INVEST GRANT STAGE 2 APPLICATION FORM GUIDANCE NOTES
May 2019

If you are through to Invest Grant Stage 2, you will have already completed Invest Application Stage 1 and been invited to continue your application. If you have not yet completed the Stage 1 application, please go back to that stage.

These guidance notes are provided to assist charities to complete the online application form. Please read these notes before completing the application; this will ensure you have the information to hand and will avoid duplication of information and unnecessary work.

Your regional Grant Manager will have collected a range of information from you already and there will have been agreement on what you are applying for, how much and for how long. If you intend to change any of these things, please contact your Grant Manager to discuss it.

If you have any difficulties using the form, are unclear about the questions or the information you need to provide or wish to provide any general feedback, please contact us at: **enquiries@lloydsbankfoundation.org.uk**. We will aim to provide a response within three working days.

Choosing to make a 'core costs' or 'project costs' application
We accept applications for both 'core costs' and 'project costs'.

- Core costs applications: to be able to apply for a 'core costs' grant, more than 50% of your work and expenditure needs to meet our eligibility criteria. For core costs applications you will be able to spend the grant funding on organisational running costs, such as rent or management costs. You will need to confirm that the funds will be spent on revenue costs (i.e. not capital costs) and will be spent within three years.
- Project costs applications: you can apply for project costs if you are delivering a particular service that meets our eligibility criteria. You will still be able to allocate some funding towards running costs, but these would need to be proportionate and only associated with the project for which you are seeking funding.

A note on language

We know that charities use different terms for the people they work with, such as 'clients' or 'service users'. In our application form and guidance notes we have used the terms 'users' and 'beneficiaries'.

Some charities will be asking us to fund all their work; others, a service, programme, project or activity. In our application form and guidance notes we have used the terms 'work' and 'activity' to cover all of these.

A note on word limits

The online application has word limits for each section, which are shown on the screen. This reflects the amount of information we expect you to provide but do not feel you have to reach the limit if you can answer the question with fewer words. The text box allows you to insert more text than the limit, however you will be requested to condense this before moving on to the next section.

1. About your charity

Charity Name and Number

These sections are already filled out with information previously provided and cannot be overwritten. Please contact the Foundation if any of this information has changed.

Email: enquiries@lloydsbankfoundation.org.uk
Phone: 0370 411 1223

Please describe the purpose of the grant you are requesting

This section is already filled out with information previously provided. If, as a result of discussion with a Foundation Grant Manager, this information has changed, you can edit or delete and overwrite.

2. Identifying the need for the work

What are the needs of your users, and how have you have identified those needs?

The Foundation funds organisations supporting adults (17+) facing a range of complex social issues (Appendix 1), and you should use this space to demonstrate the issues faced by your users and how these align to our funding priorities. We'd like to understand how you have identified this need.

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You may wish to consider:

- What are the main ways that people access the services you provide?
- Do you collect information on your beneficiaries?
- Has demand for your organisation changed?
- Have you conducted any research or consultations with existing service users?

Is there any external evidence?

Example: 'For 20 years we have been providing support to people recovering from a drug or alcohol dependency to rebuild their lives. Although everyone we work with has experience of addiction, many of the people we work with have much wider problems as a result: mental health problems, family break-up, unemployment and debt. We are an open-door service for anyone suffering with impact of addiction, but we have good relationships with local providers including adult social services and the health service, including GPs and A&E, all of whom can make a referral to our support.'

If you have run a pilot, please tell us about it and what you have learned from this.

The Foundation is very happy to fund existing services where there is a continued need. If your request is for existing work, please tell us how you know this is still needed. For example:

- Are you operating a waiting list or triage system to manage demand?
- Have you evaluated this work?

Example: 'We have run workshops for a number of years to rebuild confidence and skills for the future for people in recovery, but have identified that women accessing this support are less likely to move on successfully. In the past two years, only 55% of women we support have moved into work, volunteering or education within six months, compared to 70% of our male service users. This is particularly concerning as the number of women referred to our service is growing fast – from 32 in 2015 to 54 in 2017.

'To close this gap, we've worked with the women currently in our service to identify the barriers they face. A lack of affordable local childcare, flexible opportunities for studying and volunteering and the attitudes of local employers to women in recovery are the key hurdles.'

3. Addressing the need

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How do the services and support you provide meet these needs?

Explain why you think the proposed activity will best deliver the outcomes you want to achieve. Whether based on a pilot or existing work, you may wish to consider including:

- What are the results for the work to date?
- What have been the success rates?
- Have you evaluated the previous work?
- Will the work be targeted and how?
- How long will support be provided for?

Example: 'In 2017 we introduced a women-only recovery support group and women's caseworker to address the specific needs of women to move on from addiction. This has seen a significant growth in the number of women who stick with our support.

'We have found in previous years that the key to the success of this work is that alongside support group work to address emotional needs, our caseworker offers one to one intensive support to address the barriers women particularly face – like accessing childcare. The period of involvement varies according to the needs of the users and their starting point prior to beginning any training. The majority go on to enter a course within six months, however for some it can take 18 months.'

If relevant, please outline how service users have been involved in the design and development of your proposed activity. If you are asking us to fund just one element of a range of services, please make sure you tell us about service user involvement with both the work you are asking us to fund *and* involvement with your charity as a whole.

4. Aims of the work

What is the overall aim of the work?
The aim should reflect your overall ambition for the work you are asking us to fund.

Example: 'To tackle the barriers facing women in making a full recovery away from addiction and to contribute to their ability to secure employment, enter education or start volunteering.'

5. Objectives

Take a look at our Objectives and Outcomes video guide.

We typically expect three key objectives per application. For each objective, you can set up to three individual outcomes for *beneficiaries*. These can be 'hard' or 'soft' outcomes. They should each reflect the intended change for individuals benefiting from the activities you're providing. Irrespective of the number of years you are requesting funding for, the numbers we ask you to state below should be in a *per year* format. Please state the objectives of the intended work as follows:

- Objective: State what you want to achieve for your beneficiaries with the work you would like us to fund.
- Number of people: State the number of individuals you expect to work with in an average year around this objective.
- Activity: Describe the specific activity you will undertake. When will it start, and how frequently will it take place?
- Outcome: For every objective identify one to three corresponding outcomes - changes or benefits for the individuals you work with. For each outcome, please provide:
  - Outcome: please use the wording you use within your own systems
  - Number of people: the number of people you work with who will successfully achieve the outcome in an average year.
  - Monitoring: How will you track progress towards this outcome, including any tools and indicators you use to measure success.

Your application will be assessed for fit with the Foundation's outcomes for people facing complex social issues (Appendix 2). **To be considered for funding by the Foundation, across all three of your objectives at least one outcome will need to *fit within* at least one of our funding outcomes.**

These objectives and outcomes should focus on the work you are asking us to fund. If you are asking us to fund a contribution to your core costs, for example a Chief Executive or administrator role, then these objectives would focus on the work of your whole charity.

The objectives provided should encompass the full life of the grant, whether that is one, two or three years. You will be required to report back on the progress of these objectives in each end of year report.

Example:

N.B. in the below example, Outcome 3 fits within our funding outcomes, confirming this organisations' eligibility for funding

Objective One		
Objective	To improve the employability of women in recovery from a drug or alcohol dependency.	
No of People	55	
Activity	We will hold weekly women's recovery workshops, with members typically attending for around 8 months, although some will require support over a much longer period of time. Once a month these workshops will focus on "purposeful activity" – work, volunteering or education. Our women's caseworker will work directly with individuals to address the specific barriers like childcare, support them to make applications for education and jobs and comply with work-search requirements of Job Centre Plus.	
Outcome 1	Outcome	Women increase their self-confidence around future employment
	Number of people achieving this outcome	55
	Monitoring (tool or CRM system where relevant)	We will use individual action plans to track distance travelled around trust and work aspirations We will monitor progress once every three months.
Outcome 2	Outcome	Reduced practical barriers
	Number of people achieving this outcome	40
	Monitoring (tool or CRM system where relevant)	Using our case management system we will record the number of people supported to access childcare and the number of women who receive a sanction from the Job Centre,
Outcome 3	Outcome	Women entering sustainable employment
	Number of people achieving this outcome	15
	Monitoring (tool or CRM system where relevant)	Case records will be kept on all women while they receive support. We will follow up with women six months after they leave the service to check that they have managed to sustain work.

6. How do you learn from the monitoring of your work and how does this inform how it develops?

We want to know how your charity learns from its work. For example:

- How often do you review project or organisational performance?
- How is learning used within planning and delivery?
- Have you used monitoring data to make changes to your activities in the past?
- Do you use evaluation tools or external evaluation?
- Is learning shared externally?

7. Jobs and volunteers created / supported directly by the grant

We want to know a few specific things about what you intend to achieve. Where we ask for the number of new jobs created and the number of existing jobs supported, we are asking specifically about the salaried role(s) you are asking us to fund.

We recognise the important contribution that volunteers make to charities and want to know when our funding brings extra benefits, such as training and using volunteers. Please estimate the number of new and existing volunteers who would be supported if this request for funding was successful. During the assessment and grant monitoring process, we are particularly interested in understanding how volunteers support the work of the charity, how volunteering is used to support outcomes for beneficiaries and the wider benefits to individuals and communities from volunteering.

8. Your funding request

When will you need the funding to start?

Please provide a date when the proposed work will start delivering to users. Where the work is ongoing please write 'ongoing work' and add a date when you want the funding to begin. Please note that the work must be due to start within 12 months.

What planning or development work do you need to do beforehand?

Please provide details of any steps that need to be undertaken prior to delivery, how this will be resourced and when it will be completed by. If you need to undertake recruitment and need the funding released beforehand, please mention this here.

Where will the proposed work take place?

This question relates to outreach work or work away from your base. Where work is centre based, simply put 'at charity address'.

Please provide the lowest level of geographic information in terms of the community the work will be supporting:

- Postcode
- Town
- Council – District or Unitary Authority

Is there anything else you would like to tell us about your activities, objectives, outcomes or the project timing?

Please provide any additional information that relates to these areas that you think may be relevant.

Costing

You are able to apply for a minimum of £30,000 and a maximum of £100,000 across three years.

The Foundation offers flexibility in how much of your Invest grant you spend in each year of funding.

Grants are offered for a period of three years:

- You must spend at least 25% of the total grant in each year of funding
- You are able to spend up to 50% of the total grant in any one year of funding

Example:

You are requesting a grant of £80,000 over three years:

- You must spend a minimum of £20,000 in each year of funding
- You can spend up to a maximum of £40,000 in one year

Providing the above rules are met, you can choose how much money you want to request to draw down in each year of the grant.

If you are making a 'core costs' application, you will be required to complete question 9 ONLY.

If you are making a 'project costs' application, you need to complete questions 9-16.

9. Total funding request

You will be asked to confirm that the funding would only be used to support revenue costs and that it would be fully spent within three years.

You will also need to provide the total amount that you are requesting and how much you would like to draw down in each year of your grant, in line with the guidance above.

10 –16. Costing for 'project costs' applications only

The purpose of this section is to establish the total funding that you require for the purposes listed in this application, how much money you have raised so far, whether you are working in partnership and how much more funding you need. The tables on the application form will help you to do this, but you will need to check the figures you provide. If you are making a 'core costs' application, you DO NOT need to complete this section.

Please provide the total costs of the work you plan to carry out

Please specify each cost item e.g. salary of Training Co-ordinator, volunteer travel expenses, office costs. List each item under a separate row and provide the cost for each year that you are seeking support.

Please provide a breakdown of the funding you are requesting from us

Please provide a breakdown of the funding you are requesting from us towards each budget heading. You need to clearly indicate the specific elements of your work that the Foundation's funding would be put towards. If you are requesting salary costs, please include the title(s) of the post(s) that will be funded.

Will any partner organisation(s) receive part of the grant to directly deliver the work?

Charities can pass our grant funding directly on to a third-party organisation where they are working in partnership to deliver a service the grant is funding. Where this sort of partnership working is taking place, we need to know who the partner organisations are and how much funding they will receive.

Please note: if you are paying for a specific service from a partner organisation, for example HR support or an external evaluation, you do not need to provide details.

The following requirements will need to be met for partnership funding applications to be eligible:

- The applicant must be a registered charity and meet the relevant eligibility criteria. Partner organisations should be based in the UK; beyond this, no limitations are placed on organisation type.
- The applicant must be the lead partner and directly spend at least 50% of the funding.
- Appropriate partnership agreements are required to be in place between the grantee and the partner/s if funding is to be passed to a partner organisation.

The applicant organisation will be responsible for collating the necessary financial and delivery information required to complete the grant monitoring forms.

Funding that you have already secured

If you already have some of the funding to support this work, please list this here.

How much do you still need to raise?

If the total cost of the work is more than the total of the amount of money that you have already secured and the amount you are requesting from us, please put the amount you still need to raise. If you want to add qualifying information, you can do this in section 8.

If you have applied to other funders for this work and are still waiting for decisions from them

If you have an amount still to raise to fully fund this work, please list any applications that you have made to cover these remaining costs. Please tell us the amount requested and when you expect to receive the decision on these pending applications.

17. Continuation funding

Invest grants provide funding for three years. The Grants Panel will also offer some successful applicants 'in principle' continuation funding for an additional three years (six years in total). In these cases, funding is initially confirmed for the first three years. At the end of the initial three-year term, these grant holders will be asked to complete a short continuation application which, if approved, will then trigger a further three-year funding term.

Please note that we are not able to fund all continuation requests. If your application is successful, your offer letter will outline whether 'in principle' continuation funding has been agreed.

If you would like to be considered for a continuation grant over six years, please tick the box.

18. Additional information

If there is any other relevant information which you have not been able to include elsewhere, please explain this here. You don't need to write anything in this box unless you want to. Examples of relevant information might include details of partnerships, your plans for sustainability, further details about your pending applications for funding.

19. Attachments

Please attach the following documents to your application:
- A job description if the funding request includes staff costs (only required for 'project costs' applications)
- A partnership agreement if required.
- Audited accounts
- A recent bank statements

We can accept a variety of different file formats but the maximum size for all the attached documents is 25MB. Common formats include doc, pdf, and xls.

20. Declaration and signatures

Please read the statement covering the basic terms and conditions of our funding. If you submit the application, you are agreeing to these. At the point we formally offer the grant there may also be specific terms and conditions and these will be provided in writing. If you do not want to agree to these, there will be an opportunity to decline the grant.

APPENDIX 1: COMPLEX SOCIAL ISSUES

The Foundation supports work addressing the following complex social issues:

Social Issue	People the work supports
Domestic abuse	**People who have experienced abuse:** • Domestic abuse: an incident or pattern of incidents of controlling, coercive, threatening, degrading and violent behaviour, including sexual violence; **Perpetrators:** • People who have systematically abused another person to gain power or control in a domestic or intimate relationship. To be funded for work with perpetrators of domestic abuse you will need to hold or be able to evidence that you are working towards Respect accreditation. http://respect.uk.net/what-we-do/accreditation/
Sexual abuse and exploitation	**People who have experienced sexual abuse and exploitation:** • Sexual violence • honour-based violence; • female genital mutilation; • adults who experience trauma from sexual exploitation in their childhood; • people who have been groomed; • people who have been sexually exploited online; • people involved in sex work where it has a significant adverse impact on their lives.
Mental health	**Our funding supports charities with a strong track record of working with:** People who are managing mental health problems resulting in **significant disruption** to everyday living or in recovery from an episode of such problems occurring in the last two years. This includes people managing conditions such as depression, schizophrenia or eating disorders. It does not

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include neurological conditions such as dementia or acquired brain injuries.

As we want to support people who are most affected by this complex social issue, it is likely that the people you are supporting will be experiencing enduring mental health problems and will have received a clinical diagnosis.

We are particularly interested in receiving applications from specialist mental health providers, working to address a gap in statutory provision.

Questions your assessor may ask include:
- How are the people you support significantly affected in their everyday living?
- What % of the people you support have a clinical diagnosis
- Where do your referrals come from?
- What gap(s) in statutory provision are you addressing/ filling?

Homelessness/ vulnerably housed	**Our funding supports charities with a strong track record of working with:** People with no accommodation; living in temporary, overcrowded accommodation; or who are vulnerably housed where there is a high risk of becoming homeless. We do not generally fund short-term emergency accommodation e.g. winter shelters.
Offending, prison or community service	People with a history of offending which **significantly** impacts on everyday life; rehabilitation of and prevention of reoffending for people with a custodial or community service sentence. Questions your assessor may ask include: - Where do your referrals comes from? - How do you engage with the probation service, Community Rehabilitation Companies, and other organisations supporting people with a history of offending? - What is your track record of achieving positive outcomes from people with a history of offending? How do you track/ measure this?

Care leavers	People who are currently managing the transition from having spent time in *care* as a child. Such *care* could be in foster *care*, residential *care*, or other arrangements.
Learning disability	People who have a learning disability that **significantly impacts** on their lives. We are particularly interested in supporting charities who work with people with learning disabilities who are also affected by other complex social issues (e.g. mental health, domestic abuse and/ or exploitation) and offer support for their service users' range of needs. We would also like to receive applications from charities supporting those who are managing the transition from residential or family care to independent living. You will need to be able to clearly demonstrate that your work allows people with a learning disability to achieve positive outcomes, such as medium to long term employment or into independent living. Questions your assessor may ask include: • What is your track record of delivering the stated positive outcomes e.g. moving people with a learning disability into employment or independent living? • What are the range of complex social issues that your service users are affected by, and what support to you offer them to address these?
Dependency on alcohol, drugs, substances and/or gambling	People whose lives are **significantly affected** by their dependency on, for example, alcohol, drugs, substances and gambling. Your work will involve working directly with the individual with the dependency and may also include working with their families.
Trafficking and modern slavery	People who have been trafficked or forced against their will into labour or marriage.
Young parents	Parents under the age of 21 whose lives are significantly adversely affected (e.g. their health, education, finances and/or opportunities) by parenthood.
Asylum seekers and refugees	People who are asylum seekers or have been granted refugee status in the last two years.

	Questions your assessor will ask you may include:
	- What proportion of your service users are asylum seekers or refugees? - Of the refugees you work with, what proportion have had their asylum granted in the last two years? - How do you support your service users beyond the decision on their application? - If your services include advice provision, do you have, or are you working towards, OISC accreditation? - What partnerships do you have in place with other service providers?

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APPENDIX 2: OUTCOMES

The Foundation is seeking to achieve the following outcomes for people affected by complex social issues (Appendix 1) through its' Invest funding.

Outcome	Definition
Stable and suitable housing	Accommodation appropriate for the housing needs of the individual, with expectation to remain in the medium/long term with the support they need to sustain a tenancy.
Stable income and financial independence	Income for individuals is maximised - they have access to the benefits they are entitled to, avoidance of welfare sanctions, freedom from problem debt, high-cost borrowing and financial abuse.
Move to independent living	People with learning disabilities leaving residential care or the family home, those with mental health issues leaving in-patient care or young people leaving care have the support they need to sustain independent living.
Safely managing dependencies	People sustain medium or long-term safety and/or freedom from dependencies, whether that is abstinence or a managed/harm reduction approach.
Have not reoffended	Those with a history of offending are supported to move away from crime, or make significant progress in tackling the frequency or severity of offending behaviour.
Safe from violence and abuse	For people escaping an abusive situation like domestic or sexual violence, victims of human trafficking, refugees and asylum seekers and for those involved in street/survival sex work. It can mean either freedom from violence and abuse, or a situation in which people are supported to manage risk.
Choice and control	People feel they have control over their lives and are in a position to make their own choices about where they live, who they live with, their work, relationships and bodies.
Managing a mental health condition	People with clinical mental health needs are able to manage their wider condition and/or own recovery with confidence and stability. It can also apply to people dealing with the impact of trauma, including refugees and asylum seekers and victims of domestic and sexual abuse.

	This outcome does not include people who have seen a general improvement in their well-being but do not have clinical mental health needs.
Healthy relationships	People enjoy positive and enriching relationships, negative relationships are reduced. This covers partners, including ex-partners, parent/child and family and friendships. It would not, for example, apply to a trusting relationship between support worker and client.
Entering education	Working towards accredited qualifications that support people towards future employment or further or higher education. Part-time education should be considered in the context of apprenticeships.
Gaining qualifications	Externally accredited qualifications, materially relevant to future jobs.
Becoming employed	People entering secure and sustainable employment. If the charity runs a social enterprise, employing beneficiaries in your own service can count towards this outcome.