

The Compliance Directorate Rule Book

Door to Door Operational

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1 How to use the IoF CD Rule Book

Face-to-face (F2F) fundraising is the solicitation of a regular gift to charity, usually by direct debit or standing order. The purpose of this *Rule Book* is to set out the standards expected of face-to-face fundraising organisations operating door to door. These rules are binding on IoF members.

Penalties and sanctions

The IoF CD Rule Book is enforced through penalties and sanctions. These are designed to encourage best practice and raise standards within face-to-face fundraising.

Employers or contractors of fundraisers accrue penalty points if a rule is broken in either this Door to Door Operational rule book or the Fundraising Regulator Door to Door Fundraising rule book. Each point accrued has an equivalent value of £1. A monetary bill will be issued when an organisation's annual points total accrued from both the fundraising rule book and the operational rule book combined equals or exceeds 1000 points. Revenue incurred from penalty point fines at the end of each financial year is re-invested by the IoF CD into training and development to improve standards within face-to-face fundraising.

The size of the penalty is dependent on the severity of the discretion.

In addition, **penalty points will be multiplied for repeat violations of the same rule.** In any given period, every third repeat infringement of the same rule will incur a penalty which is twice the normal sum. Where a fundraiser has made multiple rule transgressions of different severities during one observation by any of the nominated persons set out below, each breach will be included as a separate transgression.

To impose penalties the IoF Compliance Directorate will use the civil standard of proof (i.e. on a balance of probabilities, or "more probable than not").

Who can report a rule breach?

Penalty points are issued when reported via:

- IoF Compliance Directorate staff
- Mystery shopping agents
- Site Management Agreement Gatekeepers
- Substantiated public complaints.

Legal requirements

Alongside compliance with IoF CD it is the duty of individual members to ensure that their fundraising practices and those of any organisations they sub-contract are compliant with the law. Latest guidance on current legislation can be found at www.institute-of-fundraising.org.uk

2 Rules for Operational Staff

RULE Op1: Solicitation statement submission

Before commencement of a new campaign, members **MUST** submit their planned solicitation statement (including the notifiable amount) to the IoF CD which will review and confirm, or provide feedback on, within 1 working day of receiving the statement. Solicitation statements **MUST** also be submitted to the IoF CD for review annually if used in a rolling campaign and whenever the wording is updated.

Further information on solicitation statements can be found at www.institute-of-fundraising.org.uk

Sanction

The penalty is 100 points **per campaign**.

RULE Op2: Poaching of staff

IoF members **MUST NOT** solicit other member's agents/staff, while those other agents/staff are on duty. Further, agents or members of staff in whatever capacity of one IoF member **MUST NOT** use any IoF contact list to solicit another member's agents/staff to enter the first member's employment. See the *Guidance* section for a fuller definition of 'on duty'.

Sanction

The penalty is 100 Points **per incident**.

RULE Op3: Sub-contractors

All Agency members that employ sub-contractors to deliver any part of their F2F donor volumes **MUST**:

- provide the IoF CD with the name and location of each and every such sub-contractor **throughout the entire supply-chain**, so that the IoF CD can reliably confirm their status, and refer matters accordingly, in the event of quality comments or complaints
- include in their contractual arrangements a clear requirement for each and every such sub-contractor **throughout the entire supply-chain** to comply with all IoF CD rules, in the same manner as if they were the lead member contracting them.

Sanction

The penalty is 100 points **per incident**.

RULE Op4: Standard Door-to-door operating hours

Fundraising **MUST NOT** commence before 9am Monday to Saturday or before 10am on Sundays and public holidays, or after 9pm, on any day or date.

Sanction

The penalty is 100 points **per team, per day**.

NOTE: This rule is also contained within the FR Door to Door Fundraising rule book.

RULE Op5: Confirmed access

Members holding National Exemption licences **MUST** comply with the terms of their licence regarding face-to-face fundraising (See *Guidance* for more on National Exemption licenses).

Members without National Exemption Licences **MUST** establish and comply with the relevant local licensing/permission procedures for doorstep collections (see further *Guidance* below).

Sanction

The penalty is 100 points **per incident**.

3 Guidance

Penalties and sanctions

Employers or contractors of fundraisers will accrue penalty points as rules are broken in either this Door to Door Operational rule book or the Fundraising Regulator Door to Door Fundraising rule book. Where the employer or contractor is operating on behalf of another fundraising organisation, the member being represented when rules are broken will be notified of the points accrued.

Repeated violations

In addition to the penalty points outlined, penalty points will be multiplied for repeat violations of the same rule. In any given rolling 4 week period, every third repeat infringement will incur a penalty which is twice the normal sum, so long as the third offence does not occur within 1 week of notification of the first offence.

To impose penalties the IoF CD will use the civil standard of proof (i.e. on a balance of probabilities, or “more probable than not”).

Each point accrued has an equivalent value of £1. A monetary bill will only be issued when an organisation’s annual points total from both the fundraising rule book and the operational rule book combined reaches or exceeds 1000 points.

Reducing points accrued

Members can view their penalty points data through their Dropbox account.

Additionally, Members will be notified as follows:

500 Points Accrued – Compliance Manager writes to the member’s Primary Contact outlining the financial implications for penalty points accrued. An update will be required from the member concerned, outlining the process by which performance will be addressed.

1000 Points Accrued – Head of Standards and Allocations writes to the member’s Head of Individual Giving/Supporter Acquisition (or equivalent), confirming that the financial threshold has been reached and requesting a meeting to draft a turnaround plan.

3000 Points Accrued – Director of Compliance writes to the Director of Fundraising/Managing Director of the member organisation notifying them of the performance issues and asking that this be addressed by the Board.

Members therefore have regular opportunities to consider operational changes to avoid continuing to accumulate points.

Appeals Process

Appeals will be heard by:

1. IoF CD Head of Standards. If s/he is unable to resolve the appeal to the satisfaction of the appellant, it will be heard by a Penalty Appeals Panel.
2. Penalty Appeals Panel. The Panel will be convened of 3 members of the Compliance Committees (none of whom must have any current contractual relationship with the appellant) to hear the appeal. The findings of that Panel will remain final.

In cases which go to the Penalty Appeals Panel, a deposit of 25% of the cost of the penalty is required to make that appeal. This covers the administrative costs of processing the appeal.

In the event that:

- the penalty is upheld, the deposit is forfeited.
- the appeal is upheld, the deposit is returned

To ensure timely information gathering and appeal processing, appeals must be made within one calendar month of the penalty points being issued.

Year end

At the end of each financial year (31st March) and when their balance for those who have accrued more than 1000 points is cleared, all members' points will return to zero.

Should a member accrue a yearly total that is less than the 1000 point threshold, their points total will be erased without any payment being required.

Referral to the Fundraising Regulator

In cases where evidence of a severe compliance breach exists, the IoF Compliance Directorate may refer a case to the Fundraising Regulator. This may include cases where there is a risk of causing significant public harm or detriment, of undermining public confidence in charities beyond the breach itself, or where there is evidence of a sector wide issue that may require changes to the Code of Fundraising practice or new guidance.

Cold Call Control Zones (CCCZs)

CCCZs are initiatives of trading standards officers that are intended to protect residents from bogus doorstep callers and doorstep crimes (such as distraction burglaries). The trading Standards Institute has published guidelines on how CCCZs should be set up. This guidance includes:

- CCCZs should only be considered when supported by a “real” local need to stop sellers/callers – such as to prevent distraction burglaries, protect the elderly from bogus callers etc.
- The size of a CCZ should be “relatively small” and “easily defined by its boundaries”, such as a cul-de-sac, small estate or neighbourhood watch area.
- The CCCZs must have the “wholesale support” of local residents. Consultation with residents is the first step. Further information can be found here:

<http://www.tradingstandards.uk/policy/doorstopperswelcome.cfm>

Confirmed Access and National Exemption Licenses

National Exemption License

National Exemption licenses for house-to-house collections are issued by the Cabinet Office in England and Wales ('National Exemption Orders' – see list of license holding organisations [here](#)) and by the Office of the Scottish Charity Regulator in Scotland ('Exempt promoters' - see list of license holding organisations [here](#)).

Members without a National Exemption license

Members without National Exemption license must establish and comply with the relevant local licensing/permission procedures for doorstep collections. Licenses and permissions for door-to-door collections are operated by the Metropolitan Police in London and by the relevant local authority in other parts of the UK. It is the responsibility of members to determine the relevant local licensing authority for each area they intend to fundraise in and ensure that they are compliant with any licenses / permissions required to fundraise there.

TABLE OF PENALTY POINTS APPLIED TO THE FUNDRAISING REGULATOR DOOR TO DOOR FUNDRAISING RULE BOOK

| | Rule | Penalty points | Applied |
|------------------------------|---------------------------------|----------------|------------------------------|
| Rules for Fundraisers | Fr1: Best Behaviour | 100 | per incident |
| | Fr2: Managing Vulnerability | 100 | per incident |
| | Fr3: Solicitation Statements | 200 | per incident |
| | Fr4: Conduct of entry | 100 | per incident |
| | Fr5: Deliberate Obstruction | 100 | per fundraiser, per incident |
| | Fr6: Consent for future contact | 100 | per incident |
| | Fr7: Immediate Termination | 100 | per incident |
| | Fr8: Committed Giving | 50 | per incident |
| | Fr9: Financial Ask Transparency | 50 | per incident |
| | Fr10: I.D. Visibility | 50 | per fundraiser, per day |
| | Fr11: Entry to households | 100 | per incident |
| | Fr12: Numbers of fundraisers | 50 | per incident |
| | Fr13: Cold Call Control Zones | 100 | per incident |
| | Fr14: Stickers | 100 | per incident |