundraisers organising their own events or taking part in organised events, both community and hospital-based throughout the year.

In addition to the UHNM Trust magazine, the main route of communication with donors is via our dedicated website ([www.uhnmccharity.org.uk](http://www.uhnmccharity.org.uk)), and social media:



[www.facebook.com/UHNMCharity](http://www.facebook.com/UHNMCharity)



[www.twitter.com/UHNMCharity](http://www.twitter.com/UHNMCharity)



[www.instagram.com/UHNMCharity](http://www.instagram.com/UHNMCharity)

In all our communications, we seek to update supporters about the impact that donations have made, as well as letting people know about upcoming fundraising activities.

The fundraising team would be delighted to speak to anybody who is considering taking part in an event or organising their own fundraising for UHNM Charity, and can be contacted by email at [fundraising@uhnmccharity.org.uk](mailto:fundraising@uhnmccharity.org.uk) or by telephone at 01782 676444. We

also encourage feedback from all of our supporters, sharing any learning amongst the charity team.

In setting our objectives and planning our activities the corporate trustee has given serious consideration to meeting our public benefit commitment and to the enhancement of the care of patients through:

- Enhancing the quality of patient care;
- Improving the environment for patients, visitors and staff;
- Supporting NHS staff development to enable them to provide excellent clinical and patient-centred care;
- Providing funding for pioneering developments with the potential to impact directly on the treatment and wellbeing of patients; and
- Funding state-of-the-art equipment that improves outcomes for patients.

To achieve these objectives, UHNM Charity operates a transparent grant making process. All UHNM NHS Trust staff, from across both hospitals, can apply for funding to provide additional equipment, facilities, staff training and research over and above what the NHS would normally fund. Our plans to deliver this funding include:

- Encouraging UHNM staff to submit funding applications and to identify new facilities, training, equipment that the Charity can provide. This has been achieved by Charity staff meeting with key staff and Fund Advisers and through the submission of charitable funds spending plans; and
- Raising income to provide new facilities, training and equipment by supporting patients, members of the public, UHNM staff and organisations in their fundraising.

In line with our investment policy, surplus monies not required to meet immediate commitments are placed in specialist charity investments to create additional income to achieve the charity objectives in the future.

The staff working for the Charity are employed by UHNM NHS Trust. UHNM Charity reimburses the NHS Trust for these costs.



## **Bankers and Professional Advisers**

### **Bankers**

Royal Bank of Scotland  
Government Banking Cst  
Po Box 2027  
Parklands  
De Havilland Way  
Horwich  
Bolton  
BL6, 4YU

### **Auditors**

Grant Thornton UK LLP  
The Colmore Building  
20 Colmore Circus  
Birmingham  
B4 6AT

### **Investment Advisers**

CCLA Investment Management Ltd  
80 Cheapside  
London  
EC2V 6DZ

### **Solicitors**

Mills and Reeve  
78-84 Colmore Row  
Birmingham  
B3 2AB





# Our Fundraisers

## The many faces of Gary Fear



Gary Fear raised over £3,500 for our Covid-19 Staff Wellbeing Appeal by walking 100 miles around his neighbourhood in Gnosall in a week - all in fancy dress! The 55-year-old decided to wear a different costume every day to help cheer up his neighbours. Gary said: "I was furloughed from my job as an estate agent and felt I could use my time to raise some money. I wanted it to be locally focused, knowing that whatever I raised would be in our own community. The reception was fantastic and I had lots of generous support."

## Dr Farmer's colourful scrubs



Consultant Gastroenterologist Dr Adam Farmer raised over £1,250 for staff wellbeing at UHNM during the Covid-19 pandemic by swapping his usual work wear for colourful scrubs for the day. With the help of Matron Dani Burn, Dr Farmer delighted patients and colleagues during challenging times on Ward 14 at County Hospital by doing his rounds in the most colourful scrubs available in the hospital. Laura Elliott, Assistant Practitioner on Ward 14 said: "Dr Farmer is a ray of sunshine. The whole team thinks he is amazing and what he did proves it."

## UHNH welcomes cross-country Chris



After a month of walking, Chris Gibbs completed an epic 282-mile fundraising trek from Eastbourne in Sussex to the Royal Stoke University Hospital. Chris' walk took him through the Sussex Downs to London, then along canal towpaths to Birmingham and up local routes to Stoke-on-Trent. Chris completed the walk in memory of his late son Thiago, and to raise funds for the work of our Children's Hospital who cared for him. His trek raised almost £14,000 for the Staffordshire Children's Hospital at Royal Stoke.

## Belinda makes a big splash



Intrepid Belinda Diamond raised an incredible £55,000 for UHNH Charity by completing a 50k open water swimming challenge. Belinda took to the water to thank the UHNH staff who cared for her son Fraser following a road accident. She said: "We felt so indebted to all the various teams who have looked after, and continue to look after Fraser, that we felt we needed to do something proactive to demonstrate our appreciation. We have had an incredible response from so many people, every donation is a show of support and encouragement."



### Gracie-Mae braves the chop



Gracie-Mae Kirkham raised over £1,000 for our Critical Care Unit after deciding to do a sponsored haircut. The nine-year-old from Chesterton wanted to give something back to the team who cared for her great-grandad before he passed away on the Unit. Gracie-Mae had her 15-inch plait cut off at her local hairdressers. Gracie-Mae said: "It was a bit scary but it feels amazing to have raised so much for UHNM Charity. My target was only £100 so I'm really proud of myself and know that the money will help lots of people like my great-grandad."

### Murali reaches summit to thank colleagues



Consultant Anaesthetist Dr Murali Vallabhaneni found himself needing the care of his Critical Care colleagues after becoming ill with Covid-19. To thank the staff who saved his life Dr Vallabhaneni successfully scaled Mount Snowdon raising almost £4,000 for the Unit in the process. He said: "Throughout my stay the staff on Critical Care were incredible. I decided to attempt my Snowdon climb as I wanted to challenge myself and raise as much money as possible to improve the working environment and patient experience on the Unit that did so much for me."

### Stephanie's 126 miles for Ward 126



Stephanie Emery took to the streets to run 126 miles in a month to thank the UHNM staff who cared for both her parents with Covid-19. Stephanie said: "I wanted to do anything I could to help Ward 126. They were brilliant looking after both of my parents amazingly well - they cared, they watched, they listened. Her efforts raised over £7,500. Ward Manager Tracy Mellor added: "Our team on Ward 126 are so proud of Stephanie for her phenomenal efforts to raise money for our patients and we undertook our own steps challenge in aid of her fundraising."

### Siblings fundraising walk for Mum



A pair of siblings created their own fundraising challenge and raised over £8,500 to thank the UHNM staff who saved their mum's life. Aaliyah and AJ Scott walked one mile a day after school for a month to raise funds for the Critical Care Unit who cared for mum Emma following a brain infection. Aaliyah said: "We wanted them to be able to save other mommys like ours and other people's lives too. We wanted to say thank you to them for saving our mommy and looking after her. Our mommy is the bravest strongest mommy in the world."



# Support from Local Businesses



General Manager Kevin Hand from **Fox's Biscuits** donated 5,000 Rocky bars as a thank you to UHNM staff.



**Walker's Nonsusch** made several donations of toffees throughout the Covid-19 pandemic that were a morale boost across both hospitals.



The **Trentham Estate** were quick to think of us at the beginning of the pandemic, donating snacks and drinks to our UHNM staff.



UHNM-provided staff lunches were supplemented by donations including those of **Muller UK**, who kindly provided varieties of yoghurts.



**Nestle UK** provided a large donation of various confectionery which was enjoyed across wards and departments at both hospitals.



**McVitie's UK's** kind donation of biscuits helped staff enjoy their breaks and UHNM-provided lunches.





**Severn Trent Water** kindly donated 800 Easter Eggs from their Tittesworth Water Visitor Centre as a morale boost to UHNM staff.



**JCB's** Rocester headquarters donated a large number of hot meals which were enjoyed by staff in some of our busiest areas.



Newcastle-under-Lyme neighbours **Premier Foods** made a number of donations throughout the Covid-19 pandemic.



UHNM staff were able to enjoy a donation of crisps thanks to the kindness of **Tyrrell's Crisp's** Uttoxeter factory.



Local **Co-op's** donated toiletries such as shower gel and hand cream during the pandemic which were appreciated by both patients and staff.



A significant donation from **Cadbury's** meant every member of staff at UHNM was given an Easter egg in appreciation of their efforts.



# Who We Are



- **Lisa Thomson - UHNM Director of Communications and Charity**

*Lisa is Director of UHNM Charity and represents the work of the Charity at Board and Executive level.*

- **Steve Rushton - Head of UHNM Charity**

*Steve leads on developing major appeals and works with the Charity Committee and senior staff to ensure the UHNM Charity continues to grow.*

- **Michaela Quinn- Project Manager**

*Michaela leads on UHNM Charity's bid writing process and any large administrative projects.*

- **Lynn Oldfield - Project Manager**

*Lynn looks after legacies and works to develop our legacy strategy.*

- **Joanna Walford - Procurement Administrator**

*Joanna processes all of the Trust's spending applications and can answer any queries in relation to them.*

- **Becky Bate - Junior Administrator**

*Becky supports the team with various admin roles and the day-to-day running of the charity.*

- **James Wood - Communications, Fundraising and Events Officer**

*James promotes the work of the charity both publicly and within UHNM and encourages as many people as possible to get involved.*

- **Sarah O'Reilly- Fundraising Officer**

*Sarah makes sure everyone fundraising for us is processed and looked after properly.*



# Leave a legacy to UHNM Charity

After providing for your loved ones, leaving a gift in your will to UHNM Charity is a wonderful way to support a cause you care about and help transform the care and experience for hundreds or even thousands of local patients for years to come. Whatever the size of your gift, you can help to provide extra state-of-the-art equipment, new facilities, pioneering research and all the extras that make our care so special.

Whatever your reasons for supporting UHNM Charity, by including a gift in your will you're helping us go above and beyond what the NHS can provide. We work hand-in-hand with doctors, nurses and other medical experts from UHNM to ensure that every gift bequeathed to the Charity is put to good use - making the greatest possible difference to patient care.

Whichever ward or service is close to your heart, we want you to know that we will hold your donation in a charitable fund that supports the area of your choice, or if you'd prefer to leave a gift for general charitable purposes we will ensure that it is spent where it is needed the most. We are truly grateful to all those who consider leaving a gift to UHNM Charity in their will.

We appreciate this can be a difficult subject to broach, but if you would like to discuss how your legacy could have an impact on local patients or if you have any wishes on how the money is spent please do get in touch with our friendly team.

## Donate to UHNM Charity

No matter how large or small, every gift will help make a difference to patients and staff at the University Hospitals of North Midlands. There are many ways in which you can donate:

### Online

You can make a donation securely online at [www.uhnmcharity.org.uk](http://www.uhnmcharity.org.uk)

### By post

Send a cheque or CAF Voucher to us by post. Cheques need to be made payable to 'UHNM Charity'. Please enclose a covering letter telling us if there is a particular area of the hospital you'd like to support.

UHNM Charity  
Royal Stoke University Hospital  
Newcastle Road  
Stoke on Trent  
ST4 6QG

### By telephone

Call us on (01782) 676444 don't forget to have your credit/debit card ready!



# Trustees' Report

**The Corporate Trustee is pleased to present the University Hospitals of North Midlands Charity (UHNH Charity) Annual Report together with the Audited Financial Statements for the year ended 31 March 2020. These accounts have been prepared in accordance with the Charities Act 2011 and Accounting and Reporting by Charities: Statement of Recommended Practice applicable to charities preparing their accounts in accordance with the Financial Reporting Standard applicable in the UK and Republic of Ireland (FRS102).**

## Legal Structure

University Hospitals of North Midlands NHS Trust is the corporate trustee of funds held on trust under powers given to it by s212 to s222 of the National Health Service Act 2006. The funds held on trust are registered as University Hospitals of North Midlands Charity with the Charity Commission under registration number 1054889.

## Management of the Charity

The Trust Board of University Hospitals of North Midlands NHS Trust (the Trust) is the Corporate Trustee of UHNH Charity. All voting Executive and Non-Executive Directors of University Hospitals of North Midlands NHS Trust take decisions collectively as agents of the Trustee and receive training through Board Development sessions.

The directors of the Corporate Trustee are therefore not themselves Trustees even though they are sometimes referred to internally as the Trustees. The Charity is separate from the Trust and independent of it, but it aims to work closely with the Trust in order to achieve its charitable objectives. The Corporate Trustee delegates certain responsibilities to agents and/or employees but always retains the ultimate responsibility for the management of the Charity.

The Corporate Trustee has established a Charitable Funds Committee to oversee the Charity's operation on its behalf. The Committee scrutinises and constructively challenges the Charity's operations and financial information and systems of control, including the Annual Accounts, to provide assurance to the Trustee Board that the administration of charitable funds is distinct from its exchequer funds and compliant with legislation and Charity objectives.

The Charitable Funds Committee meets regularly and reports to the Corporate Trustee, which approves major decisions and remains responsible for the activities of the Charity. The day-to-day operations of the Charity are

overseen by the Trust Director of Communications and Charity.

## Objects

The objects of the charity are to hold the trust fund upon trust to apply the income, and at their discretion, so far as may be permissible, the capital for any charitable purpose or purposes relating to the National Health Service wholly or mainly for the service provided by University Hospitals of North Midlands NHS Trust.

The funds of the Charity arise from fundraising, donations and legacies together with the returns on investments. The funds are used to enhance the care of patients through the provision of new or enhanced facilities, state of the art equipment, and innovative medical research, and by investing in skilled staff through welfare, learning and development, in all cases, over and above core NHS provision.

## Investment Policy

Surplus monies not required to meet immediate commitments are currently invested in COIF Charity Funds, which are common investment and deposit funds established under section 96 of the Charities Act 2011. The administrative functions for the COIF Charity Funds have been delegated to CCLA, whose ethical and social investment policies support the UHNH Charity's own investment policy. The portfolio has performed in line with the overall stock market conditions during the financial year with performance continually monitored by the Charitable Funds Committee.

## Reserves Policy

The Corporate Trustee has agreed a Reserves Policy to ensure that donations are spent within a reasonable period from receipt whilst also protecting the financial viability of the fund. The agreed minimum level of reserves is a balance sufficient to cover normalised expenditure for three years and therefore protects the spending plans of the charity against falls in fundraising income, legacies and investment values. Covering running costs in this way gives the Charitable Funds Committee a reasonable timescale to ensure that appropriate management action can be taken to consider alternative funding sources and marketing strategies to improve its position if necessary. It also allows sufficient time for the charity to process on-going commitments and to meet the cost of closure or transfer of the charity's affairs should the need ever arise. As at 31 March 2020 UHNH had unrestricted reserves of £5.3million which exceeds the amount needed to cover



the agreed three years operational and governance costs. The Corporate Trustee is committed to reducing the excess over the next three years in a way which gives optimum benefit to patients. The charity team is working with fund advisors on spending plans for their particular clinical areas that are in line with both charitable and Trust objectives. The Trust is currently in the process of developing its clinical services strategy which once completed will help signpost the areas where charitable investment might give the best long term benefits to patients. The Corporate Trustee is also seeking proposals for some potentially higher cost schemes associated with developing specialist services such as cancer and childrens.

## Risk Policy

The major risks to which the Charity could be exposed have been identified and considered and systems developed to minimise those risks. The most significant risks have been identified as:

1. Losses from a fall in the value of the investments due to volatility in world markets; and
2. Fraud

The Committee is satisfied that the Charity's Investment Policy together with robust financial procedures including the regular monitoring of investments minimises the investment risks. Fraud is controlled by robust financial policies and procedures adopted by the Corporate Trustee.

## Expenditure Approval Policy

As a grant making charity, each application is considered on its own merits for appropriateness against the Charity and any specific fund objectives, and it must comply with the Charity Commission funding criteria and UHNM Charity Policy. All grant applications are subject to approval by the NHS Trust (to confirm they can benefit from the grant and meet any on-going liabilities) and the Corporate Trustee Board or its appointed officers. All research grants are only awarded if approved by the Ethics Committee and results must be made available within the public domain.

## Statement of Trustee's Responsibility

Under charity law, the Trustee is responsible for preparing the Trustee's Report and financial statements for each financial year which show a true and fair view of the state of affairs of the charity and of the charity's financial position for the period.

In preparing these financial statements, generally accepted accounting practice entails that the Trustee:

- selects suitable accounting policies and then applies them consistently;
- makes judgements and estimates that are reasonable and prudent;
- states whether the financial statements comply with applicable accounting standards and statements of recommended practice, subject to any material departures disclosed and explained in the financial statements;
- prepares the financial statements on the going concern basis unless it is inappropriate to presume that the charity will continue its activities.

The Trustee is required to act in accordance with the trust deed of the charity, within the framework of trust law. It is responsible for keeping proper accounting records, sufficient to disclose at any time, with reasonable accuracy, the financial position of the charity at that time, and to enable the Trustee to ensure that, where any statements of accounts are prepared by it under s132(1) of the Charities Act 2011, those statements of accounts comply with the requirements of the regulations under that provision. It has general responsibility for taking such steps as are reasonably open to it to safeguard the assets of the charity and to prevent and detect fraud and other irregularities.

The Trustee is responsible for the maintenance and integrity of the financial and other information included on the charity's website. Legislation in the UK governing the preparation and dissemination of financial statements may differ from legislation in other jurisdictions.

The Trustee confirms that it has met the responsibilities set out above and complied with the requirements for preparing the Trustee's Report and the financial statements. The financial statements set out in this document have been compiled from and are in accordance with the financial records maintained by the Trustee.

In exercising its powers and responsibilities the Trustee has complied with its duty to have due regard to the Guidance on Public Benefit published by the Charity Commission.

## Related Party Transactions

University Hospitals of North Midlands NHS Trust is a related party as it is both the Trustee and the recipient of grants made by the charity. Note 1.11 of the Accounts discloses information about any related party transactions.



# Financial Statements for the Period 1 April 2020 to 31 March 2021

## Statement of Financial Activities (Including Income and Expenditure Account) for University Hospitals of North Midlands Charity for the Year Ended 31 March 2021

Statement of Financial Activities (including Income & Expenditure Account)  
For University Hospitals of North Midlands Charity for the Year Ended 31 March 2021

		Unrestricted	Unrestricted	Restricted	Restricted	Total	Total
	Note	Funds 2021	Funds 2020	Funds 2021	Funds 2020	Funds 2021	Funds 2020
<b>Income from:</b>	2	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
Donations	2.1	281	524	2,362	15	2,643	539
Legacies	2.2	33	229	2	64	35	293
Other trading activities	2.3	333	243	0	6	333	249
Investments	2.4	188	192	30	30	218	222
<b>Total income</b>		<b>835</b>	<b>1,188</b>	<b>2,394</b>	<b>115</b>	<b>3,229</b>	<b>1,303</b>
<b>Expenditure on:</b>	3						
Charitable activities	3.1	1,525	1,463	1,967	359	3,492	1,822
Raising funds	3.2	45	66	4	8	49	74
Other		0	0	0	0	0	0
<b>Total expenditure</b>	3.3	<b>1,570</b>	<b>1,529</b>	<b>1,971</b>	<b>367</b>	<b>3,541</b>	<b>1,896</b>
<b>Net gains/(losses) on investments</b>	4	<b>1,048</b>	<b>(166)</b>	<b>168</b>	<b>(26)</b>	<b>1,216</b>	<b>(192)</b>
<b>Net Income/ (Expenditure)</b>		<b>313</b>	<b>(507)</b>	<b>591</b>	<b>(278)</b>	<b>904</b>	<b>(785)</b>
<b>Transfers between funds</b>	9	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Net movement in Funds</b>		<b>313</b>	<b>(507)</b>	<b>591</b>	<b>(278)</b>	<b>904</b>	<b>(785)</b>
<b>Reconciliation of funds:</b>							
Total funds Brought forward		5,306	5,813	643	921	5,949	6,734
Total funds carried forward		5,619	5,306	1,234	643	6,853	5,949

The statement of financial activities includes all gains and losses recognised in the year.



# Balance Sheet for University Hospitals of North Midlands Charity as at 31 March 2021

## Balance Sheet

For University Hospitals of North Midlands Charity as at 31 March 2021

		Unrestricted Funds £000	Restricted Funds £000	Total Funds 31- Mar-21 £000	Total Funds 31- Mar-20 £000
	Note				
<b>Non-current assets</b>					
Investments	6	6,029	1,072	7,101	5,885
<b>Total non-current assets</b>		<b>6,029</b>	<b>1,072</b>	<b>7,101</b>	<b>5,885</b>
<b>Current assets</b>	7				
Debtors	7.1	72	7	79	180
Cash at bank and in hand	7.2	134	1,555	1,689	1,184
<b>Total current assets</b>		<b>206</b>	<b>1,562</b>	<b>1,768</b>	<b>1,364</b>
<b>Liabilities</b>	8				
Creditors falling due within one year	8.1	(599)	(1,400)	(1,999)	(1,264)
<b>Net current assets</b>		<b>(393)</b>	<b>162</b>	<b>(231)</b>	<b>100</b>
<b>Total assets less current liabilities</b>		<b>5,636</b>	<b>1,234</b>	<b>6,870</b>	<b>5,985</b>
<b>Creditors:</b>					
Amounts falling due after more than one year	8.2	(17)	-	(17)	(36)
<b>Net assets</b>		<b>5,619</b>	<b>1,234</b>	<b>6,853</b>	<b>5,949</b>
<b>Funds of the Charity</b>	9				
Restricted income funds		-	1,234	1,234	643
Unrestricted income funds		5,619	-	5,619	5,306
<b>Total Funds</b>		<b>5,619</b>	<b>1,234</b>	<b>6,853</b>	<b>5,949</b>

*A J Wakefield*

Chairman  
Date: 05/01/2022



## Cash flow statement for the year ended 31 March 2021

### Cash Flow Statement for the year ended 31 March 2021

	2020/21	2019/20
	Total funds £000	Total funds £000
<b>Reconciliation of net income (expenditure) to net cash flow from operating activities</b>		
Net income (expenditure) for the reporting period (as per the Statement of Financial Activities)	904	(785)
<b>Adjustments for:</b>		
(Gains)/losses on investments (Note 4)	(1,216)	192
Interest from Investments	218	222
(Increase) decrease in debtors	101	(6)
Increase (decrease) in creditors	716	317
<b>Net cash provided by (used in) Operating activities</b>	<b>723</b>	<b>(60)</b>
<b>Cash flows from operating activities:</b>		
Net cash provided by (used in) operating activities	723	(60)
<b>Cash flows from investing activities:</b>		
Purchase of investments (Note 6)	0	0
Interest from Investments (Note 2.5)	(218)	(222)
Proceeds from sale of investments (Note 6)	0	0
<b>Net cash provided by (used in) investing activities</b>	<b>(218)</b>	<b>(222)</b>
Increase/(decrease) in cash and cash equivalents in the reporting period	505	(282)
Cash and cash equivalents at 1 April	1,184	1,466
<b>Cash and cash equivalents at 31 March</b>	<b>1,689</b>	<b>1,184</b>
<b>Analysis of cash and cash equivalents:</b>		
Cash in hand	1,689	1,184
Cash on deposit	0	0
<b>Total cash and cash equivalents</b>	<b>1,689</b>	<b>1,184</b>



# Notes to the Financial Statements

University Hospitals of North Midlands NHS Trust Charitable fund for the year ended 31 March 2021

## Notes to the Financial Statements

### 1 Accounting Policies

#### 1.1 Basis of preparation

UHNM Charity has prepared its financial statements that comply with SORP 2019 (FRS102) for the year ended 31 March 2021. The charity constitutes a public benefit entity as defined by FRS102. The accounts (financial statements) have been prepared in accordance with the Statement of Recommended Practice: Accounting and Reporting by Charities preparing their accounts in accordance with the Financial Reporting Standard applicable in the UK and Republic of Ireland (FRS102), and the Financial Reporting Standard applicable in the United Kingdom and Republic of Ireland (FRS 102) and the Charities Act 2011 and UK Generally Accepted Practice as it applies from January 2019.

#### 1.2 Income recognition

All incoming resources are included in full in the Statement of Financial Activities as soon as the following three factors can be met:

- i) entitlement - arises when a particular resource is receivable or the charity's right becomes legally enforceable;
- ii) probable - it is more likely than not that the economic benefits associated with the transaction or gift will flow to the charity
- iii) measurement - when the monetary value of the incoming resource can be measured with sufficient reliability

#### 1.3 Legacies

Legacies are accounted for as incoming resources once the receipt of the legacy becomes probable. This will be once confirmation has been received from the representatives of the estates that payment of the legacy will be made or property transferred and once all conditions attached to the legacy have been fulfilled.

#### 1.4 Expenditure recognition

The funds held on trust accounts are prepared in accordance with the accruals concept. All expenditure is recognised once there is a legal or constructive obligation to make a payment to a third party.

##### a) Cost of raising funds

The cost of generating funds are the costs associated with generating income for the funds held on trust.

##### b) Grants payable

Grants payable are payments, made to third parties (including NHS bodies) in the furtherance of the funds held on trust's charitable objectives to relieve those who are sick. They are accounted for on an accruals basis where the conditions for their payment have been met or where a third party has a reasonable expectation that they will receive the grant. This includes grants paid to NHS bodies and relevant allocation of support costs. The majority of grant payments made by the charity have been made to University Hospitals of North Midlands NHS Trust.

##### c) Governance costs

These are accounted for on an accruals basis and are recharges of appropriate proportions of costs from University Hospitals of North Midlands NHS Trust.

#### 1.5 Structure of funds

Where there is a legal restriction on the purpose to which a fund may be put, the fund is classified in the accounts as a restricted fund. Funds where the capital is held to generate income for charitable purposes and cannot itself be spent are accounted for as endowment funds. Other funds are classified as unrestricted funds. Funds which are not legally restricted but which the Trustees have chosen to earmark for set purposes are classified as designated funds. The major funds held are disclosed in note 9.



# Notes to the Financial Statements

University Hospitals of North Midlands Charity for the year ended 31 March 2021

Notes to the Financial Statements

## 1.6 Investment Assets

Investment assets are shown at market value. Due to the Covid-19 pandemic there was a sharp fall in the value of investments in the first quarter of 2020, during the remainder of 2020 this fall was recovered and large gains have been made for the yearended 31st March 2021.

## 1.7 Realised gains and losses

All gains and losses are taken to the Statement of Financial Activities as they arise. Realised gains and losses on investments are calculated as the difference between sales proceeds and opening market value (or date of purchase if later). Unrealised gains and losses are calculated as the difference between market value at the year end and opening market value (or date of purchase if later).

## 1.8 Change in the Basis of Accounting

There has been no change in the basis of accounting during the year.

## 1.9 Prior Year Adjustments

There has been no change to the accounts of prior years.

## 1.10 Pooling Scheme

An official pooling scheme is operated for investments held by the Charity. The scheme was registered with the Charity Commission on 31st March 1998.

## 1.11 Related party transactions

During the year none of the Trustees or members of the key management staff or parties related to them has undertaken any material transactions with the University Hospitals of North Midlands NHS Trust outside their role as employees of the Trust.

During the year none of the Trustees has received any further remuneration or reimbursement of expenses for the provision of their services as a Trustee of the Charitable Fund outside their role as employees of the Trust.

The charitable trust has made revenue and capital payments to the University Hospitals of North Midlands NHS Trust where the Trustees are also members of the Trust Board.

In year transactions amounted to £3,674,590 (2019/20: £1,626,543). Outstanding at the year end was a balance of £1,466,254 (2019/20: £562,070) which is included within creditors falling due within one year.

## 1.12 Denise Coates Foundation

In April 2020 UHNM Charity was given the opportunity to bid for a grant of up to £10m by the Denise Coates Foundation to support staff and patients during the on-going COVID-19 pandemic. In order to access funding UHNM Charity submits applications to be funded by the Denise Coates Foundation and therefore the financial statements reflect only the income, expenditure and a restricted fund balance relating to schemes fully approved. During 2020/21, applications of £1.9m were submitted to and approved by the Denise Coates Foundation. In 2021/22 further applications have been submitted for consideration related to supporting cancer services.

## 1.12 Commitments

Applications for expenditure are treated as commitments as soon as the necessary approval is granted and recipients have received confirmation by the year end in order to create a constructive obligation. The Trustees of these funds will endeavour to encourage spending plans within the forthcoming year.

## 1.13 Going concern

The financial statements have been prepared on a going concern basis as the trustees believe that no material uncertainties exist.

## 1.14 Post Balance Sheet Events

There are no post balance sheet events.

## 1.15 Contingencies

Contingency assets (that is, assets arising from past events whose existence by one or more future events not wholly within the entity's control) are not recognised as assets but are disclosed in note 11 where an inflow of economic benefit is probable.



# Notes to the Financial Statements

University Hospitals of North Midlands Charity for the year ended 31 March 2021

Notes to the Financial Statements

## 2 Income

### 2.1 Donations

	2021			2020		
	Unrestricted £	Restricted £	Total £	Unrestricted £	Restricted £	Total £
In memory of donations	119,236	2,239	121,475	184,465	8,491	192,956
Recognition of Care donations	36,551	-	36,551	65,015	5,000	70,015
Collections	3,292	-	3,292	13,801	-	13,801
Breast Care for Magseed	15,000	-	15,000	94,700	-	94,700
Denise Coates Foundation	-	1,901,158	1,901,158	-	-	-
NHS Charities Together	-	458,100	458,100	-	-	-
Other specific donation funds	-	-	-	70,000	-	70,000
Other donations	106,307	979	107,286	96,943	1,399	98,342
<b>Total donations</b>	<b>280,386</b>	<b>2,362,476</b>	<b>2,642,862</b>	<b>524,924</b>	<b>14,890</b>	<b>539,814</b>

### 2.2 Legacies

	2021			2020		
	Unrestricted £	Restricted £	Total £	Unrestricted £	Restricted £	Total £
Legacies	32,979	1,652	34,631	229,010	64,314	293,324
<b>Total for the year</b>	<b>32,979</b>	<b>1,652</b>	<b>34,631</b>	<b>229,010</b>	<b>64,314</b>	<b>293,324</b>

### 2.3 Income from other trading activities

	2021			2020		
	Unrestricted £	Restricted £	Total £	Unrestricted £	Restricted £	Total £
Charity events and fundraising	333,382	-	333,382	242,155	5,818	247,973
<b>Total for year</b>	<b>333,382</b>	<b>0</b>	<b>333,382</b>	<b>242,155</b>	<b>5,818</b>	<b>247,973</b>

Income from other trading activities comprises of funds raised through various sporting and other fundraising events.

### 2.4 Investment income

	2021			2020		
	Unrestricted £	Restricted £	Total £	Unrestricted £	Restricted £	Total £
Income from investments was received as below:						
Income from other investments	187,351	30,081	217,432	183,910	29,193	213,103
Bank interest	-	-	-	8,079	1,282	9,361
<b>Total for year</b>	<b>187,351</b>	<b>30,081</b>	<b>217,432</b>	<b>191,989</b>	<b>30,475</b>	<b>222,464</b>



# Notes to the Financial Statements

University Hospitals of North Midlands Charity for the year ended 31 March 2021

Notes to the Financial Statements

## 3 Expenditure

### 3.1 Charitable activities

	2021			2020		
	Unrestricted £	Restricted £	Total £	Unrestricted £	Restricted £	Total £
Patient welfare and amenities	170,181	347,348	517,529	519,009	8,590	527,599
Staff welfare and amenities	(45,029)	11,700	(33,329)	95,693	-	95,693
Research	(6,208)	-	(6,208)	23,805	-	23,805
Enhancement of NHS care	1,247,350	1,582,672	2,830,023	669,276	326,516	995,792
Support costs	158,761	25,537	184,298	154,734	24,562	179,296
Other	-	-	-	-	-	-
	<b>1,525,056</b>	<b>1,967,257</b>	<b>3,492,313</b>	<b>1,462,517</b>	<b>359,668</b>	<b>1,822,185</b>

### 3.2 Raising Funds

Fundraising Trading costs	24,794	683	25,477	17,451	65	17,516
Support costs	19,767	3,180	22,947	48,604	7,715	56,319
	<b>44,561</b>	<b>3,863</b>	<b>48,424</b>	<b>66,055</b>	<b>7,780</b>	<b>73,835</b>

### 3.3 Total expenditure

	<b>1,569,617</b>	<b>1,971,120</b>	<b>3,540,737</b>	<b>1,528,572</b>	<b>367,448</b>	<b>1,896,020</b>
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Included in patient welfare and amenities is £167,443 spend on a one year Consultant Connect Licence funded by the Denise Coates Foundation. Included in Enhancement of NHS care is the purchase & maintenance of advanced medical equipment, improvements to computer systems and the furtherance of staff education. During the year there were various projects funded by the Denise Coates Foundation totalling £1,474,690, including a Staff Rest Area.

The charity has no direct employees. Staff involved in the administration of the charity are employees of the University Hospitals of North Midlands NHS Trust. A recharge is made by the Trust to the charity to reflect the cost of administering the charity. Staff costs for the period amounted to £172,416 (£157,424 in 2019/20) and are apportioned between expenditure on raising funds and charitable activities.

## 4 Net gains/(losses) on investments

	2021 £	2020 £
Net realised gains for the year	-	-
Unrealised gains on Investment assets	1,216,098	(192,445)
Net unrealised gains for the year	<b>1,216,098</b>	<b>(192,445)</b>

In line with FRS102 net gains/losses on investments are now shown before striking a total for net income/(expenditure).

Due to the Covid-19 pandemic there was a sharp fall in the value of investments in the first quarter of 2020, during the remainder of 2020 this fall was recovered and large gains have been made for the yearended 31st March 2021.

## 5 Net income/(expenditure) for the year

This is stated after charging:

	2021 £	2020 £
Auditor's remuneration:		
Audit fees	11,994	11,994

Audit fees are included within Support costs.



# Notes to the Financial Statements

University Hospitals of North Midlands NHS Trust Charitable fund for the year ended 31 March 2021  
Notes to the Financial Statements

## 6 Analysis of Investments

	2021 £	2020 £
Fixed Asset Investments:		
Opening Market value 1 April	5,884,964	6,077,409
Less: Disposals at carrying value	-	-
Add: Acquisitions at cost	-	-
Net gain on revaluation	1,216,098	(192,445)
Closing Market value at 31 March	7,101,062	5,884,964

The historical cost of the investments held was £4,644,949 (£4,644,949 in 2019/20) and the market value as at 31 March 2021 was £7,101,062 (£5,884,964 in 2019/20).

At 31st March 2021 the mid market value of one Charities Investment Fund Income unit was 1,792.64 pence, 1,465.64 pence as at 31st March 2020.

## 7 Current assets

### 7.1 Debtors (falling due within one year)

	2021 £	2020 £
Interest including bank interest	54,850	54,938
Tax credits	5,578	1,294
Debtors	18,173	124,010
Total	78,601	180,242

### 7.2 Cash at Bank and in hand

	2021 £	2020 £
Cash held at Royal Bank of Scotland	1,689,152	1,184,425
Petty Cash	6	6
Total	1,689,158	1,184,431

## 8 Liabilities

### 8.1 Creditors (falling due within one year)

	2021 £	2020 £
Creditors	1,980,720	1,251,621
Accruals	17,856	12,594
	1,998,576	1,264,215

Creditors include the current committed expenditure of the funds amounting to £506,095 (£695,712 in 2019-20)

### 8.2 Creditors (falling due after more than one year)

	2021 £	2020 £
Creditors (maintenance charges)	17,064	35,908



# Notes to the Financial Statements

University Hospitals of North Midlands NHS Trust Charitable fund for the year ended 31 March 2021  
Notes to the Financial Statements

## 9 Funds

### Designated funds

The income funds of the charity include designated funds comprising unexpended balances of donations and legacies held on trust to be applied wholly or mainly for any charitable purpose or purposes relating to the National Health Service, wholly or mainly for the University Hospitals of North Midlands NHS Trust.

The table below shows all funds with a closing balance of greater than £25,000.

Fund	Balance 01-Apr 2020 £000	Incoming Resources £000	Resources Expended £000	Gains and losses £000	Balance 31-Mar 2021 £000
UHNH General Fund	753	87	(520)	243	563
Cancer Centre Fund	800	63	(150)	141	854
UHNH Critical Care Fund	260	92	(198)	47	201
County Fundraising Appeal	161	5	(5)	28	189
UHNH Breast Care Fund	60	21	(12)	12	81
Cancer Research	30	1	(1)	5	35
UHNH Heart Fund	278	57	(39)	52	348
Cystic Fibrosis	68	7	1	13	89
UHNH Children's Centre & Services	190	53	(82)	34	195
Respiratory Fund	194	17	(101)	28	138
UHNH Gynaecology Fund	35	1	(1)	6	41
UHNH Obstetric Fund	97	10	(29)	17	95
Neonatal Intensive Care Unit	244	21	(17)	44	292
UHNH Neurosciences IP Fund	55	16	(25)	10	56
UHNH Trauma and Orthopaedic Fund	78	46	(10)	18	132
Renal Fund	184	20	(17)	33	220
Imaging Fund	169	3	(132)	14	54
UHNH Research and Development Fund	162	5	3	28	198
UHNH Fresh Hair Fund	146	6	(13)	25	164
General Cancer Research Fund	256	8	(8)	44	300
County General Fund	141	7	(83)	20	85
County Cancer & Haematology Fund	103	6	(3)	18	124
Emergency Care Centre	27	5	(1)	6	37
UHNH Stroke & AU Fund	66	8	(2)	12	84
Art for Life	33	1	(3)	6	37
Eye Fund	36	2	(12)	6	32
Colorectal Fund	49	2	(1)	8	58
Elderly Care Fund	41	5	(19)	6	33
Pot luck patient benefit fund	47	16	(12)	8	59
General Medical Fund	39	4	(1)	7	49
RSUH General Fund	38	19	(1)	7	63
Vascular	39	2	(1)	7	47
Urology	59	3	(8)	9	63
Gastro & Endoscopy Fund	40	3	(1)	7	49
UHNH Diabetes Fund	64	2	(2)	11	75
Gordon Banks-In Safe Hands	25	2	(1)	4	30
GI Unit	24	2	(1)	4	29
UHNH Specialised Surgery	21	12	(2)	4	35
UHNH Neurosciences OP Fund	21	7	(1)	4	31
UHNH EMERGENCY APPEAL	2	170	(4)	23	191
All other designated funds (69)	171	18	(55)	29	163
<b>Total Funds</b>	<b>5,306</b>	<b>835</b>	<b>(1,570)</b>	<b>1,048</b>	<b>5,619</b>

The number of funds remaining at 31st March 2021 was 110 (110 at 31 March 2020).  
the year.

### Restricted Funds

The income funds of the charity include restricted funds comprising unexpended balances of donations and legacies held on trust to be applied wholly or mainly for specific purposes.

The table below shows all funds with a closing balance of greater than £25,000.

	Balance 01-Apr 2020 £000	Incoming Resources £000	Resources Expended £000	Gains and losses £000	Balance 31-Mar 2021 £000
North Staffs Heart Committee	523	26	(48)	119	620
Denise Coates Foundation	-	1,901	(1,666)	-	235
UHNH Emergency Appeal	-	463	(252)	29	240
Chemotherapy Legacy	91	3	(3)	15	106
All other restricted funds (3)	29	1	(2)	5	33
	<b>643</b>	<b>2,394</b>	<b>(1,971)</b>	<b>168</b>	<b>1,234</b>

The number of funds remaining at 31st March 2021 was 7 (5 at 31 March 2020).  
There have been no transfers between funds during the year.



# Notes to the Financial Statements

University Hospitals of North Midlands NHS Trust Charitable fund for the year ended 31 March 2021  
Notes to the Financial Statements

## 10 Commitments

The funds have the following commitments:

	Total 2021 £	Total 2020 £
Charitable projects	320,048	329,253
Charitable projects over one year	17,064	35,908
Capital	168,983	330,551
	506,095	695,712

The trustees recognise liabilities in the accounts once they have incurred either a legal or constructive obligation to spend the funds. Commitments of £506,095 have been included in this set of accounts as part of Creditors, refer to notes 8.1 and 8.2.

Applications for expenditure are accounted for on an accruals basis. A commitment is created where approval is granted and a constructive obligation has been created. All of the commitments in both 2020/2021 and 2019/20 relate to grants payable.

In previous years the Charity has made a commitment to fund the on-going maintenance for equipment that it has funded through grant payments. From 1 April 2017 the Charity will no longer fund the on-going maintenance for new equipment purchased from grant payments.

There is currently £42,752 remaining relating to maintenance commitments. The majority of these will cease during the 2022/23 financial year.

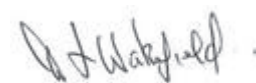
## 11 Contingent assets

The Charity recognises as contingent asset of £35,000 (2019/20 £0) at the reporting date in respect of a legacy where payment was reliant on completion of a property sale. At the reporting date the sale was probable but completion did not occur until after the reporting date.

## 12 Five year summary of Income and Expenditure

Financial year	2017 £000	2018 £000	2019 £000	2020 £000	2021 £000
Total Incoming Resources	2,069	1,300	1,854	1,303	3,229
Total Resources Expended	(1,370)	(1,578)	(1,493)	(1,896)	(3,541)
Gains/(losses) on Investment assets	661	116	444	(192)	1,216
Net movement in funds	1,360	(162)	805	(785)	904

The date of approval of the accounts by the Trust Board was the 5th January 2022



Chairman  
Date: 05/01/2022



# Independent Auditor's Report to the Corporate Trustee of UHNM Charity

## Independent auditor's report to the corporate trustee of University Hospitals of North Midlands Charity

### Opinion

We have audited the financial statements of University Hospitals of North Midlands Charity (the 'charity') for the year ended 31 March 2021, which comprise the Statement of Financial Activities, the Balance Sheet, the Cash Flow Statement and notes to the financial statements, including a summary of significant accounting policies. The financial reporting framework that has been applied in their preparation is applicable law and United Kingdom Accounting Standards, including Financial Reporting Standard 102; 'The Financial Reporting Standard applicable in the UK and Republic of Ireland' (United Kingdom Generally Accepted Accounting Practice).

In our opinion, the financial statements:

- give a true and fair view of the state of the charity's affairs as at 31 March 2021 and of its incoming resources and application of resources for the year then ended;
- have been properly prepared in accordance with United Kingdom Generally Accepted Accounting Practice; and
- have been prepared in accordance with the requirements of the Charities Act 2011.

### Basis for opinion

We have been appointed as auditor under section 149 of the Charities Act 2011 and report in accordance with regulations made under section 154 of that Act. We conducted our audit in accordance with International Standards on Auditing (UK) (ISAs (UK)) and applicable law. Our responsibilities under those standards are further described in the 'Auditor's responsibilities for the audit of the financial statements' section of our report. We are independent of the charity in accordance with the ethical requirements that are relevant to our audit of the financial statements in the UK, including the FRC's Ethical Standard, and we have fulfilled our other ethical responsibilities in accordance with these requirements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.

### Conclusions relating to going concern

We are responsible for concluding on the appropriateness of the trustee's use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the charity's ability to continue as a going concern. If we conclude that a material uncertainty exists, we are required to draw attention in our report to the related disclosures in the financial statements or, if such disclosures are inadequate, to modify the auditor's opinion. Our conclusions are based on the audit evidence obtained up to the date of our report. However, future events or conditions may cause the charity to cease to continue as a going concern.

In our evaluation of the trustee's conclusions, we considered the inherent risks associated with the charity's business model including effects arising from macro-economic uncertainties such as Brexit and Covid-19, we assessed and challenged the reasonableness of estimates made by the corporate trustee and the related disclosures and analysed how those risks might affect the charity's financial resources or ability to continue operations over the going concern period.

Based on the work we have performed, we have not identified any material uncertainties relating to events or conditions that, individually or collectively, may cast significant doubt on the charity's ability to continue as a going concern for a period of at least twelve months from when the financial statements are authorised for issue.

In auditing the financial statements, we have concluded that the trustee's use of the going concern basis of accounting in the preparation of the financial statements is appropriate.



The responsibilities of the corporate trustee with respect to going concern are described in the 'Responsibilities of the corporate trustee for the financial statements' section of this report.

#### Other information

The corporate trustee is responsible for the other information. The other information comprises the information included in the Trustee's Annual Report, other than the financial statements and our auditor's report thereon. Our opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated in our report, we do not express any form of assurance conclusion thereon. In connection with our audit of the financial statements, our responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or our knowledge obtained in the audit or otherwise appears to be materially misstated. If we identify such material inconsistencies or apparent material misstatements, we are required to determine whether there is a material misstatement in the financial statements or a material misstatement of the other information. If, based on the work we have performed, we conclude that there is a material misstatement of this other information, we are required to report that fact.

We have nothing to report in this regard.

#### Matters on which we are required to report by exception

We have nothing to report in respect of the following matters where the Charities Act 2011 requires us to report to you if, in our opinion:

- the information given in the Trustee's Annual Report is inconsistent in any material respect with the financial statements; or
- the charity has not kept sufficient accounting records; or
- the financial statements are not in agreement with the accounting records and returns; or
- we have not received all the information and explanations we require for our audit.

#### Responsibilities of the corporate trustee for the financial statements

As explained more fully in the Trustee's Responsibilities Statement set out on page 15, the corporate trustee is responsible for the preparation of the financial statements which give a true and fair view, and for such internal control as the trustee determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the corporate trustee is responsible for assessing the charity's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the corporate trustee either intends to liquidate the charity or to cease operations, or has no realistic alternative but to do so.

#### Auditor's responsibilities for the audit of the financial statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists.

Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

A further description of our responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website at: [www.frc.org.uk/auditorsresponsibilities](http://www.frc.org.uk/auditorsresponsibilities). This description forms part of our auditor's report.

#### Explanation as to what extent the audit was considered capable of detecting irregularities, including fraud

Irregularities, including fraud, are instances of non-compliance with laws and regulations. We design procedures in line with our responsibilities, outlined above, to detect material misstatements in respect of irregularities, including fraud. Owing to the inherent limitations of an audit, there is an unavoidable risk



# Independent Auditor's Report to the Corporate Trustee of UHNM Charity

that material misstatements in the financial statements may not be detected, even though the audit is properly planned and performed in accordance with the ISAs (UK).

The extent to which our procedures are capable of detecting irregularities, including fraud is detailed below:

- We obtained an understanding of the legal and regulatory frameworks that are applicable to the charity and determined that the most significant which are directly relevant to specific assertions in the financial statements are those related to the reporting frameworks (The Charities Act 2011, the Charities SORP and United Kingdom Accounting Standards, including Financial Reporting Standard 102; 'The Financial Reporting Standard applicable in the UK and Republic of Ireland' (United Kingdom Generally Accepted Accounting Practice);
- We enquired of management and those charged with governance, concerning the charity's policies and procedures relating to:
  - the identification, evaluation and compliance with laws and regulations;
  - the detection and response to the risks of fraud; and
  - the establishment of internal controls to mitigate risks related to fraud or non-compliance with laws and regulations.
- We enquired of management and those charged with governance, whether they were aware of any instances of non-compliance with laws and regulations or whether they had any knowledge of actual, suspected or alleged fraud.
- We assessed the susceptibility of the charity's financial statements to material misstatement, including how fraud might occur, by evaluating incentives and opportunities for manipulation of the financial statements. This included the evaluation of the risk of management override of controls and improper recognition of revenue.

We determined that the principal risks were in relation to:

- journal entries that altered the Charity's financial performance for the year;
- the occurrence of voluntary income.
- Our audit procedures involved:
  - evaluation of the design effectiveness of controls that are in place to prevent and detect fraud;
  - journal entry testing, with a particular focus on significant journals at the end of the financial year, which impacted on the Charity's financial performance focus;
  - documenting and gaining an understanding of controls around monitoring and receipt of cash donations and the recording in the general ledger
  - substantive sampling of voluntary income and year-end balances to supporting records
  - assessing the extent of compliance with the relevant laws and regulations as part of our procedures on the related financial statement item.
- These audit procedures were designed to provide reasonable assurance that the financial statements were free from fraud or error. However, detecting irregularities that result from fraud is inherently more difficult than detecting those that result from error, as those irregularities that result from fraud may involve collusion, deliberate concealment, forgery or intentional misrepresentations. Also, the further removed non-compliance with laws and regulations is from events and transactions reflected in the financial statements, the less likely we would become aware of it.
- Assessment of the appropriateness of the collective competence and capabilities of the engagement team included consideration of the engagement team's:
  - understanding of, and practical experience with audit engagements of a similar nature and complexity through appropriate training and participation
  - knowledge of the sector in which the charity operates
  - understanding of the legal and regulatory requirements specific to the charity
- In assessing the potential risks of material misstatement, we obtained an understanding of:



- the charity's operations, including the nature of its income and expenditure and its services and of its objectives and strategies to understand the classes of transactions, account balances, expected financial statement disclosures and business risks that may result in risks of material misstatement.
- the charity's control environment, including the policies and procedures implemented by the charity corporate trustee to ensure compliance with the requirements of the financial reporting framework.

#### Use of our report

This report is made solely to the charity's corporate trustee, as a body, in accordance with Section 154 of the Charities Act 2011. Our audit work has been undertaken so that we might state to the charity's corporate trustee those matters we are required to state to them in an auditor's report and for no other purpose. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the charity and its corporate trustee as a body, for our audit work, for this report, or for the opinions we have formed.

*Grant Thornton UK LLP*

Grant Thornton UK LLP  
Statutory Auditor, Chartered Accountants  
Birmingham  
27 January 2022

Grant Thornton UK LLP is eligible to act as an auditor in terms of section 1212 of the Companies Act 2006.





U·H·N·M  
charity

Registered Name: University Hospitals of North Midlands NHS Trust Charity (known as UHNM Charity)

Registered Charity Number: 1054889

Registered Office: Springfield, Trust HQ, Newcastle Road, Stoke-on-Trent, Staffordshire, ST4 6QG

Website: [www.uhnmcharity.org.uk](http://www.uhnmcharity.org.uk)

Facebook: UHNMCharity

Twitter: @UHNMCharity

Instagram: UHNMCharity

Photos featured taken pre-Covid-19