

Early Years Disadvantage

VCS Grants 2018-20

Application Form and guidance

July 2018

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Section One: About This Application Form

1. **Introduction**

## This document provides details on the Department for Education’s (DfE) Early Years Disadvantage VCS Grants 2018-20.

As set out in the Invitation to bid grant document; we have identified two policy priorities that we wish to fund through the early years disadvantage grant programme. This grant round sets out to leverage VCS expertise and capacity to support the first two ‘challenges’ outlined in *Unlocking Talent, Fulfilling Potential*:

### **Priority 1:** **Closing the Disadvantage Gap at age 5**

**Priority 2: Early Years Special Educational Needs and Disabilities (EYSEND)**

## Completing the form and Instructions to bidders

This form asks you to tell us about your proposal in support of one or more of the two early years disadvantage priorities within the specification. The form also includes a timetable and guidance about the application process. In completing this application form you should refer to the early years VCS Grants 2018-20 Invitation to bid specification document which can be found on Contracts Finder: <https://www.gov.uk/contracts-finder>

Section one of this form explains:

* The assessment process, the timetable and where you can find further information;
* How your proposal will be scored;
* How to complete the application form and send it to the administrators of the grant (Department for Education (DfE)); and
* A checklist of questions you should consider before sending us your application.

There are also guidance notes within this form that explain what we are looking for in your answer to each of the questions.

**Please ensure you read this guidance document before you go to the time and expense of completing an application.**

## 2. The Assessment Process

## All of the information requested in this application form must be provided to enable your application to be considered.

In this competitive process, only the highest scoring proposals that best address our priorities will be awarded grants. The DfE reserves the right to determine the number of applications that are successful based on the quality of bids received, and to ensure an appropriate spread of proposals across the two early years priorities.

Your application is not an agreement or contract. Meeting the selection criteria does not guarantee funding. Funding is limited and applications will be assessed and prioritised according to the extent to which they meet the assessment criteria described in this form under the questions. Only high quality applications are likely to be considered for funding.

In assessing applications, the DfE will first check whether the eligibility criteria and specification delivery requirements in **Section Two and Five** of the Invitation to Bid document and **Section Two - Five** of this application form have been met. Applications that **do not** meet the eligibility criteria or specification requirements that come within the grounds for refusal will not be assessed and your proposal will be rejected at this stage.

For applications that meet the eligibility criteria and specification requirements, the DfE will then assess the information you have provided in **Sections Six to Seven** in this application form.

If your application is successful we may ask you for further documentation in addition to those outlined in this form Section 1 (4), so that we can complete any due diligence checks (for example further checks of financial information and references). We will also start negotiations with you in order to develop your work plans and to enable us to sign off the Grant Funding Agreement. Please note that the Departments standard Terms and Conditions are largely non-negotiable. A model of the Grant Funding Agreement (GFA) is available on the Contracts Finder website <https://www.gov.uk/contracts-finder>.

**3. Timetable and how you can find out more information**

Set out below is the proposed timetable for the application process. This is a guide and, subject to the quantity and quality of the proposals received, it may be subject to change.

|  |  |
| --- | --- |
| **Activity** | **Timescale** |
| **Invitation to bid published** | **Sunday 1st July 2018** |
| VCS briefing session | Friday 13th July 2018 |
| **Deadline for bids** | **noon Fri 27th July 2018** |
| Notification of outcome | Early September 2018 |
| Due diligence checks and grant clarification period  | Early September 2018 |
| Early Years grants awarded and grant funding agreements finalised | End of September 2018 |
| **Funded activity begins** | **1 October 2018** |

We will provide all successful organisations with the final version of the grant funding agreement. This agreement will set out our expectations of all successful applicants and all bidders will be required to accept the final version in full. Applicants can apply for grant funding for up to eighteen months (1 October 2018 - 31 March 2020).

**VCS Briefing Session**

The DfE will be holding a **briefing session on Friday 13th July from 10.30-12.00 pm** for organisations to find out more about the grant round’s objectives and process. The briefing session will be held at DfE Sanctuary Buildings, 20 Great Smith St, Westminster, London, SW1P 3BT.

If you would like to attend you must register your interest by **Monday 9th July 4pm** byemailingEnquiriesEarlyYears.VCSGRANTS@education.gov.uk

You must include the name of your organisation and the words “briefing event” in the title of your email and within the email provide the name and contact details of the person/s wishing to attend. A maximum of two places will be allocated for each prospective organisation on a first come first served basis.

Please note that any materials distributed on the day will be published on contract finder. We will, as necessary, revise our FAQ document by close **Thursday 19th July** to include details of questions asked and answered at the event.

**Getting in touch**

If you have any questions you would like to ask about the application process, that are not already covered in this form or the early years VCS grants invitation to bid and specification of requirements document or FAQ document, you can email:

EnquiriesEarlyYears.VCSGRANTS@education.gov.uk

You should include in the subject line of your email **‘Early Years VCS Grants’**. We are however only able to respond to general queries about the application process via the updated Frequently Asked Questions (FAQ). We are **not** able to answer questions about the specifics of what you would like to include in your proposal, this may give an applicant an unfair advantage over other applicants.

**5. Submitting Your application**

Please email a single WORD or PDF version of your completed application and supporting documents to:

EarlyYears.VCSGRANTS@education.gov.uk specifying your organisation name and priority theme in the subject line **by noon on Friday 27th July**.

Please make sure you have left yourself enough time to send your application to us. We recommend that we receive your application 24 to 48 hours before the application due date. If any technical problems occur, this extra time should allow you to resolve them and re-submit your application by the deadline. **Please do not submit duplicate applications as this delays the assessment process.**

## You will know when we have received your email as you will receive an automatic email message from the Department for Education to let you know your application has arrived.

We will **not** be able to consider applications that miss this deadline as to do so would be to discriminate unfairly against those applicants who sent their application within the allowed timescale.

**4. Application Form checklist**

You will be asked to select what early years disadvantage priority/ies your proposal addresses. If you are submitting more than one proposal please complete a separate application form for each priority area being addressed.

|  |  |
| --- | --- |
| Please consider the following questions before you submit your application form. | **Tick**  |
| 1. **Have you completed all the sections of this application form?** Please complete all sections of this form before sending it. Unfortunately, we will **not** be able to assess incomplete application forms.
 |  |
| 1. **Do you have the supporting documentation listed below?**

**Important Note:** Please be aware that you must provide the following information when submitting your application. • **Financial documentation.** In all cases organisations must provide the Department with the following financial information to evidence the information provided at Section Six Question 6c of the application form. If you have already sent this information to the Department before we would ask you to provide it once more for our records. If your organisation has a number of bids you only need to provide this information to the Department once. In order of the Department’s preference please provide the following: a. Copies of your **two** most recently audited accounts (including cash flow) or if not  available, a copy of your most recently audited account (including cash flow). b. If you do not have the information described above, a statement of your turnover, profit and loss account and cash flow for the most recent two years, or if not available, year of trading. c. If you do not have the information described above, a statement of your cash flow forecast for the current year and a bank statement, or if not available bank letter, outlining the current cash and credit position. d. If you do not have the information described above, a means of demonstrating financial status.• **Consortium documentation.** If your proposal is a partnership or consortium arrangement you must provide the Department with a document setting out the agreement entered into by consortium members. The Department does not specify a particular format for this information; it could be, for example, a memorandum of understanding.   |  |

**PLEASE ATTACH** YOUR SUPPORTING DOCUMENTATION TO YOUR EMAIL SPECIFYING YOUR ORGANISATION NAME IN THE SUBJECT HEADING

**PLEASE NOTE** WE CANNOT ACCEPT EMAILS LARGER THAN 24MB. IF
YOUR ATTACHMENTS ARE LARGER THAN 24MB, PLEASE ZIP (COMPRESS) YOUR FILES. ALTERNATIVELY, PLEASE DIVIDE THE ATTACHMENT BETWEEN A NUMBER OF EMAILS AND SEND IN CLEARLY SPECIFYING YOUR ORGANISATION NAME IN THE SUBJECT LINE AND BODY OF EACH EMAIL.

**Efficiency Controls** Where your proposals include funding for activity covered by Government Efficiency Controls we may need to seek further clarification for you on your proposals in order to make business cases to the Department and Cabinet Office where appropriate. Please note that the Department will be unable to award any money for spend in this area if business cases have not been appropriately cleared. See also pages 10 and 22 for more information on Efficiency Controls.

It is essential that **grant clarification meetings take place over September and the grant funding agreement is signed by 24th September** in order for you to receive a grant from 1st October 2018. We understand that this is a very tight timetable for you and will do our utmost to support you through this process. Please ensure you are thoroughly familiar with the terms and conditions of the grant funding agreement available on Contracts Finder before grant clarification discussions take place and that relevant personnel are available during that period.

**5. Scoring and assessing your application**

Under each question in this application form there is a description of how your answer will be assessed and scored against the specification and requirements.

The scoring matrix below will be used to ensure a consistent approach is taken when scoring applications. Your proposal will be scored out of 5 using the rating scale in the table below. This score will then be multiplied by the stated weighting, for example 1x 4 (4); 2x4 (8); 3x4 (12) to produce the final score.

|  |  |
| --- | --- |
| Score | Description |
| 0 | **No evidence/response.** |
| 1 | **Very Poor**. The response clearly fails to meet a number of criteria detailed in the question. The Potential Supplier has submitted a response that exhibits clear and significant omissions with regard to meeting the criteria detailed.Inadequate or no supporting evidence has been provided to support the Potential Supplier’s response. |
| 2 | **Poor.** The response satisfies only some of the criteria detailed in the question. The Potential Supplier’s response exhibits some omissions with regard to meeting the criteria detailed. Some evidence is provided to support the Potential Supplier’s response, however this is lacking in sufficient detail in one or more areas. |
| 3 | **Satisfactory.** Reasonable evidence of appropriate knowledge, skills, experience, quality of approach and resources (as applicable). Meets many but not all relevant requirements /considerations in this area and any missing evidence or detail is only minor. |
| 4 | **Good.** The response fully and successfully meets the criteria detailed. Full and relevant evidence is provided to support the response and explain how the Potential Supplier will satisfy the criteria in full. |
| 5 | **Excellent.** Exceptional demonstration of knowledge, skills, experience, quality of approach and resources (as applicable). Response meets or exceeds all relevant requirements /considerations in this area. Have confidence in their ability to deliver this aspect of the project to an exceptional standard. Full and relevant evidence is provided to support the response and explain how the Potential Supplier will satisfy the criteria in full and clearly offer significant recognisable benefits. |

Section Two: Eligibility Checklist

**Eligibility**

This checklist has been designed to help you decide whether you are eligible to apply for early years disadvantage VCS Grant 2018-20 before you go to the time and expense of submitting an application.

**You must be able to agree with all of the following statements** in order to be eligible to apply for awards under this grant funding opportunity. You should **also** read and meet the eligibility criteria requirements in Section 5 of the Invitation to Bid specification document and FAQ document on Contracts Finder.

* The whole bid is made on a not for profit basis.
* The lead body, if your proposal is a consortium/ partnership bid, is a voluntary, community or social enterprise (VCSE) organisation. You may include organisations which are not VCSE within the membership or partnership but they may not be the lead or the sole body.
* The sole organisation making the bid, if your proposal is not part of a consortium/ partnership bid, is a VCSE organisation
* The impact of the activity and any direct delivery of the services are in England.
* The bid does **not** include an application for any funding for capital expenditure.
* The lead body has prior experience of delivering national projects.

|  |
| --- |
| 1. **Are you able to agree with the eligibility statements above and those in section 5 of the invitation to Bid document in relation to this bid? Please tick (🗸)**
 |
| Yes | No |

In addition to the eligibility statements above and those on section 5 in the Invitation to Bid document, the DfE will not award you funding unless you are able to answer **no** to all of the grounds for refusal listed in Annex A of this form. Please review the grounds for refusal at Annex A and then answer the question below.

|  |
| --- |
| **2) I confirm that I have answered ‘No’ to the grounds for refusal as listed at Annex A. Please tick (🗸)** |
|  |

## Restrictions on certain types of grant funded activity

Due to government spending controls there are restrictions on certain types of activity that can be financed with public funds (“Efficiency Controls”). These Efficiency Controls apply to marketing, the development of digital services and consultancy.

At section six of this application form, further information is given about efficiency controls, and you are asked to set out which elements, if any, of your proposal include activity where there are funding restrictions in place.

Due to these efficiency controls, bids should limit such activity for which funding is requested. This does **not** preclude this activity being considered for funding, but proposals where a significant part of the grant being applied for will be used for these areas can only be considered if there is an **overwhelming** case for the proposed product or service.

|  |
| --- |
| **3) Do you believe that part/s of your proposal is to fund activity covered by Efficiency Controls? Please tick (🗸)** |
| Yes | No |

**To note:** If you fail to satisfy any of the mandatory eligibility criteria listed in Section 2 and the grounds for refusal at Annex A of this application and Section 5 of the Invitation to bid document the Department will not continue to evaluate the rest of your application.

Section Three: About your organisation

**What is your organisation name address and contact details?**

Question 1) Please provide the following information for organisation submitting the bid or acting as the lead where a consortium bid is submitted.

|  |  |
| --- | --- |
| 1a) What is your organisation’s full legal name? |  |
| 1b) What other name/s does your organisation use? If none please write ‘none’ |  |
| 1c) What is your website address? If none please write ‘none’  |  |
| 1d) What is your registered office address?  |  |
| 1e) What is your registered office postcode?  |  |
| 1f) Are you VAT registered? YES or NO  |  |
| 1g) If yes, what is your VAT number? |  |

|  |
| --- |
| 1h) Please provide below the contact details of someone who we can contact during office hours who has sufficient knowledge of your proposal to discuss it with us.  |
| Full name |  |
| Position (job title) |  |
| Email |  |
| Phone Number |  |
| Mobile Number |  |

**What type of organisation are you?**

Question 2) Please provide the information below for the organisation submitting the bid or acting as the lead where a consortium bid is submitted. If your organisation is both a charity and a company please provide both numbers.

|  |  |  |  |
| --- | --- | --- | --- |
| Registered Charity: |  | Charity Number:  |  |
| Company: |  | Company Number: |  |
| Other: |  |
| Please Specify: |  |
| If you are a branch or related to a larger organisation please provide the name below: |
|  |

**Consortium and sub-contracting details**

Question 3) Please provide the information below if this bid is part of a consortium arrangement.

|  |
| --- |
| 3a) Your organisation is bidding to provide the activities itself. Please tick (🗸)  |
| Yes  | No  |
| 3b) Your organisation is bidding in the role of lead body and intends to use third parties to provide some activities (i.e. sub-contractors)  |
| Yes  | No  |
| 3c) You are bidding as the lead body of a consortium  |
| Yes  | No  |
| 3d) Please provide a list of all consortium members |
|  |
| 3e) I confirm that all consortium members have agreed to enter into the consortium |
|  |
| As stated in paragraph 6 earlier, you will need to provide evidence of this agreement when you make your application. |

Section Four: About your proposal

The Early Years VCS Grants 2018-20 Invitation to bid document contains the specification of requirements outlining the aims and outcomes of this funding opportunity. This document is available on Contracts Finder <https://www.gov.uk/contracts-finder>

Bids must be made specifically in support of early years disadvantage priorities and must contribute to one or more of the two early years priorities: Closing the Disadvantage Gap at age 5 and EYSEND. The Invitation to bid document sets out details of the sorts of proposals the Departments interested in.

If you are submitting applications for more than one project then you will need to complete a separate application form for each priority area.

**Question 1) How much money are you requesting for this proposal in each financial year? Please enter the amounts you are requesting in numerals in the boxes below**

**Enter separate amounts for:**

|  |  |  |
| --- | --- | --- |
| Oct 2018 – March 2019 | April 2019- March2020 | Total FundingOct2018 - Mar 2020 |
|  |  |  |

**Question 2) What early years priority/ies does your proposal aim to support?**

 **Please tick (🗸)**

|  |  |
| --- | --- |
| **Priority 1:** **Closing the Disadvantage Gap at age 5** |  |
| **Priority 2: Early Years Special Educational Needs and Disabilities (EYSEND)**  |  |

###

**To note:** To ensure equality of opportunity to a diverse range of suppliers; if successful, we will only award one grant per organisation. Bidders may submit up to two bids per organisation.

Section Five: The Summary of Your Proposal and Track Record

**Summary of your proposal**

|  |
| --- |
| Question 1) Please describe in total to cover both points below:a) A summary of your proposal b) How does the activity described above address the defined aims of the EY VCS Disadvantage Programme (including the evidence base) (Max 500 words).  |
|  |
| **As part of the assessment, we will consider the following areas**: * How clearly your proposal addresses the DfE priority/ies you have chosen and evidences the level of need and who will benefit;
* Whether your proposal is realistic and achievable with a clear plan for sustainability and evidences the capability and capacity to maximise value for money through the 18 month funding period;
* Evidence of the outcome you can deliver;
* The potential impact of the activity on the service user (e.g. children, parents, communities, staff/ professionals including improved engagement; increased knowledge and understanding and support available to target the specific audiences).

Maximum score 40 (weighting x 4 for (a) and (b)) |

**Track Record**

|  |
| --- |
| Question 2) Please describe your previous experience and expertise that demonstrates your suitability to fulfil your proposal for EY disadvantage programme (Max 300 words)  |
|  |

**Assessment and scoring of your track record (Questions 2).**

Responses to this section will be used to undertake an assessment of your organisation’s technical and professional ability to provide the activities. As part of the assessment, we will consider the following areas:

• How your evidence demonstrates the particular expertise and capacity to deliver activities relevant to the selected early years and childcare priority/ties;

• Whether evidence demonstrates real quality in managing or working with stakeholders, developing partnerships and disseminating good practice.

Maximum score 20 (weighting x 4)

Section Six: Your Proposal in Further Detail

**What are the aims and objectives of your proposal?**

|  |
| --- |
| Question 1a) Please list in the key aims (intended outcomes) of your proposal in addressing your chosen early years disadvantage priority/ies. (Max 200 words)  |
|  |

|  |
| --- |
| Question 1b) Please list in the key objectives of your proposal in addressing your chosen early years disadvantage priority/ies. (Max 200 words)  |
|  |

|  |
| --- |
| **Assessment and scoring of your aims and objectives, question 1a and 1b)**By 'aims' (intended outcomes), we mean what you hope to achieve by the end of your project. By 'objectives' we mean the steps along the way to meeting your 'aims'; how you will achieve your 'aims’. Your key objectives should use specific statements that defines measurable outcomes. Your objectives should be SMART i.e Specific, Measurable, Achievable, Realistic, Time constrained.Your proposal will be assessed on the following areas: * How clearly your aims and objectives are aligned to chosen EY Disadvantage priorities
* How clearly the intended outcomes of the proposal are identified (including the quantified benefits you expect to achieve for users and the target groups you aim to engage)

Maximum score 15 (weighting x3) |

**What is the evidence base for your proposal?**

|  |
| --- |
| Question 2) Please explain the evidence base for your proposal (Max 200 words)  |
|  |
| Assessment and scoring of question 2 on the evidence base for your proposal. Your proposal will be assessed on the following areas: * Evidence of the outcomes you can deliver;
* What the demonstrable impact is of the activity on the service user;
* Evidence that outcomes are attributable to the service/activity and could not be achieved in the absence of it.

Maximum score 20 (weighting x 4) |

**What is your methodology and approach?**

|  |
| --- |
| Question 3) Please explain the approach you are going to take, the reasons for taking the approach and, if part of a consortium/partnership, which organisation is responsible for which aspects of delivery. (Max 200 words). |
|  |
| Assessment and scoring of question 3, your methodology and approach. As part of the assessment we will consider the following areas:* Why a particular approach is being taken;
* how service users will be engaged in the activity and how this will feedback into the activity design and delivery; what the reach of the activity will be and/or target disadvantaged communities who currently find it difficult to engage with statutory authorities.
* how your approach to dissemination will work;
* how you will monitor and evaluate activity;
* how your proposal ensures equality of opportunity and accessibility.
* which organisations are responsible for which aspects of delivery (if bidding as part of a consortium/partnership);

Maximum score 20 (weighting x 4) |

**What is your high-level delivery plan?**

|  |
| --- |
| **Question 4) Please complete the table and provide details by each quarter of the funding period covering when activity will be undertaken, what your planned activity is, what your key milestones are and your success measures (which should include quantifiable measures as appropriate).** |
| **2018-19** | **Planned Activity/ies** | **Milestones** | **Success Measure/s** |
| Oct – Dec 2018 |  |  |  |
| Jan - Mar 2019 |  |  |  |
| **2019-20** | **Planned Activity/ies** | **Milestone/s** | **Success Measure/s** |
| Apr - June 2019 |  |  |  |
| July – Sept 2019 |  |  |  |
| Oct – Dec 2019 |  |  |  |
| Jan – Mar 2020 |  |  |  |
| Assessment and scoring of question 4, your delivery plan As part of the assessment we will consider the following areas:* Plans which are coherent and feasible;
* Plans that evidence clear understanding of how activity will be measured and the impact will be evaluated.

Maximum score 20 (weighting x 4) |

**What is the budget for your proposal?**

|  |
| --- |
| **Question 5a) Please complete the following costing table. You should indicate if VAT is applicable, and if so, include VAT in all costing as this will form part of the overall grant award to you. Please, also include details of activity which you believe may fall within government restrictions on grant funding.**  |
| **Item** | **Description** | **Cost £Oct’18 – Mar19** | **Cost £Apr’19- Mar20** | **Total****Overall Cost £** |
| **A - Expenditure – Direct costs** |
| **Wages (including National Insurance)** |  |  |  |  |
| **Travel and Subsistence (England Only)** |  |  |  |  |
| **Staff related costs (for example staff training for the project)** |  |  |  |  |
| **Total of A** |  | **£** | **£** | **£** |
| **B - Expenditure – Administration (expenditure which falls within Government restrictions on grant funding)** |
| **Advertising and marketing activity** |  |  |  |  |
| **Consultancy activity** |  |  |  |  |
| **Digital Activity** |  |  |  |  |
| **Total of B** |  | **£** | **£** | **£** |
| **C - Expenditure - Administration (including management, audit, other service costs)** |
| **Management**  |  |  |  |  |
| **Monitoring and evaluation**  |  |  |  |  |
| **Audit** |  |  |  |  |
| **Equipment for use on the project (capital items i.e. building works are not eligible to be funded).** |  |  |  |  |
| **Overhead costs related to the project** |  |  |  |  |
| **Total of C** |  | **£** | **£** | **£** |
| **Total costs [A + B + C]** |  | **£** | **£** | **£** |

|  |
| --- |
| Question 5b) Please explain how your proposal offers value for money? (Max 400 words) |
|  |

|  |
| --- |
| **Assessment and scoring of question 5a and 5b** As part of the assessment we will consider the following areas:* details of the proposed staffing to deliver the outcomes including key roles identified to lead the activity as well as other roles to support delivery;
* a clear breakdown of the costs you expect to incur in meeting your stated objectives. We would be willing to consider different levels of funding for different service levels within your proposals. But you must be clear and specific about the levels of activity you wish to deliver within your proposed funding ranges;
* expenditure that you expect to incur in relation to proposed activities; a clear rationale for how you have devised the costing and explain the assumptions underpinning the costing and why you think these are realistic;
* how you demonstrate your value for money case within the proposed costings (for example, you could benchmark costs against similar activities; demonstrate how the project will contribute value through access to wider community resources); and
* the proportion of your budget that is being spent on activity which is restricted under Government efficiency controls (see below).

[Maximum score 20 (weighting x4)] |

**A note on funding restrictions:** Due to government spending controls there are restrictions on certain types of activity that can be financed with public funds. This includes marketing, the development of digital services and consultancy.

This means that controls apply to most communications activity including (but not limited to):

* Advertising & Marketing (including digital)
* Market research, printing and publications;
* Events, conferences and exhibitions;
* Public relations activities;
* Digital communications activities;
* Consultation activities including: associated publicity, events, resources and materials, research, analysis and evaluation; and
* Communication strategy, planning, concept and proposition testing and development

Marketing activity
If your proposal requests funding for marketing and advertising which fall under the Efficiency Controls, an exemption would have to be sought before the funding could be granted. Exemptions under a certain limit (£100k) can be approved within DfE. However, if you proposal includes funding in excess of this limit an exemption would have to be cleared by Cabinet Office (CO) and you may need to provide further information which might result in a delay in clearing funding .

Digital activity
The process will also apply to digital activity, for proposals including expenditure on websites, mobile apps, domain names any exemption will need to be pre agreed by DfE, any proposed expenditure over £100k would need to be agreed by Cabinet Office (CO).

Consulting
The same process also has to be followed in relation to consultancy where any exemption will need to be pre-agreed by DfE, and if the proposal includes engaging consultants at a cost of over £20k and lasting on excess of 9 months, this will require additional Cabinet Office (CO) clearance.

Bids should therefore limit such activity for which funding is requested. This does not preclude this activity being considered for funding, but proposals where a significant part of the grant being applied for will be used these areas, can only be considered if there is an overwhelming case for the proposed product or service.

More information on Government Efficiency controls can be found on the following Government website <https://www.gov.uk/government/publications/cabinet-office-controls>

 **What management and governance arrangements will you have in place and how will you manage risk?**

|  |
| --- |
| Question 6a) Please explain in the management and governance arrangements for what you are planning to deliver, including detailing who would be responsible for day to day contact with the department and how you will manage the performance of partners where you are the lead organisation for a consortium and/or are working through partners. (Max 200 words).  |
|  |

|  |
| --- |
| Question 6b) Please set out below 3-5 key risks, including financial risks, facing this proposal, your judgement on the probability (high, medium, low (H/M/L)) of their occurrence and your plans for managing, mitigating and controlling such risks if they materialise. Important Note: Please enter 'none' if you are not entering information into any of these fields. |
| Description of key risk | Probability H/M/L | Controls |
| 1.  |  |  |
| 2. |  |  |
| 3. |  |  |
| 4. |  |  |
| 5. |  |  |

|  |
| --- |
| Question 6c) Please set out below the following information from your most recent accounts  |
| Please enter, in numerals (MM/YY) the year end which the information below relates to: |
| Have your accounts been independently audited?Please tick (🗸) and specify  | Yes | No |
| Please tell us whether the information above is from the latest accounts approved by your organisation Please tick (🗸) and specifyorA projection because your organisation has been running for less than 15 months. Please tick (🗸) and specify  | Yes | No |
| Please provide the account year ending that your figures relate to:  | DD/MM/YYYY |
| Please enter, in numerals, your total income for the year. If none enter '0'.  |  |

|  |
| --- |
| Please enter, in numerals, a total and breakdown of income from any DfE grants (including agencies) for the year. If none enter '0'. |
| Description of DfE or agency grant | Amount |
|  |  |
|  |  |
|  |  |
|  |  |
| Total DfE or agency grants  | **£** |

|  |  |
| --- | --- |
| Please list any other Government grants that you have applied for or are expected to receive in 2019-20 | £ |
|  |  |
|  |  |
|  |  |
| Total grants expected 2018-20 |  |

|  |
| --- |
| Assessment and scoring of questions 6a - 6c, your management and governance arrangements, how you will manage risk (including financial risks), and your financial and economic standing . As part of the assessment we will consider:* Whether your proposals demonstrate your experience of working in partnership with a range of stakeholders to deliver government policies and have the capacity to provide strong governance and management of delivery activities.
* Whether your proposals explain your arrangements for safeguarding vulnerable children and families as part of your planned activities (where this is applicable).
* Whether your proposals demonstrate clear understanding of what the risks to your proposals are and how these risks, including financial risks, will be mitigated, managed and controlled.
* Whether the information you have provided from your accounts at question 6c indicates your organisation is of good economic and financial standing.
* In addition, where you are bidding as part of a consortium you will need to:
	+ Provide details of the structure of your consortium /partnership; and
	+ Outline details of each consortium/partnership member's intended role and responsibilities, and the overall management arrangements and decision making processes within your consortium.

Maximum 15 marks (weighting x3) |

**What are your exit plans and plans for sustainability?**

|  |
| --- |
| Question 7) Please explain what steps will you take to ensure enduring impact and sustainability after the period of funding? (Max 400 words) |
|  |
| Assessment and scoring of question 7:As part of the assessment we will look for the following: * how the proposal could be mainstreamed, scaled up and replicated/commercialised once grant funding ends (i.e. sustainability/scale up and replication strategies should be built in from the start of the project);
* evidence of specifically targeting alternative sources of funding, resource or support in kind where appropriate, to add value to your proposal;
* demonstration of the sharing of good practice with other organisations including how lessons learnt will be communicated to others;
* any plans for future engagement with stakeholders to continue dissemination; and

If bidding as part of a consortium or partnership you will need to: * set out which organisation in the consortium/partnership will be responsible for taking forward sustainability.

Maximum marks 20 (weighting x 4) |

Section Seven: Declaration

|  |
| --- |
| **DECLARATION**\* Please complete in block capitals  |
| Please ensure that a person who is appropriately authorised to act on behalf of your organisation(s) completes the following declaration.I confirm that the information given in this application is true and complete and that, if successful, the organisation will administer any grant in accordance with the final version of the DfE's grant funding agreement. I understand that the information will be used in the evaluation process to assess my organisation’s suitability to receive grant funding for the application I have made. I confirm that the organisation named in this application has given me the authority to complete this application on its behalf. |
| Name |  |
| Position (job title) |  |
| Date (DD/MM/YY) |  |
| Telephone number |  |
| Signature |  |

Please note: Signature must be either an E-signature or a real signature (scanned document)

**Annex A: Grounds For Refusal
Information to be provided by bidders**

As described in Section Two, DfE will **not** award you funding unless you are able to answer **no** to all of the grounds for refusal listed below. Please review the following list.

Please state ‘Yes’ or ‘No’ to each question.

|  |  |
| --- | --- |
| **Has your organisation or any directors or partner or any other person who has powers of representation, decision or control been convicted of any of the following offences?** | **Answer** |
| 1. conspiracy within the meaning of [section 1](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23section%251%25sect%251%25num%251977_45a%25&risb=21_T12077301839&bct=A&service=citation&A=0.2630909849289865) or 1A of the Criminal Law Act 1977 or article 9 or 9A of the Criminal Attempts and Conspiracy (Northern Ireland) Order 1983 where that conspiracy relates to participation in a criminal organisation as defined in Article 2 of Council Framework Decision 2008/841/JHA;
 |  |
| 1. corruption within the meaning of [section 1](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23section%251%25sect%251%25num%251889_69a%25&risb=21_T12077301839&bct=A&service=citation&A=0.774070316337072)(2) of the Public Bodies Corrupt Practices Act 1889 or [section 1](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23section%251%25sect%251%25num%251906_34a%25&risb=21_T12077301839&bct=A&service=citation&A=0.24433813672949012) of the Prevention of Corruption Act 1906; where the offence relates to active corruption;
 |  |
| (c) the offence of bribery, where the offence relates to active corruption; |  |
| (ca) bribery within the meaning of section 1 or 6 of the Bribery Act 2010; |  |
| d) fraud, where the offence relates to fraud affecting the European Communities’ financial interests as defined by Article 1 of the Convention on the protection of the financial interests of the European Communities, within the meaning of: |  |
| 1. the offence of cheating the Revenue;
 |  |
| 1. the offence of conspiracy to defraud;
 |  |
| 1. fraud or theft within the meaning of the [Theft Act 1968](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23num%251968_60a_Title%25&risb=21_T12077301839&bct=A&service=citation&A=0.35766330215827113), the Theft Act (Northern Ireland) 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978;
 |  |
| 1. fraudulent trading within the meaning of [section 458](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23section%25458%25sect%25458%25num%251985_6a%25&risb=21_T12077301839&bct=A&service=citation&A=0.5972529271560607) of the Companies Act 1985, article 451 of the Companies (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006;
 |  |
| 1. fraudulent evasion within the meaning of section 170 of the [Customs and Excise Management Act 1979](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23num%251979_2a_Title%25&risb=21_T12077301839&bct=A&service=citation&A=0.22540552446837803)  [or section 72 of the Value Added Tax Act 1994](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23num%251994_23a_Title%25&risb=21_T12077301839&bct=A&service=citation&A=0.9838628229561671);
 |  |
| 1. an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993;
 |  |
| 1. destroying, defacing or concealing of documents or procuring the execution of a valuable security within the meaning of [section 20](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23section%2520%25sect%2520%25num%251968_60a%25&risb=21_T12077301839&bct=A&service=citation&A=0.5036676212568264) of the Theft Act 1968 or section 19 of the Theft Act (Northern Ireland) 1969;
 |  |
| 1. fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006; or
 |  |
| 1. making, adapting, supplying or offering to supply articles for use in frauds within the meaning of section 7 of the Fraud Act 2006;
 |  |
| (e)     money laundering within the meaning of section 340(11) of the Proceeds of Crime Act 2002; |  |
| (ea) an offence in connection with the proceeds of criminal conduct within the meaning of section 93A, 93B or 93C of the Criminal Justice Act 1988 or article 45, 46 or 47 of the Proceeds of Crime (Northern Ireland) Order 1996; or |  |
| (eb) an offence in connection with the proceeds of drug trafficking within the meaning of section 49, 50 or 51 of the Drug Trafficking Act 1994; or |  |
| (f) any other offence within the meaning of Article 45(1) of Directive 2004/18/EC as defined by the national law of any relevant State. |  |

Please state ‘Yes’ or ‘No’ to each question.

|  |  |
| --- | --- |
| **Is any of the following true of your organisation?** | **Answer**  |
| (a) being an individual is a person in respect of whom a debt relief order has been made or is bankrupt or has had a receiving order or administration order or bankruptcy restrictions order or a debt relief restrictions order made against him or has made any composition or arrangement with or for the benefit of his creditors or has made any conveyance or assignment for the benefit of his creditors or appears unable to pay, or to have no reasonable prospect of being able to pay, a debt within the meaning of [section 268](http://www.lexisnexis.com:80/uk/legal/search/runRemoteLink.do?langcountry=GB&linkInfo=F%23GB%23UK_ACTS%23section%25268%25sect%25268%25num%251986_45a%25&risb=21_T12077301839&bct=A&service=citation&A=0.7339845275647608) of the Insolvency Act 1986, or article 242 of the Insolvency (Northern Ireland) Order 1989, or in Scotland has granted a trust deed for creditors or become otherwise apparently insolvent, or is the subject of a petition presented for sequestration of his estate, or is the subject of any similar procedure under the law of any other state; |  |
| (b) being a partnership constituted under Scots law,has granted a trust deed or become otherwise apparently insolvent, or is the subject of a petition presented for sequestration of its estate; or |  |
| (c) being a company or any other entity within the meaning of section 255 of the Enterprise Act 2002 has passed a resolution or is the subject of an order by the court for the company’s winding up otherwise than for the purpose of bona fide reconstruction or amalgamation, or had a receiver, manager or administrator on behalf of a creditor appointed in respect of the company’s business or any part thereof or is the subject of similar procedures under the law of any other state? |  |
| **Has your organisation?** |  |
| (a) been convicted of a criminal offence relating to the conduct of your business or profession; |  |
| (b) committed an act of grave misconduct in the course of your business or profession; |  |
| (c) failed to fulfil obligations relating to the payment of social security contributions under the law of any part of the United Kingdom or of the relevant State in which you are established; or |  |
| (d) failed to fulfil obligations relating to the payment of taxes under the law of any part of the United Kingdom or of the relevant State in which you are established? |  |