GUIDELINES FOR COMPLETION OF THE APPLICATION FORM FOR AWARDS UP TO AND INCLUDING £1,500K (SCHEME 1)

(VOLUNTARY & COMMUNITY SECTOR)

Closing Date:

Wednesday 3rd October 2012 at 12 noon.
(Late applications will not be accepted)

Public Health Agency
(Southern Office)
Tower Hill
Armagh
BT61 9DR

Telephone: (028) 3741 4640 / 4557
Website: www.publichealthagency.hscni.net

Glossary of Terms/Definitions

PHA	**Public Health Agency**
HSS Trusts / Trusts	**Health & Social Care Trusts**
Acronym	**An abbreviation of the name of the organization**
LCG	**Local Commissioning Group**
NISRA	**Northern Ireland Statistics & Research Agency**
NINIS	**Northern Ireland Neighbourhood Information Service**
Outcomes	**Outcome measurement is the continuous measurement of the improvement in health or social well-being of the population targeted by the service.**
Outputs	**Outputs are the measure of the work produced or service delivered by an individual in a period of time.**
Impacts	**Impact studies aim to measure the longer term evaluation /assessment of the project effectiveness.**
AGM	**Annual General Meeting**
VAT	**Value Added Tax**
IT	**Information Technology**
Health Inequalities	**The gap which exists between the health of different population groups or between geographical areas.**

The Public Health Agency is committed to making information as accessible and equitable as possible and to promoting positive and meaningful dialogue with local people.

ALTERNATIVE FORMATS

In an effort to make information as accessible as possible, the guidance has been produced in Arial 14 pt.

The guidance can also be made available in the following alternative formats:

- **Large Print (size as required)**
- **Computer Disk**
- **Audio tape**
- **Translation**

For an alternative format or for additional copies please contact:

Mrs Alice Grey/Mrs Joan Porter
Public Health Agency
Tower Hill
Armagh BT61 9DR
Tel 028 3741 4640/4557
Fax: 028 3741 4634
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Introduction

The Public Health Agency is committed to supporting a wide range of organisations that can effectively make a contribution to delivering on the key priorities of reducing health inequalities and promoting the long term health and social well-being of the population.

These guidance notes explain to organisations, interested in making an application for funding, the following:

- Aims of the funding available;
- Criteria against which applications will be assessed;
- Scale of funding available and the time period for allocation;
- Eligibility criteria for applications; and,
- Guidance on the type of information that should be provided under each question.

To help support groups with the application process a number of workshops are scheduled to take place in the Southern Local commissioning group area. Attendance at these is not compulsory. Please contact PHA 028 3741 4640 to find out dates and times.

Aims of the Funding Available

The Public Health Agency wish to support groups to deliver initiatives aimed and improving health and social well-being and reducing inequalities in health within the Southern area.

All of this work is underpinned by four key themes –

1. Give every child and young person the best start in life;
2. Ensure a decent standard of living for all;
3. Build sustainable communities;
4. Make healthy choices easier.

The Public Health Agency (Southern Office) is inviting applications from community / voluntary groups based and working within the five district Council areas of Armagh, Banbridge, Craigavon, Dungannon & South Tyrone and Newry & Mourne.

Applications must clearly demonstrate how they will address health and social well being in those most in need.

Criteria for Assessing Applications

In order to be eligible for this funding, your organisation must clearly demonstrate that the organisation is able to meet the criteria set out below.

Each application will be considered, marked and scored against specific criteria as follows:

Applications must focus on one or more of the following:

- Give every child/ young person the best start in life - for example projects supporting early years, parenting, promoting and supporting breastfeeding.
- Ensure a decent standard of living for all - for example food co-operative schemes, community cafés, addressing food or fuel poverty and initiatives to maximise income.
- Build sustainable communities - for example financial assistance to develop social economy initiatives, promote social inclusion, inter-generational working or neighbourhood improvement.
- Make healthier choices easier - for example projects to promote healthy eating and good nutrition and/or physical activity; obesity prevention; emotional health and wellbeing; sexual health; stop smoking and/or drugs and alcohol initiatives.

In addition applications must provide evidence that there has been community involvement and demonstrate clearly how they will:

- Meet the aims and objectives of the funding scheme
- Address local need
- Benefit local people
- Provide evidence that beneficiaries have been consulted
- Achieve outputs / outcomes that are realistic and measurable
- Address health inequalities and social inclusion

Funding

The maximum award for any single application under Scheme 1 is £1,500. Projects should be completed by 31st March 2013

Eligibility Criteria

All successful organisations must be able to provide or submit the following information before any Contract will be issued:

- The bank account details which must be in the name of the organisation and include sort code and bank account number.
- Confirmation that there are at least two unrelated authorised cheque signatories.
- That the organisation has robust management and financial control procedures in place to administer public funds as well as legal requirements as set out in question 6a and 6b of the application form.
- A copy of the governing document of the organisation e.g. memorandum/articles of association, constitution or set of rules defining the aim, objectives and operational procedures for your organisation. **These must signed and dated as adopted;**
- A copy of the organisation's most recent **signed** audited/unaudited annual accounts (or, for new groups, a statement of income and expenditure which are **signed** by an office holder or auditor).
- A list of current committee members/trustees/directors indicating if they represent other organisations or if they serve in an individual capacity.

If you do not currently have these documents/policies, they must be in place prior to any contract being issued.

Please note we **will not** fund:

- General running costs which are not related to the specific project for which funding is sought; (e.g. general insurance, core salaries etc)
- Applications from individuals;
- Endowments;
- Loan payments;
- Activities promoting political beliefs;
- Activities promoting religious beliefs, this does not preclude Faith Community Groups applying for activities related to the aims of the scheme;
- Costs already incurred (retrospective funding);
- Donations (to individuals, groups or charities);

- Fundraising events or activities;
- Building programmes;
- Affiliation or membership fees; and,
- Unreasonable costs;
- Hospitality costs exceeding more than 15% of the overall budget requested.

Guidance on Completing the Application Form

The application form is in two parts: Part A is about the Organisation, its governance, procedures and size (questions 1 -6); PART B is about your project/proposal and the funding sought (questions 7-17).

Part A - Your organisation, its governance, procedures and size

<table>
<tr><td>Question 1</td><td>Information about your Organisation

Please provide the name in full of the organisation applying for the funding (including Ltd Company if appropriate). (Put any acronym [abbreviation] used for your organisation in brackets after the full name)
<u>Contact Address</u>
Please provide the contact details for the organisation. Ensure that the full postcode is included.
If your organisation is a limited company please provide the registered name and full address of the registered office.
<u>Contact Person</u>
Please provide the name of the main contact person in the organisation and address if different from above. This should be the person who will be responsible for the management of the proposed project and who will be most familiar with it.</td></tr>
<tr><td></td><td>Questions 2 – 6 are intended to provide the funder with some history of your organisation including type of organisation and size</td></tr>
<tr><td>Question 2</td><td>How long has the applicant organisation/Group been established?
Please provide the year the organisation was constituted /set up.</td></tr>
<tr><td>Question 3</td><td>Type of Group

Please refer to the categories detailed and indicate <u>all</u> those, which apply to your organisation:

➢ A Social Enterprise Organisation
➢ Unregistered charity, club, society or association, community based group or organisation;
➢ Organisation recognised by HM Revenue & Customs as Charitable for tax purposes;
➢ Charity registered with Charity Commission in NI.
➢ Charity registered in England or Scotland or Wales; or
➢ School Parent Teach association
Provide details on the registration of the organisation where applicable.</td></tr>
</table>

<table>
<tr><td>Question 4</td><td>Scale of Organisation

Please provide the numbers of employees and volunteers in your Organisation.</td></tr>
<tr><td>Question 5</td><td>Aims and activities of the organisation

Detail in no more than 150 words the main aims and activities of your organisation including the general services the organisation provides. Specific detail about the proposal for which you are seeking funding is requested in Question 10 of the application form.</td></tr>
<tr><td colspan="2">Questions 6 need to be answered fully. This provides the funder with assurance regarding your organisations management, governance and financial control practices and procedures.</td></tr>
<tr><td>Question 6</td><td>Organisation Financial Controls and Policies/ Procedures

Q6a outlines necessary financial controls required to ensure the appropriate financial management of the project. You may have these requirements in a single financial procedures document. If you do not currently have these controls in place, they must be in place prior to any contract being issued. (See further guidance note regarding financial controls in Appendix 2 attached).

Please tell us how often you review these controls.

Please tell us about your IT security procedures if applicable.

Q6b is a checklist of other organisational policies that must be in place prior to any contract being issued where applicable.

These will be a requirement in the terms and conditions of the contract that your organisation will be required to sign.</td></tr>
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PART B – About your Project & the Costs

Question 7	**Project Name** Provide the name of the project to be funded. If there is no project name please give details about what you propose to spend the funding on i.e. the specific work area the funding will cover. Please tell us how much you are applying for from this funding? **While we welcome applications for projects in excess of £3,000 please note that you must indicate how you expect to meet any additional costs incurred.**
Question 8	**Start dates for the project** Projects must be able to deliver within the funding timeframe specified, therefore by 31st March 2013
Question 9	**Project location and geographic coverage** The PHA is responsible for ensuring equity of access to services and therefore will need to understand where the services it funds are delivered. There are a number of geographic units which are routinely used in Health and Social Care. Northern Ireland is divided into 5 locality commissioning groups which are co-terminus with a number of district councils. It would be helpful if you could use these geographical units to locate the service and describe what population it is intended to serve. State where the project is based and try to profile the area you will cover with the project as clearly as possible. Identify the Local Commissioning Group area(s) e.g Southern LCG, and the district council area(s)
Question 10	**Tell us about the project for which you are seeking funding for** Please note the suggested word count of 300, please summarise the project, clearly setting out how your project will meet the aims of the funding. Aims and

	objectives should be 'SMART': ➢ Specific ➢ Measurable ➢ Achievable ➢ Realistic ➢ Time-bounded Remember, these aims and objectives, and information from the activities listed in question 11 will be used to form the basis of performance indicators, and will be included in the contract and progress monitoring returns for successful projects. Therefore, it is important that you are confident that you can deliver on them.
Question 11	**Please provide a brief description of what activities your organisation will undertake to achieve the aims of the funding. An example of the type of information that is required is as follows.** ➢ A brief description of the activity including age profile, location and period. ➢ The number of people attending. ➢ The number of sessions. ➢ The number of leaflets produced An example of how the table in the application form should be completed is as follows.

Brief Description of activity	Targets	Timescales
Leaflets produced and circulated to households in Newtownabbey	2000 leaflets	May-June 2012
Provide a summer scheme for 10-14 years olds in Newtownabbey (July &Aug)	The scheme will run for 8 weeks Mon-Fri i.e. 40 sessions. Each session will have a maximum of 20 people	July-Aug 2012

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<tr><td></td><td>attending, totalling 800 places over the period</td><td></td></tr>
<tr><td>End of scheme fun day at community centre</td><td>Sports, activities for 20 children</td><td>End of Aug 2012</td></tr>
</table>
</td>
</tr>
<tr>
<td>Question 12</td>
<td>Detail the outcomes you hope to achieve through your project and how these will be measured

What specific outcomes do you believe your project will achieve? i.e. the effect the project will have, the end result or consequences.
e.g. increased participation rates in physical activity programme resulting in reduction in levels of obesity in the targeted group. Against these outcomes, please detail how you will collect evidence that these are being achieved. (e.g. pre/post weight information on participants , number of session attended by participants and feedback forms on benefits reported by participants.</td>
</tr>
<tr>
<td>Question 13</td>
<td>Provide evidence that your project will address a local need (suggested word count 300)

How has the need for this project been identified and what process was involved? What evidence do you have that this project is required? Have you carried out surveys or interviews for instance? Has the need emerged from research or from public meetings? Have you local knowledge or research, such as reports provided by statutory bodies, District Councils, NISRA etc. Demonstrates how the project addresses health inequalities and social inclusion.

You may refer to NISRA website to help you to identify local statistics on need within your locality <u>www.ninis.nisra.gov.uk</u></td>
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Question 14	**Please tell us about the people who will benefit from your project (suggested word count 300)** The PHA is responsible for targeting funding to specific population needs groups. Please indicate to which target population the service is aimed. Try where possible to profile your target population into the categories, male, female, age ranges, religious belief, disabled, those targeted in anti-poverty strategy, economically inactive (includes; retired people, unemployed people, students, people receiving sickness and/or other benefits and who are not working), Economically active (refers to people who are in employment) and / or target groups of people. How have beneficiaries, or local people been (or will be) involved in the design, implementation, management and delivery of the project? Outline the role that the beneficiaries, that is those receiving the services of the proposed project, or the wider community for that matter, have played in the development of this proposal. Did they articulate (clearly expressed) the need for the project? Did they have (or will have) a say in the design of the initiative? Are they, or will they be involved in the management or delivery of the project? How will their views on this project be taken into account?
Question 15	**Please tell us about the potential risks, uncertainties or issues that you think may impact on the running of the project**. What actions do you intend to take to minimise known risks or to deal with other risks / uncertainties that may arise as the project develops.

<table>
<tr><td>Question 16</td><td>Have you applied to any other agency for funding for this project/proposal?

Answer yes or no. Please indicate whether the organisation is currently seeking, or has recently received funding for this project from the Board, HSS Trusts or any other sources.
Outline the status of any application made for funding in respect of the project. The status of the application tells us whether you have received funding or any other contributions in kind relating to this application.</td></tr>
<tr><td>Question 17</td><td>Break down of funding requested.

It is important to break down the project costs by item/element, if possible. It is also necessary to provide a rationale for the cost you attribute to these items, e.g. mileage – break down the allowance per mile and expected number of miles, heat, light & power. How are these calculated? Please note VAT should be included in costs if appropriate.

<table>
<tr><th>Programme Costs</th><th>£</th><th>Rationale</th></tr>
<tr><td>Room hire</td><td>£100</td><td>£10/hr room hire x 10 1 hr sessions</td></tr>
<tr><td>Cook It Programme</td><td>£ 390</td><td>6 week programme Facilitator cost @ £25/ week for 6 week programme delivery - £150

Weekly ingredient costs – 8 people each week at £2.50 per session per person = £120

Kitchen hire costs</td></tr>
</table>
</td></tr>
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				(6 weeks at £20 / session) = £120
Declaration	**REMEMBER TO SIGN THE APPLICATION!** Two signatures are required from your organisation, one of which should be the Chairperson, Chief Executive or most senior staff member. The PHA reserves the right to reject any application that is incomplete.			

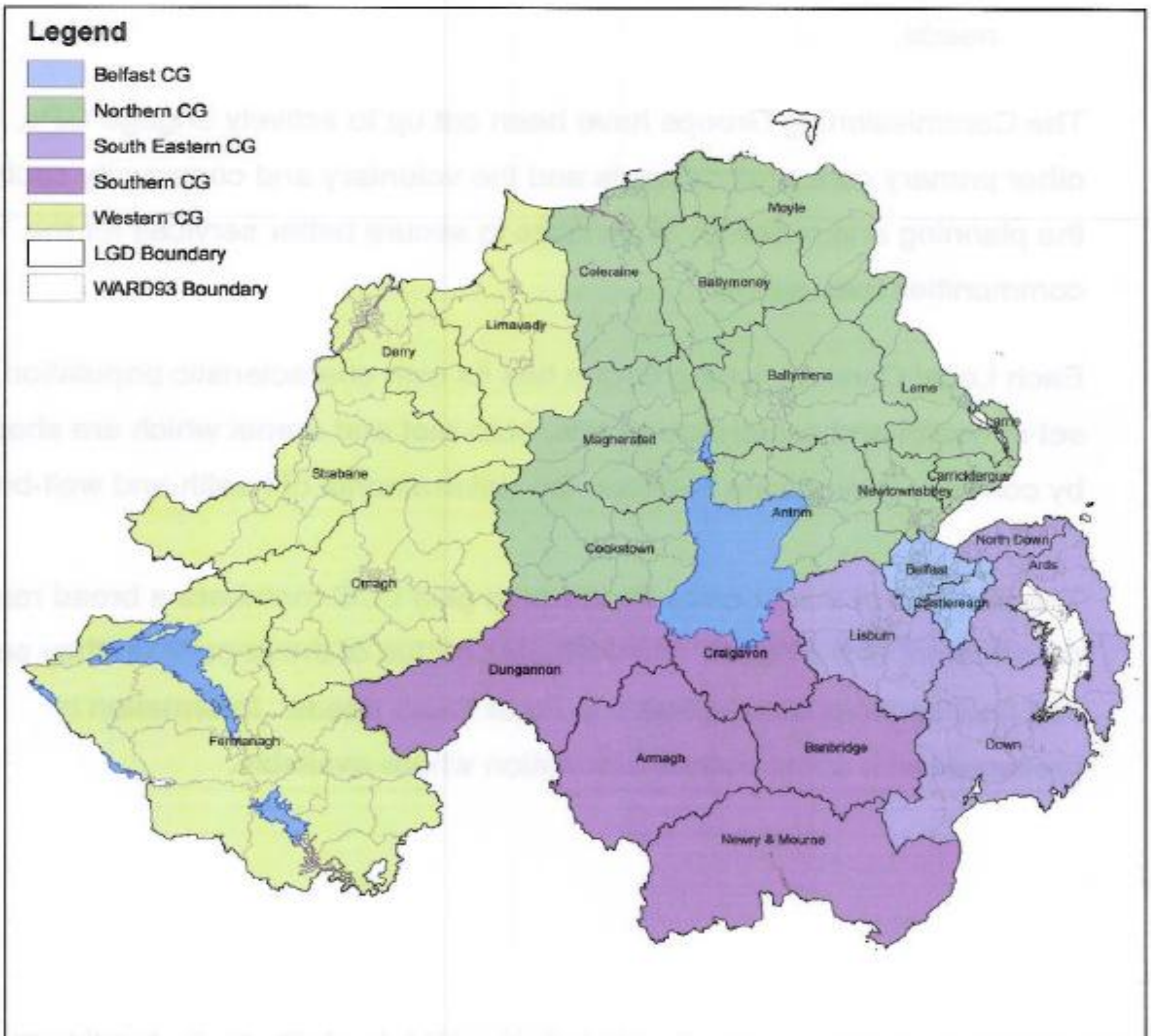
Completed Application Forms

Please send your completed application on or before 12noon on Wednesday, 3rd October 2012 either by post or hand delivered to address below. Please note **LATE** applications will not be accepted:

Mrs Alice Grey/Mrs Joan Porter
Public Health Agency
Tower Hill
Armagh BT61 9DR
Tel 028 3741 4640/4557 Fax: 028 3741 4634
E-mail: alice.grey@hscni.net or joan.porter@hscni.net

Please remember to keep a copy of this application for your own use. Please note applications sent by email or fax will not accepted.

Appendix 1 Map showing LCG boundaries



Appendix 2

Internal Financial Controls

The following guidelines are intended to assist organisations that are in receipt of funding from the PHA.

All organisations must have robust systems of financial control in place i.e. proper procedures, controls, accounting records and supporting documentation in respect of funding provided by the PHA.

The organisation must have the following procedures in place before funding will be released and should include;

Cash Handling

- An outline of how all income is receipted.
- An outline of how the Petty Cash system is operated to include maximum limits, the procedure for increasing/decreasing floats, recoupment procedures and access to Petty Cash.
- Procedures to ensure cash boxes, cheque books and other financial documents are kept in a safe place and that appropriate responsibility and restrictions are laid down for access to the keys to any safe.
- A statement regarding regular cash lodgements i.e. lodgements shall be made in order to keep amounts of 'cash in hand' to a minimum.
- A list of authorised cheque signatories should be maintained.

Bank Account / Cash Book

- The organisation should have a bank account in the name of the organisation. Funding in respect of the project shall only be paid into the official bank account of the organisation.
- The name and address of the Bank/Building Society or Post Office branch and name of account.
- Details on the type of account, whether it attracts interest.
- Balance/overdraft limits
- Bank mandates must be formally approved by the Management Committee or Board.
- Payments from the bank account in respect this project/funding shall be on the signature of two authorised signatories.

- A statement of how, when and who shall complete the bank reconciliation, this will be countersigned by Treasurer/Secretary or Chairperson as evidence of review.
- A procedure for dealing with cheques that are outstanding for a period of time.
- A procedure for stopping, cancelling and reissuing cheques.
- How the bank balance is monitored.
- A cash book with details of all income received (including date, source and receipt number) and a summary of expenditure (including date, payee, nature and cheque/payment reference number) shall be maintained and reconciled to the bank statement on a monthly basis.

Purchasing Procedures

Organisations shall ensure that the procurement in relation to projects complies with the requirements for quotations and tendering stipulated in guidelines available from the PHA (known as the mini code).

Delegated Authority

Details of who is authorised in the organisation to commit and approve expenditure and what the limits of authorisation are.

A policy on how to report and respond to a Suspected Fraud

- Avenues for how and to whom a suspected fraud is reported.
- The roles and responsibilities of all staff within the organisation in relation to fraud awareness.
- The response plan should lay out the responsibilities of the senior management within the organisation in terms of handling suspicions or allegations of fraud.
- Any suspected fraud or other financial irregularity shall be reported to the Funder, the Police and the PHA at the earliest opportunity.

Segregation of Duties

This policy should prevent any one person carrying out a transaction without another authorised person being involved within the organisation.

- Where this is not possible due to the small number of staff employed then work should be reviewed by the management or Committee members.

Travel and Subsistence Expenses

- Details on insurance requirements, mileage rates, public transport rates, passenger supplements, car parking and incidental expenses, subsistence and accommodation.
- How payment will be made.

Payment of Invoices

- All invoices paid by the organisation must be supported by original invoices, **not photocopies,** which shall be retained for inspection.
- Invoices shall be properly checked before payment. This shall include checking against delivery and purchase orders and where appropriate contracts for accuracy.
- Invoices should be approved by an appropriate staff member with delegated authority.
- VAT shall be accounted for in accordance with Revenue legislation and HM Revenue & Customs Regulations.

Cheque Journal

The organisation shall maintain a cheque journal, which includes the information necessary for the completion of financial claims to the PHA. This may be done through the use of separate cost centres with a clear audit trail.

Maintenance of Records

Bank mandates, statements and reconciliations shall be retained for audit inspection for the period stipulated by the PHA.

All records of income and expenditure shall be retained and filed in an orderly system with a clear audit trail to allow for audit inspection. Records shall be readily accessible for monitoring purposes. This will include, original invoices paid (not photocopies), receipts for cash transactions, such as petty cash expenses and any other documentation to support disbursements of money. Cancelled receipts and cancelled cheques should be retained.

Security of Assets

The organisation shall maintain a record of assets purchased (Asset Register), which will include the source of funding for each individual asset. This will enable assets to be returned to the appropriate 'owner' in the event of a project coming to an end.

Financial Management

The Service Provider shall put in place and maintain systems for sound financial management including an appropriate budgetary control system. The Treasurer/Secretary or Chairperson shall review financial records on a monthly basis and shall present a financial report to the Management Committee, which will highlight any variances from forecasts and budgets. The Management Committee shall take immediate and appropriate action to address variances from agreed budgets. The PHA shall be notified at an early stage of any non-compliance with the terms of the funding agreement.

Reimbursement Claims to the HSCB/PHA

- The Service Provider shall adhere to the monitoring and evaluation timescales outlined in the Contract.
- Authorised claim forms and other financial returns shall be approved by an appropriate official.

IT Security

- Where a financial IT system is in operation, security and control procedures should be in place to ensure restricted access, integrity of data and information and secure storage and transmission of data.
- Examples of such controls include separate administrator and user access, system to change passwords regularly, virus guards and fire walls, and system recovery plans.
- These controls should be previous payment controls and should be exercised jointly when an on-line treasury function is in place.

Payment of Salaries and Wages

Either a manual or a computerised payroll system shall be maintained. This shall clearly show the amount of gross and net wages for each employee. All payments to staff shall be through the payroll and shall be in accordance with Legislation and HM Revenue

&Customs Regulations. A separate record of payments to the HM Revenue & Customs for Tax and National Insurance shall also be maintained.

Other - Staff

- Persons responsible for financial transactions in the organisation should be properly trained.
- Contracts of employment should be in place for all staff employed and made available for inspection by the PHA.