



Department  
for Education

# **Character Education Grant**

## **Application form and guidance**

**May 2016**

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# Section One: About This Application Form

## A. Introduction

This document provides details of the Department for Education's (DfE's) Character Education Grant Programme for 2016-17.

Building on the success of the 2015-16 Character Education Grants, we have committed to provide up to £6 million in grant funding for the academic year 2016-17. This is to develop new approaches or expand and evaluate existing approaches that will support children and young people to be well-rounded, confident, happy and resilient – prepared for success in adult life. As part of this, we have allocated up to £2 million to fund projects that employ a military ethos approach to developing character.

### Eligibility and criteria

We want to fund a diversity of approaches that will achieve the following outcomes:

- Increasing the number of young people involved in activities and environments that promote character education; and
- Developing key character traits, attributes and behaviours in children aged 5-16 that support academic attainment; are valued by employers; and enable children to make a positive contribution to British society.

We expect all applications to be able to demonstrate that they:

- Could be run by a school or schools that wish to offer a range of high quality activity that they offer;
- Involve joint or consortium working, with involvement of several schools. We expect all projects will involve at least one school rated good or outstanding by Ofsted in the design and delivery of their project; and
- Will test an approach that is sufficiently replicable and scalable to be rolled out across a very large number of schools nationally.

We also would particularly welcome applications from organisations that employ a military ethos approach to developing character.

### Completing the form

This form asks you to tell us about your proposal. The form includes a timetable and guidance about the application process. In completing this application form you should refer to the **Character Education Grant: Specification of requirements** 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 out further information;

- how your proposal will be scored;
- how to complete this 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.

## B. 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 will be awarded grants. The DfE reserves the right to determine the number of applications that are successful at each stage of the process based on the quality of the bids received, and to ensure we progress a mix of applications across factors such as educational phases and geographical spread. We will also take into account the balance between existing projects and new and innovative projects when making final decisions.

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.

In assessing applications, the DfE will first check whether the eligibility criteria in **Section Two** of this application form has been met. Applications that **do not** meet the eligibility criteria or that come within the grounds for refusal will not be assessed and your proposal will be rejected.

The DfE will then assess the information you have provided in the following two stages.

**Stage One** is the initial assessment of your proposal. The DfE will assess information you provided about your proposal in Section Five of the application form. This includes a summary of your proposal and how it will build key character traits.

Only those bids that are highest scoring at Stage One will be evaluated further. Therefore, not all applications will pass to Stage Two of the process and you will be notified in writing whether or not you have been successful at Stage One. Unfortunately we will not be able to provide any feedback for applicants that are unsuccessful at Stage One. Should you progress to Stage Two your scoring from Stage One will not be carried forward.

**Stage Two** looks in more detail at your proposal and the DfE will assess the information you have provided about your proposal in Section Six of the application form. You should note that the assessment at Stage Two of the process will include a financial assessment. This will be a financial viability check of the lead organisation and will be used as part of the overall scoring of your bid.

You will be notified in writing whether or not you have been successful at Stage Two of the process. If unsuccessful, we will provide you with brief feedback, setting out why you have not been awarded the grant funding.

If you are successful at Stage Two we will start negotiations with you in order to develop your work plans and to enable us to draw up the Grant Funding Agreement. A model of the Grant Funding Agreement is available on the Contracts Finder website <https://www.gov.uk/contracts-finder>

## C. 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.

- Application form and supporting documents published on the Contracts Finder website: **Thursday 26 May 2016.**
- Responses to all substantive queries received about the character education application process published on contract finder: **on the 9 June and 16 June 2016.**
- Deadline for you to submit your application/s (including all supporting documents set out in section F): **noon Thursday 23 June 2016.**
- Notification of the outcome of Stage One: **8 July 2016.**
- Notification of the outcome of Stage Two: **19 July 2016.**
- Due diligence checks will be carried out (for example further checks of financial information and references as required) and negotiations to develop and finalise your plans from **19 July 2016.**
- Grant agreement signed between the successful application and the DfE by **22 July 2016.**
- Funded activity begins **1 September 2016.**

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 one year.

### 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 Character Education specification of requirements document, you can email [Charactergrant2016.query@education.gsi.gov.uk](mailto:Charactergrant2016.query@education.gsi.gov.uk)

You should include in the subject line of your email **'Character Education Grants project'**. We are only able to respond to general queries about the application process. 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.

Your application **must** be sent by email to [charactergrant2016.application@education.gsi.gov.uk](mailto:charactergrant2016.application@education.gsi.gov.uk) **by noon on Thursday 23 June.** Information about how to send your application is explained below. When you have emailed your application form, you will receive an automatic email response letting you know that your application has arrived with us.

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.

## D. 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. Each section of 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	<b>No evidence/response.</b>
1	<b>Poor response.</b> Very little evidence of appropriate knowledge, skills, and experience and quality of approach and resources.
2	<b>Unsatisfactory.</b> Some evidence of appropriate knowledge, skills and experience and quality of approach and resources. Meets requirements in some areas, but with important omissions.
3	<b>Satisfactory.</b> Reasonable evidence of appropriate knowledge, skills and experience and quality of approach and resources. Meets requirements in many areas, but not all.
4	<b>Good.</b> Good demonstration of knowledge, skills, experience, resources and quality of approach. Meets all the requirements. Have confidence in their ability to deliver the project.
5	<b>Exceptional.</b> Exceptional demonstration of knowledge, skills, experience, quality of approach and resources. Meets all the requirements, setting out how the proposal will exceed the outcomes set out in the specification and demonstrates elements of added value. Have confidence in their ability to deliver the project and ensure sustainability.

## E. How to complete this application form and send it to the DfE

We are using a programme called Adobe Reader for the application form as it works on different types of computer and it is free for you to download and use if you do not already have it. If you need to download and install Adobe Reader on your computer, or you need the latest version of Adobe Reader then please visit the Adobe website at <http://get.adobe.com/uk/reader/> and follow the instructions you are given. **Please ensure that you are using the latest version of Adobe Reader to complete this application as this will enable you to fill the form and save your progress.** Using older versions of this programme or different programmes such as Mac Preview, Adobe Acrobat or your internet browser, for example Internet Explorer, will mean the form does not work properly.

First save this application form to your computer. Then open the saved application form in Adobe Reader and directly type your answers to the questions into the application form. You can save this application form to your computer if you would like to come back to the questions at a later stage. You may find it helpful to check the form is saving your answers before you spend a lot of time filling in the form. **Make sure 'Highlight Existing Fields' at the top of this screen is turned off** so the field you type in is white with a border.

When you have completed this application form and you are happy with your answers, send your application form by opening a new email message in your preferred email programme and attach your final application form.

Please send to [Charactergrant2016.application@education.gsi.gov.uk](mailto:Charactergrant2016.application@education.gsi.gov.uk) specifying your organisation name in the subject line.

Please make sure you have left yourself enough time to send your application to us. We recommend that you send 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.

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.



## F. Application form checklist

Please consider the following questions before you submit your application form

### Have you completed all the sections of this form?

Please complete all sections of this form before sending it. Unfortunately, we will not be able to assess incomplete application forms.

### Do you have the supporting documentation listed below?

**Important Note:** Please be aware that you must provide the following information when submitting your application.

- **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.
- **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 be ready to 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 statements, 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.

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

**PLEASE NOTE WE CAN NOT ACCEPT EMAILS LARGER THAN 24MB. IF YOUR ATTACHMENTS ARE LARGER THAN 24MB, PLEASE SEND IN SEPARATE EMAILS.**

You may also be asked to clarify your answers or provide more details about certain issues once we have notified applicants of the outcome of Stage Two of the assessment process.

**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.

It is essential that **grant negotiations take place between 19 July and 22 July and the grant funding agreement is signed by 22 July** in order for you to receive the grant. 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 discussions take place and that relevant personnel are available during that period.

## Section Two: Eligibility Checklist

### A. Eligibility

This checklist has been designed to help you decide whether you are eligible to apply for the Character Education Grant 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 grants scheme.

- The project will increase the number of children aged 5-16 involved in activities and environments that promote character education.
- The project included in the bid could be replicated and used by a school or schools that wish to increase the range of high quality activity that they offer.
- The project involves joint or consortium working, with involvement of several schools, and at least one school rated good or outstanding by Ofsted will be involved in the design and delivery of the project.
- The project will test an approach that is sufficiently replicable and scalable to be rolled out across a very large number of schools nationally.
- The sole organisation or lead body is a school, college, university, local authority, voluntary, community or social enterprise (VCSE) organisation or other profit or non-profit organisation.
- The project is focused on developing key character traits, attributes and behaviours in pupils aged 5-16 that fulfil the Department's aims of: supporting academic attainment; being valued by employers; and enabling young people to make a positive contribution to British society.
- The bid does **not** include an application for any funding for capital expenditure.

#### 1) Are you able to agree with the statements above in relation to this bid?

Yes

No

In addition to the eligibility statements above, 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) Is your organisation, any directors or partners or any person who has powers of representation, decision or control, able to answer no to the grounds for refusal listed at Annex A?

Yes

No

## **B. 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?**

Yes

No

# Section Three: About Your Organisation

## A. What is your organisation name, address and contact details?

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

a) What is your organisation's full legal name?

b) What other name/s does your organisation use? If none please write 'none'

c) What is your website address? If none please write 'none'

d) What is your registered office address?

e) What is your registered office postcode?

f) Are you VAT registered?

Yes

No

If yes, what is your VAT number?

g) Please provide below the contact details of someone who we can contact during office hours and who has sufficient knowledge of your proposal to discuss it with us.

Full name

Position (job title)

Email

Phone number

Mobile number

## **B. What type of organisation are you?**

**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.**

a) School/college ☐ Type (e.g. primary, secondary, academy, FE College, SFC):

b) Registered Charity ☐ Charity Number:

b) Company ☐ Company Number:

c) Other ☐ Please Specify:

Are you a for-profit or non-profit organisation?

Profit

Non-profit

If you are a branch or related to a larger organisation please provide the name below.

### **C. Consortium / joint working arrangements and sub-contracting details**

**3) Please provide a list of the organisations and schools that you will be working with**

**3) Please state whether:**

a) all the consortium members have agreed to enter into the consortium arrangement

Yes

No

b) you intend to use third parties to provide some activities (i.e. as sub-contractors)

Yes

No

## Section Four: About Your Proposal

The character education specification of requirements document outlines the aims and outcomes of this grant programme. This document is available on Contracts Finder <https://www.gov.uk/contracts-finder>

**Question 1) How much money are you requesting for this proposal? Please enter the amount you are requesting in numerals in the box below.**

**Question 2) Which of the following statements would best describe your proposals?**

- a. Expanding existing provision which is supported by a strong evidence base; or
- b. Investing in a new innovation which shows promising approaches to character education.

**Question 3) Does your project take a military ethos approach to developing character?**

Yes

No

**Question 4) Will your proposal be supporting children and young people of a compulsory school age?**

Please specify which school type:

Secondary

Primary

Academy

Special school



# Section Five: Stage One

## The Summary Of Your Proposal And Your Track Record

### A. Summary of your proposal

**Question 1) Please describe in no more than 600 words**

**a) A summary of your proposal**

**b) Why a particular approach is being taken and how it will build key character traits (including the evidence base)**

**We will not assess any proposals that exceeds the word limit.**

**Assessment and scoring of question one, the summary of your proposal.**

As part of the assessment, we will consider the following areas:

- How clearly your proposal addresses the conditions outlined in the specification of requirements document 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 12 month funding period;
- Evidence of the outcome you can deliver;
- The potential impact of the activity on the service user (including positive character related traits and/or improved educational engagement and attainment and/or employment outcomes).

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



## Section Six: Stage Two, Your Proposals In Further Detail

### A. What are the aims and objectives of your proposal?

Question 1a) Please outline in no more than 150 words the key aims (intended outcomes) of your proposal as they relate to the character education specification of requirements. We will not assess any evidence that exceeds the word limit.

Question 1b) Please outline in no more than 150 words the key objectives of your proposal as they relate to the character education specification of requirements. We will not assess any evidence that exceeds the word limit.

## **Assessment and scoring of your aims and objectives, question 1a and 1b**

By 'aims' 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 define 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 aims and objectives are aligned to activities relevant to the specification of requirements;
- 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)

## **B. What is your methodology and approach?**

**Question 2) Please explain in no more than 1000 words the approach you are going to take, including:**

- **How schools and parents will be engaged in developing the approach**
- **The additional activities that will be offered/provided and how it will broaden children's educational experience**
- **How your approach can be sufficiently replicable and scalable to be rolled out across a very large number of schools nationally**
- **If part of a consortium, which organisations will be responsible for which aspects of delivery**

**We will not assess any evidence that exceeds the word limit.**

### **Assessment and scoring of question 2, your methodology and approach.**

As part of the assessment we will consider the following areas:

- why a particular approach is being taken;
- which organisations are responsible for which aspects of delivery (if bidding as part of a consortium/partnership);
- 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 whether it will target areas where there is currently a lack of opportunity for developing character;
- how you will monitor and evaluate delivery;
- how your approach to dissemination will work;
- how your proposal ensures equality of opportunity and accessibility. Maximum score 25 (weighting x 5)



### **C. Track record**

**Question 3a) Please describe in no more than 200 words experience you have which demonstrates your suitability to deliver your proposal.**

**We will not assess any evidence that exceeds the word limit.**

**Question 3b) To demonstrate your experience and expertise in character education, please provide details of up to three grants or contracts from the public or private sector or work that you are already doing in this area which can be verified. Please also provide the contact details of individuals who will act as referees should the DfE wish to confirm the accuracy of the information provided below. The examples given should demonstrate your performance primarily during the last three years.**

**Example One**

Customer

Customer Email

Customer Phone Number

Customer Address

Title of Project

Start Date (MM/YYYY)

Completion Date (MM/YYYY)

Value £ (please enter numerals)

**Example Two**

Customer

Customer Email

Customer Phone Number

Customer Address



Title of Project

Start Date (MM/YYYY)

Completion Date (MM/YYYY)

Value £ (please enter numerals)

**Example Three**

Customer

Customer Email

Customer Phone Number

Customer Address

Title of Project

Start Date (MM/YYYY)

Completion Date (MM/YYYY)

Value £ (please enter numerals)

**3c) If you are unable to provide any examples please explain, in up to 200 words, why not and how your capability/expertise would enable you to deliver the project. We will not assess any evidence that exceeds the word limit.**

#### **Assessment and scoring of your track record (Questions 3a- 3c).**

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 and impact relevant to the Character Education specification of requirements;
- Whether evidence demonstrates real quality in managing or working with stakeholders, developing partnerships and disseminating good practice.

Maximum score 20 (weighting x 4)

#### **D. What is your high-level delivery plan?**

**Question 4) Please complete the table describing, your planned activity, when it will be undertaken, your key milestones and your success measures (which should include quantifiable measures as appropriate).**

Autumn Term Planned Activity/ies (September – December)

Autumn Term Milestone/s

Autumn Term Success Measure/s

Spring Term Planned Activity/ies (January – March)

Spring Term Milestone/s

Spring Term Success Measure/s

Summer Term Planned Activity/ies (April – July)

Summer Term Milestone/s

Summer Term Success Measure/s

## **Assessment and scoring of question 4, your delivery plan**

As part of the assessment we will look for the following:

- plans which are coherent and feasible;
- plans which can progress activity quickly in order to maximise the 12 month funding period;
- plans that evidence clear understanding of how activity will be measured and the impact evaluated.

Maximum score 20 (weighting x4)

### **E. What is the budget for your proposal?**

**Question 5a) Please explain in up to 200 words the main personnel involved in the project, their roles and time commitment.**

**We will not assess any evidence that exceeds the word limit.**

**Question 5b) Please complete the following table setting out your proposal's delivery budget. 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.**

**Important Note:** Please enter numerals into all of the cost columns e.g. enter '0' if you have no costs and 'none' in the description if you have no costs. This will enable the application form to calculate your costs for you.

Item	Description	Cost £
A. Expenditure – Direct costs.		
Wages (including national insurance) broken down by staff		
Travel and subsistence (England Only).		
Staff related costs (e.g. staff training for the project).		
Total of A (automatic calculation)		



<b>B. Expenditure – Administration (expenditure which may fall within Government restrictions on funding).</b>		
Advertising and marketing activity		
Consultancy activity		
Digital activity		
<b>Total of B (automatic calculation)</b>		

<b>C. Expenditure – Administration (including management, audit, other service costs).</b>		
Management		
Monitoring and evaluation		
Audit		
Equipment for use on project		
Other overhead costs related to the project		
<b>Total of C (automatic calculation)</b>		
<b>Total Costs (A+B+C) (automatic calculation)</b>		

**5c) Please explain in up to 500 words the value for money offered by your proposal. If you are a for-profit organisation you will need to demonstrate that your proposal is on a non-profit basis. We will not assess any evidence that exceeds the word limit.**

## **Assessment and scoring of question 5a, 5b and 5c, the delivery budget for your proposal**

As part of the assessment we will look for the following:

- 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 explanation of 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);
- the proportion of your budget that is being spent on activity that is restricted under Government efficiency controls (see below); and
- the amount being requested in relation to the total grant funding available and other proposals received.

Maximum score 20 (weighting x4)

**A note on funding restrictions:** Due to Government Efficiency 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 by the DfE. However, if your proposal includes funding in excess of this limit an exemption would have to be cleared by Cabinet Office and you may need to provide further information that 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 the DfE, any proposed expenditure over £100k would need to be agreed by the Cabinet Office

## Consulting

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

**F. What management and governance arrangements will you have in place, how will you manage risk and what is your organisation's economic and financial standing?**

**Question 6a) Please explain in up to 300 words 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 DfE and how you will manage the performance of partners where you are the lead organisation for a consortium and/or are working through partners. We will not assess any evidence that exceeds the word limit.**

**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.**

First key risk description and probability (H/M/L)

First key risk controls

Second key risk description and probability (H/M/L)

Second key risk controls

Third key risk description and probability (H/M/L)

Third key risk controls

Fourth key risk description and probability (H/M/L)

Fourth key risk controls



Fifth key risk description and probability (H/M/L)

Fifth key risk controls

**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?

Yes

No

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 grant/s (automatic calculation)

Please list any other Government grants or grants from the Education Endowment Foundation you receive and the income you receive from each (including agencies) or Education Endowment Foundation for the year. If none enter '0'.

Description of other Government grant

Amount

Total other Government grants (automatic calculation)

Please list any other Government grants that you have applied for or are expected to receive in 2016-17

Total grants expected 2016-17 (automatic calculation)

Please enter, in numerals, your current assets at year end. If none enter '0'.

Please enter, in numerals, your current liabilities at year end. If none enter '0'.

Please tell us whether the information above is from the latest accounts approved by your organisation.

or

A projection because your organisation has been running for less than 15 months.

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 ability to work 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 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. We reserve the right to reject proposals if we are not satisfied of the financial standing of the organisation.
- 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 10 marks (weighting x2)

**G. What is your exit plan and plan for making the project sustainable?**

**Question 7) Please explain in up to approximately 400 words your exit plan and plan for ensuring sustainability. We will not assess any evidence that exceeds the word limit.**

## **Assessment and scoring of question 7, your exit plans and plans for sustainability.**

As part of the assessment we will look for the following:

- 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
- how the proposal could be mainstreamed/commercialised once grant funding ends (sustainability strategies should be built in from the start of the project).
- 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

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, **[Enter name of organisation/s in box below]**

will administer any grant awarded in accordance with the terms 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 on this application has given me the authority to complete this application on its behalf.

**Name (please do not enter an electronic signature)**

**Position (job title)**

**Date (DD/MM/YYYY)**

**Phone number**

**Email Address**

# Annex A: Grounds For Refusal

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.

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?

- (a) conspiracy within the meaning of section 1 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;
- (b) corruption within the meaning of section 1(2) of the Public Bodies Corrupt Practices Act 1889 or section 1 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:
  - i. the offence of cheating the Revenue;
  - ii. the offence of conspiracy to defraud;
  - iii. fraud or theft within the meaning of the Theft Act 1968, the Theft Act (Northern Ireland) 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978;
  - iv. fraudulent trading within the meaning of section 458 of the Companies Act 1985, article 451 of the Companies (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006;
  - v. fraudulent evasion within the meaning of section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added Tax Act 1994;
  - vi. an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993;
  - vii. destroying, defacing or concealing of documents or procuring the execution of a valuable security within the meaning of section 20 of the Theft Act 1968 or section 19 of the Theft Act (Northern Ireland) 1969;



- viii. fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006; or
- ix. 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;
- (f) 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
- (g) 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
- (h) 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.

Is any of the following true of your organisation?

- (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 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
- (d) under the law of any part of the United Kingdom or of the relevant State in which you are established; or
- (e) 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.

