



**Nottinghamshire
County Council**

Local Improvement Scheme 2018-21

Information for Applicants

**Closing date:
Wednesday 31 January 2018**



Local Improvement Scheme 2018-21: Information for applicants

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Introduction

This document aims to provide all the information required to help Voluntary and Community Sector (VCS) organisations understand the eligibility requirements, funding priorities and information that the Council will consider when making decisions about revenue and capital awards under the **Local Improvement Scheme 2018-21**. Instructions on how to apply and information about the monitoring requirements for successful organisations are also provided. After carefully reading this document, interested organisations that meet the eligibility criteria and that can demonstrate how their project will contribute to the Council's funding priorities are welcome to apply.

The Council Plan – Shaping the future

The way in which we live our lives is changing at an unprecedented rate. The County Council has a strong record in supporting voluntary and community groups across Nottinghamshire, and continues to be committed to supporting local people and communities to help themselves. Building on this, the Council is bringing together its available revenue and capital discretionary funding in order to maximise existing resources and provide important opportunities to support local communities in making Nottinghamshire a great place to live, work, visit and relax – which is at the heart of the [Council Plan 2017-21](#).

The Local Improvement Scheme Funding Strategy 2018-21

The new Local Improvement Scheme Funding Strategy 2018-21 consolidates the Council's approach to investing in and supporting local communities to be more resilient through encouraging active community support, volunteering and seeking wider funding opportunities. Consolidating the existing discretionary funds will remove duplication, ensure that targeted support for communities is provided in a single coherent strategy and deliver value for money through an outcomes-focussed approach which helps to deliver the Council's priorities. The new Strategy will:

- Provide opportunities for communities to apply for capital and revenue funding.
- Set a maximum per year for applicants for capital funding of £50,000 and £30,000* for revenue funding with a minimum of £1,000 for each per year.
- Maintain a 3 year funding commitment for revenue funding, subject to satisfactory monitoring outcomes.
- Maintain an annual application process for capital funding with an agreement that funding needs to be spent within 2 years of funding being awarded.
- Offer an annual small grants fund to maintain support to talented athletes and also provide opportunities for commemorating significant events for Nottinghamshire communities.
- Encourage applications from partnerships of voluntary and community organisations seeking to deliver countywide activities / projects.*

**Partnership applications will be considered on a case-by-case basis.*

What is the Local Improvement Scheme 2018-21?

The Local Improvement Scheme is a **discretionary financial contribution** awarded by Nottinghamshire County Council to support the delivery of non-statutory revenue and/or capital projects* that achieve outcomes in support of the Council's priorities.

Local Improvement Scheme funding is a *contribution* to the delivery of a project. This means that it is not intended to cover the full project costs; therefore, organisations must have additional funding / income from other sources to cover at least 50% of the total project costs – this applies to both revenue and capital projects.

* Please note that:

- The term 'projects' also refers to 'services' and/or 'activities'.
- Other funding / income can include grants and donations from other organisations, member subscription fees, fundraising, and contributions in kind (such as the financial value of volunteer time). The additional funding / income must not be used to pay for the same items that the Local Improvement Scheme funding is awarded for.
- Local Improvement Scheme funding is discretionary and therefore subject to the availability of finances as determined in the Council's annual budget review, and satisfactory project monitoring.

The funding aims and priorities for 2018-21

In line with the [Council Plan 2017-21](#), the Local Improvement Scheme 2018-21 programme will contribute to making Nottinghamshire a great place to live, work, visit and relax – with a focus on supporting communities to be strong, vibrant and resilient.

The Council is encouraging innovative applications from eligible VCS organisations which contribute to a number of identified funding priorities. The funding priorities and examples of projects that could contribute to each priority are listed in **APPENDIX 1** to this document.

How much funding can organisations apply for?

Eligible VCS organisations seeking financial support can apply for **Local Improvement Scheme revenue funding and/or capital funding** as a contribution to the delivery of a project that contributes to the funding priorities. The amounts that can be applied for are as follows:

- Three year **revenue grants**, ranging from a minimum of £1,000 up to a maximum of £30,000 per annum.
- One-off **capital grants**, ranging from a minimum of £1,000 up to a maximum of £50,000 in any capital funding round, which the Council aims to launch annually. Capital funding must be spent within 24 months of the Agreement start date.

Please note that:

- **Partnership** applications are encouraged and the maximum award will be considered on a case-by-case basis at the discretion of the Council. The minimum amount of funding for partnership applications is £1,000 (with the aim of encouraging organisations who are requesting a small funding contribution to work together).

Can my organisation / group apply?

You can apply if you are:

- ✓ A charity registered with the Charity Commission* (this could be a Charitable Incorporated Organisation (CIO), an unincorporated association, a trust or charitable (not-for-profit) company limited by guarantee).
- ✓ A voluntary / community group that is not registered as a charity (this group could be set up as an 'unincorporated association' or an 'excepted' charity as defined by the Charity Commission*).
- ✓ A Friendly Society or an Industrial and Provident (Community Benefit) Society with charitable purposes and registered with an appropriate regulator.
- ✓ A community interest company (CIC) with charitable activities and limited by guarantee.
- ✓ A social enterprise (set up using a recognised legal form).
- ✓ A sports club that has achieved or is working towards Clubmark.
- ✓ Parish and Town Councils – capital funding only.

*Please refer to the [Charity Commission](#) for further information.

Please note:

- Eligible VCS organisations, including arts projects, summer play schemes and sports clubs should apply under this programme as there will not be a separate funding scheme for these themes as in previous years.
- Individual artists who wish to seek funding for arts-based projects should partner with an eligible VCS organisation. The partner VCS organisation should submit the application (not the individual artist).
- × The Council does not accept revenue funding applications from other types of statutory organisations.
- × The Council does not accept revenue or capital funding applications from individuals or sole traders.

Elected Member (County Councillor) Role

In line with the principle of involving elected members in their communities, all revenue and capital applications will need to confirm support for their application from a Nottinghamshire County Councillor for the area in which the project will be delivered. However, please note that County Councillor support is not a guarantee of application success – all applications will go through the Council's formal assessment process.

What can organisations use the funding for?

Eligible organisations can apply for revenue and/or capital funding as a contribution towards the costs that are essential to delivering a project that contributes to the Local Improvement Scheme funding priorities. Information about how the revenue and capital funding could be used is outlined below:

Revenue Funding

- Revenue is sometimes known as 'core costs' or 'overheads'.
- Applicants should only apply for a financial contribution towards the costs associated with delivering the project as described in the application for funding (i.e. organisations should not apply for a Local Improvement Scheme funding to cover the total cost of running the organisation).
- Examples of revenue costs include:
 - Rent
 - Gas, electricity, water
 - Internet, landline phone
 - Insurance & professional fees
 - Staff training
 - Volunteer training and expenses
 - Administration & consumable costs / resources / materials.

Capital Funding

- Capital funding can help to pay for schemes that deliver a new asset or improve an existing asset, such as land, buildings, play equipment etc., that contribute to the funding priorities.
- The asset that the Council helps to fund or improve will need to remain in public use and/or leave a legacy for at least three years after the scheme is launched / after the asset has been purchased.

Some examples of how capital funding could be used:

- ✓ The installation of outdoor gym equipment
- ✓ The installation of a youth shelter
- ✓ The installation of a wheelchair accessible swing
- ✓ Capital items that will make a significant contribution to the effective and/or efficient delivery of VCS projects

Please note that:

- The minimum timeframe for the capital asset to remain in public use and/or leave a legacy will be considered on a case-by-case basis, pending the nature of the project / asset – and therefore, the requirement may be more than 3 years.
- Capital funding can be used to help with the initial cost of the scheme, not for ongoing maintenance; therefore, organisations must ensure that they have plans and funds in place to maintain the project.
- Recipients of capital funding will have up to 24 months to spend the capital grant.
- Funding for capital projects will not be awarded to the same organisation in consecutive capital application rounds.
- Applicants may apply for revenue funding only, capital funding only or both revenue and capital funding in this funding round.

What can't my organisation use the funding for?

The funding **cannot** be used as a full or partial contribution to the following revenue and capital projects / items:

- × Costs that are incurred **before** the start of a Local Improvement Scheme 2018-21 Agreement (if your application is successful, it is anticipated that Agreements will start as from 01 July 2018, subject to Council approval).
- × Projects that are not anticipated to start by 30 October 2018 at the latest.
- × Projects that do **not** primarily benefit Nottinghamshire County residents (It is recognised that some capital projects may also benefit some people beyond the Nottinghamshire boundary, however, residents outside Nottinghamshire should not be the primary target group).
- × Projects that are **not** delivered within the Nottinghamshire County geographical boundary. There may be an exception to this where the application demonstrates that at least 75% of beneficiaries are Nottinghamshire residents, the project addresses an unmet need and makes a significant contribution to the Council's funding priorities.
- × Projects that are for the sole purpose of promoting political or religious views.
- × Activity not recognised in the organisation's governing document (i.e. the set of 'rules' or 'agreement' for your organisation).
- × Unspecified expenditure (i.e. applicants must confirm what they plan to use the funding for).
- × Funds to build up a reserve or surplus.
- × Loan/debt repayments or budget shortfalls for revenue projects.
- × For general appeals or endowment funds.
- × Office / IT equipment, including PCs, laptops and associated periphery equipment such as keyboards, printers, laminators, etc.
- × Vehicles for community transport schemes.
- × Revenue funding cannot be used to help pay for capital items – and capital funding cannot be used to help pay for revenue items.
- × Organisational overheads or running costs which the organisation would incur whether the project was running or not (although for revenue applications, the Council will consider a proportionate contribution to overhead costs incurred as a direct result of running the project).

For example:

- It costs £60,000 to deliver 3 projects and each project costs £20,000 to deliver.
- The organisation meets the criteria for funding.
- One of the 3 projects (project A) is in line with the Council's funding priorities.
- The organisation has secured 50% of the total costs (i.e. £10,000) for project A from another funder, through fundraising, membership fees and the financial value of volunteer hours.
- Therefore, assuming the remaining costs are for items that are eligible for revenue funding, the organisation may apply for up to £10,000 of the project costs for Project A.

Governance

Governance is about the way your organisation is set up and run. The Council is accountable for public funds and therefore, looking at the governance arrangements that organisations have in place helps to provide reassurance that an organisation is:

- Operating in line with the law AND with relevant regulation.
- Able to effectively manage public funds.
- Able to fulfil the monitoring requirements.

Good governance is essential for your organisation, service users and other stakeholders as it underpins the delivery of quality projects in a safe and efficient way – and can help to reassure other potential funders and partners. Introductory guidance on good governance is available in **APPENDIX 2** of this document.

To be considered for Local Improvement Scheme 2018-21 funding, applicants must demonstrate that they have good governance arrangements in place which the Council will review during the application assessment stage.

For successful applications, the Council aims to review the governance documentation and arrangements with funded organisations as part of the monitoring. Further information, guidance and/or support may be offered to organisations as appropriate.

Business / sustainability plan

It is essential that all applicants have in place a business plan which includes a plan to show how the project will be maintained / developed beyond the discretionary funding (this may be referred to as a 'sustainability plan'). Applicants who wish to know more about business / sustainability planning are encouraged to read the information in **APPENDIX 2** to this document.

Please note that:

- The 'How to apply' section of this document lists the information that organisations will need to submit with their application. In the case of new organisations, an outline of what will be in place may be accepted at the application stage, however, if the application from a new organisation is successful, they will need to demonstrate that they have the required governance arrangements and documentation in place before the funding is released.
- On the application form, applicants will need to confirm their commitment and ability to comply with the Council's monitoring and publicity requirements (as shown in **APPENDIX 3**).

Assessment Considerations and Process

Applications will be checked to see if they meet the eligibility criteria. Considerations during the **eligibility check** include:

- Is the organisation type eligible?
- Is the application supported by County councillor?
- Is the amount requested within the minimum and maximum parameters?
- Has the organisation submitted all the required document(s)?
- Has the organisation confirmed all the declaration statements in the application?
- Are at least 75% of the project's beneficiaries Nottinghamshire County residents?
- Has the application identified other funding for at least 50% of the project costs?
- Has the organisation confirmed that they have a business plan which includes a plan to show how the project will be maintained / developed beyond the discretionary funding (this may be referred to as a 'sustainability plan')?

Applications and/or supporting information not received by the application closing date will not be considered.

Applications that meet the eligibility criteria will be assessed. **The assessment considerations include:**

- Is the project described in the application in line with the organisation's governing document? For registered charities, the Council will check this using the information available on the Charity Commission website. Organisations that are not registered with the Charity Commission will need to submit their governing document with their application.
- Has the applicant provided sufficient, clear, relevant information in response to the questions?
- Has the applicant provided all the supporting documents requested?
- The extent to which the application demonstrates that the project will contribute to the Local Improvement Scheme funding priorities as listed in **APPENDIX 1** to this document.
- Does the application include information about the need for this project?
- Is the application for expenditure to be incurred during the funding period?
- Does the application have sufficient match funding?
- Does the organisation have relevant, recognised standards in place?
- The risks associated with the project (these may include whether or not sufficient funding has been secured, does the project have sufficient staff / volunteers with the required skills / experience / qualifications? The extent of the health and safety and safeguarding risks; also, for capital projects is there a risk that the scheme may attract vandalism or anti-social behaviour?).

- Does the application provide information to show that the organisation has in place the necessary arrangements to monitor and evaluate the project?
- Does the project aim to address an unmet need?
- The extent to which the application is complete.

On completion of the application assessment, recommendations for funding will be presented to a Council Committee for consideration. The Council Committee will make the final decision regarding funding awards and **applicants will be notified of the outcome of their application in April / May 2018.**

What to expect if your application is successful

Agreement, conditions of funding and payment

If your application is approved for funding by the Council Committee, you will receive:

- An 'award letter' confirming the outcome of your application.
- A Local Improvement Scheme 2018-21 Agreement which, if you would like to accept, you will need to sign and return by the date stated on your award letter.
- A 'Bank Details (BACs)' form: The BACs form will be emailed separately to the Award Letter and Agreement.

If you would like to accept the award offer, you will need to submit the following by the date stated on your award letter:

- Your signed Local Improvement Scheme 2018-21 Agreement.
- The completed 'Bank Details (BACs)' form (this will enable your organisation to receive your Local Improvement Scheme funding directly into your bank account. Please note that the bank account must be in the same name as the Group / Organisation as provided in the application and have two unrelated authorised signatories).
- A copy of your Public Liability Insurance in place (minimum £1,000,000).
- Confirmation of match funding.

For capital projects, where appropriate, pending the nature of the project, the following must also be submitted as a condition of your agreement:

- Confirmation of land ownership / permission to use land (where appropriate).
- Quotations of costs for the work to be carried out.

Pending the nature of the revenue and/or capital project, the Council may also ask for additional information to be provided as a condition of funding.

Please note that that:

- If your application is successful, the Agreement may have particular conditions attached to it (for example, you may be asked to provide further information before the Agreement becomes effective).
- The amount of funding awarded may not necessarily be the same as the amount of funding applied for. This may be due to a range of factors such as project costs that are considered 'not value for money' when compared to similar projects with similar activities and outputs.
- The funding is discretionary and is subject to annual review / approval based on satisfactory monitoring and the Council budget.
- Failure to submit all the required documents by the requested date may result in the withdrawal of the funding offer by the Council.
- As part of the Agreement, you will be required to comply with the monitoring arrangements – please see the next paragraph for further information about monitoring.

Monitoring

- Monitoring should also help your organisation to review the project and identify ways to address challenges and make further developments. If your group has good governance arrangements in place, then the monitoring requirements should be straightforward.
- The Council will use a range of methods to monitor the revenue and capital projects as outlined in **APPENDIX 3** to this document.

If your application is unsuccessful

The Council will contact you by email if your application is not successful. Common reasons why applications are unsuccessful are:

- The application does not pass the eligibility check.
- Vague and/or incomplete responses to questions.
- Not all the questions have been answered.
- The application does not adequately demonstrate how it meets the funding priorities.
- The project duplicates existing provision / does not address an unmet need.
- The application does not meet the Council's minimum standards for Local Improvement Scheme funding.

How to apply and supporting information required

1. It is strongly recommend that you read:
 - All the information relating to the Local Improvement Scheme 2018-21 in this document.
 - The revenue and/or capital ‘Application Form Guidelines’.
 - The revenue and/or capital funding application form(s).

You can download the documents listed above from the Council’s **Local Improvement Scheme 2018-21** webpage: www.nottinghamshire.gov.uk/lis

2. Decide whether you wish to apply for revenue and/or capital funding and plan your project(s) carefully.
3. Download the relevant application form(s). Note that there are separate forms for revenue and capital projects and if you wish to apply for funding for more than one project, you must complete a separate application form for each project.
4. Complete your application form(s) and remember to save your application as you work through it. When you’ve completed your application, save and check it carefully.
5. Email your completed application to: cvs.team@nottscc.gov.uk along with the documents relevant to your organisation / application as listed in the table below:

Document / information to be submitted with the application	Type of application / organisation
The organisation’s governing document	Revenue and capital applications if the organisation is <u>not</u> registered with the Charity Commission (note that for organisations registered with the Charity Commission, the Council will check for governing documents online with the Charity Commission).
Safeguarding policy for vulnerable adults and/or children & young people	Revenue and capital applications, where applicable (pending the nature of the project, this may be for vulnerable adults and/or children & young people).
Health & safety policy	Revenue and capital applications: organisations with 5 or more employees.
Equality & diversity policy	Revenue and capital projects.
A ‘partnership’ statement (i.e. a statement from each organisation in a partnership application to confirm that they support the application).	Revenue and capital projects: partnership applications only.

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Please note:

- When emailing your application, please ensure that you type: 'LIS Funding Application' and the name of your group / organisation in the subject title.
- Applications will only be accepted if ALL the required documents relevant to the project are received by the closing date.
- Only send in your completed application form along with the requested documents (i.e. do not send in information / documents that we have not asked for).
- Information not provided in the designated application form will not be assessed.
- Paper copies of your application will not be accepted except in exceptional circumstances by prior agreement with the Council's Community and Voluntary Sector (C&VS) Team.
- The C&VS Team aim to acknowledge receipt of all applications by email within 10 working days of the closing date. If you have not received email confirmation within 10 working days of the closing date, it is important that you contact the C&VS Team immediately.
- If, after reading this document, you have a query, please refer to the Frequently Asked Questions (FAQs) in the first instance (**APPENDIX 4**). If you cannot find the answer to your question in the FAQs, please email the C&VS Team: cvs.team@nottsc.gov.uk.
- The information provided in your application will be subject to Data Protection and Freedom of Information legislation – see **APPENDIX 5** for further information.

APPENDIX 1: Local Improvement Scheme funding Priorities and Examples

<p>Nottinghamshire County Council Funding Priorities</p>	<p>Examples: <i>Many of the examples below could be delivered through a range of methods including quality, creative arts and sports / physical activities. Organisations may wish to apply for revenue and/or capital funding for projects which contribute towards the funding priorities.</i></p>
<p>Families prosper and achieve their potential</p>	<ul style="list-style-type: none"> • Projects to provide children and young people with early help and support.
	<ul style="list-style-type: none"> • Targeted services / activities for youth.
	<ul style="list-style-type: none"> • Summer play schemes for children aged 5-14 <i>(The summer play scheme must be additional to what the group / organisation would normally deliver).</i>
	<ul style="list-style-type: none"> • Projects that support and deliver quality play activities <i>(excludes holiday clubs for children and young people, with the exception of summer play schemes that are additional to what the group / organisation would normally deliver).</i>
	<ul style="list-style-type: none"> • Community-based improvement schemes e.g. outdoor gym equipment, war memorials, gateway signs and facilities for children & young people.
	<ul style="list-style-type: none"> • Projects that engage more Nottinghamshire people from under-represented groups / districts and vulnerable groups in arts / cultural / heritage / leisure activities.
<p>People are healthier</p>	<ul style="list-style-type: none"> • Activities to help vulnerable people make healthy life choices and minimise risk to ill-health, injury / harm (e.g. falls prevention for older people). • Activities (including sports / physical activities), to help more people be more active. • Emotional / mental well-being support through a diverse range of activities which could include counselling and quality creative arts.
<p>People live in vibrant and supportive communities</p>	<ul style="list-style-type: none"> • Projects that increase, develop and support volunteering, helping people to have stronger links with their communities. • Projects to promote and develop community cohesion and community safety. • Projects that engage children and young people with the culture and history of the County and help them to develop the skills and knowledge to become better citizens and reduce the frequency of anti-social or disruptive behaviours. • Projects that help communities to play an active role in delivering good support systems and social networks and that help people to be better placed to help themselves and each other – including through a better use of digital technology.
<p>People live independently for as long as possible</p>	<ul style="list-style-type: none"> • Projects that help people live more independently for longer, e.g. projects that help people to live in their own home. • Projects that help people to support themselves through better use of digital technology or through community networks.
<p>People can access the right care and support at the right time</p>	<ul style="list-style-type: none"> • Provision of information and advice to promote and improve independence, resilience and the quality of life. • Projects that provide affordable mobility solutions (including community transport schemes) that improve the quality of life.

APPENDIX 2: Good Governance Guide

What do we mean by governance?

Governance is about the way your organisation is set up and run. The checklist below provides an overview of the basic governance requirements.

Item	Question	Yes / No
Governing documents <i>A governing document is a set of rules or agreement for your organisation / group.</i>	Is the governing document the correct type for your organisation? E.g. <ul style="list-style-type: none"> • A Constitution (or 'Rules') for unincorporated associations. • A Small Charity Constitution (for organisations that do not meet the financial threshold for registering with the Charity Commission). • A CIO Foundation or Association Constitution for CIOs. • Articles of Association (for charitable companies). • Trust Deed for Trusts. 	
	Does your governing document include appropriate information? For example, does it include: <ul style="list-style-type: none"> • What the charity is set up to do? (objects) • How the charity will do those things? (powers) • Who will run it? (charity trustees) • What happens if changes to the administrative arrangements need to be made? (amendment provision) • What happens if the charity wishes to wind up? (dissolution provision) • How the charity trustees will run the organisation. • Initial arrangements for meetings, voting and financial procedures etc. 	
	Is your governing document up-to-date?	
	Is your governing document signed and dated?	
Trustees & management teams	Is the information that you have provided about your trustees and management team correct and consistent with the information that you supplied to the Charity Commission, Companies House and/or any other regulatory body?	
Policies and procedures <i>e.g. policies and procedures regarding safeguarding children & young people, vulnerable adults, health and safety, equality and diversity, recruitment and selection and volunteering.</i>	Do you have relevant policies and procedures in place? You may find it helpful to list the policies and procedures that you do have – and identify any gaps to address.	
	<ul style="list-style-type: none"> • Are all your policies and procedures up-to-date? 	
	<ul style="list-style-type: none"> • Are all your policies and procedures meaningful? • Are all your policies and procedures used in practice? 	
Accreditation of professionals employed (e.g. accountants)	Do all the professionals that you employ have the correct and up-to-date accreditation and registration?	

Further governance information

If your group would like further information about good governance arrangements, you may find the following contacts helpful:

The **Charity Governance Code**: a practical tool to help charities and their trustees develop high standards of governance. The Code can also be helpful to VCS organisations that are not registered with the Charity Commission. The Code is available online at:

<https://www.charitygovernancecode.org/en>

The Charity Commission: <http://www.charitycommission.gov.uk/>

The National Council for Voluntary Organisations (NCVO): <https://www.ncvo.org.uk/>

Nottinghamshire Safeguarding Adults Procedure and Guidance:

<http://www.nottinghamshire.gov.uk/caring/adultsocialcare/backgroundsupport/safeguardingadults/procedure-and-guidance/>

Nottinghamshire Safeguarding Children Board:

<http://www.nottinghamshire.gov.uk/caring/protecting-and-safeguarding/nscb/informationprofessionals/local-and-national-guidance/>

Nottinghamshire County Council Community & Voluntary Sector (C&VS) Team:

Email: cvs.team@nottsc.gov.uk

Business Plan / Sustainability

It is essential that all applicants have in place a business / sustainability plan (which includes a plan to show how the project will be maintained / developed beyond the discretionary funding). Applicants who wish to know more about business / sustainability planning are encouraged to read the information on the Know How Non-Profit website:

<https://knowhownonprofit.org/tools-resources/business-plan-template>

<https://knowhownonprofit.org/how-to/how-to-achieve-sustainability>

<https://knowhownonprofit.org/funding/fibasics>

Please note that:

- This is not a complete list of support organisations – there may be other organisations that can support you. You can find details of other organisations on the **Notts Help Yourself** website: <http://www.nottshelpyourself.org.uk/kb5/nottinghamshire/directory/home.page>
- This Good Governance Guide is intended to provide introductory, general guidance and contains information based on research at the time of publication. This guidance is not a substitute for specific governance / legal / financial – or other professional advice.

APPENDIX 3: Publicity, Payment and Monitoring Schedule for 2018-21

Please note that the following information applies to organisations in receipt of revenue and capital funding; however, there are also some specific requirements for capital projects.

Acknowledgement of financial support and publicity

Organisations in receipt of the Local Improvement Scheme 2018-21 revenue and/or capital funding should acknowledge the support of Nottinghamshire County Council in all written materials including but not limited to press releases, letters, building signage, event invitations and social media.

Appropriate acknowledgement of Nottinghamshire County Council's support must always be made on signage at buildings and other assets supported by the Local Improvement Scheme.

To ensure all proposed materials meet the appropriate guidelines, the County Council's Communications and Marketing team should be notified of any proposed building signage, photo calls, project openings and / or relevant promotional events at least four weeks prior to review the arrangements. Consideration should also be given for a County Council representative and elected County Councillor(s) to attend on the day of the event, where available.

Any publicity / press releases concerning the project should be arranged in partnership with the County Council's Communications and Marketing team who will ensure that the publicity / press release is in line with the Council's requirements and to support the distribution of publicity / press releases to the media.

Payment

Revenue & capital awards will be paid directly into the nominated bank account in line with the following schedule:

		Organisations with annual awards of £4,999 or less	Organisations with annual awards of £5,000 or more
Revenue	July in each funded year	100% of annual award	75% of the annual award
	March in each funded year	N/A	25% of the annual award
Capital	July 2018	100% of annual award	75% of the annual award
	March 2019	N/A	25% of the annual award
Please note that payments are subject to compliance with any terms and conditions of the funding, satisfactory monitoring and the Council budget.			

Organisations will be asked to confirm receipt of payment(s) as part of the monitoring process.

Monitoring

- At the application stage, applicants will be asked to confirm their commitment to providing the monitoring information in the requested format and by the required due date. The monitoring requirements will form part of the Agreement terms and conditions; therefore, applicants should ensure that they have in place the necessary systems and procedures to comply with the monitoring requirements.
- Receipt of satisfactory monitoring acts as a trigger for subsequent payments.
- As part of the annual monitoring, organisations will be asked to confirm that they have secured at least 50% of funding income from other sources (other funding / income can be 'in-kind').
- The Council will provide the monitoring form for organisations to complete their monitoring report (the report questions may be 'online' or in a document). Monitoring information must be submitted using the designated form.
- Although organisations are encouraged to use the monitoring process, they should raise any issues / concerns and/or advise the Council of any planned changes at the earliest opportunity.
- Capital projects may submit receipts at any stage of the Agreement and all receipts must be submitted with 25 months of the Agreement start date.
- **The following table is an outline of the monitoring requirements and payment arrangements for both revenue and capital projects.** Please note that the monitoring requirements may be subject to change in order to assist the Council with reporting, audit and/or other requirements. Also, some projects may be asked to provide additional information pending the nature of the project.

Monitoring requirements and payment schedule

Date	Type of monitoring
July 2018	<p>Payment 1 (subject to receipt of the signed Agreement, BACS form and any other information requested): <i>75% payment for organisations with an annual award of £5,000 or more; 100% payment for organisations with an annual award of £4,999 or less.</i></p>
Due by 01 November 2018	<p>New Award Check (year 1 only) - Short report for organisations to:</p> <ul style="list-style-type: none"> • Confirm receipt of the first Local Improvement Scheme funding payment into the nominated bank account. • Confirm that the project has started (at least some work must have started on <u>all</u> projects by 31 October 2018).
Due by the 31 January in each funded year	<p>Interim Monitoring Report (IMR) - Short report to:</p> <ul style="list-style-type: none"> • Provide feedback to confirm if the project is on target / exceeding the target / not on target for the stage of the project. • Raise any issues / concerns and/or advise the Council of any planned or actual changes to the project as set out in the Agreement.
March in each funded year	<p><i>25% payment (for organisations with an annual award of £5,000 or more), subject to satisfactory monitoring.</i></p>
<p>Due by 31 May in each funded year <i>*Organisations with should estimate for the full 12 months delivery based on previous delivery.</i></p>	<p>Annual Monitoring Report (AMR): The AMR will be a more-in-depth report to provide organisations with an opportunity to:</p> <ul style="list-style-type: none"> • Provide feedback on the project progress for that year. • Report on monitoring data such as the number of different beneficiaries, the number of times each beneficiary has used the funded project. • Provide beneficiary equality information: e.g. age-range, gender, disability, asylum seekers, veterans, ethnicity and sexual orientation of beneficiaries. • The number of volunteers to date and the number of volunteer hours. • The number of <i>new</i> beneficiaries and <i>new</i> volunteers (from year 2 onwards). • The number of volunteers who have 'moved on' – e.g. to paid work or further study. • Confirm how the funding has been spent. • Confirm the additional funding / income received – and confirm that it does not duplicate the Council grant. • Confirm arrangements for sustainability of the project (and for capital projects, the maintenance, and legacy). • Provide information about examples of work (case studies) / project achievements (e.g. awards) / developments since the application – and publicity. • Confirm compliance with all the terms of Local Improvement Scheme funding Agreement.

Date	Type of monitoring
	<ul style="list-style-type: none"> • Inform the Council about any planned and/or actual changes (e.g. changes to the delivery dates / times, changes to key contacts). • Provide any other information as relevant to the project (e.g. invoices for capital projects).
<i>During June in each funded year</i>	<i>AMRs are reviewed by the C&VS Team. Any queries relating to the monitoring to be resolved before the next due payment.</i>
<i>July in each funded year</i>	<p><i>Payments will be raised in July in each funded year, subject to satisfactory monitoring:</i></p> <p><i>75% payment for organisations with an annual award of £5,000 or more;</i> <i>100% payment for organisations with an annual award of £4,999 or less.</i></p>
Other monitoring for revenue and capital projects	
During the Agreement term	<p>Monitoring visits:</p> <ul style="list-style-type: none"> • The council aims to visit all organisations in receipt of <u>revenue</u> funding at least once during the Agreement term. • Monitoring visits for <u>capital</u> projects will be arranged as appropriate to the scheme. • Most visits will be arranged in advance; occasionally, visits may be unannounced. Further guidance about monitoring visits will be provided to successful applicants.
	<p>Compliance Sampling</p> <ul style="list-style-type: none"> • At our discretion, the Council may select organisation to carry out more in-depth monitoring / compliance checks during the Agreement term. • For example, this may involve asking organisation to send in a copy of invoices and receipts received, evidence of other funding secured – and other information as requested, by a given date.
	<p>Annual Accounts & Report sample:</p> <p>At our discretion, the Council may review the Annual Accounts & Report returned on the Charity Commission website – or request a copy of your annual accounts during the Agreement term.</p>

APPENDIX 4: Frequently Asked Questions (FAQs)

1. We used to apply under the summer play scheme, sports or arts fund – what’s happened to that funding?

There will not be a separate summer play scheme, sports fund and arts fund. However, eligible summer play schemes, sports clubs and arts organisations that can demonstrate how they could contribute to the funding priorities are welcome to apply for funding under this programme.

Note that Talented Athletes funding will continue on an annual basis, subject to Council budget approval. Details of the next round will be published on the Councils web-site in due course.

2. Can I apply for both revenue & capital funding?

Yes – separate application forms must be submitted for each project (note that there are different forms for revenue and capital funding).

3. If I am successful with my capital funding in the first year, can I apply for more capital funding in subsequent years?

No – organisations should not apply for capital funding in subsequent years (applications will not be assessed under these circumstances, even if for a completely different project).

4. If I am successful with my revenue funding in the first year, can I apply for more revenue funding in subsequent years?

The revenue fund is a 3-year programme - any future revenue funding arrangements beyond 2021 are yet to be confirmed, subject to the Council budget approval. If another revenue programme is approved, there is no guarantee that any subsequent applications will be successful.

5. Can we make more than one application?

You can make more than one application, but each application must be for a different project with different outcomes.

6. Can I apply as a partnership and separately?

If an organisation is part of a partnership application, then it should not also apply as an independent organisation (and vice versa).

7. How is Local Improvement Scheme funding different to commissioning?

Local Improvement Scheme funding is a discretionary financial contribution to support the delivery of non-statutory services that contribute to the Council’s community funding priorities. Local Improvement Scheme funding does not directly purchase key services – which makes Local Improvement Scheme funding distinct from commissioning.

8. When will we find out whether or not our application has been successful?

The Council aims to notify applicants about the outcome of their application in April / May 2018, subject to approval by Council Members.

9. Can a group based outside Nottinghamshire apply?

Yes - organisations based outside of Nottinghamshire can apply if they meet the eligibility criteria, can demonstrate that the project will address an unmet need and primarily benefit Nottinghamshire residents (i.e. at least 75% of beneficiaries should be Nottinghamshire residents).

10. We're a branch of a larger umbrella / national organisation – can we apply?

If you're a branch of - or related to, a large organisation that may have some legal responsibility for the work that you do, it is recommended that you discuss your proposed application with the umbrella organisation before applying. If your application is successful, you will need to ensure that your umbrella organisation is aware of this.

11. I'm a 'micro-provider' – can I apply?

Micro-providers are welcome to apply if they meet the eligibility criteria. However, if you are a sole trader operating as a micro-provider, you would not be eligible to apply.

12. My group / organisation is sub-contracted to provide services on behalf of Nottinghamshire County Council – can we apply for Local Improvement Scheme funding?

Organisations can apply for if they do not already receive funding from Nottinghamshire County Council – or other public funds (directly – or indirectly as a sub-contractor), for that same service.

13. Do we need to have other sources of funding before we can apply?

Yes – Local Improvement Scheme funding is a contribution to the delivery of your project, therefore, you must have at least 50% of funding / income from other sources. This can include grants and donations from other organisations, member subscriptions, fund raising and contributions in kind (such as the value of volunteer time).

14. Can the Local Improvement Scheme funding be used for research projects?

Local Improvement Scheme funding is not available for research projects which produce knowledge aimed at an external audience with the aim of increasing the body of academic research.

15. What do we need to include in our accounts?

It is the organisation's responsibility to ensure that their accounts contain the required information in the appropriate format. Further information / guidance about accounts is available from:

- The Charity Commission: <http://www.charitycommission.gov.uk/>
- NCVO: <https://www.ncvo.org.uk>
- Your accountant.

16. We would like to query why our application was not successful – how do we do this?

The Council will notify all applications with the outcome of their application by email. All applications that are not successful will be provided with the reason(s) why they have not been successful on this occasion. If an applicant would like further information about the reason(s) why their application was not approved, they should email the C&VS Team: cvs.team@nottscc.gov.uk

The C&VS Team aim to respond to all requests for further information regarding the outcome of their application as soon as possible.

17. I contacted the C&VS Team for more information about the reason(s) why the application was not successful and they have responded; however, I am not happy with the decision. What do I do?

Local Improvement Scheme funding is discretionary and all applications go through a rigorous assessment, moderation and approval process and it is very unlikely that decisions will be overturned.

If an applicant is not happy with the decision, they should email the C&VS Team: cvs.team@nottscc.gov.uk providing information as to why they are not happy with the outcome.

The C&VS Team aim to respond to all queries as soon as possible.

18. Our application was successful, however, the amount awarded was less than the amount applied for – what do we do?

If the amount awarded is less than the amount applied for, it is recommended that groups review their project activities and budget and consider how the shortfall may be met e.g. through additional fundraising and/or reducing costs.

19. Will there be other opportunities to apply for Local Improvement Scheme funding outside of this round?

Arrangements for any future Local Improvement Scheme **revenue** funding after this round are yet to be confirmed. The Council anticipates to open a Local Improvement Scheme **capital** round on an annual basis (launch dates to be confirmed). The capital application rounds will be advertised on the Council's website and through other media.

20. What other funding schemes are available through Nottinghamshire County Council?

- **The Nottinghamshire Community Commemoration Fund:**
<http://www.nottinghamshire.gov.uk/culture-leisure/heritage/community-commemoration-fund>
- **The Talented Athletes Fund:** Further information about the Talented Athletes fund will be available in 2018 – date to be confirmed.
- **Other discretionary funding opportunities** The Council may also promote **other discretionary funding opportunities** via the Council's website. Interested organisations are encouraged to sign-up to the Council's Email Me service to receive notification of other funding opportunities: <http://www.nottinghamshire.gov.uk/emailme/>

21. Who do we contact if we have a query?

Please read this document carefully as the answer to your question may be readily available. If your question isn't answered in this document, please email: cvs.team@nottscc.gov.uk.

The C&VS Team will respond to queries as soon as possible.

***Note: For all queries relating to the Local Improvement Scheme 2018-21 round, in the email subject title, please type:
'LIS query: the name of your organisation'***

APPENDIX 5: Data Protection & Freedom of Information Act

Data Protection

Under the Data Protection Act, we are obliged to:

- Only collect information that we need for a specific purpose.
- Keep it secure.
- Ensure it is relevant and up to date.
- Only hold as much as we need, and only for as long as we need it.
- Allow the subject of the information to see it on request.

Therefore, if you have applied for or have a Local Improvement Scheme 2018-21 Agreement with us, we will use the information provided to assess, administer and manage the Local Improvement Scheme 2018-21 process. This will include sharing the information with individuals and organisations involved in the various stages of Local Improvement Scheme 2018-21 process.

We might use the information provided for research purposes. We recognise the need for service user confidentiality and will not make their details public, except as required by law or if prior consent has been granted to us.

We may share the Local Improvement Scheme funding information (including personal information provided), with other organisations with a legitimate requirement to access the information and/or for the prevention and detection of crime.

When signing the application, you agree to us sharing the details of your application with other individuals and organisations involved in the various stages of Local Improvement Scheme 2018-21 process.

Freedom of Information

Under the Freedom of Information Act 2000, members of the public have the right to request sight of information that we hold (subject to exemptions). This includes information received from third parties such as Local Improvement Scheme funding applicants, Local Improvement Scheme funding holders' contractors and people making a complaint.