

GRANT MAKING STRATEGY POLICY DOCUMENT

of

Dowager Countess Eleanor Peel Trust

Effective from 28 September 2022

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1 INTRODUCTION

- 1.1 After reviewing and considering policy and strategy towards grant making at meeting held on 14 June 2019, the following Grant Making Strategy Policy (the 'Policy') was confirmed and approved by the Trustees following their meeting on 18 July 2019, with immediate effect. Minor updates were made to the Policy in September 2022 and approved by the Trustees on 28 September 2022.
- 1.2 The rationale for the Grant Making Strategy Policy Document is to establish and maintain a clear 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.

2 BACKGROUND

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

- 2.2 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."

- 2.3 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;

- 2.3.1 *Charitable bodies administering:*

2.3.1.1 *medical charities including medical research;*

2.3.1.2 *charities in connection with old people; and*

2.3.1.3 *charities assisting people who have fallen upon evil days through no fault of their own.*

- 2.3.2 *The charitable bodies specified in the Schedule to the said Will and set out in the Schedule hereto."*

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

- 2.5 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 - including such as Community Interest Companies."

3 **PREVIOUS CONSIDERATION OF GRANT-MAKING STRATEGY**

- 3.1 The Grant Making Strategy was most recently considered by the Trustees at their meeting on 28 September 2022.
- 3.2 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, 10 and 18 November 2015, 14 June 2019 and 18 July 2019.

4 **RELEVANT FACTORS IN RELATION TO THE TRUST'S GRANT MAKING STRATEGY**

- 4.1 The Trustees have relatively modest sums available to distribute in comparison to some other charitable trusts.
- 4.2 The Trustees normally prioritise 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.
- 4.3 The Trustees aim to ensure that available monies are well spent.
- 4.4 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 The Trustees will only consider one application from a charity in the Trustees' financial year ending on 31 March unless there are exceptional circumstances.
- 4.12 The Trustees do not provide any feedback or reasons for rejecting an application for grant.
- 4.13 The Trustees are committed to social diversity, equality and inclusion. They positively welcome applications to all of the Trust's funding schemes from any eligible individual or organisation, irrespective of disability, sex, religion or beliefs, race, ethnic background or sexual orientation.

5 **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:

Category	Description	Sub-category for administration purposes only
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
5	Under the provisions of Clause 3 of Trust Deed dated 3 May 1951	(i) Others (ii) International Charities – not more than 7½% (iii) Peel Studentship Trust, University of Cumbria (formerly St Martin's College), Lancaster Royal Grammar School and Lancaster Girls' 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.

6 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.

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.

7 MEDICAL AND HEALTHCARE RESEARCH APPLICATIONS

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

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

7.2.1 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; and

7.2.2 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 £25,000 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 (MEDICAL OR NON-MEDICAL)

8.1 The Trustees currently transfer £22,500 per meeting (£90,000 per annum), 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 likely 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 are available.

10 SIZE OF CHARITY AND "MAKING A DIFFERENCE"

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 prioritise for 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 take applicants’ financial surpluses and reserves into account when making funding decisions
- 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.
- 10.7 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 will support capital or project related applications and running costs applications in respect of smaller charities.
- 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 £10,000 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 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 normally to be made 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 funds 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.

Maggie Pearson
Chair

28 September 2022

APPENDIX 1 - LIST OF SCHEDULED CHARITIES

Name of Charity	Charity Number
Blind Veterans UK	216227
Combat Stress	206002
Family Action	264713
Friends of the Elderly	226064
Cancer Research UK	1089464
Greater London Fund for the Blind	1074958
League of Remembrance	213364
Moorfields Eye Charity	1140679
Royal United Kingdom Beneficent Association	210729
Macmillan Cancer Support	261017
National Council for Voluntary Organisations	225922
Not Forgotten Association	1150541
People's Dispensary for Sick Animals	208217
Care for Veterans	1072334
Kyekus Limited	1131623
Royal British Legion	219279
Royal Marden Cancer Charity	1095197
Royal Medical Benevolent Fund	207275
Royal National Children's Springboard Foundation	1167491
St John's Guild	1109399
St Martin-in-the-Fields Christmas Appeal Charity	261359
Shipwrecked Fishermen and Mariners' Royal Benevolent Society	212034
The Richmond Fellowship	200453
Smallwood Trust	205798
The Friends of St Katherine's House (formerly St John's Hostels for Elderly Ladies) (St Katherine's House Appeal Wantage)	

Name of Charity	Charity Number
Guild of Aid for Gentlepeople	
Invalid Meals of London (Invalid Kitchen of London)	
Navy League	
Royal Eye Hospital League of Friends	
Schoolmistresses' and Governesses' Benevolent Institution	
Winchester Hospital (Amenities Fund)	

**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:
 - 2.1 A charitable body wholly or substantially under the control of Local or Central Government; or
 - 2.2 A charitable body primarily concerned with children - taken as meaning persons under 18.
- 3 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.
- 4 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 Animal Charities except for the PDSA.
 - 4.3 Church and Cathedral buildings, except for projects which provide benefit to wider community than Church members alone.
 - 4.4 Holidays - Charities which provide these.
 - 4.5 Running costs (as opposed to capital projects) of hospices.
 - 4.6 Charities which merely collect monies and distribute them to other charities except in the case of medical research projects.
 - 4.7 Overseas organisations not registered as UK charities.
 - 4.8 Large well-funded charities with a gross income of more than £2.5m, unless a capital project or research.