



# BASIS–Round two (Building and Sustaining Infrastructure Services)

## Guidance notes

## BASIS- Guidance Notes

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

### Accessibility

Please contact us to discuss any specific communication needs you have.

### 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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# Introduction

This guide is for organisations that want to apply for a grant from the second and final round of our BASIS 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 BASIS page of our website [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk) 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, this is for those with a hearing impairment).

## 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 'Mission and Values' booklet, available from our website [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk)

The BASIS programme is just one of our grants programmes. You can find out about our other programmes by visiting our website 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).

## Should I apply to BASIS round two?

This is the second and final round of our BASIS programme, which aims to ensure that voluntary and community organisations throughout England have access to high quality support that will help them to be more effective.

Following consultation with voluntary and community organisations and other key stakeholders we have identified the priority services that we want to fund in each England region and England-wide. These are published on the BASIS page of our website and are also available as a hard copy from our Big Advice Line.

We know that there is a high demand for funding from this programme. By clearly describing the services we want to support we hope to maximise the impact of round two and also save many organisations time and effort that might otherwise be wasted in developing applications that would not be funded.

Before you read these guidance notes, please read about our priorities for your region or for England-wide projects by visiting the BASIS page of our website [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk) or phoning our Big Advice Line 0845 4 10 20 30.

**If your project will not address one of our round two priorities, we will not fund it under our BASIS programme.**

If your project addresses one of our BASIS round two priorities, please study this guidance carefully, in order to decide whether to apply.

If you are not sure whether your project will meet one of our priorities, please contact our Big Advice Line on 0845 4 10 20 30 or email: [general.enquiries@biglotteryfund.org.uk](mailto:general.enquiries@biglotteryfund.org.uk)

# The application process



What we will do

What you must do



# Part one: About our BASIS programme

Our BASIS programme aims to ensure that voluntary and community organisations throughout England have access to high quality support that will help them be more effective. To achieve this we will fund projects that help voluntary and community sector infrastructure organisations:

- provide a more comprehensive, consistent and sustainable service throughout England
- benefit from improved support for their own knowledge and skills
- better meet the needs of organisations that work with excluded communities, social enterprises and community groups.

This is the second and final round of our BASIS programme and has up to £50 million available. The programme is for England only.

Only voluntary and community sector infrastructure organisations can apply to BASIS. By voluntary and community sector we mean charitable or not-for-profit organisations and social enterprises. By infrastructure organisations we mean organisations that provide information, advice, training and other support that helps voluntary and community groups do their work better, as well as help with networking or partnerships and advocacy or campaigning.

Round two of our BASIS programme is more focused than round one. Since we launched BASIS in 2006, national, regional and local infrastructure organisations have done further work, assessing needs and identifying gaps in services. We used this knowledge together with our experience from BASIS round one to propose national and regional priorities for round two, which we consulted on during the summer and autumn of 2007. There is more information about our consultation on the BASIS page of our website [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk)

We have analysed the results of our consultation and finalised the national and regional priorities that we want to support. We know that there is a high demand for funding from this programme. By clearly describing the services we want to support we hope to maximise the impact of round two and also save many organisations time and effort that might otherwise be wasted in developing applications that would not be funded.

If your project will not address one of our round two priorities, we will not fund it under our BASIS programme. If your project will address one of our round two priorities, study this guidance carefully as you develop your application.

## **BASIS programme outcomes**

We want to fund projects that aim to deliver our priorities and achieve at least one of the following BASIS programme outcomes. Some are outcomes for the voluntary and community organisations that infrastructure organisations support, while others are outcomes for the infrastructure organisations themselves.

### **Outcomes for voluntary and community organisations that infrastructure organisations support**

1. Increased resources, for example, financial or human resources.
2. Improved knowledge and skills, including planning and managing work, financial management, fundraising and governance. By governance, we mean how a Board, managing committee or Trustees run an organisation.
3. Increased influence on local, regional and national policies and practice.
4. Improved learning and sharing of knowledge.

### **Outcomes for infrastructure organisations themselves**

5. Improved long-term sustainability.
6. Improved skills, understanding and materials to help achieve outcomes 1, 2, 3 and 4 above.
7. Improved skills and knowledge in providing services to groups and communities that have previously been hard to reach.

## Our priorities for round two

In round two we will only consider applications that address one of the priorities for infrastructure support published on our website, or available from our Big Advice Line.

Advances in national and regional infrastructure planning mean we now have a much clearer picture of infrastructure support services in each of the England regions and across England as a whole. We have also analysed the grants we made in round one and taken into account funding for infrastructure development from other sources. Using this information and the results of our consultation with voluntary and community organisations and other key stakeholders, we have identified what our priorities for funding should be in round two.

We have published our priorities for round two on our website. For each of the nine England regions and for England-wide projects we describe each service or activity we want to support. We also set out the types of organisation or partnership that are best placed to deliver them and the key stakeholders that you should seek support from. We will not fund projects that do not address a priority, or applications from other types of organisations or partnerships.

Every application should aim to address one of our priorities only, although we have identified some cases where projects may also link with other priorities.

Where there is only one organisation with the skills and experience to provide a service we would like to support, we will write to that organisation when the programme is launched and invite it to apply, through a process we call 'solicitation'.

We would like to fund all our round two priorities but this will depend on the amounts requested and the quality of the applications. The application process is competitive and we will only fund high quality projects. So you must not enter into any contractual agreements or start your project before you receive a decision from us.

Before you decide whether to apply please read about our priorities by visiting the BASIS page of our website [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk) or phoning our Big Advice Line on 0845 4 10 20 30.

## How much will we fund?

You can apply for between £10,000 and £500,000 for a regional project running up to five years. For England-wide projects we will consider applications for up to £750,000. For solicited applications we will indicate a maximum amount in our letter.

All 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 to show a wider range of support for your project and may help it to 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, or £750,000 for England-wide projects. 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 achieve 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, such as rent, heating or lighting.

## Project outcomes

We want to know about the changes that happen as a result of our funding. We call these changes 'outcomes'. We will ask you to describe up to four 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. If we award a grant your project outcomes will form part of our grant agreement with you.

Your project outcomes must be SMART (specific, measurable, achievable, realistic and time-based) so you will need to include quantifiable information (for example, dates by which changes will occur and numbers of organisations that will benefit) 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 BASIS programme outcomes but we are interested in how you think your project will help us achieve them.

The following are examples of project outcomes. These are just for information. We recommend you read through our 'Explaining the difference your project makes' booklet for help with writing project outcomes and collecting information to show how far you are achieving them. This publication is available (in a range of formats upon request, including large print) from the BASIS page 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 1. Capacity building across a city

Local consultation has identified the need for better information about existing and planned voluntary and community sector (VCS) services across a city. This will allow VCS organisations to co-ordinate, plan and deliver services more effectively.

The project will create and maintain a database of VCS information, publish regular reports on VCS services and establish outreach work and an income-generating consultancy service. This will strengthen links between the public sector and VCS, as well as improving the quality, reach and sustainability of VCS organisations, particularly social enterprises.

### Project aim

By 2014, the city's VCS organisations will be more effective in planning and delivering services.

### SMART outcomes

- ▶ By the end of the project, outreach work and training will have enabled 100 organisations to increase their capacity to identify and respond to local needs.
- ▶ By the end of the project 30 VCS organisations that are not currently involved in Local Area Agreement networks will have actively and confidently engaged with them.
- ▶ Each year there will be a 15 per cent increase in the number of VCS organisations reporting that they have increased their capacity to identify and respond to their beneficiaries' needs.

## Example 2. Strengthening support networks

A local survey has revealed that many local charity managers across a rural county feel isolated when facing challenging issues and would like a support service that enables them to 'talk things through'.

The project will establish a telephone helpline that will give advice on a wide range of issues, including recruitment, health and safety, managing staff and financial and project management. The service will be available for five days a week. A peer-mentoring service linked with the helpline will also be set up and follow-up work, tailored self-help packs and signposting guides will be developed.

### Project aim

To provide new support services for VCS organisations across a rural county.

### SMART outcomes

- ▶ By the end of year four, 35 per cent more VCS organisations in the county will report that they are more knowledgeable about local, regional and national support services available to them than in the first year of the project.
- ▶ By the end of the project, 80 per cent of helpline users will report that they are more confident and better able to address similar issues within their organisation.
- ▶ The peer-mentoring scheme will enable 150 organisations to have identified and implemented areas for organisational improvement within 12 months of joining the scheme.

## Sustainable benefits

We want to support outcomes that are most likely to continue to benefit voluntary and community organisations 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 the project 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
- making sure that the benefits of the project are sustained by ensuring that organisations share their knowledge, experience and expertise and learn from good practice
- developing and strengthening formal and informal links between organisations that will continue after our funding ends.

Your project should have appropriate 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.

## Eligibility requirements

### Who can apply for funding?

Under this grant programme we will only make grants to voluntary and community sector organisations that support the work of other groups in the voluntary and community sector. This purpose will usually appear in the governing document of your organisation or will be apparent from the work you have carried out. If supporting other organisations is not an explicit purpose in your governing document then doing such work must be within the scope of the work your governing document allows you to do.

We will only accept one application for funding per eligible organisation (excluding any solicited applications). You can, however, be involved as a partner in more than one application.

For each of our priorities we have also identified the types of organisation or partnerships that are best placed to deliver a successful project and achieve the outcomes. We will not accept applications from other types of applicant, so you must read our round two priorities before deciding whether to apply for funding.

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.

## Partnership working

Partnership working allows organisations to pursue a common vision and work together to achieve more than they could by working on their own.

Where our priorities indicate the key stakeholders who should be consulted about an application we will ask you to show that you have done this, by providing letters of support from them with your application. Key stakeholders may include the relevant local infrastructure consortium or local strategic partnership. The letters of support should explain why the project is important to building and sustaining voluntary and community sector infrastructure services and be signed by a person with appropriate authority (for example, the chair, chief executive or a director). If the partnership or consortium is not set up as a separate organisation in its own right then the letter should be signed by a person with appropriate authority from the lead or accountable organisation and should also explain how the partnership or consortium decided to support the project.

Some priorities require the application to be made by a partnership. In these cases a 'lead organisation' should submit the application to us. This should be the organisation that will co-ordinate, manage and deliver the project. The lead organisation must meet our eligibility requirements, although organisations that are not eligible can be involved in the partnership.

If you are applying on behalf of a partnership you will need to explain how the partnership is organised and run and the advantages of working together. All the organisations in the partnership (except the lead organisation) must provide a short statement with the application summarising their role in the partnership and explaining why they are supporting the project. These must be signed by a person with appropriate authority from each partner organisation (for example, the chair, chief executive or a director).

We will not consider applications for the same priority submitted by different lead organisations from a partnership, as this would not show effective partnership working. If we receive these competing applications we will ask the lead organisations to agree which one they would like us to assess. If they are unwilling to do so we will reject the applications.

If some of the grant will be used to fund partner organisations to help deliver the project or achieve its outcomes then we will need to be sure that there will be a legally binding partnership agreement in place, making it clear what the responsibilities of each of the organisations are and how you will work together. This must ensure that the lead organisation can:

- meet our terms and conditions of grant
- provide us with all the financial, monitoring and any other information we require
- manage the project on time and within budget.

You do not need to have a partnership agreement in place when you apply but if your application is successful we must approve it before your project can start.

There is additional guidance on applications from partnerships in Appendix three.

### What will we fund?

Projects can be new or existing activities and can include the core work of your organisation. 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 that address one of our priorities for round two, where the identified outcomes are achievable and meet at least one of the programme outcomes.

Here are some examples of the types of activities that we may consider funding:

- providing training courses and supporting learning, through mentoring or buddying
- creating training materials, case studies and good practice guides, where there is a convincing case for new materials and where you have plans to ensure they are used
- supporting organisations to obtain accreditation of their management practice against nationally recognised standards
- putting organisations who could benefit from working together in touch with each other
- enabling organisations to discuss and solve common problems
- providing advice that helps organisations fundraise more efficiently and effectively, including identifying new income or loan sources
- encouraging groups of organisations to share office costs and pool resources
- finding new volunteers with the skills and experience to help organisations do their work or develop their strategy
- advocating and campaigning on behalf of voluntary and community groups
- conducting research or developing policy on behalf of voluntary and community groups and sharing this learning or good practice
- providing support that enables voluntary and community groups or members of the community to take part in partnerships and planning processes.

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.

We will only consider projects that benefit organisations in England.

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

## 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 costs

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

Eligible revenue expenditure includes:

- salaries of project staff, including any extra costs, such as pensions and National Insurance
- 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 used solely 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 four. 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.

### Direct capital costs

By direct capital we mean the costs of equipment, land and buildings used only in delivering your project.

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
- 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. The 'land and building application guidance notes' is available from the BASIS page of our website [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk) or our Big Advice Line 0845 4 10 20 30.

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.

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.

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 shared 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 BASIS programme

This section gives details of the application process including the timetable for the BASIS 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.

May 2008	<b>Round two of BASIS launched</b> Applicants can download application packs from our website.
August 2008	<b>Closing date for applications</b> Applicants complete and return an application form to us by 2.00 pm on 27 August 2008. We acknowledge applications within 10 working days of us receiving them.
September 2008	<b>Initial assessment</b> We check if your application is eligible. If it is not eligible we will write to you explaining the reasons why.
October to December 2008	<b>Full assessment</b> Eligible projects are assessed and graded. We may contact you during this process.
January 2009	<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 by the date we put in our offer 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.
February to July 2009	<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 within three months of the date of our grant offer letter. We will review this within one month of receiving all the information we require. We will contact you during this process. You will have up to one month to make any necessary improvements. Once your business plan has been approved, we will contact you to discuss the continuation of the grant. If we do not approve your business plan we will withdraw the grant.

## 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 [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk) If you are unable to do this please call our Big Advice Line on 0845 4 10 20 30 (textphone 0845 602 1659).

## Deadline for applications

Your application must reach us by 2.00 pm on 27 August 2008. You can submit it by post or email.

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

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

**By email** – Email your application to:  
[basis@biglotteryfund.org.uk](mailto:basis@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 of the application form to us, with original signatures, plus any additional documents we have requested. Your email and section four with original signatures must reach us by 2.00 pm on 27 August 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?

Applications for funding in round two are limited to one per eligible organisation (excluding any solicited applications). You can, however, be involved as a partner in more than one application.

If you were unsuccessful in round one, you can apply again for round two, provided that your application meets one of our regional or England-wide priorities. If you were successful in round one, you can apply again in round two but your application must be for a different project and it must meet one of our priorities.

## Additional requirements for capital grants

If you are applying for a grant that includes capital expenditure, you will need to read our 'land and building application guidance notes'. This guidance will explain what extra information you must provide with your application and is available from the BASIS page of our website 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 not assess 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 usually take us up to five 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 BASIS programme has up to £50 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 subcontract some of the work, you are responsible for ensuring that the project is delivered, the project outcomes are achieved 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 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. We will review it 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 organisation 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; we also have to account for the money that we have 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.

## 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 and you must ensure that you include any extra costs incurred such as National Insurance and pension contributions. We would 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 regional projects, or £750,000 for England-wide projects.**

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 charities 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 "Ashby Voluntary Action" (known as 'AVA').

#### 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 lead person involved in your project 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. The BASIS programme is only for voluntary and community sector organisations, so you must be able to tick the box that confirms this. 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 "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.

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 four. If we request a legal opinion we will pay your solicitor's fees, up to a maximum of £500 including VAT.

If you are applying on behalf of a partnership of organisations, tick the box and enclose a supporting statement (section 4.5) from each partner organisation, summarising their role in the partnership and explaining why they are supporting this project.

## 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.

The bank or building society statements must be original, or copies authenticated by your bank or building society with a stamp and signature as a "Certified true copy of the original". We will return the originals to you.

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 "Ashby Voluntary Action (BIG)". This policy was introduced in March 2007 as part of our commitment to good practice in the administration of public money.

## 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 Round two priority

Insert here the reference code of the round two priority which your project will address. There is a different code for each priority. You will find the reference codes together with the descriptions of our priorities for infrastructure support on the BASIS page of our website and they are also available from our Big Advice line 0845 4 10 20 30.

Your project should aim to address one priority only.

### 2.2 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.

### 2.3 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).

### 2.4 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 location without a 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.

### 2.5 Project beneficiaries

Tell us about the full range of organisations that will benefit from your project and the needs they have.

For some of our priorities we will expect you to provide a full range of services across the voluntary and community sector as a whole, including organisations of different sizes, those operating in different settings (for example, urban or rural), those at different stages of development or serving

particular communities (such as black and minority ethnic communities, young people, older people or disabled people).

For priorities that are targeted at particular sectors we expect projects to reach a full range of organisations within that sector. For example, a project targeting infrastructure organisations that support black and minority ethnic (BME) communities should reach both large and small BME organisations, as well as those supporting disabled people or older people.

### 2.6 Project need

#### a) What is the need for your project?

Whilst we have described our priorities for infrastructure support services for round two your project may respond to these in different ways. Tell us what gaps or problems with existing services you have identified. Describe the needs of the organisations that you intend supporting. Tell us about any existing services and how your project will add to them.

#### b) How have you identified this 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 evidence from infrastructure development plans that support the need for your project.

#### c) How will meeting this need address the priority for round two that you have identified in question 2.1?

You must demonstrate that your project will address the priority for round two that you have indicated in question 2.1. Explain how meeting the specific needs you have identified will enable your project to do this.

#### d) Who are the main stakeholders and partners and in what ways will you work with them?

Identify the key stakeholders and the commitments they have made to the project. These should include the organisations you are targeting and any other partnerships or groups you work with, such as the local infrastructure consortium.

Where we have identified key stakeholders for a priority you should enclose letters of support from them with your application. The letters of support

should explain why the project is important to building and sustaining voluntary and community infrastructure services and be signed by a person with appropriate authority, for example, the chair, chief executive or a director.

Explain how the work you have done with stakeholders has helped to identify the specific focus of your project. Tell us about any other organisations you have worked with to help develop your project. Explain how you will maintain these relationships.

If you are applying on behalf of a partnership list the organisations that are involved and describe their roles and responsibilities in the partnership. Explain how the partnership is organised and run and the advantages of working together. 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.

## 2.7 Project outcomes

a) Briefly describe what difference your project will make by listing up to four SMART project outcomes.

Consider what outcomes you aim to achieve and break these down into concise bullet points. Please list no more than four outcomes. You need to ensure that your proposed project outcomes meet at least one of the BASIS programme outcomes (although we do not expect you to write your project outcomes directly in response to them). The BASIS outcomes are listed in part one of these guidance notes.

Your project outcomes must be SMART (specific, measurable, achievable, realistic and time-based) so you will need to include quantifiable information, for example dates by which changes will occur and numbers for beneficiaries, 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.

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. You should also refer to the examples of project outcomes on pages 8 and 9 of this guidance.

b) How will your proposed project outcomes help achieve at least one of the outcomes of the BASIS programme?

Your proposed project outcomes must help achieve at least one of the BASIS programme outcomes. These are listed in the programme guidance notes. Explain which of these your project will address and how your project will contribute to achieving them.

## 2.8 Sustainable benefits

Tell us how you intend 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 'sustainable benefits' in part one of these guidance notes.

## 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 2.7a. 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. The milestones you choose will be key indicators of the progress your project is making towards achieving its outcomes and must be measurable. 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 organisations 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'. If we award a grant we will ask you to demonstrate that you have achieved your milestones as part of our monitoring of your project.

**Example** (based on the first project example in part one of this guide)

Outcome - 'By the end of the project 100 organisations will have increased their capacity to identify and respond to local needs. This will be achieved through outreach work and training, whilst targeted refresher sessions will assess whether lessons learned are being implemented'.

Milestones	Timescales
Submit business plan to Big Lottery Fund.	End of month 2
Recruit Policy and Communications Manager and Communications Co-ordinator.	End of month 4
Begin outreach work and complete training plan.	End of month 10
40 voluntary and community sector (VCS) organisations that have received outreach support now show improvement in responding to local needs.	End of month 28
Finalise sustainability plan.	End of month 44
Survey data shows 185 VCS organisations better understand the sector's needs and 100 organisations that have received outreach support or consultancy have improved as a result.	End of month 52

### 3.3 Project management

Explain any experience your organisation has of managing similar projects and grant funded activities. If your project is addressing one of our England-wide priorities, include any experience your organisation has of successful delivery on a national basis.

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.

### 3.4 Equal opportunities

We want to ensure that across all the projects we fund through our BASIS programme, infrastructure services increase their reach or relevance to the full range of types of organisations in the voluntary and community sector.

This includes:

- small, medium-sized and large organisations
- community and grass roots groups
- organisations working with people with particular needs (such as black and minority ethnic communities, refugees and asylum seekers, newly arrived communities, disabled people, children and young people, older people, women, carers, lesbian, gay, bisexual and transgendered people and people of different faiths)
- organisations at different stages of development, for example, new organisations, organisations taking on their first employed staff, or organisations already delivering a number of services
- organisations working in different settings, such as urban and rural based groups.

**a)** Tell us 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 full range of organisations that you are targeting will know that the project exists and be able to use the facilities and services provided. Explain how you will reach the full range of organisations you have put in question 2.5.

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

### 3.5 Child protection/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.

### 3.6 Project budget

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

Make sure you read part one of these guidance notes 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 what your costs are based on, for example, quotations, estimates or experience from other projects. 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.

### 3.7 Project funding

#### a) Funding from Big Lottery Fund

Tell us how much money you will require from us during each year of your project (not the total project cost). The overall amount should equal the total in the “Amount requested from Big Lottery Fund” column in question 3.6a.

#### b) Funding from other sources

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. During our assessment we may ask you to provide evidence of funding already secured, any ‘in kind’ contributions and that earned income estimates are realistic. The total amount of other sources of funding should equal the total of the “Funding from other sources” column in question 3.6a.

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.

### 3.8 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.

### 3.9 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 BASIS page 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.

We expect any new posts funded by our grant to be externally advertised and recruited.

For information on Employer National Insurance Contributions please refer to HM Revenue and Customs website [www.hmrc.org.uk](http://www.hmrc.org.uk)

### 3.10 Volunteers

Tell us how many volunteers will work on the project, explain what they will do 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 or partnership
- a trustee or a member of your organisation's or partnership'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 our Big Advice Line to check if they are acceptable.**

## 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 BASIS 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)

## 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 7905

**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 ATMs 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 installment 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 installments 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 installments 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 requirements

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 requirements and any assumptions made.

### **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.

# Appendix three:

## Additional guidance for partnerships

### About partnerships

Partnerships enable organisations to pursue a common vision and work together to achieve more than they could by working on their own.

A partnership may involve two or more organisations from the public, private or voluntary sectors. It may be a local partnership focused on a small area such as a neighbourhood, it could cover a larger area such as a city, or have a regional or national focus.

Partnerships can range from informal information-sharing and consultation networks to formal partnerships with their own partnership agreement. The structure will depend on the amount of control that the partners wish to have over the joint work. This in turn depends on the purpose of the partnership, the type of work to be carried out and the level of risk involved for each organisation.

### Applications from partnerships

We welcome applications from partnerships, as they can be effective in meeting a need or tackling a problem.

A 'lead organisation' should submit the application to us on behalf of the partnership. This should be the organisation that will manage the project. The lead organisation must meet our eligibility requirements for this programme, although organisations that are not eligible can usually be involved in the partnership.

If other organisations in the partnership will provide goods or services needed for the project, then the lead organisation should explain how they have been chosen. We expect the lead organisation to follow its agreed procedures for obtaining goods and services, show value for money and meet any relevant European laws. If an open tender process is not appropriate we need to know why, so that we may consider if this is the best way to deliver the project.

If we decide to fund the project we will enter into a legally binding grant agreement with the lead organisation. This organisation must accept our terms and conditions of grant and will be accountable to us for how all the money is spent.

### Partnership agreements

One of our standard terms and conditions of grant is that the organisation we enter into a grant agreement with cannot subcontract any of the project to other organisations without our agreement in writing beforehand. So if we award a grant, before the project can start we must approve a partnership agreement between the lead organisation and the other partners involved in the project.

If other partners will provide goods or services needed to deliver the project and achieve its outcomes, then this must be covered in detail in the partnership agreement. However, if the partnership will focus on areas such as encouraging closer understanding or sharing information but the project is not dependent on them to achieve its outcomes, the agreement can be less detailed.

In all cases the partnership agreement must ensure that the lead organisation can meet all our terms and conditions of grant, follow our National Lottery branding guidelines, provide us with all the financial, monitoring and any other information we require and deliver the project on time and within budget.

The partnership agreement must cover a period that is at least as long as our grant agreement with the lead organisation. In some cases the period covered by the grant agreement will be longer than the duration of the project itself. For example, if we are funding a capital project (such as buying land, or building work) then the grant agreement will cover the whole of the period when we will monitor the capital asset, which could be 20 years. The partnership agreement needs to confirm how the lead organisation will ensure that they can meet our monitoring requirements throughout this time, for example, by taking sole responsibility for the capital asset after a specific date.

In all cases the partnership agreement must refer to, or include, our terms and conditions of grant. The partnership agreement must also state that if there is any conflict between the interpretation of our terms and conditions of grant and any others, ours will always take precedence.

For this programme we do not need a partnership agreement to be sent with the application but if we award a grant we must approve it before the project can start. If a partnership agreement is already in place we will need to check that it meets our requirements and we may require some changes.

### **What should a partnership agreement include?**

Since a wide range of partnership arrangements exist and every project will be different, we cannot provide detailed guidance. We recommend that partnerships seek their own legal advice.

To help clarify what needs to be included in a partnership agreement we suggest that the lead organisation goes through our standard terms and conditions of grant and decides which ones are relevant to each of the partners involved in delivering the project. This will help identify what needs to be included in the partnership agreement to enable the lead organisation to meet all our terms and conditions.

All the organisations in the partnership should also study our terms and conditions of grant carefully and agree what their responsibilities are and how they will carry them out.

We expect partnership agreements will cover the following points:

#### **Purpose or aim of the partnership**

Also explain how the aim of the partnership links with the aim of the project.

#### **Who the lead organisation is**

Make clear that the organisation that submits the application to us is the lead organisation for the purposes of any grant we award. Include a statement that the lead organisation will be solely responsible to us to deliver the project in accordance with our terms and conditions.

#### **Details of each partner organisation**

State the names and addresses of all the organisations that are signing up to the agreement. Include details of key contacts.

#### **Financial and contractual arrangements**

If a partner organisation will supply goods or services as part of the project then include details of what will

be delivered, how often, what the method of payment will be and when payments will be made. We cannot be responsible for payments to partner organisations. This responsibility lies with the lead organisation. Include a statement that the lead organisation will be responsible for all funds received from us and will not be liable to make payments to a partner organisation until they have received our grant payments. The lead organisation must keep records of all project expenditure and be able to provide evidence of spending to us if we ask for it.

#### **Roles and responsibilities**

Explain the main roles and responsibilities of each organisation in the partnership. Make clear which tasks and services each partner will be responsible for delivering.

#### **Policies and procedures**

Include all that are required by law or relevant to the project, such as health and safety, equal opportunities and the protection of children, young people and vulnerable adults.

#### **Administration, meetings and record keeping**

Explain who is responsible for setting up meetings, how often they will happen and what records will be kept.

#### **Monitoring and reporting**

Explain how monitoring information will be provided by the partner organisations throughout the period of the grant agreement to enable the lead organisation to complete regular progress reports for us.

#### **Communication**

Make clear how often the project will be discussed by the partnership and by what methods, for example, face-to-face meetings, phone or email. Make it clear who will be responsible for promoting the project through the media and who will handle enquiries.

#### **Branding**

This must be in accordance with our guidelines, including use of the National Lottery 'Crossed Fingers' logo.

### **Changes to the agreement**

Explain how changes to the agreement or disputes will be managed and resolved. Remember that a disagreement between the partners might mean that the lead organisation will not be able to meet our grant terms and conditions.

### **Duration of the agreement**

This should include the provision for the lead organisation to terminate the agreement if for any reason we need to suspend or terminate our grant.

### **Approach to sustainability**

Explain how the benefits of the partnership will be sustained.

### **Signed declaration**

All partners must sign the agreement.

# Appendix four: 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