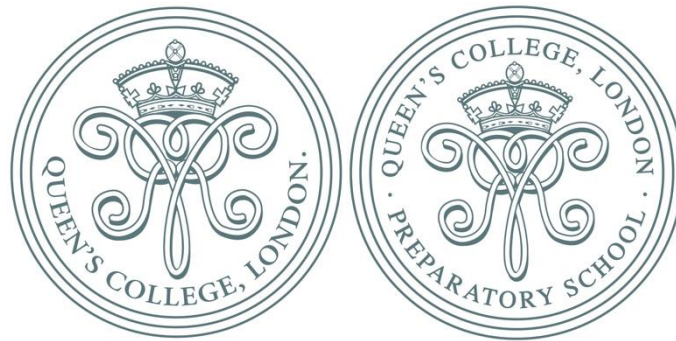


Queen's College, London
Queen's College Preparatory School
(including Early Years Foundation Stage)



*Acceptance of Payments,
Donations & Gifts Policy*

*Anti-Money Laundering
Sanctions
Donations & Fundraising
Staff Gifts
Anti-Bribery & Corruption*

*Reviewed: Summer Term 2023
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1. Aim

1.1 The Council of Queen’s College, London¹ (“the Council”) is committed to the highest standards of conduct in all aspects of its finances, including development, fund-raising, and receiving payment of fees and donations. The [Charities Act 2011](#) requires Queen’s, as a charity, to ensure that reasonable skill and care are used when making decisions about procedures for the receipt and use of the school’s funds. More specifically, the [Proceeds of Crime Act 2002](#) (“POCA”) and the [Sanctions & Anti-Money Laundering Act 2018](#) (“the Sanctions Act”) place legal obligations both on the school and on each member of staff personally in respect of money laundering and associated activities. We all have a role to play in supporting the authorities in reducing the prevalence of money laundering and corruption.

1.2 The school aims to conduct all of its business in an honest and ethical manner, and takes a zero-tolerance approach to corruption of all kinds. We are committed to acting professionally, fairly and with integrity in all our business dealings and relationships, and to taking all reasonable steps in exercising due diligence to ascertain the identity of fee payers and donors and the source of their funds.

1.3 There is a risk that Queen’s could be used as a vehicle through which criminals seek to launder the proceeds of crime (“illicit funds”). The school and/or a member of staff is at risk of committing a money laundering offence if Queen’s accepts illicit funds in circumstances where they know or have reasonable cause to suspect² that the payment is from illicit funds.

1.4 Similarly, the Sanctions Act prohibits the school from accepting payment of any kind from an individual or organisation identified on the UK Government’s [Sanctions List](#), and from making resources available to such an individual even without receiving payment (e.g. by providing them with a bursary).

1.5 Money laundering and/or breaches of sanctions are not always obvious, but the consequences are severe – up to 14 years in gaol for individuals, very large fines, and considerable reputational damage. The school and its staff must therefore be alert. Since they process the vast majority of payments to the school, this applies particularly to members of the Finance, Bursary, Admissions and Development teams, but all staff must be vigilant to the dangers. Though there are several sources of guidance cited in this policy, the authorities expect schools to take a risk-based approach, asking themselves: **“Does this pass the sniff test?”** If you are in any doubt, ask the Bursar and/or Principal **before accepting the payment.**

¹ Queen’s College, London (“the school”, “Queen’s”) consists of Queen’s College (“QCL”, “the College”), operating at 43-49 Harley Street [for pupils aged 11 to 18], and Queen’s College Preparatory School (“QCPS”, “the Preparatory School”) operating at 59-61 Portland Place [for pupils aged 4 to 11].

² [Official guidance on financial sanctions](#), published by HM Treasury’s Office of Financial Sanctions Implementation (OFSI) defines reasonable cause to suspect as “an objective test that asks whether there were factual circumstances from which an honest and reasonable person should have inferred knowledge or formed the suspicion.”

1.6 Part A of this policy covers money laundering, and aims to:

- Reduce the risk of Queen's being used as a vehicle through which criminals can launder illicit funds, including attempts to circumvent financial sanctions regulations;
- Assist staff with identifying warning signs and red flags that might be indicative of money laundering activity; and
- Let staff know what they should do if they have a concern that the school is at risk of accepting illicit funds.

Part B of this policy covers processes for complying with sanctions regulations.

Part C deals with development, fundraising and donations.

Part D covers Anti-Corruption, Bribery and the school's policy for staff gifts.

2. The Charity Commission

2.1 Queen's is a charity. The Charity Commission and charity law have for many years mandated that any charitable organisation accepting payments or donations needs to be confident that it knows both:

- Who is making the payment or donation; and
- The source of the funds that are being used to fund the payment.

2.2 In order to do this, the school's policy is to follow the Charity Commission's general advice, which aligns fully with the legal frameworks discussed below. In assessing whether a payment or donation presents a money laundering risk:

- **Identify** the other party, with whom the school is dealing;
- Where reasonable, **verify** identities, particularly if there are other apparent risk factors;
- **Know their business** (whether another organisation or an individual), and be assured that it is appropriate for the school to be involved and/or associated with it;
- Know what their **specific business is with the school**, and have confidence that they will deliver what the school wants from them; and
- Watch out for **unusual or suspicious** activities, conduct or requests.

2.3 If the school is not satisfied with the explanation or evidence provided to support any of these factors, they should obtain further information from the parent (prospective or actual) or donor before accepting the payment or donation.

A. Anti-Money Laundering

3. What is money laundering?

3.1 Money laundering is described by the National Crime Agency (NCA) as *"a scheme in which criminals try to disguise the identity, original ownership, and destination of money that they*

have obtained through criminal conduct. The laundering is done with the intention of making it seem that the proceeds have come from a legitimate source.” The term ‘money laundering’ covers several offences, but each of them relates to the improper handling, processing or spending of illicit funds to create the appearance that they are legal.

3.2 Money laundering is a crime in itself, but is also a key enabler of other serious crimes such as modern slavery, drugs trafficking, fraud, corruption and terrorism. It underpins most forms of organised crime, but it can also benefit individuals and organisations engaged in bribery and dishonest activities such as receiving stolen goods or tax evasion. Although cash-based money laundering continues to be a major method of cleansing illicit funds in this country, stricter rules have made it more difficult for criminals to introduce illicit money into the UK banking system. Consequently, criminals are using more inventive methods to disguise the origins of their cash, which makes it all the more important for staff to remain vigilant.

3.3 Businesses in the financial services and other regulated sectors are subject to strict rules; the law puts a duty on them to be alert to unusual or suspicious transactions and to identify and monitor customer relationships; in effect, to ‘know their customer’ and be confident that they are not receiving illicit funds. Though schools are not yet subject to the same regulatory requirements as the financial services industry, they are increasingly being expected to take a similar approach to minimise the risk of their bank accounts being used to launder money.

4. Anti-Money Laundering Law

4.1 POCA creates a range of criminal offences arising from dealing with illicit funds, which are legally categorised as “criminal property”. These offences apply to all business in the UK, whether or not they are working in a regulated sector.

4.2 The three primary offences under money laundering legislation relating to the direct handling of the proceeds of crime are as follows:

- The **basic offence**: concealing, disguising, converting, transferring or removing criminal property from anywhere in the UK;
- **Aiding and abetting**: entering into, or becoming concerned in, an arrangement which a person knows or suspects facilitates the acquisition, retention, use or control of criminal property by, or on behalf of, another person; and
- **Handling stolen goods**: acquiring, using or possessing criminal property.

4.3 In the context of money laundering, “criminal property” has a broad definition, and includes **any** benefit deriving from criminal activity, of any amount and wherever located. There is no ‘*de minimis*’ (a legal term meaning ‘too small to be taken into consideration’); all illicit funds, however small or apparently insignificant, can be laundered and thus bring an activity within the scope of one of the offences above.

4.4 **All the money laundering offences require either knowledge or suspicion of money laundering.** Suspicion does not have to be absolute, but it must be more than merely fanciful. “Suspicion” has a low threshold in law, so even the possibility that certain facts might exist could satisfy the test. However, a vague feeling of unease is unlikely to be sufficient.

4.5 There is also a secondary money laundering offence, that of **prejudicing an investigation**. This offence is committed if a person knows or suspects that a money laundering investigation has been, or is about to be, carried out, and that person makes a material disclosure to another person (e.g. by warning them), or interferes with relevant material (e.g. by destroying or falsifying a document). This disclosure might be inadvertent but still be an offence. **If in any doubt whatsoever, consult the Principal and/or Bursar, do not discuss the matter with anyone else, and retain all your records.**

5. The Risk to Queen’s & Its Staff

5.1 The school is potentially vulnerable to being used as a vehicle through which a criminal might seek to launder illicit funds, for example, by paying fees or making a donation. Though fees and donations are the most obvious risk areas, all members of staff should remain alert to all payments, however seemingly innocuous or small. If a payment seems unusual – for example, if it involves seemingly unconnected third parties, or involves complex banking or transfer arrangements – then ask for advice from the Bursar.

5.2 Staff should keep in mind that, though the primary offence is committed by the person making the payment, if the school knows or has reason to suspect that the funds are illicit, then **Queen’s might be committing a money laundering offence just by accepting the money**, since that might meet the criteria of handling stolen goods or aiding and abetting. Even if Queen’s proved not to have committed an offence, simply being involved in an instance of money laundering would be likely to have a severe impact on the school’s reputation.

6. Key areas of risk

6.1 Money laundering can take many forms, and staff should remain vigilant about all payments to the school, but in relation to Queen’s it is most likely to involve one or more of the following:

- Paying fees;
- Paying fees via third parties;
- Paying fees in advance;
- Donations in response to a specific appeal;
- Donations for no obvious reason; and
- Requests for the return of fees paid in advance, or of a donation.

6.2 Section 9 contains a non-exhaustive list of possible ‘red flags’; factors that might indicate that a transaction is potentially suspicious or presents a higher risk of money laundering. All staff should be familiar with this list, but particularly if they are involved with any financial transactions on the school’s behalf; these red flags form part of the school’s risk assessment when accepting payments.

6.3 Queen’s is not expected to consider every payment in detail against the red flag checklist. The majority of payments will come from people whom we know, whose business we understand, and with whom the school often has a long-standing relationship; provided nothing changes from the school’s normal dealings with them, they therefore present a low risk of money laundering. However, some payments might expose the school to a higher risk, including:

- Individual cash donations over £100 (see Part C);
- Payments from a non-UK bank account (see Section 7);
- Payments from a politically exposed person³ (PEP); and/or
- Fee payments from third parties (i.e. not the parents), especially any with whom we have no existing relationship.

6.4 If any member of staff believes they have encountered one or more of these red flags, or even if they are unsure, they should consult the Bursar and/or Principal as soon as possible **before accepting the payment**. The Principal and Bursar will consider whether further steps or investigations are required, and if so what.

6.5 Where you report a concern to the Principal or Bursar, **you must not discuss your concerns with anyone else** without the express permission of the Principal or Bursar in advance. This includes other members of staff, pupils, parents or donors. This is because to discuss your concerns could result in you or the school inadvertently committing a secondary offence of prejudicing an investigation.

7. Fee payments

7.1 Criminals are increasingly inventive in finding ways to introduce illicit funds into the UK’s banking systems. Payments made via a bank transfer cannot guarantee that the money does not come from illicit funds, but the risk to the school is increased significantly if payments are accepted in cash.

³ A Politically Exposed Person is defined by the Financial Conduct Authority as “*someone who has been appointed by an international body or state to a high-profile position within the last 12 months*”. They are deemed to warrant additional scrutiny to mitigate the risk that they launder the proceeds of corruption. Suggestions that a payer might be PEP include attempts to pay a deposit or fees from a government account, or receiving communications on official paper. Note that the close family members and/or business associates of PEPs should also be scrutinised.

7.2 **The school does not accept payment of fees in cash in any circumstances;** parents are normally expected to pay directly into the school's bank account by direct debit (our preferred method), or by electronic transfer. Fee payments are to be made in Sterling, and from a UK bank account. In exceptional circumstances, the Bursar may accept payments from a non-UK bank account, but on each occasion sufficient evidence must be obtained to ascertain that the payment is from a legitimate source before the payment is accepted. In each case, approval must be sought from the Council and the Bursar will make and retain a record of the decision and supporting evidence.

7.3 The general rule is that fees must be paid by the pupil's parent or parents. However, in exceptional circumstances, Queen's may agree to accept payment from a third party – someone who has not signed the acceptance form as part of the admissions process, and is thus not party to the contract between the parents and the school as set out in the Terms & Conditions. The school reserves the right to refuse to accept payment from a third party. In circumstances where Queen's agrees to third party payment, they will only do so on receipt of a formal agreement signed by both parents and the third party.

7.4 Only the Bursar and Principal are allowed to approve third party payment agreements. Given the clear potential for money laundering and/or sanctions evasion presented by allowing third party payments, stringent checks must be carried out before such an agreement is made, and a record kept of all decisions, along with the reasons for those decisions and accompanying evidence.

8. Requests for repayment

8.1 The school's policy is that any refund or repayment of sums paid to Queen's (e.g. repaying a deposit) will normally be remitted only to the bank account that made the original payment. If the school receives a request for a refund to a different bank account, the request must be referred to the Bursar promptly. The Bursar may approve repayment to a different account, provided he is satisfied that the money is going to the person who made the original payment and that there are good reasons for the change in account. Repayment to someone other than the person who made the original payment should only be authorised in exceptional circumstances.

9. Identifying potentially suspicious transactions: red flags

9.1 When considering a payment about which they have possible concerns, or which they consider high risk, staff must consider the following questions. If the answer to any of the questions is Yes, then the payment must be referred to the Bursar and/or Principal for further consideration. Even if the answer to every question is No, if something still seems unusual, then raise your concern with the Bursar and/or Principal. The list is not exhaustive.

Potential Red Flag	Questions to consider
Transactions	<p>Are the payments to the school unusual because of their size, frequency, or the manner of their execution?</p> <p><i>For example:</i></p> <ul style="list-style-type: none"> ▪ <i>Is the payer unexpectedly or unusually making lots of small payments from several different accounts?</i> ▪ <i>Are the payments unexpectedly being paid from a new or different account?</i>
Bank account	Is the payment being made from an account that is not in the same name as the payer?
Arrangements	<p>Does the payment involve complex or illogical arrangements that make it unclear who is making the payment?</p> <p><i>For example:</i></p> <ul style="list-style-type: none"> ▪ <i>Is the payment coming from a variety of sources and/or payers?</i> ▪ <i>Is the payer apparently unconnected to the pupil, parent or donor?</i>
Third Party payments	If the payment is from an account that is not obviously the parents' account, does the school have a formal agreement in place, signed by both parents and the third party, as set out in the school's Terms & Conditions? Have you seen this agreement?
Internet search	Have you found adverse media articles about the payer, to give you concern that they might be involved in suspicious or criminal activity? Has the school's Refinitiv check highlighted any adverse media? (see Part B).
'Erroneous' payments	Has someone asked the school to reverse a payment (e.g. "because it was made in error")? Has the school been asked to send any repayment to a person who did not make the original payment?
Country of residence	Is the payer resident in, or have they recently moved from, a high-risk country? <i>If in doubt, consult the Bursar and/or Principal.</i>
PEPs	Is either of the parents and/or the payer (if different) a PEP? If a parent is a PEP, is their business activity unusual, given their public role?
Assets	Does it appear that the payer's assets are inconsistent with their known sources of legitimate income?
Resources	Are the funds being used bearers' cheques or cash?
Identity	Is the payer difficult or ambiguous to identify?
Easy or quick payments	Is the payer unusually anxious to make a payment? If unusual speed is sought, is the payer able to justify early or swift payment?
False documents	Do any documents give suspicion that they might be falsified?
Representative	Have you noticed that any professionals involved in the transaction appear to have been instructed at a distance, asked to act outside their usual capacity, or offered an unusually high fee?

10. What must the school do if a payment seems suspicious?

10.1 Where a member of staff identifies a red flag in relation to a payment and refers it to the Bursar and/or Principal, all circumstances relating to the transaction will be considered. The enquiries to be made will depend on the circumstances, but could include:

- Asking the payer to explain who is making the payment, if this is not clear;
- Asking for an explanation of why the payment is being made in a particular way, for example, where payments are being proposed from a variety of sources or accounts;
- Asking a payer for proof of the source of the funds;
- Searching the internet to ascertain whether there is any evidence that the individual is, or appears to be, involved in alleged criminal activities;
- Searching lists of sanctioned individuals and organisations; and/or
- Seeking guidance from Office of Financial Sanctions Implementation (OFSI) – see Part B.

10.2 After having made appropriate enquiries, the Bursar and/or Principal will decide whether to:

- Accept the payment;
- Refer to the Council for guidance;
- Seek further explanation or evidence as to the legitimacy of the funds, identity of the payer, etc.;
- Submit a Suspicious Activity Report (SAR); and/or
- Make a report to the Charity Commission.

10.3 The Bursar must keep a record of the decision made in relation to the payment, including any evidence in support of the decision.

11. Reporting to the NCA and Charity Commission

11.1 If the fee payer or donor is not able to provide a satisfactory explanation to the various questions outlined above, or where there are other factors (such as adverse media publicity) that cause the school to have reasonable suspicion or knowledge that the money being used to make the payment might be illicit funds, then the Bursar **must** make a SAR to the NCA. Where appropriate this might include seeking the NCA's consent to proceed with the transaction.

11.2 The Bursar will also consider whether the incident should also be reported to the Charity Commission.

11.3 Though it is envisaged that the policy and processes outlined in this document make it highly unlikely that Queen's will reach this position, there is the facility in a SAR to make a

formal request for a Defence Against a Money Laundering offence (“DAML”). If the school has requested a DAML from the NCA, they must not accept, pay on, return or otherwise use the suspicious payment for any purpose until the time limit for the NCA to respond to the SAR has expired.

B. Sanctions

12. The Law - The Sanctions Act

12.1 The [Sanctions Act](#) places tight restrictions on all individuals who undertake activities within the UK’s territory (i.e. it applies to you even if you are not a British citizen), and on all UK legal entities, including Queen’s. Every school is legally obliged to report to OFSI if they know or have reason to suspect that:

- The school holds assets that have been frozen;
- A breach of sanctions has occurred; or
- A person with whom they have dealings is a “designated person” on the [UK Government’s sanctions list](#).

12.2 It is exceedingly unlikely that the school would find itself in a position where it held frozen assets. However, if someone is listed as a designated person, they are subject to an asset freeze; this means that Queen’s may not:

- Deal with the funds or economic resources belonging to, owned or controlled by the designated person (for example, by receiving fee payments from their family); and
- Make funds available directly or indirectly to or for the benefit of a designated person (for example, by providing or continuing to provide them with a bursary).

Note that the definitions are broad; for instance, an asset is frozen if it is controlled by the designated person, even if they might not appear to be the legal owner.

13. Checking the sanctions list

13.1 Though some entries on the sanctions list have been in place for years, in times of crisis such as the war in Ukraine the list can change several times per week. The school has a contract with [Refinitiv](#), an organisation approved by the UK Government to conduct checks on behalf of schools. This contract allows up to 30,000 ad hoc searches each year, as well as on-going monitoring of individuals who are from higher risk countries. Refinitiv checks are controlled by the Finance Manager.

13.2 In addition to checking names against worldwide sanctions and law enforcement lists, Refinitiv checks also screen for adverse media; if you have possible concerns resulting from the red flag list in Section 9, then you should consider asking the Bursar to initiate a Refinitiv check.

13.3 Refinitiv is a very useful tool, but not infallible. A positive match thrown up by a Refinitiv check does not on its own indicate that a parent, prospective parent or donor and/or the source of their funds is not to be trusted, or that they are a designated person with frozen assets. Many positive matches against Refinitiv's data prove to be false positives (for instance caused by a similar name), because the search criteria are deliberately designed to have a low threshold in order to make them harder to avoid. However, a positive match from Refinitiv should definitely not be ignored, and must lead to further questions and research. Often this can quickly demonstrate that the match is not material (e.g. same name, but different date of birth).

13.4 The school's policy is to run Refinitiv checks of the following:

- Prospective parents at point where they accept the offer, since this is when contracts are signed and payments made to the school (e.g. of a deposit) (the Registrar is responsible for initiating this check);
- Current parents at the start of each academic year, or more frequently if there is reason to believe that they live and/or work in, or their funds emanate from, a high-risk country (the Bursar and Finance Manager are responsible for initiating this check); and
- All prospective donors who are not current parents, if they are proposing to donate over £1,000 (the Director of Development & Fundraising is responsible for initiating this check).

13.5 If you have any doubts whatsoever about whether a parent, prospective parent, donor or any payer might be subject to sanctions, then you must:

- Consult the Bursar without delay;
- Not take any payment or make any offer without express written permission from the Bursar; and
- Not do anything that could be construed as warning the other party.

The Bursar will contact [OFSI](#) to seek further advice.

C. Development & Donations

14. Donors & Donations

14.1 This section outlines:

- The school's policies relating to the research, cultivation and stewardship of donors and potential donors, including the solicitation of gifts;
- How Queen's administers donations to maintain clear records and audit trails, in order to demonstrate that all donations to the school are used appropriately and in accordance with the donor's wishes; and

- The requirements for handling donors' data to ensure that the school remains compliant with the [Data Protection Act 2018](#).

15. Ethical fundraising at Queen's College, London

15.1 Relationships with potential donors, and management of resulting donations, will be undertaken to the highest standards of ethical probity and in line with best practice, given the potential for these interactions to reflect on the reputation of the school and our founding principles, or even to break the law in extreme circumstances.

15.2 Queen's commits publicly to the following approach to its development activity: *"We promise integrity, transparency, and the respectful treatment of all donors and their gifts. We also commit to maintain the highest standards of stewardship of funds received by Queen's College, London and Queen's College Preparatory School"*.

15.3 This section outlines a series of principles that will guide Queen's in its dealings with current and prospective donors and their gifts. The school will not accept gifts from, or enter into a philanthropic relationship with, any prospective donor or individual whose behaviour is not in line with these values, or that would require the school to behave in any manner contrary to these values.

15.4 The Council has outlined a set of key objectives that are priorities for fundraising consistent with the current strategic plans. The Development Office will, as a first call on its resources, seek donors who will support these key priorities.

15.5 Everyone involved in fundraising for the school should keep in mind the principles of "Know your donor", as set out in Section 2.2. In particular, taking active steps to verify the prospective donor's identity and understand the nature of their interest in and business with the school will significantly mitigate the risk that Queen's might be misled into inadvertently laundering money. The regulations concerning money laundering apply throughout British life, and the school will not be making unreasonable requests; all reputable donors will understand this and be able to comply – indeed a refusal to comply should trigger a possible red flag.

15.6 All members of the Development Office in particular, and all other staff and volunteers acting in a fundraising capacity on behalf of the school, must bear the following key principles in mind when interacting with potential donors to Queen's:

- Do the potential donor and/or donation pass the Anti Money Laundering criteria set out in Section A of this policy?
- Does the potential donor pass the Sanctions criteria set out in Section B of this policy?
- Does the potential gift fit with the relevant school's strategic mission, and is it consistent with the goals outlined in its current strategic plan?
- Is there any evidence that the proposed gift or any of its terms could potentially:

- Require action that is illegal?
- Damage the reputation of Queen's?
- Create unacceptable conflicts of interest?
- Require Queen's to change the way that it normally operates, for example, by accepting a student whose academic qualifications would not normally merit the award of a place?
- Seriously harm the school's relationships with other benefactors, partners, alumnae, staff, students or potential students?

15.7 While Queen's will respect the right of a donor not to make their donation public, the school will not accept a gift from a source that insists on remaining wholly anonymous, on the basis that there is a risk that such a source might transgress one or more of the above principles. As a minimum, the Chair of the Council, Principal, Bursar, Director of Development and Finance Manager will be informed of the name of the individual making the gift, and will manage any information processing required accordingly. The donor should be aware that even an 'anonymous' gift will be potentially known by these individuals.

15.8 If any member of staff feels that they are dealing with a potential gift that calls into question any of the above principles, it is their responsibility to raise the matter with the Bursar before accepting payment.

15.9 The Council, Heads, Bursar and relevant staff will be alerted to any suspicious donations, which will be subject to further investigation before they can be accepted. If, following further investigation, the purpose of a suspicious donation is thought to be linked to money laundering or other criminal activity, Queen's will alert the NCA and Charity Commission (see Section 11). Suspicious donations may include the following, though the list is not exhaustive:

- Large donations (over £10,000) from individuals or organisations previously unknown to Queen's;
- Where conditions are attached to a donation, other than limited conditions relating to the allocation of funds to Queen's objectives;
- Where the prospective donation would be in a foreign currency; all donations to Queen's must:
 - Be in UK £ sterling; and
 - Originate from a UK bank account, other than in exceptional circumstances – see below.

- In exceptional circumstances, the school may accept payments from a non-UK bank account⁴. On each occasion, before the payment is accepted sufficient evidence must be obtained to ascertain that the payment is from a legitimate source **and** that the reasons for not using the UK banking system are reasonable. In each case, approval must be sought from the Finance Committee and the Director of Development will make and retain a record of the decision and supporting evidence.
- Cash donations:
 - Donations of over £1,000 will never be accepted in cash.
 - Single cash donations of over £100 are strongly discouraged and should be an exception, accepted at the discretion of the Director of Development and/or the Bursar;
 - **Cash collections over £100 are allowed** (e.g. the accumulation of multiple donations to pupils' charity activities).

15.10 All prospective donors (who are not current parents) proposing to donate over £1,000 will be subject to anti-money laundering and sanctions checks when the school first encounters them. Once the school has a relationship with an individual donor, provided the donors and donations continue to meet the criteria set out in this policy (particularly by not raising any of the red flags identified in Section 9), the Director of Development is authorised to accept donations up to a total value of £20,000 (taking into account gifts pledged to be made in instalments over multiple terms or years).

15.11 If any of the red flags at Section 9 is triggered by a possible donation, or if there is any doubt whatsoever, then the Bursar must be consulted before the donation is accepted (even verbally), and no transfer of funds may take place.

15.12 If the proposed total value of the gift exceeds £20,000 (including those pledged to be made in instalments spread over multiple terms or years), then the Bursar and Director of Development may recommend that the Council meets (involving a minimum of 3 members including the Chair) to consider the response. As decisions about acceptance of donations often need to be taken quickly, under public scrutiny, the group may on occasion be required to meet virtually rather than in person.

15.13 The Development Office will prepare a briefing document for the meeting, providing all relevant public knowledge about the potential gift/donor, and where possible the office should also take soundings from those within the school's network about the issue under consideration, to try to provide informal intelligence.

⁴ An example might be a Queen's alumna who wishes to donate or leave a legacy, but who has not lived in the UK for many years and who no longer retains a UK bank account; in that example, the criterion of "know your donor" would be amply met, and the reasons for not using a UK bank established as reasonable.

15.14 Sometimes, even though a donation does not fall foul of money laundering or sanctions considerations, other ethical issues may arise after a gift has been accepted, and, in some cases, spent. The same set of principles should apply as outlined above, and the Council should meet to discuss what course of action Queen's should take. In exceptional circumstances, Queen's should be prepared to return a donation, rather than compromise the reputation of the school.

15.15 For all donations that meet the criteria set out above, Queen's undertakes that:

- All communications made to potential donors concerning a project will be full, truthful, and comply with the law;
- We will respect the donor's right to privacy, but not complete anonymity (see 15.7);
- Any gift will be applied for the purpose for which it was originally requested, unless explicit consent is given otherwise by the donor, or, in the case of bequests, for the purposes described in the donor's will or for similar purposes agreed with the donor's executors;
- The donor's personal data will be respected, and there will be transparency in the school's communications with its donors and prospective donors;
- Any concerns raised in relation to the above points will be dealt with swiftly and effectively;
- Where a gift involves the establishment of an endowment fund to support a particular activity in perpetuity at either school, the donor will be entitled to receive an annual report that outlines how much the current endowment is worth; and
- Where a donor believes that Queen's has contravened any of the above principles, s/he should bring their objection to the attention of the Director of Development or Bursar in the first instance.

16. The School's Relationship with Prospects and Donors

16.1 Donations and other financial support are critical to helping the school to be successful in delivering its charitable purpose of educating girls and young women. We welcome financial support from any individual or organisation, whether they are a former pupil or current family, a current or former member of staff, a company or business person, or a charitable foundation or trust. In all relations with current and prospective donors, Queen's strives to uphold the highest standards of probity and ethical behaviour, in line with our mission, vision and values.

16.2 **Prior to Receiving a Donation.** If an individual or organisation is deciding whether or not to support the School financially, Queen's will:

- Ensure that all correspondence and discussions are undertaken in a timely, private and professional manner;

- Provide all necessary information about the range of potential projects under consideration that may help the prospective donor make an informed decision;
- Supply all necessary information about the different ways in which an individual or organisation is able to make a donation to the school, such as cash (including the limits for cash donations), pledges and legacies; and
- Discuss how Queen's may recognise the donation, and what a potential donor can expect once a donation has been made.

16.3 On Receiving a Donation. If an individual or organisation chooses to support Queen's financially, we will:

- Agree suitable ways in which the support can best be acknowledged and remembered, with anonymity protected where preferred;
- Ensure that their contribution is recognised in accordance with prior discussions where relevant, and that they are thanked appropriately;
- Ensure that the gift is used wisely and for the purposes for which it is intended, and that the donor is kept informed about the way their gift is enabling Queen's to achieve its goals. If, for any reason, it is not possible to spend the gift in the manner intended, the school will consult with the donor in advance and discuss appropriate alternatives; and
- Ensure that all information on donors is handled with appropriate confidentiality and that any information on donors and donations which is retained by the Development Office is used only for the purposes of fundraising.

16.4 Acknowledgement of Donations & Subsequent Engagement. Queen's will ensure that donations are promptly acknowledged and that donors are thanked and, where appropriate, recognised for their donation, so that their experience of giving is positive and reflects the importance that the school places on their support. All contacts and discussions with those who have made donations will be coordinated by the Development Office.

16.5 Gift Agreements. For any donation worth over £20,000, a gift agreement must be in place, in order to codify specific aspects of the relationship between Queen's and the donor. Most aspects of the agreement will have been discussed with the donor in advance, but the written agreement should include:

- The agreed payment schedule of the gift (e.g. 3 payments of £25,000 *per annum*);
- Public acknowledgement of the gift:
 - Whether the donor wishes to remain anonymous;
 - If not, how the gift will be publicly acknowledged; and
 - Any specific naming conventions attached to the gift.
- The manner in which money from the donation will be spent, if known;

- Any special matters relating to the way which the school will invest and spend the donation;
- An outline of how the school will engage with the donor following the gift;
- A clause which makes clear that the school will undertake the relevant due diligence and reserves the right to refuse or return the gift at any point.

16.6 **Receipts for Donations.** Any individual or company donor may request a formal receipt from Queen's, which shall be a legally constituted acknowledgment that the gift donation has been received. The format of that receipt may include the following text: "I write to confirm receipt of your gift of £«*donation amount*» made by «*electronic transfer to Queen's College London's bank account*» / «*cheque*» on «*date donation was received by the school*» in support of «*designation of donation*». I know that very shortly the school will be writing more formally to express our gratitude for your generosity, but wanted in the first instance to acknowledge receipt of your donation."

16.7 Responsibility for sending such a receipt rests with the Development Office.

16.8 **Accounting for Donations.** In order to ensure that any donations received by Queen's are used in an accurate and auditable way in accordance with the wishes of the donor, the Development Office will adhere to the accounting processes and standards set out in the Charities Statement of Recommended Practice ("SORP"). If the Development team are in any doubt, they should seek advice from the Bursar and/or Head of Finance.

16.9 **Reporting to the Council.** To ensure that the Council remains informed about progress in fundraising, the engagement of prospective donors, and projections of future fundraising income, the Director of Fundraising & Development will report each term to the Development & Fundraising sub-Committee, which reports to the Council via the Finance Committee. Reports should include:

- Total fundraising received to date (cash) and anticipated (pledged) against targets for each project/fundraising programme;
- The number of all donors by donation level;
- A list of all donations of over £20,000 since last report;
- The value of any written or verbal legacies received; and
- Other key metrics to give proper oversight of development activities, such as the number of development events, attendance and outcomes, and the percentage of parents giving to the school.

16.10 **Disbursing Bursaries Donations.** The selection of bursary pupils will adhere strictly to the process set out in Bursaries Policy; no donor shall be allowed any input whatsoever into the decision about whether an individual pupil should be offered an award.

16.11 In cases where a donation is in the form of paying the fees of a specified pupil (as opposed to simply donating the money to the school), the disbursement of funds donated for that bursary will be agreed once the award has been offered and accepted; only at that point will the donor be informed that a student has been awarded the bursary. By agreement with the donor, any funds remaining after application to specific Bursary awards will be re-allocated to general bursary funds.

17. Handling Donors' Data

17.1 The Development Office will maintain relationships on behalf of Queen's with many individuals and organisations both on a local and national level. The office will maintain a variety of information systems – both paper-based and electronic – that support and facilitate this work and therefore record personal information on individuals, including details of relationships with the school and members of its staff. At all times, the office seeks to act in line with relevant GDPR standards concerning the capture, maintenance and use of this personal information. Specifically:

- The Development Office will record information on individuals and organisations gathered from the public domain, research information sources and from interactions with that individual that will include, but is not limited to:
 - Contact details;
 - Employment history;
 - Education and graduation records;
 - Details of specific interactions with Queen's and with members of staff; and
 - Details of gifts that have been made.
- The Development Office will take care to perform due diligence on all sources of information used through its research, and draw only on publicly available, credible and verifiable sources of information in the preparation of internal documents.
- At all times, the Development Office will ensure that all information on donors and prospective donors is handled with the utmost confidentiality and professionalism, and that any information that is retained by the office is used only for the purposes of fundraising.
- Such data as Queen's holds on an individual or organisation shall be kept up to date and complete, insofar as is reasonably possible. The Development Office will retain records only as long as required by the Data Protection Act 2018 and the [Queen's Data Protection Policy](#).
- Individuals shall be permitted to ask Queen's to cease processing their data. Queen's may also keep a record of a request to suppress other use of data, in order that this request can be honoured.

- An individual's records on the database should only be deleted with the approval of the Bursar.
- Where an individual requests that their donation be recognised anonymously, the member of staff with responsibility for the relationship with that individual will agree with him/her the extent of this anonymity – for example, whether it extends only to public recognition, or whether the donor wishes to keep their gift anonymous from members of staff too. As a minimum, the Chair of the Council, Principal, Bursar, Director of Development and Finance Manager will be informed of the name of the individual making the gift, and will manage any information processing required accordingly. The donor should be aware that even an 'anonymous' gift will be potentially known by these individuals.
- All personal data will be handled as per the most recent version of the Queen's Data Protection Policy.

D. Anti-Corruption & Bribery

18 Policy

18.1 Queen's takes a zero tolerance approach to bribery and corruption and is committed to acting professionally, fairly and with integrity in all our business dealings and relationships. The school implements and enforces effective systems to counter bribery, and complies with the [Bribery Act 2010](#) ("the Act"), in respect of our conduct both at home and abroad.

18.2 The purpose of this section is:

- Set out the school's responsibilities, and of those working for us, in observing and upholding our position on bribery and corruption; and
- Provide information and guidance to those working for us on how to recognise and deal with bribery and corruption issues.

18.3 In this policy, 'third party' means any individual or organisation with which members of staff come into contact during the course of their work for Queens's. This includes:

- Current and prospective pupils and parents;
- Suppliers;
- Business contacts;
- Agents;
- Advisers; and
- Government and public bodies, including their advisors, representatives and officials, politicians and political parties.

18.3 This policy applies to all individuals working for the school at all levels (whether permanent, fixed-term or temporary), and includes members of the Council (governors), volunteers, peripatetic staff, agents or any other person associated with us (collectively referred to as 'staff' in this policy).

18.4 Definitions of bribery and corruption:

- A "bribe" is an inducement or reward offered, promised or provided in order to gain any business or personal advantage.
- An "advantage" includes money, gifts, loans, fees, hospitality, services, discounts, the award of a contract or anything else of value.
- "Corruption" is the abuse of an entrusted power or position for private gain.

18.5 The following are examples of circumstances in which offences under the Act might occur:

- An IT company providing services to the School offers a member of staff a free iPad as an incentive for renewing its contract for services.
- A Ski company tendering for a contract with the School to facilitate a school trip offers to accommodate a teacher's children on the trip free of charge.

18.6 **Accepting either of the offers above could amount to an offence under the Act.**

19. Gifts and hospitality

19.1 This policy does not prohibit normal and appropriate hospitality (given and received) to or from third parties. The giving or receipt of gifts or hospitality is not prohibited, provided the following requirements are met:

- It is not made with the intention of influencing a third party to obtain or retain business or a business advantage, or to reward the provision or retention of business or a business advantage, or in explicit or implicit exchange for favours or benefits;
- It complies with UK law;
- It does not include cash; and
- It is given openly, not secretly.

19.2 Gifts should not be offered to, or accepted from, government officials or representatives without the prior approval of the Bursar or the Principal/ Headmistress. (The exception to this would be when an existing parent, who happens to be a government employee, makes a gift to his or her daughter's teacher in a personal capacity – in which case section 19.4 to 19.11 below applies.)

19.3 Members of staff may retain gifts received from suppliers if they are token work-related items, such as pens, notepads, flash drives, desk calendars or diaries. Any other gifts from suppliers should be politely refused or donated to the school or the school's nominated

charity. In either case the Bursar should be notified by email, and if the gift is being donated to charity, then the person who made the gift should be told that this is the case.

19.4 Gifts from parents or pupils to members of staff. From time to time parents or pupils may offer you gifts on an individual basis as a demonstration of their gratitude for the support you have provided (for example at Christmas); this is perfectly legitimate.

19.5 However, in some contexts such gifts could be construed as an improper inducement to, for instance, accord preferential treatment in the future. The school therefore need to have rules to cover such gifts. These are also set out in the Staff Code of Conduct.

19.6 If a member of staff receives a gift from a pupil or parent, they should:

- Declare the gift to the Principal or Headmistress (as appropriate) if there is any possibility that it could be misconstrued, or in any case if the gift is worth more than £50. At their sole discretion, the Principal or Headmistress may require the member of Staff to decline the gift; and
- Decline outright any gift that could be perceived as a bribe, or that might have been seen to create an expectation of preferential treatment. Although it is accepted for parents, guardians or carers or pupils to make small gifts to show appreciation, members of staff must not receive gifts on a regular basis, or receive anything of significant value without discussing the matter with the Principal or Headmistress.

19.7 Any gift of cash (of whatever value) should immediately be reported to the Principal or Headmistress via email. The cash should be donated to the School or the School's nominated charity; the parent should be thanked for their gift and informed that it is being donated. Any voucher of over £50 in value should also be reported to the Principal or Headmistress via email.

19.8 If the Principal receives a gift of over £50 in value it should be declared to the Chair of the Council. If the Headmistress receives a gift of over £50 in value it should be declared to the Principal.

19.9 If a teacher receives a gift from a group of parents, then the maximum value that can be accepted will be based on an average of £50 per pupil.

19.10 Members of staff may retain any other gifts of a value of up to £50.

19.11 All gifts received by staff from parents or pupils with a value of more than £50 will be recorded in an online gift register by the Principal and Headmistress.

19.12 Gifts and rewards from staff to pupils. Where a member of staff is thinking of giving a gift or reward to a pupil:

- It should only be provided as part of a reward system agreed by the school;

- If it is not part of an agreed reward system, the gift or reward should be of little monetary value;
- **In any event**, it should be discussed and agreed in advance with the Principal / Headmistress and, where appropriate, the parent, guardian or carer.

19.13 Decisions regarding entitlement to benefits or privileges such as admission to school trips, activities or classroom tasks must avoid perceptions of bias, grooming or favouritism. The selection process must be based on transparent criteria.

19.14 **Gifts from staff to third parties other than pupils.** It is not acceptable for a member of staff (or someone on their behalf) to:

- Give, promise to give, or offer, a payment, gift or hospitality with the expectation or hope that an advantage for the school will be received, or to reward an advantage already received;
- Give, promise to give, or offer, a payment, gift or hospitality to a government official, agent or representative to "facilitate" or expedite a routine procedure;
- Accept payment from a third party that you know or suspect is offered with the expectation that it will obtain an advantage for them;
- Accept a gift or hospitality from a third party if you know or suspect that it is offered or provided with an expectation that a business advantage will be provided by the school in return;
- Threaten or retaliate against another member of staff who has refused to commit a bribery offence or who has raised concerns under this policy; or
- Engage in any activity that might lead to a breach of this policy.