

# Mental Health Matters Programme guidance notes



## Wales



**Title** Mental Health Matters

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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 in Wales is working towards sustainable development and the use of 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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## The application process



What we will do



What you must do

## 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. We want to use Lottery money to make big, positive changes for communities, through the fair and open funding of people, projects and programmes, with a particular emphasis on tackling need. For more information on this, please read our enclosed 'Mission and Values' booklet, or refer to our website.

The Mental Health Matters programme is just one of our grants programmes. You can find out about our other programmes by visiting [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk) or you can phone us on 029 2067 8200 or textphone 01686 610205.

There are other organisations that 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).

Please note that where we have included links to external websites, we are not responsible for the content.

## Part one: **About Mental Health Matters**

This programme aims to:

- promote the rehabilitation and independence of people with serious mental health problems
- support people at greatest risk of developing serious mental health problems
- support people at greatest risk of suicide.

Under our Mental Health Matters programme we are making £15 million available to support projects across Wales. People with mental health problems are some of the most disadvantaged people in society and they can often experience multiple deprivation. Many are isolated, and have low self-esteem and low aspirations. Their condition is made worse by the stigma, lack of understanding and discrimination they face daily.

Research shows that the support for people with mental health problems is patchy and underdeveloped and this is recognised in the Adult Mental Health National Service Framework (NSF). Through this programme the Big Lottery Fund will make an important strategic contribution to the development of mental health services and the achievement of the NSF by funding specific groups of people with mental health problems and supporting projects that try to overcome the barriers that they face.

The programme will target people who:

- have serious mental health problems
- are at greatest risk of developing serious mental health problems, and
- are at greatest risk of suicide.

By serious mental health problems we mean those who are suffering from a functional mental illness. For the purpose of this programme we will use the following definitions:

- ▶ An organic mental illness is an illness affecting memory or other functions that is often associated with old age or injury to the brain, such as dementia, Alzheimer's disease or cerebrovascular disease.
- ▶ A functional mental illness is a mental illness where there is no evidence of organic disturbance even though physical performance is impaired. It includes conditions such as bipolar disorder, obsessive-compulsive disorder, depression and schizophrenia.

Mental Health Matters will support people with a functional mental illness. These groups are further defined below.

This programme will mainly target working age people between the ages of 16 and 65. It will not specifically support work with children and adolescents, which tends to be delivered in different settings, but we will be flexible about supporting projects that also work with young people at risk of suicide as well as people within our target age group. Similarly, while the programme is not intended to support older people with degenerative conditions, such as dementia, there will be flexibility for projects to work with people over 65 years old with a functional mental illness.

Projects must mainly benefit people living in Wales and we would expect at least 75 per cent of project beneficiaries to live in Wales.





## People with serious existing mental health problems

Mental Health Matters will provide support for the following groups with a functional mental illness who are living in the community:

- people with a serious and enduring functional mental illness who are under the care of secondary services and who are supported by the Care Programme Approach
- people with a functional mental health condition that has a significant and debilitating affect on their lives, but who are not receiving support under the Care Programme Approach.

Within these groups the programme will assist individuals whose support from statutory services is mainly focussed on managing their medical condition and who require additional practical help to promote their recovery and independence within their communities. They may undergo repeated cycles of treatment and crisis, and their employment, accommodation or physical health may be at serious risk.

Mental Health Matters will fund coherent and co-ordinated support packages for this group that tackle isolation and discrimination and provide additional community-based support to help them manage their condition, enhance their confidence and skills and promote their participation in community life.

## Part one: **About Mental Health Matters**

### **People at greatest risk of developing serious mental health problems**

There are groups in society that have a higher incidence of mental health problems. Research shows that individuals from the following groups are particularly at risk.

- black and minority ethnic communities
- asylum seekers and refugees
- homeless people
- those who misuse drugs and alcohol
- those in custody and ex-offenders.

This list is illustrative and the programme will support individuals from other groups. Applicants should provide evidence which shows that individuals in their target groups are significantly at risk of developing serious mental health problems.

Individuals in these groups who are at risk of developing serious mental health problems may become isolated in their communities. They will not be receiving support for mental health problems from primary or secondary care services. Complex cultural and social factors and the stigma associated with mental health problems may prevent them from seeking help until a crisis occurs.

Mental Health Matters will provide targeted support to these individuals through awareness raising, advice and outreach measures that are sensitive to the social and cultural issues that they face. It will also tackle the discrimination that they may experience in their communities.

### **People at greatest risk of suicide**

Wales has one of the highest suicide rates in the UK. One of the Welsh Health Gain Targets is to reduce the rate of suicide. Research has shown that individuals from the following groups are at a significantly higher risk of suicide:

- young men
- men in unskilled occupations and unemployed people
- current or ex-mental health patients
- people in the medical and veterinary professions
- farmers
- people in custody and ex-offenders
- people who self-harm.

This list is illustrative and the programme will support individuals from other groups where it can be demonstrated that they are at significant risk. Applicants should provide evidence which shows that individuals in their target groups are significantly at risk of suicide.

Mental Health Matters will support initiatives that target groups of people known to be at most risk. They will raise awareness about mental health problems and advise on sources of help and support. They will be delivered in appropriate settings, will be sensitive to the cultural and social issues associated with suicide and will address the stigma and misinformation about suicide within the community.

Detailed information on the types of activities that we will fund for each of these groups is given on pages 24 to 27 of these guidance notes.

## **Learning from projects funded by Mental Health Matters**

The Big Lottery Fund wants to ensure that the information and experience gained from this programme is properly recorded and evaluated so that it can contribute to the modernisation of mental health services and inform future policy and practice.

All projects that we fund will be required to carry out a self-evaluation. Projects can either use their own internal expertise to conduct the evaluation or bring in outside support to do so. We will bring together the findings from all project evaluations to assess the impact of Mental Health Matters.

### **Additionality and sustainability**

Mental Health Matters will not fund the continuation of existing projects. Only new and additional activities will be supported.

The programme will not subsidise current or planned health and social services that are normally supported through statutory sources of funding.

However, applicants will need to work closely with existing services and ensure that their projects complement local and national plans. Applicants are expected to discuss the long-term needs of the people that they intend to support with other providers to ensure that these continue to be addressed after Mental Health Matters ends.

## **Mental Health Matters outcomes**

Projects must aim to achieve one or more of outcomes 1, 2 or 3.

1. People with serious mental health problems live fulfilling lives in their communities.
2. Reduced incidence of relapse or crises among people with mental health problems.
3. Improved awareness of mental ill-health and access to appropriate support among groups at greatest risk of serious mental health problems or suicide.

In addition, we require all projects to address the stigma and discrimination faced by people with mental health problems as an integral part of their work. All projects must achieve outcome 4:

4. Communities have greater understanding and are more supportive of people with mental health problems.

## Part one: **How much will we fund?**

We will make grants of between £250,000 and £1 million for projects running for up to five years. You must begin to spend your grant within six months of your business plan being approved. 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.

Details of the funding available under the Mental Health Matters programme are provided below.

### **Capital funding**

Capital costs can include:

- small items of equipment which are required to deliver the project's objectives and outcomes (for example laptops or projectors)
- small scale refurbishment of premises that will be used to deliver the project
- a vehicle essential for delivering the project.

We will allow you to spend up to five per cent of the grant you have asked us for on capital costs, but this must be no more than £49,999. If you are applying for capital costs, you will need to read our Mental Health Matters Capital application guidance available on our website at [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk) This guidance will explain what extra information you must provide with your application.

### **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 £1 million.



## Part one: **Project outcomes**

We would like to know about the changes that happen as a result of our funding. We call these changes 'outcomes'. We will ask you to describe up to six 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.

### **Project examples**

The following are examples of project outcomes. These are just for information. Your project may have different outcomes that we want to support. You may want to read through our 'Explaining the difference your project makes' booklet for help on writing project outcomes. It also tells you how to collect information to show that you have achieved them. You can find this on our website and a copy is included with this pack.

These project examples demonstrate milestones that you will have to identify that contribute towards the delivery of your project outcomes (see pages 14, 18 and 21 of the guidance notes for more information). They are indicative and for information only and assume that the project start date is 1 January 2009.





## **The Connect Project**

The Connect Project aims to ensure that people with serious mental health problems have the personal and practical support they need to live fulfilling lives in their community. The project will be led by a voluntary sector organisation, working in close partnership with a range of other service providers in the voluntary, statutory and private sector across North Wales, to provide comprehensive packages of services to meet individual needs.

The project will work closely with the local Community Mental Health teams (CMHT) that assesses people for the Care Programme Approach (CPA). The CMHT Care Co-ordinator will prepare a care plan with the individual to identify the full range of support they need and what the CMHT and other statutory services will provide directly. The person will be referred to the Connect Project to help them arrange the further practical community-based support that will enable them to manage their recovery. The project will also support people that have not been assessed as requiring CPA, but whose mental health condition is considered to present serious risk to their continued employment, accommodation or health.

The Connect Project will appoint a personal mentor, trained to provide guidance and advice on a wide range of life issues, to work intensively with each person to implement the package of additional activities and support identified in the care plan. The mentor will help the person to negotiate and co-ordinate the services required from a range of partner organisations. The emphasis will be on the client identifying and managing the support they want and the activities they wish to take part in. This may range from help with personal care, leisure activities, relationships with family and friends to advice and support with housing, benefits, health issues, training and employment.

A peer support network will bring together the people benefiting from the project to share their experiences and to facilitate a buddying system that will build friendships, provide mutual support and tackle isolation. Participants will take part in a range of activities designed to raise their confidence and self-esteem, and develop their skills in self-advocacy and dealing with discrimination. They will also contribute to the development and delivery of the service through regular surveys and feedback meetings.

Wherever possible participants will take part in mainstream activities and services. To facilitate this the project will run awareness raising sessions and ongoing support for the service providers it will work with and their service users. It will stage regular exhibitions and briefings to promote the programme and involve new partners. It will involve people with mental health problems in these events as positive role models to counter discrimination and prejudice and to foster better understanding of mental health issues.

## Part one: Project outcomes

**Outcome 1:** For every year of the project, 50 people with serious mental health problems in the community will have access to services that allow them to lead more fulfilling lives in their communities.

Milestones	Timescales
Business plan produced and approved by Big Lottery Fund	December 2008
Project staff recruited, including personal mentors	January 2009/1st month
Staff training completed	February 2009/2nd month
Referral arrangements formalised with CMHT	March 2009/3rd month May
Service level agreements and/or referral arrangements agreed with partner organisations; awareness raising sessions with partners and their users	May 2009/5th month
First referrals of people to project start	June 2009/6th month
Peer support network and buddying scheme established	July 2009/7th month
First quarterly meetings with CMHT and partners to review working arrangements	August 2009/8th month
External promotion event with potential employers and volunteering organisations	September 2009/9th month
Survey of project users completed and meeting with users to inform project development	November 2009/11th month
Feedback meetings between project beneficiaries and mental health service providers to inform service delivery and development	December 2009/end of first year

**Outcome 2:** 20 per cent of the local community has a better awareness of the issues facing people with mental health problems as a result of their re-engagement with the community by the end of the project.

Milestones	Timescales
Business plan produced and approved by Big Lottery Fund	December 2008
Baseline data relating to community awareness of mental health issues collected	May 2009/5th month
Awareness raising strategy and publicity plan developed	June 2009/6th month
Programme of awareness raising events run over summer months	July to September 2009/7th to 9th month
Publicity campaign implemented	July to December 2009/7th to 9th month
Annual survey of community awareness of the project	December 2009-July 2014
Annual review of awareness raising strategy and publicity plan	January 2010-January 2014
Collation and analysis of data on community awareness of mental health issues and the project.	August 2014
Final report on community awareness and dissemination to participants and stakeholders	November 2014

## Part one: Project outcomes

### The Freedom Project

Through awareness raising, advice and outreach work, the Freedom Project will provide targeted support to individuals from a number of groups within black and minority ethnic communities in South Wales who, experience shows, are at risk of developing serious mental health problems. The groups identified are:

- young black men
- young Asian men and women
- asylum seekers

Some may have experienced prejudice and have a negative perception of authority, which can lead to them being reluctant to admit their mental health problems to anyone in an 'official' position. For others, the fear of being stigmatised and the misinformation associated with mental health within their communities deter them from seeking help. They may be worried that their social status in their community may be affected, as well as that of their families. In the case of individuals seeking asylum, they can be reluctant to admit to mental health issues for fear that it will affect their asylum claim.

The Freedom Project will reach these individuals through a wide variety of activities in informal settings, aimed at raising awareness of mental health issues and the help the project can provide. Activities will be delivered through several languages and will be sensitive to the social and cultural issues identified above.

One to one support will be provided through a confidential phone and email contact service for vulnerable individuals to allow them to speak anonymously to a specialist counsellor, who can provide them with appropriate support through their own language. This will be enhanced through the work of discreet outreach workers who can provide face-to-face support if they so wish. Where appropriate, individuals will be signposted to other sources of help such as housing, employment and educational opportunities. Translation facilities will be made available when needed.

For those individuals who want it, there will be an anonymous internet 'chat room' where they can share experiences, and exchange support and advice with others in a similar situation to themselves.

The Freedom project will also engage in wider promotional work to raise awareness of the issues surrounding mental health and to tackle the misinformation that may exist. Outreach workers will run workshops in local schools and colleges and with local community and religious groups. The project manager will seek to establish positive relationships with local community and religious leaders and encourage them to use their influence to tackle the misinformation associated with mental health problems.

The project will raise awareness of both the service it provides and mental health problems through its own newsletter distributed in the appropriate languages in communities where there is a high concentration of the target groups. It will also develop a project website.





## Part one: Project outcomes

**Outcome 1:** By the end of the project 100 people will have received support for mental health problems and the number of individuals from BME communities covered by the Freedom Project developing serious mental health problems will be reduced by 20 per cent.

Milestones	Timescales
Business plan produced and approved by Big Lottery Fund	December 2008
Project leader, specialist counsellor and three outreach workers recruited	January 2009/1st month
Staff training completed	February 2009/in 2nd month
First project newsletter produced and distributed to target communities	April 2009/by 4th month
Baseline data on those with serious mental health problems from BME communities targeted by the project is collected	July 2009/by 7th month
Confidential telephone and email support service established	July 2009/by 7th month
Project Evaluation Plan and monitoring process for project use by beneficiaries agreed	July 2009/by 7th month
Project web site developed and Internet 'chat room' established	August 2009/in 8th month
Annual monitoring of project beneficiaries and those from BME communities developing serious mental health problems completed	Annually
Final Evaluation report completed	September 2014/final quarter of project

**Outcome 2:** By the end of the project 40 per cent of those in BME communities' will show a greater understanding of mental health issues.

Milestones	Timescales
Business plan produced and approved by Big Lottery Fund	December 2008
Project leader, specialist counsellor and three outreach workers recruited	January 2009/1st month
Staff training completed	February 2009/in 2nd month
First project newsletter produced and distributed to target communities	April 2009/by 4th month
Baseline data on understanding of mental health issues from BME communities targeted by the project is collected	July 2009/by 7th month
Project Evaluation Plan and monitoring process for assessing awareness of mental health issues in BME communities agreed	July 2009/by 7th month
Suitable venues for awareness raising workshops identified and schedule of workshops drafted	August 2009/in 8th month
10 meetings held with local religious and community leaders to raise awareness	November 2009/in 11th month
10 awareness raising workshops delivered	Annually
Annual monitoring of understanding of mental health issues in BME communities completed	Annually

## Part one: Project outcomes

### **The X Project**

The X Project aims to reduce suicide rates and mental health problems in prisons by working with young men in custody to provide practical and emotional support in prisons through networks of 'peer supporters'. The project is delivered by a local mental health charity in partnership with the Prison Service. It is delivered in all three prisons in the region.

Peer supporters will be recruited from prisoners themselves. The prisons will be actively involved through canvassing information from parole officers, psychologists and prison officers to determine the personal suitability of candidates. The project uses existing social networks in prisons recognising that fellow prisoners are a vital source of information for identifying those most at risk of suicide.

Peer supporters will be trained to recognise signs of distress and suicide risk factors. They will also receive training on befriending, effective and active listening, non-verbal communications, the nature of mental illness, suicide prevention and suicide intervention.

Peer supporters will be supported through a full time project leader employed by the local mental health charity, who will supervise and train them. They will consult confidentially with the project leader on individual cases. Project leaders will complete a 'contact report' that summarises information for every prisoner who comes to them for support. The report will indicate the length of time spent with the prisoner, their risk of suicide and the type of problem they are experiencing.

The project leader will use the information in the reports to advise peer workers about the advice they should be giving to the prisoner, including services that they can signpost individuals who are at risk to. As prisoners are often reluctant to go directly to staff to discuss their problems, peer helpers act as a go between, thereby allowing those at risk to receive the support that they need.

Peer supporters will also benefit from the project themselves through increased self-esteem, confidence and awareness of the problems that are faced by those at risk of suicide in prisons.

**Outcome 1:** By the end of the project 300 at risk prisoners will have used the support provided by the project, and suicide rates across the three prisons will have dropped by 25 per cent.

Milestones	Timescales
Business plan produced and approved by Big Lottery Fund	December 2008
Project leaders recruited	January 2009/1st month
Project leaders training completed	March 2009/in first quarter
Scoping research to identify the context and issues that the project will address concluded	May 2009/5th month
Audit of available services for those at risk completed	May 2009/5th month
Baseline data on suicide rates in the prisons collected and evaluation plan established	May 2009/5th month
Peer supporters recruited	June 2009/by 6th month
Peer supporters initial training received	August 2009/in 8th month
Review of initial impact of peer supporters conducted and appropriate changes made to the project	November 2009/in final quarter
Annual monitoring of prisoners accessing project and suicide rates completed	Annually
Final evaluation report completed	September 2014/ final quarter of project

## Part one: Project outcomes

**Outcome 2:** By the end of the project 50 prisoners will have trained as peer supporters and they will have a better understanding of the issues and challenges faced by prisoners contemplating suicide.

Milestones	Timescales
Business plan produced and approved by Big Lottery Fund	December 2008
Project leaders recruited	January 2009/1st month
Project leaders training completed	March 2009/in 1st quarter
10 peer supporters are recruited	November 2009/by last quarter
Baseline information relating to peer supporters awareness of suicide and mental health issues completed	December 2009/by last quarter
Peer supporters initial training received	December 2009/by last quarter
10 new peer supporters are recruited and trained	Annually
Qualitative data relating to peer supporters understanding of suicide and mental health issues collected	Annually
Final project evaluation report completed	September 2014/last quarter of the project



## Part one: Who can apply for funding?



Under this grant programme we will only make grants to:

- voluntary and community organisations, including social enterprises
- public sector organisations
- private sector organisations, provided that the grant does not contribute directly to their profits.

We will not give a grant to:

- individuals.

We will not normally make grants to organisations that:

- are applying on behalf of other organisations – the organisation applying for a grant must be the same organisation that will receive and be responsible for the funding.

Applicants must be able to show that they have experience of working in the field of mental health.

We encourage applications from organisations with expertise in providing outreach and support services to the target groups. We expect projects to complement and add value to existing mental health services.

We encourage partnership working between local and national organisations and across sectors. You will need to have a written agreement with any organisation you are working in partnership with, making it clear what the responsibilities of each of the organisations are and how you will work together. If you work with other organisations, this is not only good practice, but it may help increase your application's chance of success.

## Part one: What will we fund?

Grants for revenue and limited capital costs are available for projects lasting up to five years. By a project we mean a discrete piece of work that is not part of the everyday work of your organisation. We will fund projects that benefit one or more of the following groups.

### 1. People with serious existing mental health problems

For this group, Mental Health Matters will only fund projects that provide coherent and co-ordinated support packages that deliver a comprehensive range of services to help people's recovery and reintegration. It will not support single measures aimed at one aspect of a group's problems.

Projects must work with individuals to put together tailored packages of services and activities that provide the additional community-based support to help them manage their condition, enhance their confidence and skills and promote their participation in community life. They should have formal arrangements with other services to ensure people have access to the full range of support they need. A significant element in all projects must be to tackle isolation and discrimination in the community and to promote greater understanding and awareness of mental health issues. Examples of the types of actions that might make up a co-ordinated package of services for this group include:

- help in managing risk and planning for recovery
- help with managing everyday activities, developing skills and building self-esteem
- individual support, mentoring, counselling or self-help groups

- measures to address discrimination and stigma in the community where projects are based
- promoting participation in social, recreational, volunteering and community activities
- helping people to get access to general health services, and promoting physical and mental health
- helping people to get housing, benefits, training and access to employment services
- social enterprises that provide people with support and employment.

### 2. People at greatest risk of developing serious mental health problems

Mental Health Matters will support projects that meet the needs of this group through single innovative measures as well as co-ordinated approaches. For example, projects might provide awareness raising, advice and outreach measures that are sensitive to the social and cultural issues faced by the target group. They should be able to refer people to sources of further help and confidential support. They should be delivered in setting and through organisation that are familiar and appropriate to the group. They should tackle the misinformation and discrimination concerning mental health within the community. Examples of the types of actions that might make up a project include:

- practical support to get sources of help and advice, including advocacy
- cultural consultancy services that can bridge the gap between mental health service providers and people from particular black and minority ethnic backgrounds

- working with community organisations to address cultural and social attitudes to mental health problems and provide confidential support for people with mental health problems
- outreach work with homeless people or people misusing drugs and alcohol
- rehabilitation support programmes for people leaving custody.

### **3. People at greatest risk of suicide**

Mental Health Matters will fund projects that meet the needs of this group through single innovative measures as well as joined up approaches. Projects should support initiatives that target groups of people known to be at most risk. They should raise awareness about mental health problems and suicide and advise on sources of help and support. They should be sensitive to the cultural and social issues associated with suicide and be delivered in settings and through organisations that are appropriate to the target group. Examples of the types of actions that might make up a project include:

- emotional awareness work with groups at risk of suicide and practical advice on coping with life challenges
- interventions with people who self-harm
- training and support for people who are in contact with high risk groups and can identify problems and sources of help
- peer support schemes that work with mentors and advisors from within the high risk group
- support for families of people who have attempted suicide.

These lists are illustrative and we will consider other activities that help the target beneficiaries that meet the aims and outcomes of the programme.

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

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

We also do not fund political activities.

Big Lottery Fund money must be distinct from Government funding and add value. Mental Health Matters will not subsidise current or planned health and social services that are normally supported through statutory sources of funding. It will not fund the continuation of existing funding. Only new and additional activities will be supported.

## Part one: What will we pay for?

We are able to pay for **all** the eligible costs of the project you want us to fund. These can include revenue, limited capital costs and overheads. However, we do encourage you to find some funding from other sources that can contribute towards the costs of your project.

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

### Direct revenue and capital costs

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

#### Eligible revenue expenditure includes:

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

- professional and legal fees associated with revenue expenditure on the project
- costs of additional clinical and social support essential to the delivery of the project.
- ▶ If you are awarded a revenue grant and you are not a statutory body, 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 form of legal opinion is attached in appendix two of these guidance notes.
- ▶ If you are a Non Statutory Body applicant, 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
- loan repayments
- contributions to general appeals
- costs of mainstream clinical or medical treatment normally provided by statutory services.

**Capital funding is only available for the costs of:**

- small scale alteration or refurbishment of buildings that will be used to deliver the project, including costs of improving disability access
- small items of equipment which are required to deliver the project's objectives and outcomes (for example, laptops or projectors)
- a vehicle essential for delivering the project.

We will allow you to spend up to five per cent of the grant you ask us for on capital costs, but this must be no more than £49,999. If you are applying for capital funding, you will need to read our Mental Health Matters capital application guidance notes available on our website at [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk) This guidance will explain what extra information you must provide with your application.

### **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 multiply this figure by the percentage of the eligible revenue and capital costs you are asking us to fund. In the application you are required to explain how you have worked this out.

**Eligible overheads include:**

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

**Ineligible overheads include:**

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

Please refer to 'Applying for your project overheads: Guidance for Big Lottery Fund Applicants' on our website [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk) for further information.

## Part two: Applying for funding to Mental Health Matters



This section gives details of the application process including the timetable for the Mental Health Matters programme. Detailed notes about completing the application form are in Part three on page 34.

### **Programme timetable**

Please see the table opposite for our programme timetable. Further details of the application process can be found on page 30. Dates may change due to unforeseen circumstances. If the changes affect your application, we will let you know the revised dates.

## All projects

27 February 2007	Mental Health Matters is launched. Applicants can request application packs or download them from our website.
28 September 2007 by 2pm	Applicants complete and return an application form.
12 October 2007	Applications are acknowledged within ten working days of us receiving them.
October 2007 to March 2008	We check if your project is eligible to apply. Eligible projects are assessed and graded. We may contact you during this process.
April 2008	Recommendations are made to the programme committee which decides whether to award applicants a grant or to reject the application.

## Successful applicants

April 2008	Applicants will be sent a grant offer letter within 10 working days of the committee. It must be signed and returned within 20 working days.
	Grant holders will be sent the post award guidance information.
	Up to one per cent of the grant will be available to develop your business plan.
By 29 August 2008	Grant holder submits a business plan by the agreed date.
By 12 December 2008	The business plan will be reviewed. We may contact you during this process. You will have up to 10 working days to make any necessary improvements.
By January 2009	Once your business plan or capital project delivery plan has been approved, we will contact you to discuss the continuation of the grant.

## Unsuccessful applicants

April 2008	We write to unsuccessful applicants within 10 working days of the committee decision, telling them why their application was unsuccessful.
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## Part two: **The application process**

Once you have read these guidance notes you should send us an application form. We sent you this form with these guidance notes. If you do not have a copy, call our Big Advice Line on 029 2067 8200 (textphone 01686 610 205).

### **Deadline for applications**

Your application must be received by **Friday, 28th September 2007 at 2pm** and sent to:

**The Big Lottery Fund**  
**6th Floor**  
**1 Kingsway**  
**Cardiff**  
**CF10 3JN**

**Email:**  
**[mentalhealthmatters@biglotteryfund.org.uk](mailto:mentalhealthmatters@biglotteryfund.org.uk)**

### **How many applications can be submitted?**

You can submit more than one application per lead organisation under this programme.

### **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 ten working days 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 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 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 seven months to tell you if your application has been successful. If it will take longer, we will tell you the new timescales.

If your project meets our criteria, your application will be presented to the programme committee for a decision. If we decide not to fund your application we will write to you and 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. The Mental Health Matters programme has £15 million for grants in Wales. We expect we will get more applications for good projects than we can support and our grant funding decisions are made at 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.





## Part two: What happens if you are awarded a grant

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

If your application is successful and we award you a grant you will be required to submit a detailed business plan for your project as a condition of the grant. We will need to review and approve this.

Once you have formally accepted the grant offer, we will send you a post award guidance pack which will explain what you must include in your business plan. We will contact you to discuss how much of the grant you will require at this stage and what you will use it for.

We will give you up to one per cent of your grant to cover the costs you will incur in developing your business plan. This money can only be used to develop your business plan and **cannot be used to pay for materials and small items of equipment**. A draft copy of the business plan guidance notes is available on our website for information only. You are only required to submit a business plan if your application is successful.

You must submit your business plan within four months of the grant offer being made. 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 20 working days 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 payments from the rest of your grant until your business plan has been approved.

You will receive further details about this process if you are awarded a grant.

### Monitoring your project

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

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

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

## **Evaluating your project**

Mental Health Matters will support projects that take a new approach to meeting the needs of people with serious mental health conditions and support new ways of reaching out to high-risk groups. We want to make sure that the projects we fund make a difference and that the lessons learned are properly documented, analysed and used to inform the development of future work in Wales and across the UK.

All projects funded under this programme will have to evaluate their work and they will need to provide us with information that will allow us to build up a picture of the impact that the programme is having across the whole of Wales. We will advise successful projects on the information that they must collect.

We ask you to tell us your plans for monitoring the progress of your project and your proposals for self-evaluation when you apply for funding.

If you are successful you must share your evaluation reports with us. It is also good practice to report interim findings from your evaluation so that you can learn from the programme as it progresses.

We will use this information as part of our own evaluation of the programme to determine whether it has met its programme outcomes. We will also use it to report to government on how our money has been used and to inform the development of future funding programmes and procedures. We may use the experience of successful projects to show what Lottery funding has achieved.

Self-evaluation is valuable for good project planning and managing your work. By carrying out your own self-evaluation you are directly in control of the process, and this will help you to gain a better understanding of the issues and develop your organisation's skills in this area. It will help you to learn from your project and use this to inform your future work. It will also help you to promote your project to potential funders.

You can include reasonable and proportionate self-evaluation costs in the project budget and we will allow you to include the costs of an external evaluator.

## **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, we would not release personal information unless required to do so by law.

## 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 eighteen 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.

Projects funded under Mental Health Matters will work with vulnerable people, and you will need to ensure they are safe. You must have a policy in place that explains how you will do this and that the policy is put into practice. You should also make sure that any other organisations you engage to deliver services working with vulnerable people also have procedures in place for their protection.

Under the Safeguarding Vulnerable Groups Act 2006 employers will be committing an offence and will face penalties if they employ people to work with children and vulnerable adults that they know are barred. In the most serious cases they could face penalties of up to five years in prison. Failure to make a background check could also result in fines of up to £5,000.

It is your responsibility to have appropriate young people and vulnerable adult policies and procedures in place. We can ask to inspect these at any time.

## **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. 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 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 fully justify the amount of funding you have asked for under each budget heading. For example, if you would like the grant to pay for salaries, it must be clear how you worked out the level of salaries, including salary scales and inflation.

You must ensure that you include any extra costs incurred such as National Insurance and pension contributions. We would expect that all new posts are openly recruited; you should include any necessary costs to do this.

**It is essential that you cost your project accurately. If you are awarded a grant it will be awarded on the basis of the figures that you have given in your application. We will not normally be able to increase your grant at a later stage if your calculations prove to be inaccurate.**

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.

It is important that you have procedures in place for handling and managing the project budget. This includes a proper bookkeeping system, regular financial checks and properly prepared accounts. We would expect you to comply with the Statement of Recommended Practice (SORP). For further information on SORP refer to the Charity Commission website at [www.charity-commission.gov.uk](http://www.charity-commission.gov.uk)

## Part three: **Application form help notes**

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

### **Section 1: Organisation details**

#### **1.1 Organisation name**

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

If your organisation is also known by another title please put this in brackets. For example 'The European Children's Trust (known as 'ECT').'

#### **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. If you are a branch, please tick to confirm whether you are a dependent or independent branch.

#### **1.4 Main contact details for the project**

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

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

#### **1.5 Organisation type**

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

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

We need to report on how much money we award to each sector. Please tell us which sector your organisation is part of. If you are not sure, please tick other and we will review this when we receive your application.

### **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 account**

All organisations that receive a grant from us must have a bank 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. Tick the yes box if this applies or the no box if it does not.

Please ensure that you read the question carefully and provide all of the necessary information that is requested.

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

### **▶ Statutory bodies**

If you are a statutory body, we may ask to see your financial records when we assess your application. Please do not send financial records at this time.

### **▶ Non-statutory bodies**

If you are not a statutory body, 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.

### **▶ New organisations**

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.

## Part three: **Application form help notes**

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

#### **2.1 Project name**

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

#### **2.2 Project summary**

Briefly describe your project, telling us the main purpose and what it will achieve. Summarise the main services, activities and facilities the project will provide.

#### **2.3 Project location**

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

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

#### **2.4 Project beneficiaries**

Tell us about the people and organisations that will mostly benefit from your project and the needs they have. You also need to explain beneficiary involvement in planning, running and monitoring your project.

In this programme beneficiaries will be people mainly between 16 and 65 who:

- have serious mental health problems
- are at risk of developing serious mental health problems
- are at greatest risk of suicide.

Please tell us how many people you estimate will benefit directly from your project each year. Tell us the number of individuals involved, not the number of sessions or events they will attend. 'Direct beneficiaries' are those who you could count or identify, generally people who have taken part in the project or who have used the service that you provide.

#### **2.5 Project need**

##### **What is the need for your project?**

Tell us about what is already being done to support those with mental health needs in your area. Think about what services are already being provided by voluntary organisations or by statutory organisations like local health boards (LHBs), NHS Trusts, Community Mental Health Teams (CMHTs) and local authorities. Explain how your project will add to them or fill any identified gaps in existing services.

### **How have you identified that need?**

Tell us who you have consulted with and how, to identify the need for your project. These will include those who will benefit from your project and the statutory services that you will be expected to work closely with like LHBs, NHS Trusts, local authorities, and CMHTs.

Tell us about any research or evidence that you have gathered that supports the need for your project.

You will also need to explain how your project will fill any gaps in existing facilities and services and how it will contribute to addressing the needs identified in local and national policies and strategies. You may need to consider the following:

- Adult Mental Health National Services Framework (NSF)
- the Welsh Assembly Government's strategy for adult mental health services
- the Mental Health Promotion Action Plan
- local mental health action plans where they exist.

### **Who are the main partners and stakeholders and in what ways do you work with them?**

Identify the key stakeholders, explain their roles and responsibilities and the commitments they have made to the project.

Explain how the work you have done with stakeholders has helped to identify the most important priorities.

Tell us about any other organisations you have worked with to help develop your project.

Explain how you will continue to work with them to deliver the project.

If you are going to work with partners to deliver the project, provide a copy of your terms of reference or partnership agreement if applicable.

### **2.6 Project outcomes** **Briefly describe what difference your project will make by listing up to six proposed outcomes.**

Outcomes are the changes or difference that you want your project to make over time. Consider what outcomes your project aims to achieve and break these down into concise bullet points. These are project outcomes. Please list no more than six project outcomes.

Mental Health Matters also has its own outcomes. Although your individual project outcomes are separate from these, they must contribute to the outcomes of Mental Health Matters as a whole.

You need to ensure that your proposed individual project outcomes meet at least two of the Mental Health Matters outcomes as explained below.

## Part three: **Application form help notes**

### **How will your proposed project outcomes help achieve the outcomes of the Mental Health Matters Programme?**

Projects must aim to achieve one or more of outcomes one, two or three:

1. People with serious mental health problems live fulfilling lives in their communities.
2. Reduced incidence of relapse or crises amongst people with mental health problems.
3. Improved awareness of mental ill-health and access to appropriate support among groups at greatest risk of serious mental health problems or suicide.

In addition, we require all projects to address the stigma and discrimination faced by people with mental health problems as an integral part of their work. All projects must aim to achieve outcome four:

4. Communities have greater understanding and are more supportive of people with mental health problems.

Explain which of these your project will address and how your project will contribute to achieving them.

Our booklet, 'Explaining the difference your project makes' provides more information on setting outcomes and identifying milestones. You can find it on our website at [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk).

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

#### **3.1 Project delivery method**

#### **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. You will need to explain:

- how your project will be delivered
- why it will be delivered in this way
- how it will meet the specific needs of the people that you are targeting
- how it will build on good practice
- who you will work with to deliver the project and how they will be involved
- why your organisation is best placed to deliver this project
- why is it the best way to meet the identified need.

Projects funded under Mental Health Matters will support vulnerable people. It is important that their needs continue to be met once our funding for the project comes to an end. Tell us about the discussions that you have had with your partners and stakeholders about the sustainability of your project and how those benefiting from the project will be supported in the longer term.

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

You are required to monitor the progress of your project and conduct self-evaluation. Tell us how you will measure progress against your outcomes and milestones. Explain what information you will collect about the people using your project and how you will measure their progress. Outline how you plan to self-evaluate your project. Tell us how you will involve the people using the project in doing this.

There is more information on monitoring and evaluation on pages 32 and 33 of these guidance notes, and in 'Explaining the difference your project makes' which is available on our website at [www.biglotteryfund.org.uk](http://www.biglotteryfund.org.uk).

### 3.2 Outcomes table

Complete the outcomes table for each outcome of your project. 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.

For each of your proposed project outcomes, define the key stages that you expect to complete. Please copy and complete the table for each outcome you have listed in question 2.6.

When identifying your outcomes try to show the number or percentage of people you think will benefit from each outcome.

**Milestones** – Please list up to 10 milestones for each outcome. These should be short bullet points that state the key activities, tasks, services or changes that will take place at different stages in the project. Your first milestone is likely to be the production of a business plan, once you have been awarded a grant. Within each milestone, you might want to tell us the percentage or number of people you think will participate in or achieve each milestone.

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

**Timescales** – Please give a time scale for reaching each milestone. This should be a time by which the milestone will be achieved, for example the twelfth month of year one, final quarter of year one, or the end of project year one.

### 3.3 Project Management

Explain any experience your organisation has of managing similar projects.

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

You must also tell us about:

- the management structure you will have for staff employed by the project
- the budget controls and financial systems that you will have in place
- the policies and procedures that you will have in place that will be essential to delivering services to those benefiting from the project
- the skills and experience of your management committee and staff
- how decisions are made within the organisation, for example, if by a management committee.

Tell us about any assumptions you have made when working out these requirements.

## Part three: **Application form help notes**

### **3.4 Equal opportunities**

Tell us how the people or organisations that you are targeting will know that the project exists, will have access to the project and can use the facilities and services provided.

Tell us also how your project and organisation demonstrates your commitment to equality and meets 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. In particular, you will need to demonstrate how your project will meet the needs of Welsh speakers.

### **3.5 Young people and vulnerable adults**

Projects funded under Mental Health Matters will work with vulnerable people. You must ensure they will be safe. As a minimum you must have a policy that explains how you will do this and that the policy is put into practice. Your policy must meet the requirements of the Safeguarding Vulnerable Groups Act 2006.

It is your responsibility to have appropriate young people and vulnerable adult policies and procedures in place, which we may ask to inspect at any time.

You must demonstrate that any other organisations you engage to deliver services working with young people or vulnerable adults also have procedures in place for their protection.

If you are awarded a grant and have made a false declaration, you will be in breach of our terms and conditions.

### **3.6 Project Budget**

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

Make sure you read the notes on pages 10 and 26 as they will tell you:

- the total amount we will fund
- the total project costs we will consider for this programme
- 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. Complete the budget sheet using the budget headings provided as a guide and add any other budget headings that will be important to delivering your project. This will let us see what costs your project will include. You should also include any costs that you will incur during the development of your business plan if you are awarded a grant.

**Please remember that it is essential that you cost your project accurately. If you are awarded a grant it will be awarded on the basis of the figures that you have given in your application. We will not normally be able to increase your grant at a later stage if your calculations prove to be inaccurate.**

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.

### **Tell us how you worked out your costs**

Include a full breakdown of how you have reached the figure under each budget heading for example:

#### **Salaries year 1.**

1 x Project Manager @ £23,952 per annum  
National insurance @ 12.8% = £3,065.86  
Pension @ 8% = £1,916.16  
Total for project manager = £28,934.02

1x Support Worker @ £10,794  
National insurance @ 12.8% = £1,381.63  
Pension @ 8% = £863.52  
Total for support worker = £13,039.15

Total salary costs year 1. £41,973.17,  
subsequent years include 3 per cent cost of living increase.

Please indicate the salary band, starting salary and ensure that you have built increments into your year on year calculations where appropriate.

#### **Training for staff and volunteers**

2 x Drug and Alcohol Awareness Courses @ £50.00 per session = £100.00

3 x Health and Safety Courses @ £100 per session = £300.00

Travel costs based on 200 miles a year at 40p per mile.

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

### **3.7 Project Funding**

Tell us how much money you will require from us during each year of your project.

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

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

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

### **3.8 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.

## Part three: **Application form help notes**

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 grid for each member of staff that will work on the project.

### **3.10 Volunteers**

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

## **Section 4: Finishing your application form**

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

You are able to send your application to us by email, on disk or as a hard copy, however Section four must be sent to us in hard copy as we need to receive the original signatures.

Make sure that you write the 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.

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.

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. You do not need a signatory from an independent referee if you are a statutory body.

Please note that the independent referee must have known your organisation for at least one year or from its start and must support your application for funding. Your referee must be a person with a professional or public position whose status we can check, for example:

local councillor

Justice of the Peace

Member of Parliament

Member of the National Assembly for Wales

senior bank official

religious leader

healthcare professional\*

school teacher\*

social worker\*

police officer\*

officer from a council for voluntary service

an officer who has worked for more than five years in a local authority or other Lottery distributor (not the Big Lottery Fund).

If your project is exceptionally working with children under 16, your referee must be someone from the options marked with an asterisk (\*)

Your referee must not be:

- a current member of your organisation, a trustee or a member of staff

or

- related to someone in one of these positions

or

- formerly (that is, within the last two years) in one of these positions

or

- someone who will directly benefit if you get a grant.

If your application form is not signed by the appropriate people, we will return it to you.

### **Advice and support**

We will be organising briefing sessions across Wales to provide applicants with support to complete their applications.

If you have questions about this programme contact us on 029 2067 8200 (textphone 01686 610 205) or email: [enquiries.wales@biglotteryfund.org.uk](mailto:enquiries.wales@biglotteryfund.org.uk)

# Appendix one: **Mental Health Matters draft 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 start the project within six months of the date of the Grant Agreement, or if it is delayed, write to you giving reasons for the delay and asking for an extension.
- 2.3 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.
- 2.4 We will not use the grant to pay for any spending commitments we have made before the date of the Grant Agreement.
- 2.5 We will tell you of any offer of funding for the project from anyone else at any time during the project.
- 2.6 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.

- 2.7 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. If appropriate, we will include your logo and ensure that we use the Wales bilingual version.
- 2.8 We will operate, where possible under the recommendation set out in the Big Lottery Fund's Welsh Language scheme. We will take in consideration the linguistic needs of the beneficiaries of the project and the wider community and act accordingly.
- 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 We will provide you and any third party working for you with a full copy of our evaluation of our project before final payment of grant.
- 2.12 We will use such evaluation tools as you or a third party working with you may produce.
- 2.13 We will take part in any evaluation of the programme you conduct.
- 2.14 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.
- 2.15 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 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 required by law or by you.
- 2.16 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.

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

2.18 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.

2.19 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
- 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, HM Revenue and 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 scheme, 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 scheme, 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 organisation's 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 10 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. If a statutory authority, 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 deliver the project.

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### **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 used to buy any other capital items such as equipment or other 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.
- 8.2 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 five 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.
- 8.3 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.
- 8.4 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.
- 8.5 We understand that you will monitor assets bought with the grant for a period of up to 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.
- 8.6 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.

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### **9. Payment of grant**

- 9.1 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 cash withdrawals or payments from this account.
- 9.2 You will not be liable for any losses or costs (including, but not only, bank charges) if you do not make grant payments on the agreed date. We must take up the first instalment of the grant within six months of the date of the grant award or offer letter; otherwise it will automatically lapse, unless you agree in writing to an extension.
- 9.3 If you are not funding 100% of the total project costs, we will submit evidence of partnership funding prior to the release of the first payment in every relevant year of the Grant Agreement.
- 9.4 If you pay the grant in instalments over two or more years, payment for the second and following years will depend on your approval of an end of year report on the previous year, which we will complete on a form provided by you within two months of the end of the grant year. If we do not do this, grant payments may be suspended.
- 9.5 You will normally make payments for up to three months spending in advance as long as we complete a satisfactory payment plan before the project starts and we have given written notice of the project start date.
- 9.6 If you are not satisfied that we have met all the terms of our Grant Agreement, or you need extra information or documents, you may ask for this and may postpone payment of the grant until you feel that the terms are met or until you receive the material you want.

### **10. Length of Grant Agreement**

- 10.1 These terms and conditions and the Grant Agreement remain in force for whichever of these is the longest time:
  - for one year following the payment of the last instalment of the grant
  - as long as any part of the grant remains unspent
  - the expiry of the maximum period required under the grant for asset monitoring
  - as long as we do not carry out any of the terms and conditions of the Grant Agreement or any breach of them continues (this includes any outstanding reporting on grant expenditure or project delivery).

## **11. We understand that**

- 11.1 You can only guarantee future instalments of the grant as long as funds from the National Lottery are available and you continue to operate.
- 11.2 We accept that you may share information about our grant with any parties of your choice as well as with members of the public who make a request for information under the Freedom of Information Act 2000. Details of the project may be broadcast on television, on your website, in newspapers and through other media.
- 11.3 You will not increase the grant if we spend more than the agreed budget.
- 11.4 You may suspend payment of the grant if you want to investigate any matters concerning the grant (or any other grants you have given to us). We understand that you accept no liability for any consequences, whether direct or indirect, that comes about from a suspension even if the investigation finds no cause for concern.
- 11.5 You may withhold or demand repayment of all or part of the grant at your absolute discretion, in any of the following circumstances if:
- we fail to meet any of these terms and conditions, or the terms and conditions attached to any other grants from you for which a Grant Agreement is still in force
  - we completed the application form dishonestly or significantly incorrectly or misleadingly
  - we or any other person or organisation operating for us gave you any significantly misleading or inaccurate information, whether deliberate or accidental, during the application process, or during the period of the Grant Agreement
  - members of our governing body, volunteers or staff act at any time during the project dishonestly or negligently or in any way, directly or indirectly, to our detriment or to the detriment of our organisation or the project or to the detriment of your reputation
  - our organisation, members of our governing body, employees or volunteers are subject to an investigation or formal enquiry by the Police, Charity Commission, HM Revenue and 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

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- 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 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.

