

# **Sustainable Social Services**

## **Third Sector Grant 2020 – 2023**

### **Guidance Notes**

## **PART 1 – Introduction and background**

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### **Introduction**

This guidance is intended to assist third sector organisations that are considering applying for funding through the Welsh Government’s Sustainable Social Services Third Sector Grant 2020–2023.

If you plan to make a grant application please register with the [SocialServicesGrantApplications2019@gov.wales](mailto:SocialServicesGrantApplications2019@gov.wales) mailbox sending us the name of your organisation, your name and your e-mail address so we can make arrangements for you to submit your application electronically via a secure route.

The closing date for applications is **midday on Monday 2 September 2019**

### **About the grant**

The purpose of the Sustainable Social Services Third Sector Grant (Phase 2) is to support Welsh Ministers’ priorities of an equal relationship between people and practitioners; early intervention and prevention; and transforming the way people’s needs for care and support are met. This was first set out in *Sustainable Social Services – a Framework for Action* and has been placed on a statutory footing by the Social Services and Well-being (Wales) Act 2014 which was brought into force in April 2016.

The grant provides funding for projects delivered by Third Sector Organisations, with a proven track record in delivering projects and knowledge and/or experience of the social care sector, which meet the following criteria:

- Grants will be for projects that deliver early intervention and prevention and address care and support needs identified in regional population assessments and area plans and the national population assessment report (Social Care Wales: November 2017). Projects that support the following core themes, drawn from these reports, can be considered for funding through this grant:
  - Carers who need support
  - Children and young people
  - Physical or sensory disability
  - Learning Disability and Autism
  - Older People
- The project will be in line with the priorities set out in Taking Wales Forward, Prosperity for All and in A Healthier Wales: our Plan for Health and Social Care. The project will support the Well-being Goals and Principles that underpin the Well-being of Future Generations (Wales) Act 2015
- The project will provide services which complement, rather than duplicate, those already provided by the public sector or third sector in Wales.

Applicants will need to demonstrate in their application that the proposed service is not currently available.

- The project will have a positive impact on improving the well-being outcomes of people who need care and support and carers who need support.
- Priority will be given to projects that are designed and run on the basis of genuine co-production with people who receive care and support and carers who receive support. This will include co-operative models of governance and ownership.
- The project can be delivered on a regional basis initially but must set out plans for how the project can be rolled out on an all Wales basis.
- The project will meet the public sector equality duty and be accessible to individuals with protected characteristics and support the Welsh Government Welsh language policies.
- The project is either sustainable beyond the funding period of 2020-23, or will be delivered fully within the 2020-23 funding period.

### **Funding Criteria.**

- No more than 10% of the overall funding available will be awarded to a single proposal i.e. the maximum annual bid for a project is £700,000.
- To reduce the potential for duplication and to encourage a more collaborative approach between organisations, there will be a minimum grant award of no less than £50,000 per annum
- The funding can be used for all costs associated with delivering a project but the scheme **will not** provide core funding. The funding will be awarded reflecting the principles of Full Cost Recovery
- The grant scheme **will not** fund any project that is in receipt of any other Welsh Government funding.

This grant scheme will operate under Section 64 of the Health Services and Public Health Act 1968 and Section 14 of the Education Act 2002. These powers are vested in the Welsh Ministers by paragraph 58A of the Government of Wales Act 2006. The Welsh Government will award grant funding under this legislation to support projects delivered by Third Sector organisations operating in the field of sustainable social services.

Applications will be assessed in relation to the essential criteria set out in Part E; the. The application will need to identify which service group(s), set out in Part D, the project will benefit and clearly set out the outcomes that will be achieved, linking these to the *National Outcomes Framework for people who need care and support and carers who need support*.

<https://gov.wales/social-services-national-outcomes-framework>

Please ensure you have included with your application all relevant supporting documents required. A checklist is provided at page 14 of the application form for ease of reference.

For any queries regarding this grant which you find are not answered in the guidance notes, please contact

**[SocialServicesGrantApplications2019@gov.wales](mailto:SocialServicesGrantApplications2019@gov.wales)**

Alternative versions of this document are available on request.

### **Privacy Notice.**

The *Privacy notice: Welsh Government grants* sets out how we will handle any personal data you provide in relation to a grant application or request for grant funding. <https://gov.wales/privacy-notice-welsh-government-grants>

### **Purpose and background**

The purpose of the Sustainable Social Services Third Sector Grant is to support Welsh Ministers' priorities of an equal relationship between people and practitioners; early intervention and prevention; and transforming the way people's needs for care and support are met. Front line services are critical in delivering these changes.

The criteria that apply to this grant scheme are:

- The grant scheme **will** provide funding to **projects** which meet certain criteria.
- The grant scheme **will not** provide core funding to organisations but the funding will be awarded using the principles of full cost recovery and can be used for support costs associated with delivery.
- The grant scheme **will not** fund any project that is in receipt of any other Welsh Government funding.
- We particularly welcome applications from organisations that will be collaborating and working in partnership. For joint applications, a successful grant will be awarded to the lead organisation nominated by the partners to the application.
- To reduce potential duplication and to encourage a more collaborative approach between organisations, there will be a minimum grant award of no less than £50,000.

## **Who can apply for the Grant?**

The 'Third Sector' is an inclusive and overarching description of a very diverse range of organisations that share a set of values and characteristics. It is widely accepted that Third Sector organisations are:

- independent, non-governmental bodies;
- established voluntarily by people who choose to organise themselves;
- 'value-driven' and motivated by social, cultural or environmental objectives, rather than simply to make a profit;
- committed to reinvesting their surpluses to further their social aims and for the benefit of people and communities in Wales.

A broad range of organisations make up the fabric of the Third Sector including community associations, self-help groups, voluntary organisations, charities, faith based organisations, social enterprises, community businesses, housing associations, development trusts, co-operatives and mutual organisations.

Applications received from any Third Sector organisation(s) will be considered. This funding is open to Third Sector organisations working individually or in partnership and collaboration.

There is no limit on the number of applications submitted as long as there is no duplication i.e. one organisation submitting multiple applications (joint or sole) for the same project.

## **What funding is available?**

The maximum amount of funding available during each year of the grant (2020-21, 2021-22 & 2022-23) financial year is £7million. The Welsh Government will be looking to fund a number of projects from this total.

No more than 10% of the overall funding available will be awarded to a single proposal i.e. the maximum annual bid for a project is £700,000

The level of funding requested can vary over the three year period e.g. building in years two and three as project delivery is established.

Applications from organisations working in partnership will be especially welcomed in order to encourage greater collaboration across the Third Sector. Applicants should consider this when developing applications.

To reduce potential duplication and to encourage a more collaborative approach between organisations, there will be a minimum grant award of no less than £50,000. The £50,000 minimum relates to all three years of the project. For joint applications, a successful grant will be awarded to the lead organisation nominated by the partners to the application.

Applications must clearly identify what grant funding will be used to pay for and how this will support the delivery of the project outcomes identified.

The Welsh Government will consider co-funding projects where other sources of secure funding have also been identified. Applicants must provide details of all other sources of funding in their application.

There is an expectation that all projects will start in April 2020. In the event a project will be completed within two years then grant will be awarded for that period. The Welsh Government wishes to maximise the impact of the budget, in the event there is any un-used budget we would seek Ministerial agreement to re-offer.

Welsh Government policy is to make payments in arrears. However it recognises that most Third Sector organisations do not hold large reserves and do not have the resources to undertake work and receive payment afterwards. Provision of funding for committed expenditure may be considered in advance of payment but only where evidence of need is clearly established. A questionnaire will be provided to organisations who are made a grant offer to determine the financial needs. If advance payment is agreed for a specific organisation the first grant payment will be made in April 2020 (subject to receipt of all pre-funding documentation).

### **What can the grant be used to pay for?**

The grant is a revenue grant, which means we will fund revenue costs for projects for the period 1 April 2020 – 31 March 2023, or part of that period. Revenue costs are the costs incurred in the day-to-day running of the organisation and its projects. Revenue costs can be overheads or direct project costs and can include items such as salaries; phone bills; rent; lighting; heat; and materials.

Full details of what we will and will not fund can be found at **Annex A**.

Prospective applicants should consider this information carefully, including the requirements in relation to state aid at **Annex B**.

The funding will be awarded using the principles of full cost recovery. Further details on the principles of Full Cost Recovery can be found in **Annex to the Third Sector Scheme Code of Practice for Funding the Third Sector PART ONE: WELSH GOVERNMENT FUNDING PRINCIPLES** VIII. Full Cost Recovery

<https://documents.hf.wales.gov.uk/id:A3007997/document/versions/published>.

Further guidance on appropriate models for calculating a fair contribution to overheads can be found here

<http://www.wcva-ids.org.uk/wcva/1096> and see

<http://www.thinknpc.org/publications/full-cost-recovery-2/>

### **Criteria and assessment process**

Funding will be awarded on a competitive basis to those organisations that are best able to demonstrate how their proposals support *Sustainable Social Services – a Framework for Action* and the Social Services and Well-being (Wales) Act 2014 outcomes, meet our criteria, and demonstrate good value for money.

## Required Criteria

Applications must evidence how **ALL** of the following criteria will be met.

Criteria
The application is from a Third Sector organisation
The organisation(s) applying for funding must have a proven track record in delivering projects and able to demonstrate knowledge and/or experience of the social care sector.
Grants will be for projects that deliver early intervention and prevention and care and support needs against the core theme areas identified in the Care and support in <i>Wales: national population assessment report</i> (Social Care Wales: November 2017) <ul style="list-style-type: none"> <li>• Carers who need support</li> <li>• Children and young people</li> <li>• Physical or sensory disability</li> <li>• Learning Disability</li> <li>• Older People</li> </ul>
The project will deliver early intervention and prevention and care and support needs in line with the priorities of Taking Wales Forward, Prosperity for All and in A Healthier Wales: our Plan for Health and Social Care. The project will support the Well-being Goals and Principles that underpin the Well-being of Future Generations (Wales) Act 2015
The project will provide services which complement, rather than duplicate, those already provided by the public sector or third sector in Wales. Applicants will need to demonstrate in their application that the proposed service is not currently available.
The project will demonstrate a positive impact on improving the well-being outcomes of people who need care and support and carers who need support.
Priority will be given to projects that are designed and run on the basis of genuine co-production with people who receive care and support and carers who receive support. This will include co-operative models of governance and ownership. <b>The score for this criterion will be doubled</b>
The project can be delivered on a regional basis initially but must set out plans for how the project can rolled out on an all Wales basis.
The project will meet the public sector equality duty and be accessible to individuals with protected characteristics and support the Welsh Government Welsh language policies
The project is either sustainable beyond the funding period of 2020-23, or will be delivered fully within the 2020-23 funding period.
No more than 10% of the overall funding available will be awarded to a single proposal i.e. the maximum annual bid for a project is £700,000.
To reduce the potential for duplication and to encourage a more collaborative approach between organisations, there will be a minimum grant award of no less than £50,000 per annum

## Coverage

The Welsh Government wants to ensure that, in keeping with current priorities, projects are delivered across a range of service areas.

All applications must complete part D of the application form to identify one or more of the following areas where they will provide services to benefit the following groups:

- Carers who need support
- Children and young people
- Physical or sensory disability
- Learning Disability and Autism
- Older People

The Welsh Government will seek to ensure that grants are allocated across these areas in a way which reflects population needs.

We are keen to see further initiatives developed in relation to the provision of sustainable social services care and support in the Welsh language and encourage applications which seek to achieve this.

Projects that can demonstrate that they will have a positive impact on loneliness and social isolation will be particularly welcomed.

The Welsh Government wishes to support projects which will generate some degree of additional social, economic and environmental wellbeing now and in the future. The Welsh Government's aim is to build stronger communities, reduce social exclusion and poverty, and encourage the development of the wider economy. To this end, we will support services and activities which incorporate participatory principles - encouraging the beneficiaries of services provided (where possible and appropriate) to consider how they might become proactively engaged, rather than passive recipients of support. This could include individuals becoming volunteers or peer mentors themselves, or the use of 'time banking' to the benefit of the wider community.

### **How will applications be assessed?**

Applications will be assessed in two stages:

The first stage will be an initial assessment undertaken by officials from the Welsh Government's Social Services and Integration Directorate to ensure that applications have been submitted in accordance with the requirements set out in this guidance. Those which have not been submitted in full accordance with the requirements of this guidance will be excluded from further assessment.

The second stage will be undertaken by a wider panel of Welsh Government policy officials; applications will be assessed against the key criteria set out in part E of the application form. Evidence submitted in the application form must demonstrate how the project will deliver against the wellbeing statements in the National Outcomes Framework (Annex C).



<https://gov.wales/social-services-national-outcomes-framework>

To ensure further independence and objectivity, Welsh Government may choose to invite external independent representatives to join the panel or to be involved in the assessment process.

In each case, panel members will also consider the merits of the project as a whole, based on the entirety of the information provided.

Applications will be assessed in relation to the essential criteria set out in Part E. The application will need to identify which service group(s), set out in Part D, the project will benefit and clearly set out the outcomes, Part F, that will be achieved, linking these to the National Outcomes Framework.

<https://gov.wales/social-services-national-outcomes-framework>

All parts of the application form must be completed. Failure to complete all parts of the form **will** result in the application being excluded from further assessment.

In assessing applications, the following scoring mechanism will be applied against the Essential Criteria (**Part E**):

17 a - The application is from Third Sector organisation(s) (as evidenced by your response to question B5)

17 b - The organisation(s) applying for funding must have a proven track record in delivering projects and able to demonstrate knowledge and/or experience of the social care sector (as evidenced by your response to question B6)

17 c - The project will deliver early intervention and prevention and care and support needs in line with the priorities of Taking Wales Forward, Prosperity for All and in A Healthier Wales: our Plan for Health and Social Care. The project will support the Well-being Goals and Principles that underpin the Well-being of Future Generations (Wales) Act 2015

17 d - The project will provide services which complement, rather than duplicate, those already provided by the public sector or third sector in Wales.

17 e - The project will demonstrate positive impact on the wellbeing of people using the definition of wellbeing set out in the Social Services and Well-being (Wales) Act 2014.

17 f - Priority will be given to projects that are designed and run on the basis of genuine co-production with people who receive care and support and carers who receive support

17 g - . Please indicate geographically where in Wales the project will be based and if the project will be delivered on a regional basis initially how can it be rolled out on an all Wales basis.

17 h - The project will meet the public sector equality duty, and will be accessible to individuals with protected characteristics?

17 l - The proposed project is either sustainable beyond the funding period of 2020-23, or will be fully delivered within the 2020-23 funding period.

For Question 17a the evidence will be assessed as PASS or FAIL. If the application FAILS this criterion it will not be considered any further.

Questions 17 b – i will be assessed against a five point scoring system:

0 = no evidence

1 = weak evidence

2 = sufficient evidence

3 = good evidence

4 = strong evidence

The score for question 17 f (co-production) will be doubled to reflect the commitment that priority will be given to projects that are designed and run on the basis of genuine co-production with people who receive care and support and carers who receive support.

Advice will be submitted to the Deputy Minister for Health and Social Services as to which applications should be supported; based on the outcomes of this process and ensuring the proposals are aligned to the available funding.

A timeline of the application process is included at Annex E.

**PLEASE NOTE:**

**WELSH GOVERNMENT ASSESSMENT OF APPLICATIONS CAN ONLY BE MADE ON THE BASIS OF INFORMATION PROVIDED BY THE APPLICANT.**

**APPLICATIONS WHICH DO NOT INCLUDE ALL OF THE INFORMATION OR SUPPORTING DOCUMENTATION REQUIRED WILL BE EXCLUDED FROM ASSESSMENT.**

**PLEASE TAKE CARE TO READ THROUGH THE APPLICATION FORM AND ACCOMPANYING GUIDANCE CAREFULLY AND ENSURE THAT ALL REQUIRED INFORMATION HAS BEEN INCLUDED BEFORE SUBMITTING TO WELSH GOVERNMENT.**

**APPLICANTS MUST NOT COMMENCE WORK ON A PROJECT THAT THEY ARE SEEKING SUPPORT FOR UNTIL THE FUNDING HAS BEEN APPROVED.**

## **PART 2 – COMPLETING THE APPLICATION FORM**

### **General Information**

In completing the application form, all applicants must ensure that **all** parts of the form are completed in full. Failure to complete all parts of the form **will** result in the application being excluded from further assessment. The form comprises separate parts;

- Part A – Summary

Part A requests summary information about the application:

- The name of the applicant organisation;
- The Project Title; and
- The Funding requested (by year)

- Part B – Applicant(s) Details

Part B requests information about the applicants' organisation. In the case of joint applications from two or more organisations, information must be provided for each of the organisations involved against questions 4-9. This section also requires written statement providing background information on your organisation and examples of previous relevant projects that your organisation has successfully delivered. Where organisations are submitting a joint application they must clearly explain how they intend to work together, who will deliver what, and the formal mechanisms and safeguards that will be put in place to facilitate collaborative working.

We are keen to encourage and support collaborative working between different organisations. Organisations are encouraged to consider ways of joint working which will increase their ability to deliver on an all-Wales basis, to develop services and initiatives which are coherent and complementary, and which avoid duplication of existing or similar schemes, and to submit applications on this basis where appropriate and practical.

Partnership for the purpose of the Sustainable Social Services Third Sector Grant 2020-23 is "Two or more organisations working in collaboration to deliver a specific project. This may mean that one organisation has a greater role in achieving the objectives of the project, but that the organisations will work collectively for the duration of the project to achieve its intended outcome".

In the case of a consortium/partnership/collaborative application a collaboration agreement will need to be put in place between each member of the consortium which stipulates which member is taking the lead role. This

collaboration agreement is a legal document and responsibility for drawing it up lies with the external bodies. A Collaboration agreement details each party's roles, responsibilities and expenditure linked to agreed implementation criteria. Having a collaboration agreement will be a pre-condition of the grant but is not required to be in place at the application stage. The WCVA have a range of documentation that can assist with this.

- Part C – Project Details

Part C requires a short description of the project, this description will be used in any publicity/announcement of projects that are funded through this Phase of the Sustainable Social Services Third Sector Grant. Please include a reference to any partners in this description.

Part C then requests an extended project description (no more than 500 words). Please consider the following questions in completing the Extended Project Description:

- What is the issue you are trying to solve/need you are seeking to meet?
- What long term outcome/change are you hoping to achieve?
- Who is your key audience?
- How will you reach them?
- What activities will bring about the change?

Finally Part C requests information on the duration of the project.

- Part D – Service Area

Part D requires applications to identify which of the service area groups would benefit from the delivery of the proposed project. Please identify all groups which will benefit from the project. If more than one group will benefit, please add a "P" in the box to signify which is the primary focus.

- Part E – Essential Criteria

Part E requires applicants to demonstrate their ability to meet all criteria listed.

17 a - The application is from Third Sector organisation(s) (as evidenced by your response to question B5)

Please provide some succinct background information on your organisation, including when it was founded, its legal status and its main activities

If the application FAILS this criterion it will not be considered any further.

17 b - The organisation(s) applying for funding must have a proven track record in delivering projects and able to demonstrate knowledge and/or experience of the social care sector (as evidenced by your response to question B6)

Please provide examples of previous relevant projects that your organisation has successfully delivered. Please note that this must include details of knowledge or experience of the social care sector:

17 c - The project will deliver early intervention and prevention and care and support needs in line with the priorities of Taking Wales Forward, Prosperity for All and in A Healthier Wales: our Plan for Health and Social Care. The project will support the Well-being Goals and Principles that underpin the Well-being of Future Generations (Wales) Act 2015

In responding to this question please consider the key themes that underpin the Social Services and Well-being (Wales) Act 2014.

**Focus on people** – ensuring people have a voice and control over their care and support to enable them to achieve the outcomes important to them and also ensuring services are designed and developed around people.

A Healthier Wales national design principle

**Wellbeing** – supporting people to improve and maintain their well-being, with the success being measured in relation to outcomes for people rather than process.

A Healthier Wales quadruple aim

**Prevention and early intervention** – increasing preventative and early intervention services to minimise the escalation of need and dependency on statutory services.

A Healthier Wales national design principle

**Partnership** – effective cooperation and partnership working between all agencies and organisations to best meet the needs of people.

**Accessibility** – improving the information and advice available to people and ensuring that everyone, no matter what their needs, is able to access that information.

**New service models** – the development of new and innovative models of service delivery, particularly those that involve service users themselves.

And the *A Healthier Wales: our Plan for Health and Social Care* Quadruple aim/s:

- Improved health and well-being
- Better quality and more accessible health and social care service
- Higher value health and social care
- A motivated and sustainable health and social care workforce

Which of the 'ten national design principles' from *A Healthier Wales: our Plan for Health and Social Care* will the project address:

- Prevention and early intervention
- Safety
- Independence
- Voice
- Personalised
- Seamless
- Higher Value
- Evidence Driven
- Scalable
- Transformative

17 d - The project will provide services which complement, rather than duplicate, those already provided by the public sector or third sector in Wales.

Please explain how you have confirmed that this project does not duplicate services already provided in Wales.

17 e - The project will demonstrate positive impact on the wellbeing of people using the definition of wellbeing set out in the Social Services and Well-being (Wales) Act 2014.

The *National Outcomes Framework for people who need care and support and carers who need support* is available at

<https://gov.wales/social-services-national-outcomes-framework>

17 f - Priority will be given to projects that are designed and run on the basis of genuine co-production with people who receive care and support and carers who receive support

The project will demonstrate an equal and reciprocal partnership with a broad range of stakeholders, including people who need care and support and carers who need support.

Tell us who have you have engaged with and how in the design of the project: Service users (adults); Services users (children/young people); Carers; Young Carers; Workforce; Social Value/other Third Sector; Community Members; Other.

This could be evidenced through the governance arrangements in place for your organisation.

17 g - Please indicate geographically where in Wales the project will be based and if the project will be delivered on a regional basis initially how can it be rolled out on an all Wales basis.

We define regions for this purpose as the areas covered by the Regional Partnership Boards:

Regional Partnership Board	Local Authorities
North Wales	Isle of Anglesey Gwynedd Conwy Denbighshire Flintshire Wrexham
Powys	Powys
Gwent	Caerphilly Blaenau Gwent Monmouthshire Torfaen Newport
Cwm Taf Morgannwg`	Bridgend Rhondda Cynon Taf Merthyr Tydfil
West Wales	Pembrokeshire Carmarthenshire Ceredigion
West Glamorgan	Swansea Neath Port Talbot
Cardiff & Vale	Cardiff Vale of Glamorgan

All-Wales means that the projects is available to all potential beneficiaries in each region of Wales, either through a single organisation or collaboration

A project will be considered to deliver on an ‘all-Wales’ basis if it is available to all potential beneficiaries and will deliver meaningful activity in each region in Wales. We recognise that some projects might have a virtual component (e.g. a website, or a national helpline) which would also meet this criterion. If an organisation only works in one area of Wales, it may be possible to demonstrate how the project can be rolled out on an all Wales basis through collaboration between two or more local or regional organisations. This is one of the reasons we are encouraging organisations to consider joint, or collaborative, projects.

17 h - The project will meet the public sector equality duty, and will be accessible to individuals with protected characteristics?

The Public Sector Equality Duty requires public authorities and those carrying out a public function to consider how they can positively contribute to a fairer society through advancing equality and good relations in their day-to-day activities. This includes advancing equality of opportunity and fostering good relationships between



people who share a protected characteristic and those who do not. The protected characteristics are:

- Age;
- Gender reassignment;
- Sex;
- Race (including ethnic or national origin, colour or nationality) – this also includes groups such as Gypsies and Travellers and Asylum Seekers and Refugees;
- Disability;
- Pregnancy and maternity;
- Sexual orientation;
- Religion or belief (including lack of belief).

The Duty also applies to marriage and civil partnership, in respect of the requirement to have due regard to the need to eliminate discrimination.

17 i - The proposed project is either sustainable beyond the funding period of 2020-23, or will be fully delivered within the 2020-23 funding period.

- Part F – Project Outcomes and impacts

Part F requires applicants to identify the Impact and Outcomes of the project. Given the pressures on public sector budgets, it is more important than ever for the Welsh Government to achieve the maximum impact with the funding it provides. It is essential that all grant applications include clear key performance indicators which set out how progress in achieving the aims of the project will be measured. Applicants are therefore advised to give careful consideration to this part of their application

The National Well-being Outcomes are set out in The *National Outcomes Framework for people who need care and support and carers who need support* is available at

<https://gov.wales/social-services-national-outcomes-framework>

And reproduced at Annex C.

Reporting will be developed using a **Results Based Accountability** methodology and as such all projects will be required to develop both quantitative and qualitative data to indicate **How Much** (*outputs* - activities, tasks, or milestones which can be used to illustrate what you are doing to deliver your outcomes) you have done, **How Well** (*quality*) you have done it and **What Difference** (*impact*) it will make to service users.

**Evaluation**. How will you evaluate the impact of your project so that the key lessons can be learned and shared and that successful models can be enhanced and/or mainstreamed.

Your evaluation (which will be required at the end of the grant period) should look at the following four key areas:

- **Impact** – what outcomes have been achieved and what difference has the project made?
- **Process** – how has the project support key principles such as co-production and social value?
- **Economic** – what are the cost benefits of the project and what costs have been avoided?
- **Qualitative** – what are the experiences of service users, staff and communities from the project?
  
- Part G – Financial Planning

Part G requires information on how much funding is sought, including a breakdown of the project costs and information on posts that would be funding through the grant.

Value for money in Government is about ensuring that taxpayers' money is used economically, efficiently and effectively. The principle is to achieve the best possible level of outputs and outcomes of acceptable quality at the lowest cost. Third Sector organisations are expected to ensure the economic, efficient and effective use of public money. We will therefore be looking for projects which provide good value for money, and will base our assessment on the information provided in Part G of the application form.

- Part H – Governance and Financial Management

Part H requests that information is provided to enable the Welsh Government to assess the effectiveness of the governance and financial management of your organisation.

Question 30 requires that applicants list any other funding you are currently in receipt of, including ALL Welsh Government funding received and any other funding you anticipate being in receipt of for the project/grant period (i.e. between 01.04.20 and 31.03.23).

- Part I – Declaration

Part I requires applications to provide a written declaration that the information given in the application is true and accurate. This must be signed by two

authorised signatories (e.g. a chair/board member and the senior financial officer of the organisation). In the case of joint applications, this information must be provided by the lead organisation only.

- Document Checklist

The checklist requires a confirmation that all supporting documentation has been provided. This includes specific evidence regarding risk management.

Failure to produce all documentation required will result in the application being excluded from further assessment.

### **PART 3 – What we expect of Organisations funded by Grant**

Importantly, you must:

- (a) safeguard the funding against fraud generally and, in particular, fraud on the part of your management, employees and/or suppliers and notify us immediately if you have reason to suspect that any fraud has occurred or is occurring or is likely to occur. You must also participate in such fraud prevention initiatives as we may require from time to time.
- (b) comply with all applicable laws or regulations or official directives whether derived from domestic, EU or international law;
- (c) put in place and maintain adequate insurances to cover against the risks which may arise in connection with any property or any activity undertaken in delivery of the purposes for which the Grant is awarded. We reserve the right to require you to provide proof of your insurance;

#### **Due Diligence:**

This is the reason we ask for certain documents to support the grant application.

This information helps us to check the 'health' of your organisation, its corporate governance and financial management and forms part of our ongoing due diligence work to protect public funds and improve grant management.

You are required to submit with your application form copies of the Terms of Reference or Memorandum and Articles of Association for the lead organisation for the application; your Conflicts of Interest Register(s); and your last financial and last audited accounts. Where applicable, you must also ensure that you have completed and attached the de minimis declaration form for state aid. All individuals in the organisation(s) submitting applications also need to understand the 'Nolan Principles' and be clear of their role and responsibilities. Here is a link to the 'Nolan Principles':

<http://wales.gov.uk/about/recruitment/ouropportunities/publicapps/application/nolan/?lang=en>.

If your application is successful, we will provide clear information about your responsibilities and all necessary aspects of the grant funding in the standard Terms and Conditions of the Grant Offer letter.

Due Diligence will be a key part of the way we engage with the successful grant applicants. There is an expectation that we meet regularly, communicate frequently and the Welsh Government will expect to receive a progress report at agreed times.

Changes to the agreed project can only take place with the agreement of the Welsh Government officials from the Social Services and Integration Directorate and any

issues that may impact on the delivery of the project MUST be communicated effectively to Welsh Government officials to enable proactive resolution or negotiation for a satisfactory outcome.

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## **PART 4 – How to contact us**

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Our details

**SocialServicesGrantApplications2019@gov.wales**

### **Complaints:**

Should you have a complaint to make in relation to our administration of this Welsh Government Grant Scheme, please contact the Social Services and Integration Directorate and we will send you a copy of the Welsh Government Complaints Policy. Alternatively, a copy can be found on the Welsh Government website:

<http://wales.gov.uk/topics/health/socialcare/complaints/?lang=en>

## **ANNEX A – What the Grant can and cannot be used for**

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Funding provided under this grant scheme can be used to support revenue costs, which are the costs incurred in the day-to-day running of the organisation. Revenue costs can be overheads or direct project costs and can include items such as stationery; phone bills; rent; lighting; heat; materials.

- **Direct Project costs** – these are all the project costs that are clearly and directly incurred as a result of the project e.g. the salaries of project staff, travel and subsistence costs for the project staff; project materials.
- **Costs/overheads** – these are costs which are necessary for the organisation to operate but are not related specifically to one project e.g. overall management administration and support, premises costs. These costs are often also called indirect, core, central or support costs.

### **Eligible overheads include:**

- Salaries for human resources, finance, Internet Technology staff and other staff supporting the project (for example, running payroll and servicing computers used by the project)
- Salaries of staff, including managers who will spend only part of their time working on the project
- 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 shared 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

### **What we will not fund**

Below are examples of the type of expenditure we will not fund.

This list is not exhaustive:

- Capital costs for buying equipment, furnishings, or vehicles for the project, property purchase or new/refurbished building costs;
- Religious activities, though we welcome applications from religious organisations;
- Political activities;
- Projects that mainly benefit people living outside Wales;

- Activities that are incompatible with the aims and objectives of your organisation or the *Sustainable Social Services – a Framework for Action* and Social Services and Well-being (Wales) Act 2014.
- Activities which are incompatible with the aims and objectives of the Equalities and Inclusion Grant.

**Ineligible revenue expenditure includes:**

- Costs incurred or expenditure committed before you receive 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 such as the purchase of a company car;
- Travel outside the UK;
- Funds to build up a reserve or surplus, whether distributable or not;
- Loan or debt repayments;
- Contributions to general appeals.

**Ineligible overheads include:**

- The day-to-day activities of existing organisations or contributions to general appeals.

We will **NOT** normally award grant to organisations that:

- Are applying on behalf of another.
- Are in poor financial health.
- Do not control their own bank account.
- Do not have at least three people on their management committee.

We will **NOT** give funding to individuals or to activities that contribute directly to a private organisation's distributable profit, and will **NOT** accept applications from external professional fundraisers or other consultants acting on behalf of your organisation.



## **ANNEX B – State Aid**

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State aid is a specific legal term arising from the European Union treaty which constitutes financial aid to organisations – including not for profit organisations – carrying out ‘economic activity’ which could distort competition and affect trade within the EU Single Market. The focus of deciding whether funding is State aid or not, is on the economic activity and not the organisation itself.

We expect applicants to self-evaluate whether their project meets the five tests for State aid, however we will check this as part of the assessment process. If you believe that the project you are delivering is not subject to the State aid rules then you will need to provide reasons why.

Where the funding is considered to be State aid it will need to be awarded in compliance with the State aid rules. The State aid rules are a series of Regulations, Guidelines and Frameworks that sets out how public authorities can provide State aid to undertakings engaged in economic activity.

Further information about the State aid rules can be found at:

<http://wales.gov.uk/topics/businessandconomy/stateaid/?lang=en>

<https://www.gov.uk/state-aid>

[http://ec.europa.eu/competition/state\\_aid/overview/index\\_en.html](http://ec.europa.eu/competition/state_aid/overview/index_en.html)

### **State aid and ‘de minimis’ funding**

The application form includes a de minimis declaration form. This should be completed by all applicants even if you consider that your project is not subject to the State aid rules. The form should be completed detailing all funding you have received in line with the de minimis Regulation in the current and previous two fiscal years. To comply with the de minimis Regulation the total you have received during this period plus the amount of EI funding applied for must be less than 200,000 euros (approx. £170,000 dependant upon exchange rates at the time of each award). If your organisation is classified as a ‘linked enterprise’ you will need to include any de minimis aid received by your partner organisations in your calculations. A definition of ‘linked enterprise’ can be found in the European Commission’s SME definition:

[http://ec.europa.eu/enterprise/policies/sme/files/sme\\_definition/sme\\_user\\_guide\\_en.pdf](http://ec.europa.eu/enterprise/policies/sme/files/sme_definition/sme_user_guide_en.pdf)

If your application for funding is successful, we will then offer the grant to you stipulating, where applicable, that it is offered under the de minimis regulation.

<b>ANNEX C – National Outcomes Framework</b>	
<b>Definition of well-being</b>	<b>People who need care and support and carers who need support have rights and responsibilities in achieving their personal well-being outcomes. When people co-produce their personal well-being outcomes with social services and their partners, people can expect to achieve personal outcomes which reflect the following national well-being outcome statements</b>
Securing rights and entitlements  Also for adults: Control over day-to-day life	I know and understand what care, support and opportunities are available and use these to help me achieve my well-being  I can access the right information, when I need it, in the way I want it and use this to manage and improve my well-being  I am treated with dignity and respect and treat others the same  My voice is heard and listened to  My individual circumstances are considered  I speak for myself and contribute to the decisions that affect my life, or have someone who can do it for me
Physical and mental health and emotional well-being  Also for children: Physical, intellectual, emotional, social and behavioural development	I am healthy and active and do things to keep myself healthy  I am happy and do the things that make me happy  I get the right care and support, as early as possible
Protection from abuse and neglect	I am safe and protected from abuse and neglect

	<p>I am supported to protect the people that matter to me from abuse and neglect</p> <p>I am informed about how to make my concerns known</p>
Education, training and recreation	<p>I can learn and develop to my full potential</p> <p>I do the things that matter to me</p>
Domestic, family and personal relationships	<p>I belong</p> <p>I contribute to and enjoy safe and healthy relationships</p>
Contribution made to society	<p>I engage and make a contribution to my community</p> <p>I feel valued in society</p>
<p>Social and economic well-being</p> <p>Also for adults: Participation in work</p>	<p>I contribute towards my social life and can be with the people that I choose</p> <p>I do not live in poverty</p> <p>I get the help I need to grow up and be independent</p> <p>I get care and support through the Welsh language if I need it</p>
Suitability of living accommodation	<p>I live in a home that best supports me to achieve my well-being</p>

## **ANNEX D – Time Line**

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*This may be adjusted slightly due to volume of response*

<b>DATE</b>	<b>ACTION</b>
<b>wc 3 June 2019</b>	Guidance and application forms issued
<b>Wc 3 June – 02 September 2019</b>	Application period (13 weeks)
<b>2 September 2019</b>	Closing date for applications NOON Monday 2 September
<b>30 November 2019</b>	Notify applicants of outcome of application and if successful the grant allocation
<b>December 2019 – March 2020</b>	Development and agreement of work plan for funded projects  Issue of formal grant award documentation