

England  
Advice Plus programme – Round two  
Guidance notes



**Advice Plus**

Stock code

**Round two Guidance notes**

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Phone 0845 4 10 20 30

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Our website [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk)**Accessibility**

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**Our equality principles**

Promoting accessibility; valuing cultural diversity; promoting participation; promoting equality of opportunity; promoting inclusive communities; reducing disadvantage and exclusion. Please visit our website for more information.

**We care about the environment**

The Big Lottery Fund seeks to minimise its negative environmental impact and only uses proper sustainable resources.

**Our mission**

We are committed to bringing real improvements to communities and the lives of people most in need.

**Our values**

We have identified seven values that underpin our work: fairness; accessibility; strategic focus; involving people; innovation; enabling; additional to government.

The Big Lottery Fund is committed to valuing diversity and promoting equality of opportunity, both as a grantmaker and employer. The Big Lottery Fund will aim to adopt an inclusive approach to ensure grant applicants and recipients, stakeholders, job applicants and employees are treated fairly.

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# Advice Plus programme – Round two

## Guidance notes

This guide is for organisations that want to apply for a grant from the second and final round of our Advice Plus programme.

The guide will help you understand the application process and provides key information about the programme. Please read this guidance carefully before you complete the application form.

If you have questions about how to apply please visit the Advice Plus pages of our website, which has frequently asked questions about the programme, or contact us on:

Phone: 0845 4 10 20 30

Email: [general.enquiries@biglotteryfund.org.uk](mailto:general.enquiries@biglotteryfund.org.uk)

If you or your main contact have any particular communication needs, such as Braille or large print, audiotape, sign language or a community language, please call us on: 0845 4 10 20 30 (textphone: 0845 602 1659 for those with hearing impairment).

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## About the Big Lottery Fund

The Big Lottery Fund is responsible for distributing half of the money that the National Lottery raises for good causes. Our mission is to bring real improvements to communities and the lives of people most in need. We want to use Lottery money to make big, positive changes for communities, through the fair and open funding of people, projects and programmes, with a particular emphasis on tackling need. For more information on this, please read our enclosed 'Mission and Values' booklet, or refer to our website.

The Advice Plus programme is just one of our grants programmes. You can find out about our other programmes by visiting [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk) or you can phone the Big Advice Line on: 0845 4 10 20 30 (textphone: 0845 602 1659).

Other organisations give Lottery grants as well as the Big Lottery Fund. You can find out about these by visiting [www.lotteryfunding.org.uk](http://www.lotteryfunding.org.uk) or you can phone the Lottery Funding hotline on: 0845 275 0000 (textphone: 0845 275 0022).

## Advice Plus at a glance

Our Advice Plus programme aims to help people in need access good quality advice on their legal rights and responsibilities, so that they can avoid or overcome disadvantage.

We expect to receive more applications to this programme than we have funding available, so we have produced this checklist to help you to decide whether to apply:

- ▶ **Are you a voluntary and community sector organisation?**
- ▶ **Do you have an idea for a project that will improve people's access to legal advice on their rights and responsibilities?**
- ▶ **Does your project involve working in partnership with all or most of the voluntary and community organisations that deliver legal advice services in your area, as well as other relevant statutory and commercial advice organisations?**
- ▶ **Can you explain the need for your project in detail and who will benefit from it?**
- ▶ **Do you need between £10,000 and £500,000 for a project lasting from one to five years?**
- ▶ **Will your project raise the quality of legal advice services?**
- ▶ **Can you sustain the benefits of the project when our funding ends?**

If you can answer **Yes** to **All** these questions then Advice Plus may be the right programme for you. To find out more, please read part one of this guide.

If you answer **No** to **Any** of these questions then your time may be better spent seeking funds elsewhere. Thank you for your interest in our Advice Plus programme.

# The application process



**What we will do**



**What you must do**

# Part one: About round two of our Advice Plus programme

Round two of our Advice Plus programme aims to help people in need access good quality advice on their legal rights and responsibilities, so that they can avoid or overcome disadvantage. To achieve this we only will fund projects where organisations work together more effectively to deliver legal advice services.

Legal advice services give information, guidance and support to individuals and groups so that they can understand and resolve problems related to their rights and responsibilities. By doing this, legal advice services help people to avoid or overcome disadvantage and improve their quality of life.

Not everyone has the same opportunity to benefit from legal advice services. Many people do not know where to go for advice, what services are available or how to get the support they need. We want to help address this by funding projects where organisations work in partnership to join up existing services, so that people have easier access to high quality legal advice.

In round two of our Advice Plus programme we want to fund projects that bring together and build upon the work of existing local advice services. We expect our funding to be used to develop, improve, co-ordinate and promote existing or new advice partnerships that:

- involve all or most of the voluntary and community organisations providing legal advice services to a defined area or community, as well as other relevant statutory and commercial advice organisations
- provide a wide range of legal advice services including welfare benefits, debt, employment and housing
- work together to understand the legal advice needs of all the people in their area, particularly those most in need, and respond to those needs in a planned way
- review and raise the quality of advice given across the partnership
- have or will achieve appropriate quality marks from the Legal Services Commission
- develop effective ways to refer people to other services within and outside the partnership, so

that they get a comprehensive legal advice service regardless of how they first contact the partnership

- aim to become the recognised provider of legal advice services for their area and be able to influence key stakeholders
- develop an approach to ensure that the benefits of working together continue when our funding ends.

To be considered for funding projects must aim to join up services across a defined area that is at least a local authority district, or a distinct area of an equivalent size or population. Round two is focussed on addressing local needs so we will not fund national or multi-region projects.

We will only consider funding the direct delivery of legal advice services where this forms part of a wider, co-ordinated approach by the partnership to addressing a clearly identified need that is supported by comprehensive and robust evidence. We will not fund projects that do not involve organisations working in partnership.

This is the second and final round of our Advice Plus programme and has £20 million available. We expect to award between 40 and 60 grants across the nine England regions. There is likely to be a high demand for funding, which means we may have to turn down some good projects. This guidance contains detailed information about the types of project we are most likely to support, so please study it carefully before deciding whether to apply.

## Advice Plus programme outcomes

In round two we want to fund projects where organisations work in partnership to achieve **all** of the following programme outcomes:

- ▶ People in greatest need have better access to legal advice services that help them to avoid or overcome disadvantage and improve their lives.
- ▶ People in greatest need receive timely, accurate and effective legal advice that is quality assured and joined up with other services, so that they are better equipped to deal with their problems and improve their lives.
- ▶ People in greatest need avoid disadvantage because commonly encountered legal problems are identified and prevented.

## How much will we fund?

We expect to make grants from £10,000 up to £500,000 for projects running for up to five years. Projects must run for a minimum of one year and you must begin to spend your grant within six months of it being awarded.

We can fund all or some of your project costs, but we encourage you to get some of your funding from other sources if you can, as this helps show a wider range of support for your project and may help it be more sustainable. Both revenue and capital costs will be considered for funding under this programme.

### Revenue funding

We will provide revenue funding towards the operating costs of your project. The combined total of the capital and revenue funding you request must not be more than £500,000. This includes any contribution towards developing your business plan.

### Capital funding

This programme mainly supports revenue projects, so we will only award up to £50,000 towards capital costs. We will provide capital funding towards the cost of creating, improving or buying the assets which are required to deliver the project's objectives and outcomes, such as buying land, buildings and equipment or building works. Capital funding is not for costs associated with running your project.

## Project outcomes

We would like to know about the changes that happen as a result of our funding. We call these changes 'outcomes'. We will ask you to describe three outcomes that you expect your project to achieve. Part of our decision to award you a grant is based on our assessment of the quality of your project outcomes.

Your project outcomes must be SMART (specific, measurable, achievable, realistic and time-based) so you will need to include information such as dates and numbers, as well as what will change and who will benefit. Some of your project outcomes might happen quickly, while others may take longer and depend on meeting other outcomes but they must be changes that will happen by the end of your project.

We do not expect you to write your project outcomes in direct response to the Advice Plus programme outcomes but we are interested in how you think your project will help us achieve them.

You should make sure your SMART project outcomes are realistic and that your plans are achievable. Our staff may discuss this with you during our assessment.

The following are examples of project outcomes. These are just for information. We recommend you read our 'Explaining the difference your project makes' booklet for help on writing project outcomes and collecting information to show how far you are achieving them. You may also find the Advice Services Alliance's "Practical Guide to Outcomes for Advice" helpful, as this provides guidance for advice services on how to think about and measure outcomes. These publications are available (in a range of formats upon request, including large print) from the Advice Plus pages on our website: [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk) or from our Big Advice Line on: 0845 4 10 20 30.

### Example one: Strengthening an existing partnership

This project aims to strengthen an existing partnership that is developing a strategy for independent legal advice services across a city. The partnership brings together a wide range of organisations with an interest in improving the provision of legal advice, tackling social exclusion and promoting social justice, by increasing people's awareness of their rights and legal responsibilities.

The project involves supporting more outreach and surgery activity and working with a Law School and local community groups. Co-ordinated training for staff across the partnership on diagnostic interviewing will be combined with training a specialist legal adviser in community care. The Law School will analyse the advice provided by all organisations in the partnership in order to identify and address common issues. As part of their training, law students will be supported by qualified staff from the partnership to work with local community groups and help improve the quality of advice given. Project costs include the salaries of an advice services co-ordinator, a trainee solicitor and an information officer, as well as training, travel and other running costs.

### **Project outcomes**

- ▶ Over the life of the project, improved referral arrangements from 50 community based organisations will enable 500 new clients from hard to reach groups to have easier access to legal advice, enabling them to solve their problems and improve their lives.
- ▶ More and better quality outreach and surgery activities will mean that 2,000 older people from Black and minority ethnic communities receive the legal advice they need. This will result in an increase in the take up of benefits of £250,000 per year, increased access to community care and a reduction in housing repossessions for this group by the end of the project.
- ▶ The results of the research part of the project will be shared throughout the partnership, so that improvements are made in the planning and co-ordination of services provided to clients by all organisations. This will reduce the frequency of recurring legal problems by 25 per cent by the end of the project.

### **Example two: Creating a new partnership**

This project will create a new formal partnership to co-ordinate legal advice services across a district. The project has been developed to address a growing demand for advice services that has led to very long waiting times for specialist legal advice. Agencies also need to adapt to changes in wider funding arrangements, with most key funders intending to award fewer but bigger contracts for advice services.

The district's nine main advice providers have been working together informally for a number of years but this project will set up a formal partnership and develop a unified service with common referral procedures and quality standards. Rather than people having to contact different organisations for advice, they will be able to make contact once, have their needs assessed and be referred on for the appropriate advice. Project costs include a project manager, quality manager and office assistant, creating a new registered charity to act as an umbrella organisation, professional fees and office equipment.

### **Project outcomes**

- ▶ The development of a fully integrated referral system across the partnership by June 2009 will reduce average waiting times for specialist legal advice to one week and enable people to gain quicker and easier access to the correct type of legal advice.
- ▶ The development of a unified service with common quality standards across the nine partner organisations will result in better quality and consistent legal advice for 1,500 disadvantaged people each year by the end of the project.
- ▶ The new partnership will be recognised by key stakeholders as the leading provider of legal advice services in the district and will establish and share with stakeholders a range of common solutions to recurring legal problems. This will mean that cases will be resolved earlier and there will be a 10 per cent reduction in cases needing specialist referral by the end of the project.

### **Eligibility requirements**

#### **Who can apply for funding?**

Under this grant programme we will only award grants to voluntary and community sector organisations that are applying on behalf of an advice partnership involving at least one other organisation.

By voluntary and community sector organisations we mean:

- registered charities
- charitable or not-for-profit organisations
- social enterprises – businesses where any surpluses are mainly re-invested for community benefit.

We will not award a grant to:

- individuals and sole traders
- statutory organisations
- profit-making organisations, except social enterprises.

We will not normally make grants to organisations that:

- are in poor financial health
- have had a previous grant from us, which has not been managed satisfactorily
- are not established in the UK.

The organisation applying for a grant must be the same organisation that will receive and be responsible for the funding. Statutory organisations and organisations whose main purpose is to make a profit can form part of the advice partnership but the applicant must be from the voluntary and community sector.

### What will we fund?

Capital and revenue grants are available for projects lasting up to five years. Projects can be new or existing activities and can include the core work of organisations in the advice partnership. You do not need to expand an existing project in order to apply for funding but you must show the difference the project is making. Projects must aim to achieve identified outcomes over a specified period of time, either through a single activity or a number of related activities. We will only consider projects where the identified outcomes are achievable and meet all of the programme outcomes.

We will fund projects that:

- develop a wide range of legal advice services benefiting people who need advice on their legal rights and responsibilities, particularly those who are most in need
- join up services across a defined area that is at least a local authority district, metropolitan borough, unitary council or London borough, or a distinct area of an equivalent size or population
- respond fully to the needs identified and influence key stakeholders
- provide an excellent, seamless service regardless of which provider the user contacts first, or which method they use
- are able to adapt to changing circumstances, for example identifying trends and priorities and responding accordingly across the partnership
- meet recognised quality standards and identify, learn from and share good practice
- can show that the benefits of the project will be sustained when our funding ends
- mostly have beneficiaries who live in England.

We will not fund projects that:

- are not directly related to peoples' legal rights and responsibilities, for example, counselling, budgeting advice, parenting support, careers and further education advice
- do not involve a partnership of all or most of the voluntary and community organisations providing legal advice services to a defined area or community
- deliver an advice service that is not part of a wider partnership
- will not raise quality standards across the partnership
- will not continue to benefit the community after our funding has ended
- provide services that should usually be paid for by other funders
- duplicate existing services
- are national or multi-regional.

We know that there will be a very high demand for funding from this programme, and this means that we may have to turn down many good projects. Therefore you may wish to explore other opportunities to get funding for your project. If we feel there is a more appropriate Big Lottery Fund programme we will let you know at the earliest possible stage.

While we welcome applications from religious organisations, we do not fund religious activities. We also do not fund political activities.

We will not fund projects purely associated with increasing disability access, but if your project includes these costs as a small part of a wider project, these costs will be considered.

Our funding should be distinct from Government funding and add value.

## Advice Plus programme key themes

Round two of Advice Plus has three key themes:

- Partnership working
- Quality standards
- Sustainable benefits.

Your application must show that all three themes are fully integrated into your project.

### Partnership working

We want to support effective advice partnerships that accurately analyse the needs of an area, respond appropriately to the priorities identified and use resources well.

We expect all or most of the voluntary and community organisations providing legal advice services to an area to be involved in the partnership, as well as other relevant statutory and commercial advice organisations. We will not fund applications that cannot show this. Partnerships are likely to also include other stakeholders, for example, organisations that refer people to advice services, funders and policy makers.

Advice partnerships must already provide a wide range of legal advice covering at least the following areas of law:

- debt
- employment
- housing
- welfare benefits

Applications should also respond to identified needs in other areas of law, such as immigration, family, education, mental health and community care.

In your application you should tell us about the partnership including:

- its aims and objectives
- how it was formed and has developed
- which organisations are involved and what their roles, responsibilities, experience and expertise are
- what legal advice services it provides
- how it is organised and run
- the benefits of working together on this project.

All the organisations in the partnership must provide a short signed statement summarising their role in the partnership and explaining why they are supporting the project.

If we award you a grant, you will need to send us a written partnership agreement with your business plan. This should define the purpose of the partnership and explain the responsibilities of each of the organisations you are working with. It should make clear that the organisation that applied for funding will be accountable to us for how the grant is spent. This agreement could be called a memorandum of understanding or contract. If you need funding to develop a partnership agreement, you should include this in your business plan costs. Appendix two has a summary of our partnership agreement requirements.

We are unlikely to fund two or more applications targeting the same area or beneficiaries, as this would not show effective partnership working.

### Quality standards

We want to support projects where organisations work together to improve the quality of the legal advice that people receive.

Your application should show how your project will improve the quality of legal advice services, for example, through peer review and mentoring, where organisations with a good track record in quality assurance support each other and raise the standards of their partners, especially in agencies where advice on legal rights and responsibilities is not their main service.

The advice partnership must have the capacity and expertise needed to raise quality standards, so between them the organisations in the partnership must hold the relevant Quality Mark from the Legal Services Commission (LSC) in all the areas of legal advice the partnership currently offers. This may be the General Help, General Help with Casework, or Specialist Help Quality Mark, depending upon the level of service being delivered. You must also nominate one organisation from the partnership as your Quality Co-ordinator. This does not have to be the applicant to Advice Plus. The Quality Co-ordinator should hold a Specialist Quality Mark from the LSC in at least one area of law and show us that it has the

appropriate capacity and resources to fulfil its role within the partnership.

If your project will offer a new service in an area of law not currently provided by the partnership you must either plan to involve another organisation that has the relevant LSC Quality Mark to supervise and quality assure the work, or include as project milestones progress towards one or more of the organisations in the partnership achieving the relevant LSC Quality Mark standards.

You should include the costs of implementing your plans for quality in your application.

### **Sustainable benefits**

We want to support outcomes that are most likely to continue to benefit the community after our funding has ended.

You must show how you plan to sustain the benefits of the project when our funding ends. You should tell us what options you have considered, which approach you have chosen and why. This is not just about continuing the project after our funding ends but might involve, for example:

- meeting the objectives of local or national strategies, making it more attractive to potential funders
- planning to incorporate the methods used in the project into existing work, or to cover the costs of continuing the work through charging for it
- sustaining the benefits of the project by ensuring that the organisations in the partnership share their knowledge, experience and expertise and learn from good practice
- developing and strengthening formal and informal links between organisations across the partnership and more widely, so that working together continues after our funding ends.

We have published some research called 'Early indications of sustainability at the Big Lottery Fund' on the factors that influence sustainability, which you may find useful. You can get hold of a copy from our website: [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk) or our Big Advice Line on: 0845 4 10 20 30.

Your project must have the appropriate partnership arrangements in place to support your chosen sustainability strategy. For example, if you plan to apply for local authority funding, is the local authority involved in the development of the project and supportive of your plans?

You should include the costs of achieving your sustainability plans in your application.

### **What will we pay for?**

We will pay for all the eligible costs of the project you want us to fund. These can include revenue and capital costs and overheads.

The following lists give you an idea of the type of spending that we can and cannot pay for. They are not exhaustive and when we assess your application we may want to discuss this in detail, or include or exclude some items.

### **Direct revenue and capital costs**

By direct revenue and capital costs we mean the costs of employees, volunteers, equipment, space or activity used only in developing your business plan and delivering your project.

### **Eligible revenue expenditure includes:**

- salaries of project workers, including any extra costs, such as pensions and National Insurance for the project
- salaries of management staff who only supervise project staff, including any extra costs, such as pensions and National Insurance for the project
- recruitment of staff who will work on the project
- expenses of project staff and volunteers, including travel, accommodation, phone bills and stationery
- rent, heating, lighting, maintenance and insurance for office space and buildings only used for this project
- training of staff and volunteers working on the project
- monitoring and evaluation of the project
- fundraising for continuing the project after our grant is over
- marketing and publicity for the project

- website infrastructure, including increasing central server capacity and interconnection costs
- software
- website content design and development (including the use of consultants or designers)
- professional and legal fees associated with revenue expenditure on the project:
  - ▶ If you are awarded a revenue grant of more than £50,000, we may require your solicitor to provide us with a legal opinion, which confirms your organisation has the legal power to deliver the grant purpose. A standard document to be used for this purpose is attached as appendix three. You should make provision within your budget for legal costs you will incur for executing a legal opinion. As an indication only we would suggest that it would be reasonable to include an estimate of up to £500 plus VAT for such a legal opinion. You should however take your own advice as to the estimated costs for a legal opinion from your own solicitors.

**Ineligible revenue expenditure includes:**

- costs incurred or expenditure committed before we make you a grant
- any costs which someone else is paying for, whether in cash or in kind
- items that only benefit an individual and are not needed to deliver the project outcomes
- travel outside the UK
- funds to build up a reserve or surplus, whether distributable or not
- loans or loan repayments
- contributions to general appeals.

**Eligible capital expenditure includes:**

- building and engineering works (new build, extension, refurbishment, modernisation or conversion) required for the delivery of the project
- plant and equipment necessary for running the project
- purchase of land, buildings, equipment or fixtures and fittings that are linked to the land or building required for the delivery of the project

- transport that is necessary for delivering the project
- professional and legal fees associated with capital spending on the project.

The legal costs incurred by you in providing such legal documents are eligible project costs against which a capital grant can be paid and you should make provision within your budget for the legal costs you will incur in providing these documents.

Detailed guidance is available within the 'Land and Building Application Guidance Notes' on the level of fees you should make provision for but you must consult your own solicitors for their advice and estimates.

**Ineligible capital expenditure includes:**

- costs incurred or spending committed before we make you a grant
- any costs which someone else is paying for, whether in cash or in kind
- routine repairs and maintenance
- general improvements to public areas unless they are essential to the project
- personal equipment not essential to the project
- maintenance equipment, fixed or loose equipment or office equipment which is not essential to the project
- the purchase of a leasehold of less than five years.

**Overheads**

By overheads we mean the costs of employees, volunteers, equipment, space and services that partly support the project you want us to fund, but also support your other work.

We may make a contribution towards your overheads. Work out how much support the project you want us to fund needs from the people, equipment and spaces that make up your overheads. Calculate the cost of this support then divide this figure by the percentage of the eligible revenue and capital costs you are asking us to fund. In the application you must explain how you have worked this out.

**Eligible overheads include:**

- salaries of human resources, finance, IT and other staff supporting the project (for example, running payroll and servicing computers used by the project)
- salaries of staff, including managers, working on the project, but not exclusively
- salaries of senior management overseeing the project
- meetings of the trustees or management committee
- audit and other legal fees associated with running your organisation
- rent, heating, lighting, maintenance and insurance for office space your project requires or shares with other projects
- rent, heating, lighting, maintenance and insurance for office space used by staff who run your project
- professional fees associated with strategic planning
- fundraising for the organisation
- training staff
- networking and attendance at conferences or partnership work that benefits the project you want us to fund.

**Ineligible overheads include:**

- costs incurred or expenditure committed before we make you a grant
- any costs which someone else is paying for, whether in cash or in-kind.

## Part two: Applying for funding to the Advice Plus programme

This section gives details of the application process including the timetable for the Advice Plus programme. Detailed notes about completing the application form are in part three.

### Programme timetable

Please see the table below for our programme timetable. Dates may change due to unforeseen circumstances. If the changes affect your application we will let you know the revised dates.

November 2007	<p><b>Round two of Advice Plus launched.</b> Applicants can download application packs from our website.</p>
April 2008	<p><b>Closing date for applications</b> Applicants complete and return an application form to us by 2.00 pm on 1 April 2008. We acknowledge applications within 10 working days of us receiving them.</p>
April to August 2008	<p><b>Assessment</b> We check if your project is eligible to apply. Eligible projects are assessed and graded. We may contact you during this process.</p>
September 2008	<p><b>Decisions</b> Our England Committee decides whether to award a grant or to reject the application.  We send successful applicants a grant offer letter within 10 days of our committee decision. This must be signed and returned within one month from the date of the letter. We also send guidance on preparing a business plan for the project (and a capital project delivery plan if your project involves land and buildings).  We send unsuccessful applicants a letter with the reasons why the application was unsuccessful within 10 days of our committee decision.</p>
September 2008 to February 2009	<p><b>Successful applicants</b> Up to five per cent of the grant will be available to develop your business plan.  The grant holder must send us a business plan and partnership agreement within three months of the date of our grant offer letter. We will review these within one month of us receiving them. We will contact you during this process. You will have up to one month to make any necessary improvements.  Once your business plan and partnership agreement have been approved, we will contact you to discuss the continuation of the grant.  If we do not approve your business plan and partnership agreement we will withdraw the grant.</p>

## The application process

Once you have read these guidance notes if you would like to apply you should send us a completed application form. You may download this form from our website. If you are unable to do this please call our Big Advice Line on: 0845 4 10 20 30 (textphone 0845 602 1659).

The application process for the Advice Plus programme is open and competitive.

### Deadline for applications

Your application must reach us by 2.00 pm on Tuesday 1 April 2008. You can submit it by post or email.

By post – Post your application form and any additional documents we have requested to:

Advice Plus programme team  
Big Lottery Fund  
2 St James' Gate  
Newcastle upon Tyne  
NE1 4BE.

By email – Email your application to:  
[advice.plus@biglotteryfund.org.uk](mailto:advice.plus@biglotteryfund.org.uk)

Please put the name of your organisation in the subject field of your email. You must also post all of section four to us, with original signatures, plus any additional documents we have requested. Your email and section four must both reach us by 2pm on 1 April 2008.

Please allow 10 working days for us to acknowledge receipt of your application.

Please note we will not accept applications submitted by fax and will not consider applications received after our deadline.

### How many applications can be submitted?

You can only submit one application per partnership.

If you were unsuccessful in round one, you can apply to round two. If you were successful in round one, you can apply again in round two but your application must be for a different project.

## Additional requirements for capital grants

If you are applying for a grant that includes capital expenditure, you will need to read our 'Advice Plus Land and Building Application Guidance Notes'. This guidance will explain what extra information you must provide with your application and is available from the Advice Plus pages of our website: [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk) or our Big Advice Line on: 0845 4 10 20 30.

If you are applying for funding for a capital grant for land and buildings, fill in the relevant capital checklist and send it to us, with the extra information requested, with your application.

### What do we do with applications once we have received them?

When we receive your application, we will check that you have sent us everything we asked for. If you have not we will write to you and give you three weeks from the date of the letter to send us any missing information. If you do not meet this deadline we will reject your application.

If your application is eligible for funding under this programme, we will carry out an assessment of your project and your organisation, and grade your application against the following criteria using the information provided in your application form:

1. The proposed project outcomes meet an identified need and help to achieve the programme outcomes.
2. The organisation can deliver the project well and achieve the proposed project outcomes.

We may contact or visit you to discuss your project. You will need to have a contact person we can talk to. They must be able to talk about the project and provide further information if necessary, for example, a more detailed budget breakdown.

It will take us up to six months to assess your application and make a decision. If it will take longer we will tell you the new timescales.

If your project and your organisation meet our criteria, your application will be presented to our England Committee for a decision.

Following the committee meeting we will write to you with our decision and tell you whether you have

been awarded a grant. If we decide not to fund your application we will tell you why.

While the National Lottery raises a large amount of money for good causes, the Big Lottery Fund cannot support every application it receives. Round two of the Advice Plus programme has £20 million for grants in England. We expect we will get more applications for good projects than we can support and our grant funding decisions are made with our own discretion. If we decide not to support your application, it does not mean that we do not value the work that you do.

### What happens if you are awarded a grant

If you are awarded a grant you will have to accept our terms and conditions. You will be accountable for the grant. This means that even though you may sub-contract some of the work, you are responsible for ensuring that the project is delivered, the project outcomes are met within agreed timescales and budget and in line with the terms and conditions. We have enclosed a copy of the standard terms and conditions with this guidance (Appendix one). Please read them to make sure you will be able to accept them.

If your application is successful and we award you a grant you will be required to submit a detailed business plan for your project as a condition of the grant. We will need to review and approve this. We will send you a 'guide to your grant', which will explain what you must include in your business plan.

We will release the amount you have asked for in your application to develop your business plan, up to a maximum of five per cent of the total grant amount. This money can only be used to develop your business plan (including any partnership agreement) and cannot be used to pay for any of the following:

- building and engineering works (new build, extension, refurbishment, modernisation or conversion) required for the delivery of the project
- plant and equipment necessary for running the project
- purchase of land, buildings, equipment or fixtures and fittings that are linked to the land or building
- transport that is necessary for delivering the project.

You must send us the business plan within three months of receiving the grant offer. You will also need to send us a partnership agreement between you and the organisations you are working with. We will review these and you will be contacted during this process. If there is a need to make any improvements, you will have up to one month to make these changes.

Once your business plan has been completed to our satisfaction we will contact you to discuss the continuation of your grant. We will not release any further payments until your business plan has been approved. If we do not approve your business plan we will withdraw our grant offer.

You will receive further details about this process if you are awarded a grant. **A summary of our business plan requirements is included as Appendix two, so that you can decide whether to ask for funding to help develop it.**

### Monitoring your project

You will need to provide us with information at various points in the project so that we can find out what difference our money has made, and make sure that it is well spent. We will expect you to monitor your project during the life of the grant. We also encourage you to monitor your project for your own purposes. This will let you see whether your project is working well and make changes that will improve your services and provide better value.

We will expect you to tell us about the types of people that are using your project and we will use this information to determine whether our grant programmes are promoting equal access.

Before you start your project we will make sure that you know what information you will need to give us during the life of your grant so that you can plan what aspects of your project to monitor.

### Evaluating your project

If we award you a grant, we want to ensure that your project makes a difference. You will also want to know how your project is doing, and how far it is achieving what it has set out to do. We will want to learn from projects and programmes; also we have to account for the money that has been invested.

There are various ways that we can do this. We will ask you on a regular basis about project progress, and at the end, we will ask you again about how far you have achieved your aims. We may also evaluate the programme or our funding arrangements as a whole, and may ask you to take part in this wider evaluation.

Self-evaluation is the general name for a process that allows you to record and review your own progress. Doing this has several advantages.

- ▶ You can identify what is working well and what is not working so well for your project, and reasons why. You can then make changes to the way that you run your project so that it achieves even more.
- ▶ You can gather information that will help you report to us and to others about how your project is performing and what it is achieving.
- ▶ You can identify good practice and help other projects to improve the way that they work.
- ▶ Later in the life of your grant, you can provide more convincing evidence to potential funders about the success of your project, and how you have adapted it to changing circumstances.
- ▶ Setting up a system of self-evaluation is part of good project planning and management.

Self-evaluation is something that you are in charge of. You can work with people involved in your project to identify the main issues, how to investigate them, and what to do with the findings.

You may want to undertake self-evaluation within your project, or you may want to get support and advice from other agencies, or even to appoint a consultant. We are happy for you to budget for this within your grant application, as long as your plans are in proportion to the size of your project.

Good planning will help you to ensure that your project is more likely to achieve what it sets out to do, and to provide you with evidence to seek further funding in future.

For further information about approaches to self-evaluation, please visit our website.

### **Public announcement and acknowledgement**

We are required by law to tell the wider public about the grants that we make and, as part of this process, we may want to publicise your project. However, when doing this we would make sure that confidentiality is not compromised.

## Part three: Before you fill in your application form

Before you fill in the application form you will need to have planned your project in detail. We will only make grants to organisations that can show us that they have the capacity to manage them effectively. Your grant comes from public funds and you must be able to account for the money we give you. You need to think about the following:

### Management and staffing

We expect you to have adequate structures in place to manage the project. The structure will depend on the type of organisation you are, but it could be a management committee, a sub group, a project board or the management team of a department.

If you are a voluntary organisation with a management committee in place, there must be at least three members on it, one of whom must be at least 18 years old.

### Policies and procedures

It is important that you have appropriate policies and procedures to manage the project and that you explain how you will apply these to the project. These may include policies such as equal opportunities, health and safety and procedures that will allow you to manage your finances, staff and any aspects of your project work. It is important that you meet our equality principles, listed at the front of these guidance notes.

If you are applying for a project to work with children, young people, or vulnerable adults, we will need to be sure the children, young people, and vulnerable adults you work with will be safe. As a minimum you must have a policy that explains how you make sure of this, and that the policy is put into practice. It is your responsibility to have acceptable protection policies and procedures for children, young people, and vulnerable adults in place, which we may ask to inspect at any time. The NSPCC have produced a step-by-step guide for organisations to safeguard children called 'Firstcheck'. You can find out more about this on their website at: [www.nspcc.org.uk](http://www.nspcc.org.uk) or buy a copy by calling: 020 7825 7422. We suggest you read this advice to help you develop child protection policies and procedures. There are more sources of help available on our website.

### Planning your project

You do not need to have prepared a business plan by the time you send us your application form, but you will need to have planned your project in some detail to allow you to fill in the form. If we award you a grant, you will need to write a business plan (and a capital project delivery plan if your project involves land and buildings). You will need to build this requirement into your project plan; it is likely that it will be the first key milestone of your project. You will need to think about what you will need to do to achieve this milestone and you must show that you have done this in your application form. Writing the business plan should enable you to fully plan the project in detail. You should not plan to start delivering your project until the business plan (and if relevant, capital project delivery plan) has been approved.

**A summary of our business plan requirements is included as Appendix two, so that you can decide whether to ask for funding to help develop it.**

### Costing your project

In the application form you must provide a project budget showing what the grant will pay for. You need to be able to justify the amount of funding you have asked for. For example, if you would like the grant to pay for salaries, it must be clear how you worked out the level of salaries.

If you would like the grant to fund salaries you must ensure that you include any extra costs incurred such as National Insurance and pension contributions. We expect that all new posts will be openly recruited; you should include any necessary costs to do this.

When you prepare your budget costs, you should bear in mind that you must develop a business plan to submit to us to meet the requirements of the terms and conditions of the grant. If you need funding to cover this cost you must take it into account when budgeting for your project. The total amount requested, including the cost of developing your business plan, must not total more than £500,000.

For help in completing your budget and in working out your overheads please refer to 'Applying for your project overheads: Guidance for Big Lottery Fund applicants'. There is also information and a calculator on our website which may help you.

It is important that you have procedures in place for handling and managing the project budget. This includes a proper bookkeeping system, regular financial checks and properly prepared accounts. We would expect you to comply with the Statement of Recommended Practice (SORP). For further information on SORP refer to the Charity Commission website at [www.charity-commission.gov.uk](http://www.charity-commission.gov.uk) Please note we are not responsible for the content of external websites.

### Application form help notes

This section gives detailed advice about how to approach each of the questions on the application form. Please read these notes carefully before you start filling in your application form and refer to them as you go along. This will improve your chances of success. You must answer each question on the application form and respond to the guidance in these help notes.

## Section 1: Organisation details

### 1.1 Organisation name

Give the name shown in your governing document, for example your constitution, rather than any brand or operating name. This is the organisation that will receive the grant and sign the terms and conditions if the application is successful. It must therefore have the powers set out in its governing documents to deliver the project and accept our terms and conditions.

If your organisation is also known by another title please put this in brackets. For example 'The Baron Advice Trust (known as 'BAT').'

### 1.2 Organisation address

This should be your registered address. It is important that you provide the correct postcode, phone number and if you have them, fax number, textphone, email and website address.

### 1.3 Related organisation

If you are a branch of, or related to, a larger organisation that may have some legal responsibility if we award you a grant, you need to make sure they are aware of your project and the funding that you are applying for.

### 1.4 Main contact details for the project

This should be the key person involved in your application. They should be able to talk about your project in detail and be able to supply contact details for someone who has expertise on specific areas, if required. It is very important to us that you provide the correct postcode, phone number and if applicable fax number, textphone, email and website address.

Please let us know if the main contact has any particular communication needs. We have listed some of the most common, but please add to this if necessary.

### 1.5 Organisation type

We need to confirm that your organisation is eligible to apply to this programme. If you are an unincorporated association and not registered with the Charity Commission, tick the box and send us a copy of your governing document (for example constitution, set of rules, trust deed). By "an unincorporated organisation" we mean an organisation that is not a statutory body, a limited company, or Industrial and Provident, Friendly or Mutual Society, or any organisation that is not a legal entity.

The organisation applying for a grant must be the same organisation that will receive and be responsible for the funding. Statutory organisations and organisations whose main purpose is to make a profit can form part of the advice partnership but the applicant must be from the voluntary and community sector.

We need to know if your organisation has the legal power to set up and operate the project described in your application form and to receive funding from the Big Lottery Fund. You should note that we may require you, through your solicitor, to provide us with a legal opinion which confirms that under your governing document your organisation has the legal power to deliver the grant purpose. We have provided a standard form for this purpose in appendix three. If we request a legal opinion we will pay your solicitor's fees, up to a maximum of £500 including VAT.

### **1.6 Reference or registration numbers**

If your organisation has a company or charity registration number, enter it in the relevant box. If your organisation has any other registration number, please specify the number and what it refers to in the box marked 'other'. You may have more than one, in which case you should include them all. We will check your charitable status and your company registration with the relevant authorities.

### **1.7 Your organisation's bank or building society account**

All organisations that receive a grant from us must have a bank or building society account in the name of the organisation as shown on their governing document. Cheques must be signed by at least two people who are not related.

You must also send us three consecutively numbered pages of a bank or building society statement with your application. These must be no more than three months old. If there have been a large number of transactions, three consecutively numbered pages might cover one month or less.

We will not accept photocopies but will return the originals to you. The bank or building society statements must be original, or authenticated by your bank or building society with a stamp and signature as a "Certified true copy of the original".

If we award a grant we will require all organisations that are not registered charities to set up a separate bank account for the sole purpose of receiving and administering Big Lottery Fund grants. The separate and designated account must bear the legal name of your organisation and state BIG in brackets, for example "The Blue Team (BIG)".

### **1.8 Your organisation's accounts**

You must provide a copy of your most recent approved accounts, signed and dated by your chair, secretary or treasurer and by your auditor or independent examiner where appropriate.

The accounts you send us should not be more than 12 months old. However, we realise that this can be difficult if your organisation's financial year - end coincides with the period in which you are sending us your application.

If this is the case send us your previous accounts and a copy of your most recent management accounts.

If you are a new organisation you must send us signed and dated estimates of your income and spending for the first year of the grant.

There is further information on our website: [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk) about what format your accounts should be in.

## **Section 2: About your project**

### **2.1 Project name**

We need a short (no more than 10 words) relevant name for your project. We will use this title for any correspondence and if you are awarded a grant, for any press releases that we make about your project.

### **2.2 Project summary**

Briefly describe your project, telling us the main purpose and what it will achieve. Summarise the main services, activities and facilities the project will provide and where they will be located (noting which local authority areas your project will cover).

### **2.3 Project location**

Complete the table to tell us where your project will be delivered and what its postcode is. In some cases a project will be delivered in more than one place. If so, tell us the locations and postcodes for each delivery location. If your project is delivered through outreach work or covers a wide area then tell us the postcode of where the project is based. Alternatively if your project runs in a park or somewhere similar with no postcode of its own, please provide the full postcode of a street or building nearby.

Estimate the percentage of the grant that will be used to deliver the project in each location.

### **2.4 Project beneficiaries**

Tell us about the people and organisations that will benefit most from your project and the needs they have.

Please tell us how many people and organisations you estimate will benefit directly from your project throughout the life of your grant.

'Direct beneficiaries' are those who you could count or identify, generally people or organisations who have taken part in the project or who have used your service.

## 2.5 Project need

a) What is the need for your project?

Explain what you know about the people who will use the project and what their needs are. Tell us about any existing services and how your project will add to them or fill any gaps.

b) How have you identified that need?

Include details of how you consulted with your beneficiaries and stakeholders (and how you ensured it was inclusive), any research you have carried out and any other evidence you have gathered, including any regional or national strategies that support the need for your project.

These may include strategies such as the Community Legal Service Partnership plan, Legal Services Commission plan for your region, the Community Strategy produced by Local Strategic Partnerships, Parish Plans that have been produced by village communities or for projects that cover a wider area, the Regional Economic Strategy.

## 2.6 Project outcomes

a) Briefly describe what difference your project will make by listing three SMART project outcomes.

Consider what outcomes you aim to achieve and break these down into concise bullet points. Please list no more than three outcomes. You need to ensure that your proposed project outcomes meet all three of the Advice Plus programme outcomes.

Your project outcomes must be SMART (specific, measurable, achievable, realistic and time-based) so you will need to include information such as dates and numbers, as well as what will happen and who will benefit. Some of your project outcomes might happen quickly, while others may take longer and depend on meeting other outcomes but they must be changes that will happen by the end of your project.

We are interested in how you think your project will help us achieve the Advice Plus programme outcomes although we do not expect you to write your project outcomes directly in response to them.

For more information on outcomes see our guide 'Explaining the Difference', which you can find on our website at: [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk), 'Publications' section.

b) How will your proposed project outcomes help achieve all the outcomes of the Advice Plus programme?

Your proposed project outcomes must help achieve all three of the Advice Plus programme outcomes. Explain how your project will contribute to achieving each of them.

## Section 3: Achieving your outcomes and delivering your project

### 3.1 Project delivery method

a) How will the project meet the identified need and bring about your proposed outcomes?

Tell us why your project is the best way to meet the need and bring about your proposed outcomes.

b) Explain what methods you will use to measure and track whether the outcomes are being achieved.

Tell us how you will involve beneficiaries in the measuring and tracking of progress.

### 3.2 Outcomes table

Complete the outcomes table for each of the project outcomes you have put in question 2.6a. This table will help us to understand the significant stages and events of the project. We will use the information in this section to assess whether your project is likely to lead to your proposed outcomes and whether the project is realistic and achievable.

Please list up to six milestones for each outcome. These should be short bullet points that state the key activities, tasks, services or changes that will take place at different stages in the project. Your first milestone is likely to be the production of a business plan, once you have been awarded a grant. Within each milestone, you might want to tell us the percentage or number of people you think will participate in or achieve each milestone.

You may need to put the same milestone under more than one outcome.

Please give a timescale for reaching each milestone. This should be when the milestone will be achieved, for example 'end of month four' or 'end of project year one'.

### 3.3 Partnership working

Tell us the aims and objectives of the partnership, how and when it was formed and how it has developed.

List the organisations that are involved (including your own), all the legal advice services they currently provide and any other relevant services covered.

Describe their roles and responsibilities in the partnership and summarise their relevant experience and expertise. Explain how the partnership will be organised and run and the advantages that will result from working together to develop your project.

For more information please refer to the 'key themes' in part one of these guidance notes.

### 3.4 Quality standards

Tell us which organisation within the partnership will be the Quality Co-ordinator and the Specialist Quality Mark(s) from the Legal Services Commission (LSC) they hold.

Describe how they will fulfil their quality assurance role within the partnership.

List all the quality marks held by the members of the partnership and explain how your project will raise the quality of advice services across the partnership. If your project will offer a new service in an area of law not currently provided by the partnership, explain how you will involve another organisation that has the relevant LSC Quality Mark to supervise and quality assure the work, or how one or more of the organisations in the partnership will achieve the relevant Quality Mark standards.

For more information please refer to the 'key themes' in part one of these guidance notes.

### 3.5 Sustainable benefits

Tell us how the advice partnership intends to sustain the benefits of the project you would like us to fund, what options you have considered, which approach you have chosen and why you have chosen it.

For more information please refer to the 'key themes' in part one of these guidance notes.

### 3.6 Project management

Explain any experience your organisation has of managing similar projects.

Explain how you will ensure that you have the right mix of skills, knowledge, experience and qualifications.

Explain any assumptions you have made when working out these requirements.

### 3.7 Equal opportunities

a) Tell us also how your project and organisation demonstrate your commitment to equality and meet our equality principles, listed in the front of the programme guidance notes. You will need to demonstrate your commitment to equal opportunities throughout your project.

b) Tell us how the people or organisations that you are targeting will know that the project exists and be able to use the facilities and services provided.

For more detailed guidance please refer to our 'Equality Matters' guide, which is available from the 'publications' page of our website or our Big Advice Line.

### 3.8 Child protection and the protection of young people and vulnerable adults

Please refer to the section on "Policies and procedures" in part three of these guidance notes. This explains the Big Lottery Fund's requirements regarding the protection of children, young people, and vulnerable adults, and gives further information.

### 3.9 Project budget

a) Provide a breakdown of your project costs for the lifetime of the project.

Make sure you read the notes on pages 7 and 11 as they will tell you:

- the total amount we will fund
- what revenue and capital costs you can ask us to fund
- what overheads you can ask us to fund
- whether you can ask us to fund any VAT costs
- what legal costs associated with a grant award you should make provision for.

You should consider carefully how much your project will cost in total, and how much you need to ask us to fund. You should also include any costs that you will incur while you are developing your business plan if you are awarded a grant.

Please check that the totals are correct.

For help in completing your budget and in working out your overheads please refer to 'Applying for your project overheads: Guidance for Big Lottery Fund Applicants'. There is also information and a calculator on our website which may help you further.

b) Tell us how you worked out your costs.

Include any assumptions made on VAT and inflation. Tell us whether any of your costs are based on quotations. Tell us how your stakeholders or partners have been involved in helping you to work out your costs.

If you are asking us to fund the development of your business plan tell us how you have worked out how much this will cost. If you need funding to develop a partnership agreement, you should include this in your business plan costs.

### 3.10 Project funding

Tell us how much money you will require from us during each year of your project (not the total project cost).

Tell us where you expect to get any other funding from, how much that will be, whether it is secured or not and whether it is an in kind contribution.

In kind contributions are non-monetary contributions such as volunteer labour, gifts of materials, use of facilities and equipment. To estimate a value for this type of contribution, you may need to come up with some reasonable way of assessing them. For example, the value of the equipment could be calculated using one of the following methods:

- identifying the cost of an item of comparable age and condition
- obtaining a valuation from an appropriately qualified source
- using a recognised information source such as a pricing guide for vehicles
- taking the original purchase price and applying normal depreciation rates.

### 3.11 Value Added Tax (VAT)

We need to know that you have considered your VAT position for your project. When calculating the total cost of your project you should take into account any potential non-recoverable VAT costs that may arise.

If you are registered for VAT, you can apply to us for the cost of non-recoverable VAT only. Organisations not registered for VAT should include VAT costs in their budget. We will consider any application for non-recoverable VAT costs and include the agreed amount in the grant, where appropriate.

If you later find that the costs of your project increase because you have made an error about whether you can recover VAT, we will not increase our grant to cover this.

If we agree to fund the cost of VAT, which you then recover, you will be liable to repay all or some of it to us, based on the following principles:

- ▶ If we have funded all of the recoverable VAT costs for your project, you must refund all of the VAT recovered to us
- ▶ If we have funded a proportion of the recoverable VAT costs for your project, you must refund the same proportion of the VAT recovered.

We cannot provide VAT advice so we recommend you contact your local Revenue and Customs office or a VAT expert to find out how much VAT you can recover on the cost of your project.

### 3.12 Staff posts

Complete the questions and the salary information for each member of staff that will work on the project.

Include both new and existing members of staff.

If you are employing more than one person on the project please copy this section and send it to us with the declaration and signatures. You can download this question as a separate document from the Advice Plus pages of our website, or you can contact our Big Advice Line and we will email it to you.

We will use this information to find out:

- what role and responsibilities each person will have and what they will do on the project
- whether the amount of staff time you have allocated is realistic for delivering the project
- whether the salary you intend to pay is realistic, considering what you want the person to do.

### 3.13 Volunteers

Tell us whether any volunteers will work on the project and explain what they will contribute to the project and how much time you expect them to give.

## Section 4: Finishing your application form

This section will help you to make sure that you send us all the documents that we require.

Complete the checklist to confirm that you have completed the application form and that you have sent us all the documents we require. Please confirm whether you have either sent your application form by email or whether you are sending all the documentation together.

If you email your application form to us you must also send section four as a hard copy in the post, which must be received by us by the deadline. You should also put the name of your organisation in the subject field of your email.

Please note that we will not accept applications by fax.

Make sure that you write your organisation and project name in the box provided at the top of section four as this will help us to match your application form with this section if you send them to us separately.

Make sure that you read the data protection and freedom of information act statements carefully as your signatures on this form will be taken as confirmation of your understanding of our obligations under the Data Protection Act 1998 and the Freedom of Information Act 2000 and your acceptance that we will not be liable for any loss or damage to you pursuant to our fulfilment of our obligations under the relevant law.

Read the declaration carefully and ensure that an appropriate person signs each section of the form.

### Independent referee

Your application form must be signed by an independent referee. This must be someone who is completely independent of your organisation but knows its work well and knows about the project for which you are requesting funds. They must be willing to comment on your application in writing or verbally to an assessor if requested, and should be easily contactable.

Your referee must be a person with a professional or public position whose status we can check, for example:

- MPs (or elected members of devolved administrations)
- local councillor
- Justice of the Peace
- solicitor
- senior bank official
- chartered accountant
- senior local authority officer, civil servant, or other public sector employee
- local authority arts development, sport development, museums or lottery officer
- senior officer from a development agency, for example a rural community council, or a council for voluntary service.
- healthcare professional\*
- school teacher\*
- social worker\*
- youth worker\*
- police officer\*.

If your project is working with children, young people under the age of 18 or with vulnerable adults, your referee must be someone appropriately qualified, for example from the options above marked with an asterisk (\*). We may ask for evidence that your referee is appropriately qualified to work with children, young people under the age of 18 or with vulnerable adults themselves. If we are not satisfied with the evidence you provide we may ask you to change your referee, or reject your application.

Your referee must not be:

- someone who will directly benefit if you get a grant
- a current member of your organisation
- a trustee or a member of your organisation's staff
- related to someone in one of these positions
- formerly (that is, within the last two years) in one of these positions.

If your proposed referee is not on this list please contact us to check if they are acceptable.

## Supporting statements

All the organisations in the partnership must also provide a short supporting statement at 4.5 summarising their role in the partnership and explaining why they are supporting the project.

## Advice and support

You may have questions about how to apply or plan your project. There are many sources of advice and help.

Please visit the Advice Plus page of our website, which has frequently asked questions about the programme, or contact our Big Advice Line on:

Phone: 0845 4 10 20 30

Textphone: 0845 602 1659

Email: [general.enquiries@biglotteryfund.org.uk](mailto:general.enquiries@biglotteryfund.org.uk)

We work closely with a range of organisations that may be able to help you with your application, such as councils for voluntary service, community councils and local authorities. To find out who to contact locally, call or e-mail us.

## Big Lottery Fund regional offices

For detailed policy queries relating to specific regions please call the following numbers. For all general enquiries about applications please call the Big Advice Line.

East Midlands	0115 872 2950
East of England	01223 449 000
London	020 7842 4000
North East	0191 376 1600
North West	0161 261 4600
South East	01483 462 900
South West	01392 849 700
West Midlands	0121 345 7700
Yorkshire and the Humber	0113 224 5301

# Appendix one: standard conditions of grant

## Definitions

“We” and “our” refer to the organisation receiving the grant bound by these terms and conditions. “You” and “your” means the Big Lottery Fund and includes your employees and those acting for you.

The “project” means the project that you are giving us the grant for as set out in our application form and any supporting documents, and/or as varied by the Grant Agreement.

The “Grant Agreement”, which we have accepted and signed, includes and incorporates these standard terms and conditions and the grant offer letter together with any other conditions we have agreed.

## 1. In general

- 1.1 We will use the grant exclusively for the project. We will hold any unused part of the grant on trust for you at all times, and we will repay any grant (including any unused grant) to you immediately upon demand.
- 1.2 During the period of the grant we will act in a fair and open manner without distinction as to race, religion, age or disability, and in compliance with relevant legislation.
- 1.3 We will make sure that all current and future members of our governing body or our executive team, if we are a statutory organisation, receive a copy of these terms and conditions while the Grant Agreement remains in force.
- 1.4 We will ensure that at all times while the Grant Agreement is in force we are correctly constituted and regulated and that the receipt of the grant and the delivery of the project are within the scope of our governing documents, and if asked by you we will provide a legal opinion from our solicitors confirming this.

## 2. The project

- 2.1 We will get your written agreement before making any change to the project or to its aims, structure, delivery, outcomes, duration or ownership.
- 2.2 We will submit a business plan to you to review within three months of the date of the Grant Agreement.

- 2.3 If you approve our business plan we will start the project as soon as practical and no later than three months from the date of your letter confirming this. If the start of the project is delayed for more than three months we will write to you giving reasons for the delay and asking for an extension.
- 2.4 We agree to make satisfactory progress with the project and complete it on time or within a reasonable period if you have not set a time limit.
- 2.5 We will not use the grant to pay for any spending commitments we have made before the date of the Grant Agreement.
- 2.6 We will tell you of any offer of funding for this project from anyone else at any time during the project.
- 2.7 If we spend less than the whole grant on the project, we will return the unspent amount to you promptly. If the grant part-funds the project, we will return the appropriate share of the unspent amount to you.
- 2.8 We will acknowledge the grant publicly as appropriate and as practical. We will follow your branding and publicity guidelines at all times. We will acknowledge your support in any published documents that refer to the project, including job advertisements, accounts and public annual reports, or in written or spoken public presentations about the project.
- 2.9 We hereby consent to any publicity about the grant and the project as you may from time to time require. You can carry out any forms of publicity and marketing to promote the award of the grant as you see fit. We agree to do whatever you reasonably require in order to assist with any form of publicity and marketing, including any press or media related activities.
- 2.10 We will tell you promptly about any changes to information we have provided and will make sure that the information you hold is always true and up to date.

2.11 In our management of all personal information we will meet the requirements of the Data Protection Act 1998. We will tell you immediately if any of our key contacts or people whose salaries are funded by the grant change.

2.12 We agree to meet all laws regulating the way we operate, the work we carry out, the staff we employ or the goods we buy. We will ensure that we have an equal opportunities policy in place at all times, to help us comply with all relevant laws and good practice throughout the period of the Grant Agreement. We will obtain all approvals and licences and any profile checks required by law or by you.

2.13 If our project involves work with children, young people or vulnerable adults (“vulnerable people”), we will take all reasonable steps to ensure their safety. We will obtain the written agreement from the legal carer or guardian before having any direct contact with any vulnerable person. We will have and carry out an appropriate written policy and set of procedures in place at all times to safeguard vulnerable people, which will include procedures to check backgrounds and disclosures of all employees, volunteers, trustees or contractors who will supervise, care for or otherwise have significant direct contact with vulnerable people with the Criminal Records Bureau.

2.14 If we are a charity, we will register with the Charity Commission or the Scottish Charity Regulator if our income goes over their minimum exemption figure.

2.15 We will maintain adequate insurance at all times and if asked, will supply copies of confirmation to you. This includes employee and public liability insurance and insurance that covers the full replacement value of any assets you have funded.

2.16 You have the right to reproduce any of our application or subsequent information supplied by us to you for any purpose as you see fit without any right of a claim by us in respect of copyright.

### **3. Our organisation**

3.1 We will get your written agreement before:

- changing our governing document, (unless we are a statutory organisation) concerning our aims, payments to members and members of our governing body, the sharing out of our assets (whether our organisation is dissolved or not), or the admission of any new members; or
- transferring our assets to, or merging or amalgamating with, any other body, including a company set up by us.

3.2 We will write to you as soon as possible if any legal claims are made or threatened against us and/or which would adversely affect the project during the period of the grant (including any claims made against members of our governing body or staff concerning the organisation).

3.3 We will tell you in writing as soon as possible of any investigation concerning our organisation, trustees, directors, employees or volunteers carried out by the Police, Charity Commission, the Office of the Scottish Charity Regulator, HM Revenue & Customs or any other regulatory body.

3.4 We will be available for meetings with you and allow full and free access to our records however and wherever held and to any of our offices or buildings to you, or those acting for you or to the National Audit Office.

3.5 We will let you know if our governing body falls below three members and will increase it to at least three as soon as possible.

### **4. VAT**

4.1 We acknowledge that the grant is not consideration for any taxable supply for VAT purposes by us to you. We understand your obligation does not extend to paying us any amounts in respect of VAT in addition to the grant and that the grant made by you is inclusive of VAT.

4.2 We agree to repay you immediately any VAT we recover whether by set-off, credit or repayment to the extent that any such VAT cost is included in the grant.

4.3 We will notify you immediately if any irrecoverable VAT claimed under the grant becomes recoverable.

4.4 We will keep proper and up to date records relating to VAT, and we will make such records available for you to look at and give you copies when requested.

4.5 If you have funded all of the VAT costs for our project, we agree to refund immediately all of the VAT we recover to you.

4.6 If you have funded a proportion of the VAT costs for the project, we agree to refund immediately the same proportion of the VAT recovered to you.

## **5. Our annual report and accounts**

5.1 We will acknowledge your grant in our annual reports and accounts covering the period of the project.

5.2 We will show your grant and related expenditure as a restricted fund under the description "Big Lottery Fund Grant" in our organisations annual accounts. If we have more than one restricted fund, or, as a statutory authority, cannot show restricted funds in our accounts, we will include a note to the accounts identifying each restricted fund separately. If we have more than one grant from you, we will record each grant separately in the notes to the accounts. We will identify unspent funds and assets in respect of the grant separately in our accounting records.

5.3 We will send you a copy of our annual accounts as soon as they have been approved in accordance with our governing document and in any event within ten months of the end of the financial year for each year in which grant payments are made. The accounts will be signed by a member of our management committee and externally audited or independently evaluated as appropriate for our organisation. We understand that if we are a statutory body, we are not required to send you our accounts. However, if you require to see them, we will send you our accounts, signed and audited as required by the appropriate regulations.

5.4 We will keep proper and up to date accounts and records for at least seven years after the termination of our grant, including summary profit and loss accounts and management accounts,

personnel and payroll records and invoices, which show how the grant has been used. We will make these financial records available to you to look at and give you copies.

5.5 We will report regularly and fully to all members of our governing body on the financial position of our organisation and will put in place procedures to avoid any conflict of interest arising in the provision of goods and services required to delivery the project.

## **6. Monitoring**

6.1 We will monitor the progress of the project and complete regular reports as you require using the forms you send us.

6.2 We will send you any further information you may ask for about the project or about our organisation, and its activities, the number of jobs created by the project, the number of users and other beneficiaries and such other information as you may require from time to time. You may use this information to monitor the project and evaluate your grants programmes.

6.3 We will fill in a final report on the project using the form you send us. We understand that the grant is finished only after we have completed this report to your satisfaction and you have received annual accounts for the full period.

6.4 We will tell you immediately in writing of anything that significantly delays, threatens or makes unlikely the project's completion.

6.5 We will tell you immediately if there is to be any variation to or decrease in the project outcomes.

## **7. Grants for salaries**

7.1 We will ensure that we have proper employment policies and procedures in place at all times. We will pay attention to equalities in the recruitment and selection process and the need to ensure an appropriate balance of staff in our organisation.

7.2 If the grant is for a salary of a new post, we will advertise the vacancy externally, using appropriate media (including media that could attract disadvantaged groups). We must send you a copy of the text of every advertisement within a reasonable time before such advertising, which

will be in accordance with all current best practice and will acknowledge that you are the funder of the post. This applies to any re advertisement. We must keep the job description, a list of the publications where we placed the advertisements and a copy of the letter of appointment and send them to you if you ask for them.

7.3 You will not pay grants for salaries until we have supplied you with the names of the staff to be employed, their salaries and their start, and, if appropriate, end dates.

7.4 We will maintain all main financial records including personnel and payroll records for staff funded by you for seven years after the grant has ended. We will complete all statutory returns for employees and make all relevant payments to cover their pensions and salary deductions, such as income tax and National Insurance contributions.

## **8. Grants for assets and services**

8.1 If any part of the grant is to buy or build, refurbish, extend or alter buildings or land then we will comply with the terms of the standard capital grant conditions attached to the grant award or offer letter or any other conditions which you have required of us.

8.2 If any part of the grant is used to buy any other capital items or a series of related capital items or services or a series of services costing more than £10,000, we will put out the order to competitive tender. If there are good reasons why we cannot tender, we will get your agreement beforehand. We understand that public bodies must meet the relevant UK and European procurement legislation together with the provisions of the World Trade Organisation General Procurement Agreement.

8.3 If any part of the grant is to buy a capital item or series of capital items, such as equipment or other items which have an economic life of three years or more and vehicles, costing up to and including £10,000 we will keep all receipts and invoices for you to look at. If we buy a vehicle we will send you a copy of the registration documents no later than three months after you have sent us the money for the vehicle.

8.4 If any part of the grant is used directly or indirectly to purchase or develop any intellectual property rights then we will take all necessary steps to protect such rights and we agree that we will not exploit such rights without your prior written consent. Exploitation includes use for any commercial purpose or any licence, sale, assignment, materials transfer or other transfer rights. We understand and accept that if you provide the consent it may be subject to conditions requiring us to repay or to share any money we receive.

8.5 We will keep all assets funded by the grant safely and in good repair and will make sure we have adequate insurance cover for all of them. Any loss resulting from payments made for assets before delivery will be our responsibility. If the asset is damaged, destroyed or stolen, we must tell you in writing and we must repair or replace it.

8.6 We understand that you will monitor assets bought with the grant for a period of up to ten years after the grant has ended for assets bought for over £50,000 unless varied by any capital conditions, which for the avoidance of doubt, will take precedence. If the assets were bought for less than £50,000 the period will be five years or the length of the Grant Agreement, whichever is the shorter. We will supply you with information that you ask for and will allow you to inspect the assets for that period.

8.7 During this period, we will provide an annual statement that the assets are still held and insured by us. We will not sell, give away or borrow against the assets without first receiving your written consent. As our grant has come from public funds, we understand and accept that if you provide the consent it may require that the sale is at full market value and/or subject to conditions requiring us to repay all or part of the money we receive.

## **9. Payment of grant**

9.1 We will open a separate and designated bank or building society account for the sole purpose of receiving and administering the grant if you ask us to do so and will provide you with the bank or building society statements when asked.

9.2 You will pay the grant by bank transfer (BACS) into a UK-based bank account or building society account in our name, which requires the signatures of at least two authorised people for every withdrawal. We will not use ATM's or debit cards to make grant-related cash withdrawals or payments from this account.

9.3 You will not be liable for any losses or costs (including, but not only, bank charges) if you do not make grant payments on the agreed date. We must take up the first instalment of the grant within 12 months of the date of the grant award or offer letter; otherwise it will automatically lapse, unless you agree in writing to an extension.

9.4 If you pay the grant in instalments over two or more years, payment for the second and following years will depend on your approval of an end of year report on the previous year, which we will complete on a form provided by you within three months of the end of the grant year. If we do not do this, grant payments may be suspended.

9.5 You will normally make payments for up to three months spending in advance as long as we complete a satisfactory payment plan before the project starts and we have given written notice of the project start date.

9.6 If you are not satisfied that we have met all the terms of our Grant Agreement, or you need extra information or documents, you may ask for this and may postpone payment of the grant until you feel that the terms are met or until you receive the material you want.

## 10. Length of Grant agreement

10.1 These terms and conditions and the Grant Agreement remain in force for whichever of these is the longest time:

- for one year following the payment of the last instalment of the grant
- as long as any part of the grant remains unspent
- the expiry of the maximum period required under the grant for asset monitoring
- as long as we do not carry out any of the terms and conditions of the Grant Agreement or any breach of them continues (this includes any

outstanding reporting on grant expenditure or project delivery).

## 11. We understand that

11.1 You can only guarantee future instalments of the grant as long as funds from the National Lottery are available and you continue to operate.

11.2 We accept that you may share information about our grant with any parties of your choice as well as with members of the public who make a request for information under the Freedom of Information Act 2000. Details of the project may be broadcast on television, on your website, in newspapers and through other media.

11.3 You will not increase the grant if we spend more than the agreed budget.

11.4 You may suspend payment of the grant if you want to investigate any matters concerning the grant (or any other grants you have given to us). We understand that you accept no liability for any consequences, whether direct or indirect, that comes about from a suspension even if the investigation finds no cause for concern.

11.5 You may withhold or demand repayment of all or part of the grant at your absolute discretion, in any of the following circumstances if:

- we fail to meet any of these terms and conditions, or the terms and conditions attached to any other grants from you for which a Grant Agreement is still in force
- we completed the application form dishonestly or significantly incorrectly or misleadingly
- we or any other person or organisation operating for us gave you any significantly misleading or inaccurate information, whether deliberate or accidental, during the application process, or during the period of the Grant Agreement
- members of our governing body, volunteers or staff act at any time during the project dishonestly or negligently or in any way, directly or indirectly, to our detriment or to the detriment of our organisation or the project or to the detriment of your reputation
- our organisation, members of our governing body, employees or volunteers are subject to

an investigation or formal enquiry by the Police, Charity Commission, the Office of the Scottish Charity Regulator, HM Revenue & Customs or other regulatory body

- we receive duplicate funding from any other source for the same or any part of the project
- we do not take positive steps to ensure equal opportunities in our own employment practices and the delivery of and access to our services
- there is a significant change of purpose, ownership or recipient, either during the project or within a reasonable period after its completion, so that you judge that the grant is unlikely to fulfil the purpose for which you made it
- at any stage of the application process or during the period of the Grant Agreement we do not let you have information that would affect your decision to award, continue or withdraw all or part of the grant
- we are or become legally ineligible to hold the grant
- if you have reasonable grounds to believe that it is necessary to protect public money.

11.6 You may withhold or demand repayment of all or any of the grant if it is likely that our organisation will have to stop operating, may be dissolved or become insolvent, or is likely to be put into administration or receivership or liquidation, or we are about to make an arrangement with, or guarantee a Trust Deed to our creditors, or, in Scotland, our organisation's estate is sequestrated.

11.7 We acknowledge that the grant comes from public funds and we will not use the grant in a way that constitutes unapprovable State aid. In the event that it is deemed to be unapprovable State aid, then we will repay the entire grant immediately.

11.8 You may assign any of your rights under the Grant Agreement to any other or successor body.

11.9 We may not transfer any part of the grant or this Grant Agreement or any rights under it to another organisation or individual, unless we have entered into an agreement, authorised by you, requiring us to work with another organisation in delivering the project.

## **12. Additional conditions**

12.1 You have the right to impose additional terms and conditions on the grant either in the offer or award letter and/or if:

- we are in breach of the Grant Agreement
- you withdraw any part of the funding for the project
- you judge that members of our governing body, volunteers or staff or any person or organisation closely involved in carrying out the project act in a way that may have a detrimental effect on the project or on your reputation as a distributor of public money or as a Government sponsored body
- if you have reasonable grounds to believe that it is necessary to protect public money
- you believe such conditions are necessary or desirable to make sure that the project is delivered as set out in our application or following any agreed changes.

# Appendix two: business plan and partnership agreement requirements

## Business Plan

If your application is successful and we award you a grant we will send detailed guidance on what we require in a business plan. You must send us a detailed business plan for your project as a condition of the grant and we will need to review and approve this.

Our business plan requirements are summarised below. You may have enough resources and expertise within your organisation to produce the business plan but you can ask for up to five per cent of the total amount you are requesting from us to be used to help develop it.

This summary is just for information at this stage. Please do not send a business plan with your application.

### Executive summary

A summary of the most important features of your project.

### Organisation summary

An outline of your organisation's aims, objectives and legal status, the organisations and people you work with and details of other similar projects you have run.

### Project background

An explanation of how the project has been developed so far and any relevant studies or research that has been carried out.

### Strategic context

The aims and objectives of your project, including the need that your project aims to address, the outcomes and benefits of your project and how your project will achieve this.

### Project delivery

Detailed information about the project, including the services, activities or facilities it will provide and a project plan or timetable.

### Project resources

A description of the staff, management, supervision, partnership and volunteer resources you will need and how the project will be managed.

### Project costs

A detailed breakdown of the capital and revenue costs for the project.

### Financial appraisal

An explanation of all the financial implications of the project, including income and expenditure

## Marketing and communications strategy

The methods that will be used to publicise your achievements and who the target audience is.

## Monitoring and evaluation

How the project will be monitored and evaluated.

## Risk analysis

An assessment of the risks associated with the project and any threats to it.

## Supporting information

Key details that support your business plan.

## Partnership agreement

If we award a grant, when you send us your business plan you must also send a written partnership agreement between you and the organisations you are working with. This should define the purpose of the partnership and explain the responsibilities of each partner. It should make clear that the organisation that applied for funding will be accountable to us for how the grant is spent. This agreement may be called a memorandum of understanding or contract. If you need funding to develop a partnership agreement, you should include this in your business plan costs.

We expect the partnership agreement to cover the following:

- purpose or aim of the partnership
- who the lead organisation is
- details of each partner organisation and a summary of the services they provide
- roles and responsibilities of each organisation in the partnership
- policies and procedures, including equal opportunities and the protection of children, young people and vulnerable adults
- administration, meeting arrangements and record-keeping
- communication between the partners and with the media
- how changes to the agreement or disputes will be managed and resolved
- the duration of the agreement
- an approach to sustainability
- a signed declaration by all partners.

# Appendix three: standard legal opinion

## On grant recipient's solicitors headed writing paper

Date: [                    ]

To: The Big Lottery Fund ("the Fund")

[Grant Recipient name]

We act as the solicitors to [                    ] and have been asked by it to render this opinion to you.

### 1. Basis of opinion

For the purpose of giving this opinion, we have examined the following documents:

(i) a copy of the grant application containing details of a project which, subject to the award of a grant from the Fund, [            ] intends to carry out, the "" project purpose"; and

(ii) a certified copy of the [Trust Deed/Memo and Arts/Constitution/Rules/Statute] "constitutional documents" of [            ].

### 2. Opinion

We are of the opinion that [    ] has all requisite power under its constitutional documents and as a matter of law to perform and deliver the project purpose.

### 3. Practising Certificate

We are solicitors holding professional indemnity insurance cover of £x.

### 4. Duty of Care

We acknowledge a duty of care in respect of this opinion to the Fund and its successors.

### 5. Qualifications

The foregoing opinion is subject to the following qualifications:

[Include if appropriate].

Yours faithfully