



# THE MACFARLANE TRUST

Alliance House 12 Caxton Street London SW1H 0QS

Tel: 020-7233-0057 Fax: 020-7233-0839

Our Ref:0223AHCLS64SUP

23<sup>rd</sup> February 2000

Charles Lister  
NHS Executive  
Wellington House  
135 - 155 Waterloo Road  
London SE1 8UG

Dear Charles

**Re: Supplementary Section 64 Core Grant -  
Replacement of Outdated Computer Equipment.**

I enclose a draft of the Section 64 Application. As you will see, the only form available on the Internet is for next year. I hope this is acceptable.

Please could you look through the application and advise whether any changes are necessary.

Please could you also advise whether a hand-written application is acceptable, or whether we should type the final draft before sending to you to submit to the S.64 Department.

I look forward to hearing from you.

With best wishes  
Yours sincerely

GRO-C

Ann Hithersay  
Chief Executive

*We have spoken.  
I enclose completed  
forms amended as  
discussed.*

GRO-C

*23/2/00*

**RECEIPT OF SECTION 64 GENERAL SCHEME APPLICATION  
CORE GRANT**

Please print in block capitals your name and the organisation's full address in the box below.

MACFARLANE TRUST  
ALLIANCE HOUSE  
12 CAXTON STREET  
LONDON  
SW1H 0QS

Your application for a **Core Grant** has been received by the Department of Health. You should receive a letter of acknowledgement by mid October, which will also tell you which official in the Department will be responsible for processing your application.

..... Date: .....  
Grants Administration Unit

If you have not heard from the Department of Health by 1 November 1999, please telephone 0171-972 4394 (now also 020 7972 4394).

<b>For official use only</b>	1999/2000 Application No. 2000/
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**A. General Information** **Section 64 2000-2001**

<b>Name of your Organisation:</b> In full (plus any acronym)	THE MACFARLANE TRUST
<b>Name of your Chief Executive/Director:</b>	MRS ANN HITHERSAY
<b>Address of your Organisation:</b>	ALLIANCE HOUSE 12 CAXTON STREET LONDON SW1H 0QS
<b>Contact name and position of the person responsible for this application:</b>	ANN HITHERSAY
<b>Telephone, fax number and e-mail address where we can contact you:</b>	Telephone: 0171 233 0057 Fax: 0171 233 0839 e-mail: MACFARLANE@MACFARLANE.ORG.UK
<b>Amount of General Scheme core grant requested:</b> State amount for each year for up to 3 full financial years (ie 1 April to 31 March) over which the core grant would run.	2000-2001 £ one off grant - 2001-2002 £ addition to core grant already 2002-2003 £ approved.
<b>Is this a renewal application?</b>	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes please also complete section F of the application
<b>Your organisation's status as a voluntary body.</b> Please answer both questions by ticking the relevant boxes and provide the registration number(s) as indicated.	
<b>1. Is your organisation a charity?-</b>	
Charity	<input checked="" type="checkbox"/> reg. no. 208863 Date of Registration.....1988.....
Excepted Charity	<input type="checkbox"/>
Exempt Charity	<input type="checkbox"/>
Charity Commission Scheme	<input type="checkbox"/>
Royal Charter	<input type="checkbox"/>
<b>2. What type of organisation are you?</b>	
Trust with trust deed	<input checked="" type="checkbox"/>
Other Unincorporated Association	<input type="checkbox"/> enclose constitution or governing document
Limited Company	<input type="checkbox"/> reg. no.
Industrial & Provident Society	<input type="checkbox"/> reg. no.
Housing Association	<input type="checkbox"/> reg. no.
Friendly/Benevolent Society	<input type="checkbox"/> reg. no.
Further Education Institution	<input type="checkbox"/>
Higher Education Institution	<input type="checkbox"/>

<p>Is your organisation the subject of a Charity Commission inquiry?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If yes please provide additional information on a separate sheet.</p>
<p>Is the grant for activities in England?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>

## B. Enclosures

<p>Please tick opposite to show you have included the necessary reports and accounts to support this application form. This information is essential to consider your application.</p>	<p>Annual Report &amp; Accounts <input checked="" type="checkbox"/></p>
	<p>(Latest year – please provide the <b>most recent accounts</b>, even in draft. If you do send draft accounts, please send the final version as soon as it has been approved)</p>
	<p>Annual Report &amp; Accounts (previous year) <input type="checkbox"/></p>
	<p>Staffing structure chart <input checked="" type="checkbox"/></p>
	<p>Equal Opportunities policy statement <input checked="" type="checkbox"/></p>
<p>Constitution or governing document (if requested in Section A or if you have not previously applied for a Section 64 grant) <input type="checkbox"/></p>	
<p>Please list any other enclosures you will be sending.</p>	

## C. Other Voluntary Organisations

<p>Please list those voluntary organisations (if any) that provide a similar service to yours.</p>	<p>NONE</p>
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## D. Aims and Objectives of the Organisation and Grant

<p>Which Department of Health priorities would a core grant further? See Appendix A</p>	<p>To continue to provide a Service of National Significance which meets the need of Policy objective C.</p>
<p>Please outline the aims and objectives of your organisation</p>	<p>This is a Government initiated and funded Trust set up to meet sensitive policy issues. The Aims and objectives are those set by Government in the Trust Deed of 1988 'to stand possessed of the Trust Fund to relieve those persons suffering from Haemophilia who as a result of receiving infected blood products in the U.K. are suffering from Acquired Immune Deficiency Syndrome or are infected with Human Immunodeficiency Virus and who are in need of assistance, and/or their dependants.</p>

List those specific objectives to be achieved if a General Scheme grant is awarded to your organisation.

If this is an application for a new core grant, please highlight the innovative work that a grant would fund.

The Government set up The Macfarlane Trust in 1988, providing funding and agreeing clear objectives to be met.

The Trust originally registered and carries records of 1239 people with Haemophilia who became infected with HIV/AIDS through contaminated blood products in the UK.

The Trust makes payments to 443 surviving registrants and 200 dependant families.

The Database system used was of American origin, purchased in 1988. It was judged likely to be non-compliant and out of date in 1997. A customised replacement was required. The Trust has replaced the database and outdated computer equipment.

Until 1998 The Trust had maintained all Accounts in manual ledgers. These have been replaced with a customised computer Accounting system. It has been necessary to recruit and train staff able to operate these new systems.

Expenditure in excess of core grant related to this work: -

1997/98 £24,238

1998/99 £16,768

1999/2000 £10,296 (Est. at 23.02.00)

£51,302

This application is requested to cover excess spending.

**E. Other Sources of Current Funding to the Organisation**

<p><b>State other sources of funding to your organisation, the amounts and the dates they are received by financial years</b></p> <p>These may be aggregated under categories such as donations, membership fees, grants from Trusts, fundraising, income from services</p>	<p style="text-align: right;">£</p> <p style="text-align: center;">None</p>
<p><b>Give details of other grant applications made (to statutory authorities, trusts, companies etc) by financial years</b></p> <p>Show amounts applied for and the current position of the application</p>	<p style="text-align: right;">£</p> <p style="text-align: center;">None</p>
<p><b>Indicate other fundraising activities that you have planned and state the target income for each by financial years</b></p>	<p style="text-align: right;">£</p> <p style="text-align: center;">None</p>

For new core grants, within any grant period the level of funding will be tapered during years 2 and 3. Please indicate how your organisation plans to maintain the original level through alternative forms of funding.

*(A diagonal line is drawn across this area)*

### F. Other Section 64 applications

<p>Have you received any Section 64 grants in the last 3 years? Use a separate sheet if necessary</p>	<p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If Yes, please state the project name or core/capital funding</p> <p>Core Funding - Macfarlane Trust Project Funding - Strategic Review</p>
<p>Report on achievement of objectives and explain any substantial variations between your previous year's budget estimate and actual figures Use a separate sheet if necessary</p>	<p>Additional costs incurred replacing out dated computer hardware / software / consultancy / training.</p> <p>See attached statement.</p>
<p>Have you made other Section 64 applications in this (2000-2001) round?</p>	<p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If Yes, say what for... PROJECT GRANT APPLICATION - BEREAVEMENT PROJECT.....</p>

**THE MACFARLANE TRUST**

**SUPPLEMENTARY CORE GRANT APPLICATION**

**ENCLOSURE - REPLACEMENT OF OUTDATED COMPUTER  
HARDWARE AND SOFTWARE. 1997 - 2000.**

The Macfarlane Trust carries a detailed 9 page computer file for each of the 1239 people with haemophilia who were infected with HIV/AIDS as a result of treatment with contaminated blood products in the UK. These records are essential for the Trust to carry out objectives set out in the Trust Deed agreed by Government in 1988.

The computer system was installed in 1988 and in 1997 it was classified as being out of date, unsupported and non-compliant. Replacement of the system was essential to enable The Trust to continue its work. *W.S. Smith, Squawk C - 2/97*

In 1997, the Macfarlane maintained all financial and accounting records in manual ledgers. It was judged by the Trust's Auditors in September 1997 that these should be replaced by a computerised accounting system.

Hardware and software consultants have provided bespoke systems to meet the above requirements for The Trust over the period 1997 - 2000.

The following costs in excess of Core Grant have been incurred over the period 1997 - 2000 inclusive.

	£
1997/98	24,238
1998/99	16,768
1999/2000	10,296 [Estimate at 23.02.00]
<b>TOTAL</b>	<b>£51,302</b>

This Core Grant application for a supplement of £51,302 is requested to meet overspends on Section 64 Core Grant in the above financial years.

GRO-C

Ann Hithersay  
Chief Executive

23.02.00

## G. Management Structure

<p>Please give details of the management structure of your organisation</p>	<p>TRUSTEE BOARD      Sec of 6 nom: Haemophilia Soc. 4 nom State for Health</p> <p>CHIEF EXECUTIVE</p> <pre> graph TD     CE[CHIEF EXECUTIVE] --- AS[ADMIN SEC.]     CE --- BA[BENEFITS ADVISER P/E]     CE --- SW[SOCIAL WORKER P/E]     CE --- FO[FINANCE OFFICE P/E]         </pre>
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## H. Staffing Structure

<p>Please provide a staffing structure chart for 2000-2001</p>	<p>Attached: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> (why?) see above</p>
<p>Indicate staff numbers and related pay scales, specifying any analogues eg links to local authority grades</p>	<p>Linked to NJC scales</p> <p>Chief Exec Sep 40 (under review)</p> <p>Finance Officer Sep 41</p> <p>Social Worker Sep 35</p> <p>Benefits Adviser Sep 37</p> <p>Admin Sec Sep 25</p>
<p>Provide brief indications of the responsibilities of the staff or, as appropriate, groups of staff</p>	<p>See attached Statement.</p>

## STAFF JOB DESCRIPTIONS

## ADMINISTRATOR/CHIEF EXECUTIVE

Overall responsibility for management of Trust affairs and overall Head of staff activity. Secretary and Adviser to Trustees including preparation of discussion and policy papers. Day to day conduct of all legal and business affairs. Liaison with Department of Health, Haemophilia Society and other relevant statutory and voluntary organisations.

## FINANCE OFFICER

Responsibility for day to day financial control and administration including application of computerised accounting systems, production of regular financial management reports and preparation of annual accounts for audit. Routine monitoring of internal grant guidelines and liaison with Trust investment advisers in order to produce regular reports for Trustees. Deputising for the Administrator when required.

## SOCIAL WORKER

Case work on all applications for assistance. Preparation of all papers for Allocations Committee and despatch of all grants to Beneficiaries approved by Trustees or by staff under delegated authority. Responsibility for maintenance and development of all Beneficiary files and records. Development of expertise on all sources of assistance. Provision of an advisory and support service to Beneficiaries. Liaison with Haemophilia Centres, Social and Medical workers and patient groups. Contact with relevant Haemophilia Society workers and workers in other appropriate statutory and voluntary organisations.

## BENEFITS ADVISER

Advising Beneficiaries on availability/eligibility and entitlement to State Benefits. Representation at Benefits Tribunals and Appeals. Providing up-to-date information on Benefit changes and promoting uptake of relevant Benefits. Sharing duties with Social worker in responding to Helpline queries.

NB: This post is part-time; The Benefits Adviser is seconded to another voluntary organisation (PIA) for 2 days a week.

## ADMINISTRATIVE SECRETARY

Responsibility for providing routine administrative and secretarial support to executive staff of the Trust including standard letters and correspondence with Beneficiaries. Maintenance of database facilities and general office systems. Assistance in arrangements and support for meetings and Committees; recording and despatch of mail and ordering of office supplies.

## I. Involving Volunteers

<p>To what extent does your organisation involve volunteers?</p>	
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## J. Monitoring and Evaluation

<p>Describe how progress will be monitored, indicating target dates by which specific objectives will be achieved</p> <p>How will the grant be evaluated in terms of achieving its objectives and providing value for money?</p> <p>Please list your newsletters/journals that will be sent regularly to the Department</p>	<p>Computer equipment replaced 1998/1999 and 1999/2000. Bespoke Software purchased 1998 — 2000 (Database/Accounts) Consultancy 1997-1998 Training 1998-2000</p> <p>Systems will allow The Trust to efficiently manage administration of grants to those registered, record keeping and fulfilment of S.64 and other statutory requirements</p> <p>Annual Report Trust Handbook</p>
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1999 / 2000

**K. Budget Estimate for Core costs for ~~2000-2001~~**

**Set out the whole picture of your income and expenditure in column A and details of your estimated central administrative costs in column B, identifying for which of those costs a grant is sought.**

Revised budget estimates for the second and third years will be required before the end of the first and second years respectively.

(The amount boxes will expand downwards if you are typing.)

		£	£
		A. Whole of your organisation	
<b>CORE INCOME</b>			<b>S64 income for this application</b>
Section 64 Grants	This application	£52,000	£52,000
	Project grants		
Other grants	Government Departments		
	Health authorities		
	Local government		
	Charitable trusts etc		
Membership subscriptions			
Generated income	Conferences, seminars etc		
	Sales of publications		
	Trading activities		
	Contracts, fees etc		
	Fundraising		
Donations, legacies			
Investment income			
Bank interest			
Other income (specify)			

Total Income	NIL	NIL
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See attached enclosure

CORE EXPENDITURE		A. Whole of your organisation	B. Central costs covered by this application
Staff costs (pay etc)	Salaries		
	Employers' National Insurance		
	Pensions		
	TOTAL STAFF COSTS		
Related staff costs	Recruitment		
	Training		
	Travel expenses		
Expenses of trustees/directors			
Volunteers	Training		
	Travel and expenses		
Office costs	Rent and rates etc		
	Insurance		
	Heat and light		
	Post, telephones, fax		
	Moveable office equipment (upto £5k)		
	Office sundries etc		
Information	Evaluation and dissemination		
	Printing and stationery		
	Conferences, seminars etc		
Fundraising and publicity			
Management and administration of the Charity			
Audit/independent examination etc			
Bank charges			
Other costs (specify)			

The Macfarlane Trust

Core Grant Enclosure

Management Budget: 2000-2100 First Estimate

	1999-20 First Estimate	1999-20 9 Month Totals	2000/2001 First Estimate
<b>Staff Costs</b>			
Permanent Staff	120,440	94,670	124,000
Recruitment/Training	4,000	10,305	4,000
Consultancy/Agency	6,500	8,258	6,500
sub-total	130,940	113,233	134,500
<b>Fees</b>			
Bank & Investment	22,000	22,244	23,500
Legal & Professional	7,300	11,379	8,000
Auditors & Accountancy	4,200	1,350	5,000
Miscellaneous	500	1,550	500
sub-total	34,500	36,523	37,000
<b>Premises</b>			
Rent	20,200	15,931	22,000
Rates/Insurance	1,750	1,125	2,000
Services etc	5,710	1,603	6,000
sub-total	27,660	18,659	30,000
Equipment Leasing & Maintenance & Support	8,000	8,225	8,000
Stationery & Printing & Publications	7,000	8,736	6,500
Postage & Telephones	6,500	5,617	7,000
Trustee Travel & Subsistence	3,000	3,392	3,000
Staff Travel/subsistence	3,000	1,326	2,000
Total Revenue Expenses	220,600	195,711	228,000
IPD Consultancy		4,152	
		199,863	
<b>INCOME</b>			
Section 64 Grant	187,000	90,500	192,600
Eileen Trust Fees	22,394	11,236	23,100
PIA Secondment	11,574	9,039	12,300
Total	£220,968	110,775	£228,000
(Surplus)/Shortfall	368	89,088	

NOTES TO THE BUDGET:

INFLATION Inflation of approximately 3% has been allowed for in the Section 64 payment included in the budget for 1999/2000; 2000/2001; 2001/2002.

COST INCREASES It should be noted that since the Section 64 application was made in September 1998 there have been significant cost increases related to staff and computer support

Total Expenditure		
Balance: Surplus/(Deficit)		

### L. Accounting Requirements

<b>Please give details of those appointed to examine your accounts or financial statements as required by the Charities Acts etc.</b>	Auditor	<input checked="" type="checkbox"/>
	Reporting Accountant	<input type="checkbox"/>
	Independent Examiner	<input type="checkbox"/>
	Name	PINKNEY KEITH GIBBS
	Address	GRO-C
		MIDDLESEX GRO-C
	Professional Qualifications	

### M. Other Information

<b>Provide any other relevant information not covered under the above headings.</b>	Supplementary Grant S.64 Core Admin.
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### N. Signature

GRO-C
Chief Executive

<b>The person responsible for this application should sign opposite.</b>	Signature ..	GRO-C
	Name ..	ANN HITHERSAY
	Position ..	CHIEF EXECUTIVE
	Date ..	23/02/00

**If you have any comments or suggestions about the Section 64 application process, the Notes of Guidance or the application forms, please use the following space for your views.**