



Department
of Health

Voluntary Sector Investment Programme Innovation, Excellence and Strategic Development Fund 2015–16

Information Pack for Applicants

January 2015

'Voluntary Sector' describes the range of organisations which work in the space between what the Government provides and what the private sector provides. These include small local community and voluntary groups, registered charities both large and small, foundations, trusts and the growing number of social enterprises, mutuals and co-operatives. Voluntary Sector organisations share common characteristics in:

- the social, environmental or cultural aims that they follow;
- their independence from government; and
- the way they invest any money they make to further those aims.

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Voluntary Sector Investment Programme

Innovation, Excellence and Strategic Development Fund 2015-16

Information Pack for Voluntary Sector Organisations

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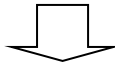
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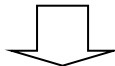
Innovation, Excellence and Strategic Development Fund: Application Process Flow Map

Registration and eligibility to be completed by Noon 13th March 2015:

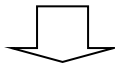
1. **Register as a new user in 'Award Information Management System' (AIMS)** Have you registered both yourself and your organisation with AIMS previously? If yes, proceed to step 3. If no, refer to Appendix A of this information pack for information on how to register and refer to the e-Learning module on the AIMS welcome page. [AIMS](#)



2. **Await an e-mail from the Grants Hub** confirming that the organisation has been registered. Has an e-mail been received? If yes proceed to step 3, if no and 24 hours have passed since registering, contact the Grants Hub on 0113 2545450



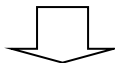
3. **Complete Eligibility Form in AIMS** including reviewing and updating your organisation profile and agreeing terms and conditions. Refer to the AIMS user guide, which can be found in the top right hand corner of the 'AIMS' log-in page.



4. **Await e-mail from Grants Hub** confirming that the eligibility form has been completed. Has an e-mail been received? If yes then registration is complete, go to step 5 to complete the application. If no and 24 hours have passed, contact the Grants Hub on 0113 2545450

Application Form, to be completed by Noon 27th March 2015:

5. **Complete the online application.** Refer to the AIMS guide. Once completed ensure that you press the button 'send application to DH'.



6. **Await an e-mail from the Grants Hub confirming that the application has been received.** Has e-mail been received? If yes, process is complete (we may contact you if we require any further information). If no and 1 hour has passed since completing the application, contact the Grants Hub on 0113 2545450

Innovation, Excellence and Strategic Development Fund Timetable 2015-16

20 th January 2015	We launch the 2015-16 'Innovation, Excellence and Strategic Development (IESD) Fund and publish the funding themes
21 st January 2015	'Meet the Funder' information events held in Leeds
23 rd January 2015	'Meet the Funder' information event held in London
20 th February 2015	'Meet the Funder' information event held in London
Noon on 13 th March 2015	Closing date – at 12 noon – for registering on AIMS . Please note that if you, as your organisation's IESD Fund application contact, submitted an application to last year's (2014-15) IESD Fund you are not required to re-register on AIMS. If the organisation applied to last year's Fund but its application contact has since moved on then the new application contact will need to register her/his details by noon on 13 th March 2015.
Noon on 13 th March 2015	Closing date – at 12 noon – for completing the 'Eligibility Form' – All organisations need to complete this, even if they have applied in previous funding rounds.
Noon on 27 th March 2015	Closing date for applications ; AIMS will close at noon on that day, after which no applications will be accepted.
Late Summer 2015	Decisions – Organisations will be informed whether or not they have been successful.
September 2015	We envisage that projects will commence

1. Introduction

This document provides information about applying to the Voluntary Sector Investment Programme's 'Innovation, Excellence and Strategic Development Fund', which will award grants in the summer of 2015 and you should plan to commence work from September 2015. We call this 'the Fund' in the rest of this document.

You should read the information in this guide carefully as there have been changes to the eligibility rules, themes for funding, and improvements made to the on-line application system (AIMS) in recent years.

The document will give you information to help you decide if the fund is suitable for your organisation and the activity you want the funding for. It gives details of:

- the funding themes for 2015–16;
- the areas we will give preference to for each theme; and
- the conditions we use when assessing applications.

If you need more information, you can contact us by:

- e-mail at voluntarysectorgrants@dh.gsi.gov.uk; or
- Call our telephone helpline on 0113 254 5450.

2. Voluntary Sector Investment Programme

The Innovation, Excellence and Strategic Development Fund (called 'The Fund' in this document) provides funding from one to three years to support proposals in the health and care field. The available funding is very limited and, to be successful, organisations will need to have a clear focus in their applications on how their proposals would support and drive forward new ideas, disseminate and replicate excellence or undertake strategic developments in voluntary sector capacity and/or capability in health and care. The Fund is open for applications for projects to start in September 2015 or later; we cannot accept applications after the closing date, which is at noon on 27th March 2015.

In July 2014, Minister for Care and Support, Norman Lamb announced that of the 377 applications received, The Department of Health has awarded 30 voluntary sector projects grants totaling over £4 million, as part of the 2014-15 Innovation, Excellence and Strategic Development (IESD) Fund.

This is a highly competitive scheme and proposals must be able to evidence that they can deliver improvements to 'Health and Care Services' and which will result in cost/time savings. Significant emphasis is given to whether the proposal will deliver value for money. Proposals should justify the time period of funding that they are requesting and the cost of the activities.

Under the Voluntary Sector Investment Programme from 2015–16 the following funds and programmes may be available.

The Voluntary Sector Strategic Partner Programme (SPP)

The Voluntary Sector Strategic Partner Programme was launched in April 2009 to improve communication and dialogue between the Department of Health and voluntary sector health and social care organisations across England. The programme enables voluntary sector organisations to work in equal partnership with the DH, NHS and Social Care to help shape and deliver policies and programmes, for the benefit of the sector and improved health and well-being outcomes.

In April 2014, the Department of Health announced the 22 voluntary sector organisations that will be part of the new Health and Care Voluntary Sector Strategic Partner Programme for 2014/15. This new system-wide programme, delivered in partnership with NHS England and Public Health England, will build on the successes and lessons learned from the DH Voluntary Sector Strategic Partner Programme.

[Strategic Partner Information Pack](#)

Health and Social Care Volunteering Fund (HSCVF)

The Department of Health's Health and Social Care Volunteering Fund uniquely combines grant funding and support to voluntary, community and social enterprises (VCSEs). HSCVF aims to improve VCSEs' potential in the health, public health and social care landscape by increasing their capacity, boosting their abilities and helping them to become more sustainable.

For more information on the scheme please contact the Voluntary Sector Grants Hub.

Telephone helpline: 0113 2545450

By email: voluntarysectorgrants@dh.gsi.gov.uk

3. Important points to note for 2015–16

- We have an on-line 'Award Information Management System' (AIMS) to help you apply and so we can better manage how we award funding. We will only accept applications made on-line. Our system includes some automated eligibility checking. Registration and the eligibility form must be completed by noon on 13th March 2015 (See page 41).
- Please note that if you – as your organisation's application contact - submitted an application to last year's (2014-15) IESD Fund you are not required to re-register on AIMS, however the eligibility form will need to be completed. If an organisation's application contact from last year has moved on, the new contact at the organisation will need to ensure her/his registration and eligibility form are completed by noon on 13th March 2015.
- An e-learning module guiding you through the registration and eligibility process can be accessed through the AIMS log-in page (in the top right hand corner of the page) or the DH Website.
- This year we only ask you to select a theme to apply under, we no longer require you to select a priority.
- Appendix A, at the back of this pack provides further guidance on the AIMS system.
- There are now additional approvals in place for communications/digital activities. Please see pages 17 to 21 for more information.
- If you decide to apply as a partnership bid, this year you will need to submit a breakdown of expenditure by partner. Please see the section on 'Joint and Partnership Bids' on page 15 for more information.
- Please contact the Grants Hub team directly if you have problems with accessing AIMS for example due to visual impairment, we will be happy to look at alternative methods of completing the process.

- The AIMS system may not be suitable for users of assistive technology, please contact the helpdesk for assistance if you experience difficulties.

PLEASE NOTE:

This is a 'National' scheme, Department of Health does not fund local activities and services that are the responsibility of local commissioners.

4. Eligibility

Are you eligible to apply?

You must meet the conditions set out in section 64 of the Health Services and Public Health Act 1968 to be eligible to receive a grant under the Voluntary Sector Investment Programme. You must meet the following legal requirements (which are a summary of the criteria in Section 64 and not a complete description of the law).

- Your organisation must be carrying out activities that involve "... providing a service similar to a service provided by the National Health Service or by local authority social services, promoting, publicising or providing advice to do with providing either a national health or local authority social service or a similar service".

The Act gives the Secretary of State for Health the power to award grants to not for profit organisations in England whose activities support our priorities.

Eligibility conditions:

As well as the legal requirements in Section 64 of the 1968 Act, the following eligibility conditions also apply if you want to apply to the fund.

- Your proposal must only provide health and care services in England. There are separate arrangements for Scotland, Wales and Northern Ireland.
- Organisations must be not for profit and:

Incorporated (this would be a company limited by guarantee and registered with companies house OR a community interest company OR a co-operative or industrial and provident society OR a Social Enterprise OR a Mutual).

OR

Have charitable status (registered with the Charity Commission).

Start-up organisations

Please note that organisations that have been formed within the last 12 months will not be eligible to apply, as we require your last set of audited accounts and a reference from an organisation that has worked with you in the past. It is possible however to partner with an established organisation, with them acting as the lead accountable body. (Please see section on Joint and Partnership bids on page 15)

Is your proposal eligible?

You can submit:

- One application with your organisation as the designated sole applicant.

and/or one of:

- One application (for a separate proposal) with your organisation as the designated lead accountable body for a **partnership** application; or
- One application as an equal partner in a **joint** application (even if you are not the lead contact for the purposes of AIMS).

(Please refer to Page 15 below for the definitions of partnership and joint applications).

If you send in more than one application as the sole applicant and/or more than one application as the lead accountable body for a partnership or joint application, we will ask you to identify which application(s) should continue and which should be withdrawn. Please note that you can be involved in numerous **partnership** applications as a delivery partner, which means that your organisation is not the lead accountable body; however we strongly recommend that this does not exceed 3, as it may be difficult to fully commit resources to multiple proposals.

Activities

You will be eligible for investment from the Fund if the proposed activities meet the following conditions.

- Have the potential for an impact nationally. This means we will not consider proposals with a purely local impact. For more information on national impact, please see Page 14.
- Equality and tackling health inequalities must be a central part of all activities.

The following types of proposals are not eligible for investment through the Fund.

- Activities that are not allowed under your organisation's aims.
- Delivering an existing service locally that is the responsibility of local organisations to arrange and pay for based on an assessment of local needs.
- Proposals that simply continue existing initiatives or activities.
- Routine on-going, updating or maintenance costs of websites and other electronic communications, phone helplines and hard copies of materials.
- If the organisation plans to use the funding to support party political activities.

- If the organisation plans to use any part of the grant to finance fundraising efforts
- Research projects. Research is defined for this purpose as 'creative work carried out to increase knowledge'. If you are not sure if your proposal would be included in this definition, please contact us.
- Capital projects, for example, buildings, refurbishment and transport. Your proposal can include up to £5,000 of capital spending for equipment.
- Proposals for the Innovation and Excellence strands where the funding you request for **each year** of the project is more than 25% of your annual income (based on your most recent available final accounts). For the Strategic Development strand, we will look at each application on its merits. For all proposals you will need to ensure your organisation has the capacity to undertake the work and you can clearly demonstrate value for money (For more information on the 25% rule please see Page 33).
- Proposals that include passing all or part of the grant funding to individuals or other organisations e.g. through grants, will not be eligible.

The following types of organisation are not eligible to apply to the Fund.

- Individuals or sole traders
- Organisations that make profit for private gain
- Public bodies including local authorities, schools, universities, community or town councils
- Organisations based outside of England
- Organisations formed less than 12 months ago
- Organisations without suitable accounting records

5. National Impact

All proposals under this Fund will need to demonstrate they will have a national impact. The proposal should be able to make a difference to the health and well-being of people across **England**. If your proposal is simply to provide local services, we would advise you to contact local funding organisations for help.

Excellence and Strategic Development Applications

Organisations applying for Strategic Development funding must work across two or more English Regions (as defined by the Office for National Statistics (ONS)).

Applications made under the Excellence Strand must be for projects that are taking place across England. For the purposes of IESD this means that, as a minimum, the project must take place in two or more English Regions. These Regions are: North East, North West, Yorkshire and the Humber, West Midlands, East Midlands, East of England, London, South East and South West. Further details can be found on the ONS website at: www.ons.gov.uk.

Innovation Applications

As opposed to the Strategic Development and Excellence Strands, applications to carry out projects under the Innovation Strand do not necessarily have to actively take place across England. However, a locally based project must show it has the potential to have a national impact. There must be clear and specific plans in place to ensure that learning from innovation projects is shared or implemented in other areas of the country. This should be explained clearly within your application.

6. Evaluation and Dissemination

Evaluation

It is important that all applications include a clear evaluation methodology which will be in place from the outset and take place throughout the life of the project. The evaluation should focus on how and why the project works and the impact that it has on productivity and quality. As a minimum, you should ensure that there is an assessment of key performance indicators or outcomes which is meaningful and unbiased.

For smaller grants (under £100,000 for the full project costs) the evaluation may be an internally generated document written by the organisation.

For larger grant awards (over £100,000 for the full project costs) we would normally expect an element of the grant award to be set aside for independent external evaluation. It is expected that this would be an amount of around 5% of the total grant award up to a maximum of around £50k.

Dissemination

For all projects we also expect to see clear national dissemination arrangements reflected in your plans. This should include details of how other organisations across England will factor your proposal outcomes into their working practices. We are not suggesting a preferred method as each project will be different, but some methods could include: learning events and conferences, setting up learning sets and networks, peer-to-peer support, and developing best-practice guidelines. Passing on these findings is essential and would have to be carried out effectively in order to have a national impact and make a difference to health and care across England. To take a worst-case example, we may not support a proposal that produces a report and simply mails it to other organisations across England. We would expect see evidence that it will be effectively used.

7. Joint and Partnership Bids

For each application, working with partners or subcontractors, a 'Lead accountable body' (LAB) will need to be assigned. The LAB must be a voluntary, community, social enterprise or mutual organisation. The LAB will be responsible for:

- The audit trail of the project (including work carried out by partners/subcontractors)
- Completion and submission of monitoring data for the whole project, in a timely manner as requested
- Distribution of funds to partners and/or subcontractors
- Provide assurance of the suitability of partners and/or subcontractors
- Undertaking to deal with any breaches of eligibility/audit requirements/disputes amongst partners and/or subcontractors

What is the difference between a partnership application and a joint application?

A partnership application is where there is a lead organisation who acts as the 'lead accountable body' for the proposal, and a number of other organisations that deliver certain aspects of the project. These other organisations could act as subcontractors and receive money for delivering the services, but contracts would have to come from the lead organisation and all work would need to be invoiced for. It is advisable to check whether the activities that they are undertaking will incur VAT. Subcontractors have no management input; they are involved to provide specialist elements of the proposal.

The partnership should be guided by a 'Partnership Agreement', working towards a common set of strategic objectives.

For a joint application two or more organisations would come together as equal partners to apply to the IESD Fund. Although there must be a lead contact for the purposes of AIMS, each organisation would play an equal part in delivering the project. We would include both the names on the offer letter, and could even pay both organisations separately for the work. For joint applications, partners should have a 'Partnership Agreement' in place before the project begins.

We would require both organisations in a joint bid to complete the eligibility form, provide their most recent set of accounts, references and trustee sign off and both organisations would be involved in completing the form, but only the lead contact would submit it. Please contact the Grants Hub to discuss joint bids to ensure that the correct process is followed.

I'm making a partnership bid with two other organisations. Can we split the grant money three ways?

No. The lead organisation will have full responsibility for the project and the grant award throughout the life of the project. The lead organisation will be expected to have strong project governance in place covering all organisations within the partnership. You will however have to supply a breakdown of expenditure for each partner.

Can a private sector organisation be involved in a partnership application or a joint application?

In a partnership application, as long as the lead applicant (accountable body), who is the recipient of the grant is eligible as a voluntary organisation, it can partner with any other type of organisation (including, for example, private, NHS or local government). Where two or more organisations make a joint application (as opposed to a partnership application); each organisation would need to be eligible to apply in their own right.

Can I make unlimited bids under partnership arrangements?

For 2015-16, we will allow an organisation to be involved in only one partnership application as the project lead. However, that same organisation could be involved in other partnership applications, provided that it isn't the project lead or involved in a joint application.

How will you handle the 25% rule for 'joint' applications?

We want to encourage joint working through our investments. If a bid is made jointly, we will look at the incomes of both partners when assessing the 25% rule. The reason behind this is that if one of the partners (with a small income) unfortunately has to close down, we would expect the project not to be at risk as it would continue under the management of the remaining partner.

How will you handle the 25% rule for 'partnership' applications?

We also want to encourage partnership working through our investments. If a bid is made as a partnership, we will look at the audited accounts of just the lead partner when assessing the 25% rule and will not take into account the income of any of the partner organisations.

8. Communications Activities

Restrictions on 'communications activities'

Effective, timely and targeted communications about your project will be critical to the delivery of its success. However, there are some considerations in the area of communications of which you need to be aware.

DH applies restrictions to any communications activity where the marginal cost of carrying it out is in excess of £5,000 per year. Costs of £5,000 and under (not including the time spent on the activity by those already employed by, or donated on a voluntary basis to the organisation) can be approved by the applicant organisation, where it is satisfied that the highest levels of value-for-money have been achieved. Organisations will be required to provide a detailed breakdown and justification as to why the costs that are in excess of £5,000 per year are essential in the delivery of the project.

For organisations considering applying to the Fund, the restrictions apply to **all** new advertising and marketing spend which is defined as:

Advertising including, but not limited to:

- TV advertising
- Radio advertising
- Digital advertising
- Outdoor advertising
- Print advertising, including advertorials
- Recruitment advertising campaigns
- Costs of media, and fees and commission for media buying, media planning, creative development and production

Marketing activity, including but not limited to:

- Design and branding
- Direct and relationship marketing
- Customer relationship management programmes
- Telemarketing
- Campaign help lines
- Partnership marketing
- Sponsorship marketing
- Field or experiential marketing
- Merchandising
- Advertiser-funded programming
- Audio-visual activity
- Storage and distribution of marketing materials

Communication strategy, planning, concept and proposition testing and development

Market research that informs marketing and advertising activity

Evaluation of marketing and advertising activity

Printing and publications

Events, conferences and exhibitions

Public relations (PR) activity

9. Digital Activities

DH applies restrictions to any digital activity; organisations will be required to provide a detailed breakdown and justification as to why any costs are essential in the delivery of the project.

The following basic tests will help you to detect if there are digital elements to your proposal. This is not an exhaustive list and it is the responsibility of the submitting organisation to ensure that any potential digital elements are clearly highlighted in the application.

For the purpose of these controls digital has been defined as:

“Any external-facing service delivered through the internet to citizens, businesses, civil society or non-government organisations”.

The definition of digital covers any service that the public has any access to, regardless if that is the main audience or not. However, there is a distinction between the functional side of a website and the content it carries. The tests below are designed to detect if there are any functional requirements that would place the proposal under the digital controls.

Test Questions

If you answer ‘yes’ to any of the questions below, your application may be subject to additional approvals:

Q1. Does this application have any of the following?

Q1.1. The proposal requires the creation of a new website, including microsites, sites for the publication of information, campaigns, consultation or transactional activity, (note: transactional activity in this context typically means a web based system or site that provides an exchange of information, money, rights, goods or some combination of these),

Q1.2. Requires a new domain registration,

Q1.3. Requires a new E-learning platform,

Q1.4. Have any requirements for a native mobile app that is specifically designed to work on any smart phone platforms, such as Android or iPhone etc. rather than computer web browsers,

Q1.5. Initiate any new web function,

Q1.6. Development or redevelopment any web function.

Q2. For this proposal, will you have to?

Q2.1. Form a new contract for web services, including hosting, web development, support or maintenance,

Q2.2. Make any contract amendments, extensions or renewals, including renewal of licences or Cloud services associated with the website,

Q2.3. Make any 'business as usual' changes, enhancements, maintenance or refreshes to the function of an existing website, but not any content changes or testing such as AB testing,

Q2.4. Create a website to run any pilots, feasibility and/or proof of concept sites,

Q3. Other questions

The following areas are often more difficult to determine. The proposal should be clear that any cost in this area would be part of a present or future digital project.

Q3.1. User needs research. This is often a mixture of Comms or policy research work and technical evaluation. There is potential that this cost, and the process used, would form part of a future digital proposition in the discovery phase, and therefore within the digital controls.

Q3.2. Identity assurance for the general public. This function may be part of digital controls.

The use of social media applications such as links to a video loaded on Facebook, which do not change the functionality of a website, are not in scope of digital controls. However, if the use of social media applications requires any changes to a website, then the controls apply.

If you answered yes to any of the above questions please let us know in section 1.11 of the application form.

10. Additional approvals

Proposals that include communications/digital activities will be subject to additional scrutiny, you will need to be satisfied that the highest levels of value-for-money have been achieved. If a proposal can demonstrate that communications/digital activities would be able to demonstrate value-for-money in achieving specified, measurable benefits, the Department of Health may consider the proposal for funding. Each bid will be considered on its own merit, but:

- All bids may be subject to an additional approvals process within DH. This would consider whether, in the particular case, the measurable benefits from the paid-for communications/digital activities proposed outweighed general concerns about the value-for-money of using Government funds in this way. **We may contact you with a request for additional information.**
- Proposals will need to include consideration of how they could achieve their outcomes other than through paid-for communications/digital activities and why these options are not being proposed. Please insert this information in section 1.11 of the application form. Proposals should show evidence of how the communications/digital activities will directly contribute to the projects objectives.
- The preparation and distribution of printed copies of publications will be funded only in exceptional circumstances; for example, where there is a known need from service users or the need for the document to be available in circumstances where electronic access is not available.
- Conferences and events will not be funded, unless they are explicitly for training or development and can demonstrate measurable outcomes and benefits.
- There are restrictions on grant funding for some aspects of technology and grant funding should **not** be used for Native Mobile Apps or for websites that duplicate existing services such as NHS Choices, GOV.UK.
- DH is not expecting that, even with value-for-money justification, any application would include a communications element of more than £100,000. Any such proposals over this figure would not only require the approval of DH, but also that of the Efficiency Reform Group at the Cabinet Office.

11. Funding Strands

Applications to the Fund are made under one of the three Funding Strands: Innovation, Excellence and Strategic Development.

When completing your application you will be asked to identify which one of these strands you are applying under. It is important to select the strand that is most applicable to your proposal as the application form will differ slightly, depending on which strand you apply under. It is important to note that no strand is given priority over any other when assessing applications; the only consideration you should make when selecting the strand is which is the best fit with your proposal.

Funding Strand 1 – Innovation

We are looking to support new and creative approaches to improve people's health and well-being by developing health and care services. You should choose the Innovation strand if your proposal meets **all five** of the following criteria:

- it is a new approach to improving people's health and well-being;
- it aims to develop a new way of delivering health or care services at local or national level;
- it **has not** been evaluated to see how effective and relevant it is;
- it has the potential to have a national impact¹; and
- it demonstrates your knowledge of existing services and the way(s) they currently fail to achieve their aims.

We will also consider proposals which explore innovative funding models, such as Social Impact Bonds, in meeting one or more of the theme priorities

Funding Strand 2 – Excellence

We are looking to support organisations to deliver projects which replicate effective practice and proven models of health and care services. This strand may be used to disseminate the learning from a project previously funded under the Innovation Strand. Smaller organisations may wish to consider a partnership with larger organisations. Choose the Excellence strand if your proposal meets **both** of the following criteria:

- aims to actively share effective practice or copy a proven model of delivering health or care services **across two or more English Regions**¹; and
- evaluation has taken place which proves that the concept is effective, relevant and has the potential for replication **across two or more English Regions**;¹

¹ Please refer to section 5 on 'National Impact' for more information.

Funding Strand 3 – Strategic Development

We are looking to support voluntary sector organisations to develop improved capacity and capability in health and care and to promote greater partnership and collaboration between voluntary sector organisations, NHS organisations, Local Authorities and other health and care organisations. Organisations applying for ‘Strategic Development’ funding are expected to work across more than one English Region¹.

Choose the Strategic Development strand if it meets **any** of the following:

- your proposal supports working with local commissioners promoting partnership, co-production and collaborative approaches to improving health and care services;
- your proposal promotes greater partnership working, including developing new models of delivery that are more efficient and effective over the long term;
- your proposal aims to develop your organisation’s business model so your income streams are more diverse, with limited or no need for on-going central government funding;
- you are a small national organisation (see FAQ document for a definition of a small organisation) who wants one year of development funding to develop an improved business model; or to produce plans to merge with similar organisations to improve quality and efficiency;
- you develop business models and approaches that respond to and take forward personalisation in health and care services including access, information and financial models;
- you have a strong proposal that clearly shows how you could improve and develop the sector or your organisation, which is matched with the principles of social enterprise² to achieve a long-term benefit for health and care services (*see page 31 for more information on supporting docs*).

¹ Please refer to section 5 on ‘National Impact’ for more information.

² **Social enterprise** – a business with mainly social aims where any money made is mainly reinvested for those aims. It is not driven by the need to make the most profit for shareholders and owners.

The Government’s vision for changes in health and social care services includes developing an environment where new kinds of organisations can emerge, including social enterprises, which will give patients more choice and better-quality services.

We expect social enterprises to provide:

- improved health and social care services;
- the ability to meet the needs of a particular client group;
- staff who are more involved in the business and services they provide;
- expert knowledge in certain areas; and
- wider benefits to those groups who are traditionally harder to reach.

What you will need to show

For all applications, made under any of the three strands you will need to be able to demonstrate:

- how your proposal addresses the theme that you are applying under;
- how your proposal will improve the quality of services, in particular, focusing on outcomes;
- how your proposal will improve the productivity of services, identifying quantifiable and measurable benefits;
- who will benefit from the proposal, and the effect on people and health and care services;
- that equality and the tackling of health inequalities are central to the proposal;
- value for money;
- a realistic project plan to achieve the outcomes you expect (*see page 31 for more information on supporting docs*);
- a clear framework for learning and evaluating success. This will include plans to actively pass on learning and experience from the project beyond the initial area of benefit;
- a sustainability strategy showing how the project would be continued after the end of the grant funding period if it is successful. For local projects which have the potential to have an effect nationally, we would expect to see links to organisations which arrange and pay for local health and care services either at the application stage or within the first year of the project's development and to show links with national organisations and/or partners that could support long-term delivery or improvement.

12. Funding Themes

Once you have decided on the most appropriate strand to apply under, the next step is to look at the cross-cutting funding themes and the priorities within them. Your proposal should show how it contributes to one of the following themes:

- Theme 1 Improving health and care outcomes
- Theme 2 Commissioning
- Theme 3 Life course, prevention and loneliness
- Theme 4 Integration
- Theme 5 Public, patient and citizen voice; and family advocacy
- Theme 6 Technology and information

We describe these in more detail on the following pages.

The theme relates to the project, not to your organisation. You should choose the theme that most closely fits your project. There will be additional space in the application form if you want to describe how your project fits in with the other funding themes. However, choosing more themes does not increase your chance of success.

Theme 1 - Improving health and care outcomes

We would welcome projects which support measurable improvement or reduced inequalities in the outcomes achieved by individuals, families and carers across the health and care system, including:

- Those with a **social care need**, including proposals which will support the implementation of the Care Act from April 2015
- Those with a **mental health or mental wellbeing problem**
- Those with **dementia**
- Those with **learning disabilities**
- Those with a **physical health condition**

Theme 2 - Commissioning

The health and care landscape has changed significantly over the past few years and new commissioning arrangements are now starting to mature. We are interested in projects that look at how can we develop and support commissioning across health and care that ensures better health and care services, a more personalised approach, enhanced outcomes, reduced inequalities and improved value for money. We are particularly interested in projects which can tangibly support new models of commissioning across mental health and wellbeing support, such as recovery from sexual abuse and dementia support.

We welcome proposals to explore more responsive models of commissioning across the health and social care system. Successful projects will contribute to the overall sustainability of the sector, including:

- **developing models of good commissioning practice** with local commissioners and demonstrating how barriers can be overcome;
- seeking new **innovative commissioning models** (e.g. payment by results, measurement of impact and social value);
- building on the experience of the VCSE sector in **developing and delivering personalised approaches** to health and care which address the holistic needs of the individual;
- incorporating **effective dissemination** to ensure that lessons are communicated and contribute to better outcomes and more effective commissioning practice.

Theme 3 - Life course, prevention and loneliness

Preventative approaches, particularly regarding life course stages, are playing an increasingly important role in the planning and delivery of health and well-being. We are seeking projects which take a preventative approach and support early interventions across the life course, including reducing levels of loneliness and social isolation. Of particular interest, though not exclusively so, are the following areas:

- **Reduce levels of loneliness and social isolation** to improve the health and well-being of older people and other vulnerable and disadvantaged groups. This could include

schemes to promote neighbourhood approaches to combatting loneliness and isolation;

- Targeted awareness, early identification and support for **self-management** across both physical and mental health conditions;
- Improving outcomes for those with a **social care need**;
- Interventions which promote the **longer term health and wellbeing of specific groups** e.g. troubled families or those living with dementia.

We are also interested in proposals that demonstrate:

- Primary prevention – keeping people well in the first place;
- Secondary prevention – reducing the risk factors of an illness becoming a more complex condition, such as the impact of sexual abuse;
- Tertiary prevention - minimising disease or long term condition progression.

Theme 4 - Integration

Building care and support services around the holistic needs of the individual, their carers and family to improve people's health is the ultimate vision for our health and care system. We would welcome proposals which demonstrate or promote effective integration within and between health, community, primary, acute, social care, housing, education or other health-related services. We are interested in proposals which:

- Support the delivery of more joined up services;
- Are designed and commissioned around people, their families, carers and communities rather than existing service models;
- Demonstrate primary, secondary and/or tertiary prevention;
- Reduce inequalities.

Theme 5 - Public, patient and citizen voice, family advocacy

We would welcome proposals that ensure that patient, carer and service user voice and experience is at the centre of the way that the health and care system plans, commissions and delivers care. Of particular interest, but not exclusively so, are the following areas:

- Innovative approaches for **involving patients and users in decisions** about their care, including developing new ways of seeking and using patient, service user and carer feedback and insight to drive improvements in quality;
- Supporting the most disadvantaged and excluded, including those with mental health problems, in having a **voice** within the system;
- Testing and evaluating **innovative models of advocacy, information and support for families of vulnerable people**, in particular those with complex learning disabilities or autism, in inpatient or residential care settings. This could include both support for proactive raising of concerns about care and support for seeking redress, including where complaints processes have not borne results.

Theme 6 – Technology and information

Technology and information has the power to revolutionise the delivery of health and care services to help individuals, families and carers manage their health and care. We are seeking proposals which use technology to improve outcomes, especially for those with Long Term Conditions (LTCs) and mental health conditions, across the whole health and care system and across society. For example proposals that:

- **Help to join up and integrate care** efficiently and effectively to support individuals, their families, carers and communities;
- Support and enhance **digital inclusion** by helping individuals or specific groups to access digital services or support them to access the same services by other means;
- Develop new ways of delivering health and care **information, advice and support** to people and communities;
- Support individuals to **self-care**;
- Support a measurable improvement and reduce inequalities in the **outcomes of specific groups or communities**.

Any web based service or product must comply with the standards set out in the [GDS Service Design Manual](#) and will be subject to a further departmental approvals process. Please see pages 19 to 20 for more information. If you are considering the use of technology, then you should seek further guidance from the Voluntary Sector Grants Hub (voluntarysectorgrants@dh.gsi.gov.uk or 0113 254 5450).

There are restrictions on grant funding for some aspects of technology and grant funding should not be used for:

- Native mobile apps
- E Learning systems
- Creating websites that duplicate existing services, such as NHS Choices, GOV.UK etc.

13. The application process

This chapter gives guidance on the application process and timescales.

What makes a good application?

A good application:

- is concise;
- focuses on clearly defined aims and measurable outputs;
- proves it will have an effect nationally, or clearly explains how it will have the potential for a national effect
- clearly describes what benefits the proposal will bring, avoiding jargon and abbreviations (unless explained);
- is clear about how the proposal contributes to the Departmental aims;
- is relevant to and tackles the requirements of the funding strand you have chosen;
- shows how it contributes to the funding theme you have chosen;
- has a strong project plan and clear details of costs (see Appendix B for Budget Template);
- shows meaningful arrangements for working with others;
- has a realistic strategy for long-term plans, including an 'exit strategy';
- has clear evaluation criteria and strategies to pass on what has been learned; and
- shows how equality and the tackling of health inequalities are central to the proposal.

How do I apply?

There are two separate deadlines to be aware of, the first is to register your organisation (if you have not already previously registered) and complete the 'Eligibility Form' for your proposal by **noon** on 13th March 2015, the second is to complete an on-line application form on our 'Award Information Management System' (AIMS) by **noon** on 27th March 2015. You can access AIMS, including registering for the first time (if applicable) using the 'register' link, at:

<https://www.thirdsectorinvestment.dh.gov.uk>

(Note: we have been made aware that some users have experienced difficulties with AIMS when accessed using older versions of Internet Explorer. We advise using Mozilla Firefox as your browser to access AIMS).

Important Information

You should be aware that we do not fund all applications that meet the criteria and preferences. In 2014/15 we funded 8% of applications received. We are looking for those that best meet the criteria and preferences and this will allow us to take account of any similarities between proposals. If we identify similar proposals from different organisations, we will either choose the ones that show most potential on the information provided, alternatively, we may ask you to consider working together with the other organisation on a joint proposal.

Remember that the information we use to assess applications will be what you give on the application form and our knowledge of existing and planned initiatives in that area. If you know of similar services, you should explain on the form how your proposal adds to but does not just copy similar services. If you have applied for alternative funding to deliver similar activities to those described in your application form you should declare this in section 1.15 of the application form.

We will provide feedback on all unsuccessful applications. We provide this in a constructive way so you can review your proposals and see where we felt the strengths and weaknesses were in your application.

Application Form – Questions

You can download a word template of the application form from our website. You may find it helpful to draft your application off-line, but please note that **your application must be submitted on-line** through the AIMS system. You should make sure that the responses you give clearly answer each question as fully as possible. Relate the responses to the detail set out in this Information Pack for the Fund.

All answer boxes have a character limit (please note that character counts are not the same as word counts, they contain letters, numbers, spaces, line breaks and any additional formatting such as bullet points). Please use the facilities on your word processing package to count the characters, as we will not be able to save text exceeding the character limit in our database. AIMS has a character counter under each answer box. For the proposal summary (Q1.8), we are asking you to restrict your summary to 100 words. This is because we will use the summary in publications and need a concise and consistent approach.

You must submit your application via AIMS **by noon on 27th March 2015** and include all the details we need to assess your application. We will not accept extra or supporting information received after this date and treat it as if you have not supplied it. We will not accept applications after the closing date. We have fixed these deadlines to be fair to everyone applying and to make sure we can start the assessment process. Incomplete applications affect our ability to complete the assessment process as planned.

What supporting information do I need to supply?

You will need to provide the following information in electronic form through the on-line AIMS system:

For Innovation applications we will need:

- a project plan covering all years of your project;
- risk management plan covering all years of your project; (Please see Appendix C)
- your last years' annual report and final accounts, unless these are available on the Charity Commission website;
- confirmation that your organisation has equal opportunities and health & safety policies;
- details of your staffing structure for the proposal;
- a copy of your memorandum and articles of association, constitution or other governing document for organisations that are not registered charities;
- a budget plan covering all years of the project; (please see Appendix B)
- Stakeholder references (Please see the references section on page 32).

For Excellence applications we will need:

- a project plan covering all years of your project;
- risk management plan covering all years of your project; (Please see Appendix C)
- relevant evaluation report to demonstrate proof of concept;
- your last years' annual report and final accounts, unless these are available on the Charity Commission website;
- confirmation that your organisation has equal opportunities and health & safety policies;
- details of your staffing structure for the proposal;
- a copy of your memorandum and articles of association, constitution or other governing document for organisations that are not registered charities;
- a budget plan covering all years of the project; (please see Appendix B), if this is a partnership bid you will need to declare expenditure for each partner.
- Stakeholder references (Please see the references section on page 32).

For Strategic Development applications we will need:

- your organisation's business plan as agreed by your board;
- a one page summary of your business plan which highlights the pages(s) in the business plan that identify the need for these activities;
- a project plan and risk management plan; (Please see Appendix C)
- your last years' annual report and final accounts, unless these are available on the Charity Commission website;

- confirmation that your organisation has equal opportunities and health & safety policies;
- details of your staffing structure for the proposal;
- a copy of your memorandum and articles of association, constitution or other governing document for organisations that are not registered charities;
- a budget plan covering all years of the project; (please see Appendix B), if this is a partnership bid you will need to declare expenditure for each partner.
- Stakeholder references (Please see the references section below).

If you do not have electronic copies of your annual report and final accounts and these are not available on the Charity Commission website, please say this on the application form. You will also need to send hard copies – as well as a hard copy of your memorandum and articles of association, constitution or other governing document, if not available electronically – to the address below:

Voluntary Sector Grant Funding Hub
 Department of Health
 2S15 Quarry House
 Quarry Hill
 Leeds LS2 7UE.

Application completion guidance

Some areas of the application form have resulted in questions from organisations in previous funding rounds. Please see the guidance below for advice on completion:

1.3 Proposal summary: Please ensure that this is kept to no more than a few sentences (100 word limit); this should be a very brief synopsis of what the proposal aims to achieve.

1.6 Joint/Partnership Bids: Please ensure you are completely clear on which structure type you are applying under; organisations have failed eligibility due to selecting the wrong option for joint or consortium bids. Please see page 15 for further information.

1.15 Reference: You are required to provide a reference letter as further evidence of your ability to deliver a project effectively. The reference must come from a stakeholder you have worked with recently on a project, for example an NHS organisation or Local Authority. The letter should provide some context (including a timeline) as well as contact details. Please note that this must not be a 'Department of Health', 'NHS England' or 'Public Health England' member of staff.

All proposals will be expected to consider the sustainability of their project after IESD funding has ceased. We would expect projects to develop a sustainability strategy showing how the projects outcomes will continue.

14. Costings

Working out the costs of the proposal:

In 2014-15 we made 30 awards totalling just over £4million for first year allocations. Details are available at:

<https://www.gov.uk/government/news/health-and-social-care-volunteering-grants-awarded>

Only 8% of applications were funded. We do not have a minimum or maximum amount you can apply for but you should be aware that this is a budget-limited scheme. Your bid should be realistic and follow the principles of recovering the **full cost** of your proposal. We will expect you to be able to show that your proposal will achieve value for money.

As we are asking for proposals to start from September 2015, we will therefore ask you to complete a budget template for the first 7 months of the project to cover the remainder of the 2015-2016 financial year, we will then ask you to complete templates for any additional years. The projects can be a maximum of 3 years (36 months) long.

Don't forget to take account of cost increases for any additional years of the proposal. We will not automatically increase future years in line with inflation.

We will not accept proposals under the Innovation and Excellence strands where the proposal costs are more than 25% of your annual income **for each year of the project** (based on your most recent available final accounts). For proposals under the Strategic Development strand, we will look at each application on its merits. We have introduced this rule because experience has shown us that organisations who receive a single project grant which is a high percentage of their income may experience difficulty in covering core costs which then has an effect on their ability to deliver the project. If there are particular circumstances which mean that your latest accounts do not represent your current or expected income, please explain this on the form.

You do not have to pay VAT on these grants as they are generally considered out of scope of VAT because we do not receive direct benefit from the grant. We cannot give you advice on whether the activities you will be carrying out with the grant will be charged VAT. You will need to discuss this with HM Revenue and Customs. It could be that while the income (the grant) is outside the scope of VAT, the activities you are providing may be charged VAT. If you need to pay VAT on any of the work and you cannot get it back, you should include this in the initial costings. If it is a partnership bid and delivery partners will be invoicing you for their costs, you should also check with 'HM Revenue and Customs' whether the activities will incur VAT that cannot be recovered.

As part of the process of sharing learning with other grant holders and us, we may want you to go to networking events or presentations throughout the course of the grant. You should plan for travel and related costs for up to 12 events over a three-year grant period and include this in your costings.

Recovering the full cost of the proposal

You should aim to recover the full costs of delivering services for public sector organisations, including overhead costs and VAT that you cannot recover. This will involve you presenting applications for funding on the basis of strong and evidence-based calculations of the costs of the funded activity or service. Overhead costs can include accommodation, human resources, utilities, maintenance for premises and monitoring requirements. This is not a full list. These overhead costs need to be both relevant and reasonable.

We would normally expect overheads to make up to 10% of your projects costs, if your overhead costs are higher please provide an explanation why.

(Reference: taken from Chapter 5, *Improving financial relationships with the Voluntary Sector: Guidance to funders and purchasers*, HMT 2006)

Please note you may find it helpful to refer to clause 3.8 of [the Compact](#) (see 'Useful Publications') in relation to recovering the full cost of the proposal. There are also organisations in the voluntary sector that may be able to support you in calculating these costs, including the [Association of Chief Executives of Voluntary Organisations](#) (ACEVO) and the [National Association for Voluntary and Community Action](#) (NAVCA).

15. Using DH logo's and branding

You will not normally be able to use the DH or the NHS logos on any material you produce through a grant from the fund. You can use 'Produced with funding support from the Department of Health' or similar. But the statement should not suggest that we have guaranteed the quality of the product or that we endorse the product.

If you are producing material that has intellectual property rights (IPR) or copyright issues, we ask that you highlight this in your application. We may want to discuss this with you.

Data Protection and Confidentially

It is essential for the grant recipient to have all the necessary processes in place to ensure the exchange of information between external bodies throughout the lifetime of the project is fully respected, secure and to adhere to rules of the Data Protection Act (DPA) 1998, the Freedom of Information Act 2000 and the Human Rights Act 1998. The grant recipient will need to take reasonable care to prevent inappropriate access, modification or manipulation of data from taking place. In practice, this is applied through three cornerstones – confidentiality, integrity and availability;

- information must be secured against unauthorised access – **confidentiality**;
- information must be safeguarded against unauthorised modification – **integrity**;
- information must be accessible to authorised users at times when they require it – **availability**.
- For further information please refer to *Principles of information security* on the Health and Social Care Information Centre's [website](#).

16. What happens next?

We will assess applications using the conditions set out for the funding strand and the preferences set out for the funding theme you have chosen with the supporting information you have provided.

We will ask for expert advice from policy programmes within the Department and its 'System Partners' that are relevant to your proposal. For example, a proposal to develop a support service for women with a learning disability during pregnancy would go to the Learning Disability team and the Children, Families and Maternity team for advice. We may want to ask for advice from agencies or from other government departments if there are shared interests. For example, proposals related to teenage pregnancy may need advice from the Department for Education. We may contact CCG's and/or Local Authorities in your area to discuss your proposal with them. If we send any applications outside the Department, we will also inform them that the proposals are confidential and they should not discuss them with others.

We will give advice to Ministers on each proposal and how it matches up with our conditions and preferences; and which proposals will have the biggest effect on the health and well-being of people in England, so Ministers can make their decisions about which proposals to fund.

Giving you our decision

We aim to inform you of our decision of the outcome of your application by **Late Summer 2015**. We will do this by e-mail to the main registered contact on AIMS. So please let us know if the following changes: the e-mail address of the application contact and/or her/his organisation; the name of the organisation and/or its application contact; the address of the organisation. Some organisations have their e-mail systems set to automatically filter out 'system-generated e-mails', so if you have not received a reply from us, please check your 'spam' or 'junk' folders before contacting the helpdesk. We will keep our website updated with any changes or updates.

You do not have to start the project on **1st September 2015** and can start later if you wish. Please note that if the project starts later than originally planned, the grant will be made pro-rata according to the start date. For example a project, originally scheduled to start in September 2015, that starts in December 2015 will receive 4 months of the 2015–16 amount (covering the months December, January, February and March). We will ask you to re-profile the budget for the remaining period of the project to ensure that we do not make payments in advance of need.

Summary of conditions of the award

If you are successful, we will send you an award letter showing the full terms and conditions of the grant. Below are some of the conditions you should be aware of at this stage.

- The terms and conditions must be accepted by a board member (trustee or director) or the chair of the management committee if you are an unincorporated association.

- We confirm the grant for year 1 but the amounts for any additional years are provisional offers.
- Grants are restricted funds and are recorded as such in the accounts. (Identifying the grant in your accounts is required as a measure of accountability for the use of public funds).
- You will have to repay the grant if you do not use it for the purposes intended.
- You cannot pass all or part of the grant funding to individuals or other organisations, funds can only be moved to pay for contractual activities as part of a partnership or joint bid.
- You will be required to provide us with monitoring information (See page 38)
- We are not committed to provide any funding after the agreed term of the grant.

You must identify the grant in your accounts as being from 'Department of Health'.

Appeals

The Fund is a discretionary scheme and you cannot appeal against the decisions made by Ministers. However, we do know that, at times, you may feel that we have not followed the grant application process correctly and you may want to raise a concern. We treat these requests as complaints and use our complaints procedure. The first stage is 'informal resolution' where the Voluntary Sector Grants Hub would handle your complaint. If you are unhappy with the response, you can make a formal complaint to the 'Deputy Director of Departmental Financial Management and Partnering'. The complaint will be investigated and the findings reported back to you.

Deputy Director of Departmental Financial Management and Partnering
 Voluntary Sector Grants Hub
 2S15 Quarry House
 Quarry Hill
 Leeds
 LS2 7UE

If you are unhappy with that response, you can take this further within our complaints procedure by writing to the Head of Customer Service.

Complaints Manager - Customer Service Centre
 Department of Health
 Richmond House
 79 Whitehall
 London
 SW1A 2NS

This is a summary of our complaints procedure and you can find full details [here](#).

17. Delivery and monitoring

Summary of monitoring requirements

All Government Departments have a duty to ensure that all grant awards offer value for money and are spent in line with the original plans. The Department therefore places great importance on the monitoring of all grant awards. If your application is successful and you receive grant funding, you will be asked to provide the following documents during the period of the grant:

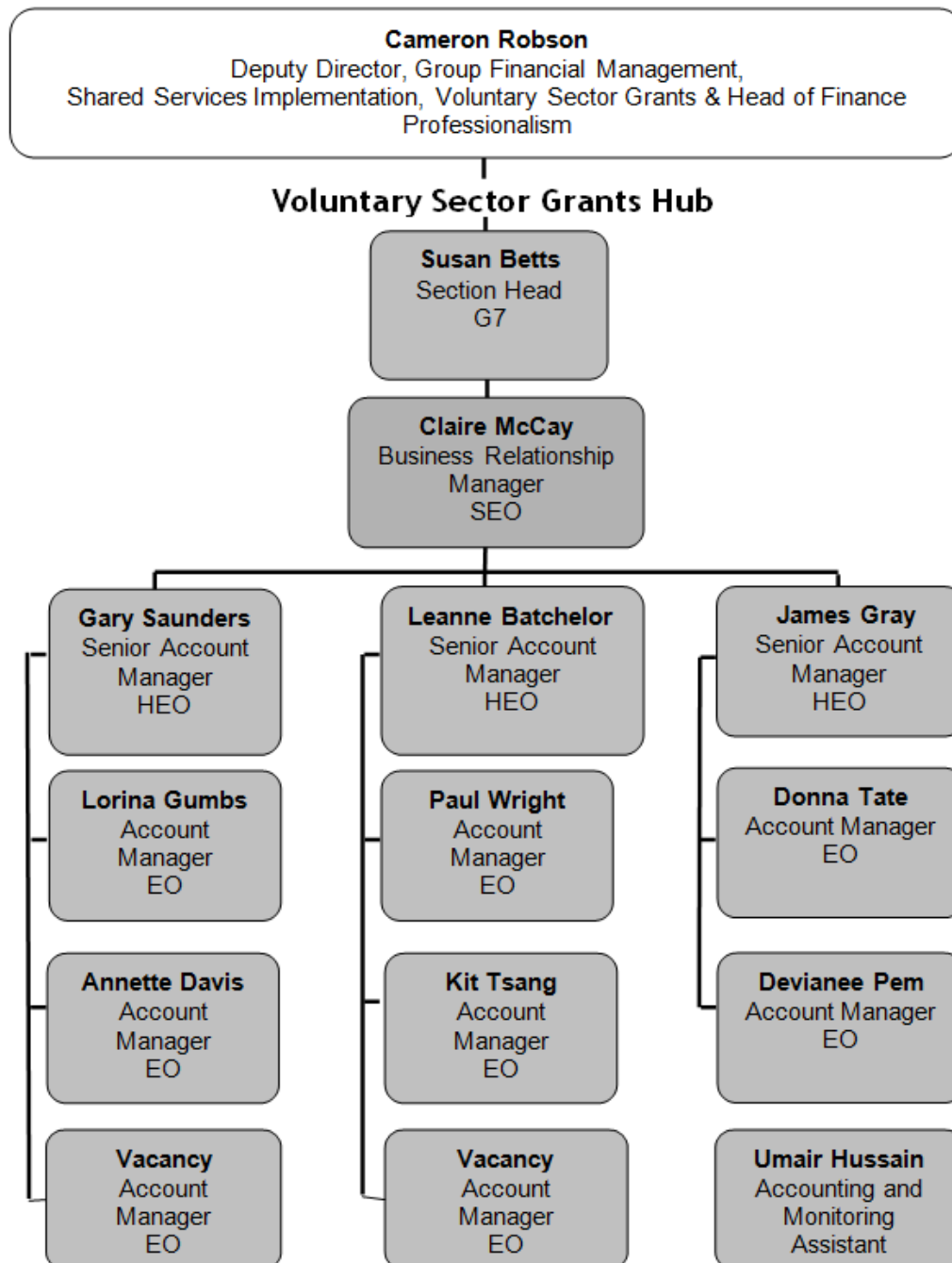
- an end-of-year progress report and forward plan for next year, including expected spending;
- an end-of-project report and summary of total spending on the project; and
- Annual accounts to show you have identified the grant correctly or;
- A 'Certified statement of the project's income and expenditure' signed by any of the following; - trustee, company director, chief executive, finance officer/treasurer, registered auditor, reporting accountant or independent examiner. This must be in the same detail as the budget template provided in Annex B.
- You may also be asked to provide a 'Certified statement of the project's income and expenditure' if we feel that the accounts provided are unclear.
- However if your organisation is not legally required to have its accounts audited, reported on by a reporting accountant or independently examined, then you must provide one copy of a 'statement of your organisation's gross income and total expenditure', in which the grant must be separately identified, and signed by a trustee or, if a limited company, a company director.

You will be assigned an Accounts Manager, they will:

- Monitor your progress against your project plan/milestones/outcomes
- Discuss and manage any risks against delivery
- Agree any changes to the project plan
- Agree payment against outcomes

Please note, you may find it helpful to refer to sections 3 and 4 of the Compact (see 'Useful Publications' on page 46), particularly clause 3.6

18. Voluntary Sector Grants Hub Structure Chart



The Voluntary Sector Partnership Team is responsible within the Department of Health for promoting the Voluntary Sector in the context of health and care policy, service development and delivery. The Voluntary Sector Grants Hub's Team manages the Department's Voluntary Sector Investment Programme (please refer to page 8 for more details of this Programme). The 'Innovation Excellence and Strategic Development Fund' falls under this Programme.

19. Contact us

Telephone helpline: 0113 2545450

Opening Hours: The helpline will be open from 9am to 5pm, Monday to Friday. Out of hours, please leave a message or e-mail the helpline and an account manager will get back to you as soon as possible.

By email: voluntarysectorgrants@dh.gsi.gov.uk

By letter: Voluntary Sector Grant Funding Hub
Department of Health
2S15 Quarry House
Quarry Hill
Leeds, LS2 7UE

Appendices

Appendix A: Award Information Management System

Forgotten Password

If, as the application contact for your organisation, you have forgotten your password from last year please enter your e-mail address on the entry page of AIMS and click the 'Forgot your password' link. You will then be sent a new password. If in doubt, please contact our Helpline and we will advise you if you are already registered on AIMS or not.

Registration

Prior to making an application, you will need to ensure your registration is completed (as opposed to submitting a completed application form) on AIMS by **noon** on 13th March 2015.

Please note that if you – as your organisation's 2015-16 IESD Fund application contact - submitted an application to last year's IESD Fund you are not required to re-register on AIMS, you will however still need to complete the 'Eligibility Form'. If the organisation applied to last year's Fund but its application contact has since moved on then the new application contact will need to register her/his details by noon on 13th March 2015. An eligibility form for any proposals will also have to be completed on AIMS by 13th March 2015; without this stage being completed before the deadline we will be unable to accept applications.

Aims Link: <https://www.thirdsectorinvestment.dh.gov.uk>

IT systems, including AIMS, often struggle to cope with high volumes of activity. Last year we received a significant number of applications on the morning of the closing date. **We strongly encourage you to submit your application as soon as it is complete.**

You can draft answers before submitting on AIMS by using a template application form – for the appropriate funding strand - available by visiting www.dh.gov.uk. Search for 'IESD' for the most recent news feed which will contain a copy of the application form.

The template is not the application form and we will not accept applications sent in using this template.

Important: AIMS has a 'time-out' facility. This is currently set at 4 hours. Applicants are advised that when completing application forms they should 'Save as draft and exit form' if they are going to be longer than 4 hours. However there is now an auto-save functionality, which will save every 3 minutes.

New Users

If this is the first time you are applying for a grant via the IESD scheme then you will need to register with our online grant management system – AIMS. Applications to the IESD scheme are only made online.

To register, click on the 'Register' button underneath the heading 'New Users'. You will then be asked to complete a Registration form.

As a new user, you will also need to register the organisation you are applying for, as it may not already exist within AIMS.

Existing Users

If you are already a registered user, you can enter your login details and begin the process. If you have forgotten your AIMS password, you can be sent a reminder by clicking the 'forgot your password?' link.

Next steps

At this point you will not be able to proceed any further on AIMS because the next step is for the Grants Hub to link you, as the application contact, to the organisation you have just registered. In the past, some applicants have assumed that there has been a fault and so started again which leads to duplicated records on the system. You will not be able to continue until we have completed the necessary linking at our end.

For all users, once you have been linked to your organisation and have received the email notification from AIMS, you can continue to the eligibility form for your proposal and once approved as eligible, the application form.

The e-learning Module

The e-Learning module is accessible from the AIMS homepage. It can be accessed before registering or logging on. It is designed to take applicants through the registration process and the initial steps, up to and including the completing of the application form.

Due to the method in which the AIMS e-learning module has been produced we recommend adjusting your screen resolution to 1024 x 768 to ensure highest quality picture.

An e-learning user guide is available to guide you through the process, this can be found in the top right hand corner of the 'AIMS' log-in page.

The example used in the e-learning module is purely a test application used as an example for this purpose. It is not a real application. The Grant's Hub recommends that every user look at the e-learning module before using AIMS. Any queries regarding the e-learning module or the AIMS process can be directed to the Grants Hub team using the contact details in this document.

Appendix B: Budget Template [Information only]

Please use the Excel version of this form when you submit your application as it contains tabs for additional financial years.

INNOVATION EXCELLENCE AND STRATEGIC DEVELOPMENT FUND				
Budget Estimate				
Only complete cells highlighted in pale blue - Budget for 2015 - 16				
Organisation Name:				
Project Title:				
Reference Number:				
<p>As we are asking for proposals to start from September 2015, we will therefore ask you to complete a budget template for the first 7 months of the project to cover the remainder of the 2015-2016 financial year, we will then ask you to complete templates for any additional years. The projects can be a maximum of 3 years (36 months) long.</p>				
	ESTIMATE BUDGET AMOUNT (SOLE / LEAD PARTNER) £	Partner 2	Partner 3	Total
INCOME				
Grant requested from Department of Health				-
Other sources of funding for this project				-
TOTAL INCOME	-	-	-	-
CAPITAL EXPENDITURE				
Fixtures/ fittings				-
Office Equipment(s)				-
Computer(s)				-
Software/programmes				-
REVENUE EXPENDITURE				
Salary (please provide a breakdown by post name giving full salary cost)				-
				-
				-
				-
				-
				-
				-
				-
				-
On cost of salary (NI & Pension)				-
Consultancy (excluding marketing)				-
Creation of a Database				-
Evaluation				-
Dissemination				-
Recruitment				-
Staff Training				-
Travel & Subsistence (staff)				-
Volunteers training				-
Volunteers' Costs (travel & subsistence)				-
				-
Communication Costs (See Note 1)				
Disks/CDs				-
Events (Conference & Seminars)				-
Market Research				-
Marketing Consultancy				-
Marketing/Promotion/Publicity				-
Printing				-
Website Maintenance Cost				-

Digital Activities (See Note 1)				
Mobile App including design/upgrade				-
E-learning platforms including design/upgrade but not content changes				-
Website Design/changing functionality but not including content changes				-
Other Digital Activities				-
				-
				-
				-
TOTAL CAPITAL / REVENUE EXPENDITURE - DIRECT COSTS	-	-	-	-
REVENUE EXPENDITURE - INDIRECT COSTS (See note 2)				
Administrative Staff				-
Audit and Accountancy				-
Database Maintainance				-
Finance				-
Governance Costs				-
HR				-
IT				-
Legal Expenses				-
Management Meetings Cost				-
Postage				-
Rates				-
Rent				-
Telephone				-
Trustees				-
Utilities				-
Other (you must provide a full description)				-
				-
				-
				-
				-
				-
				-
TOTAL REVENUE EXPENDITURE - INDIRECT COSTS	-	-	-	-
<i>Percentage of Indirect Costs</i>	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
TOTAL EXPENDITURE BY PARTNER	-	-	-	-
Underspend (1)	-	-	-	-
(1) Please ensure you are aware of the restrictions on communications and digital activities. Please read sections 8 and 9 of the information pack for more information				
(2) Overhead Costs - Please refer to section 14 of the the Information Pack.				

Appendix C: Risk Management Template

RISK REFERENCE No.	RATING (Likelihood)	RATING (Impact)	DESCRIPTION of IMPACT	ACTION BEING TAKEN TO MANAGE THE RISK	RISK MANAGEMENT RESPONSIBILITY
E.g. 001: Impact upon NHS and/or other organisations	Low	Medium	<p>One of the key drivers for the project is to improve functionality for NHS users in order to achieve significant efficiency gains.</p> <p>Impact: Failure to do this would result in reduced confidence both in the system and the DH's ability to deliver promised enhancements</p>	Project Manager will closely monitor the project and report progress to the Project Board both by means of Highlight Reports and Board meetings. Any significant project issue will be immediately brought to the attention of the Project Chair.	Project Manager (PM), Project Board (PB)
E.g. 002: Impact on customers ability to conduct business	Medium	High	<p>One of the key drivers for the project is to introduce changes to the current functionality of XXXX to support DH and NHS users to make more effective use of the system.</p> <p>Impact: Failure to do this would result in reduced confidence both in the system and the DH's ability to deliver promised enhancements</p>	Project Manager will closely monitor the project and report progress to the Project Board both by means of Highlight Reports and Board meetings. Any significant project issue will be immediately brought to the attention of the Project Chair.	PM & PB

Appendix D: References and background information

Freedom of Information

The Freedom of Information (FOI) Act gives you the right to see a wide range of public information. For example, you are entitled to see the documents that we used to assess an application for a grant from the Fund. All applications received are covered by the Act and copies will be provided when requested. Unless there is a good reason, we must provide the information within a month. If we decide to withhold information, we must give the requester the reason. You can find out more about the FOI Act and making a request for information held by the Department of Health at:

<http://transparency.dh.gov.uk/category/foi/>

Useful Publications

NHS Outcomes Framework:

<https://www.gov.uk/government/publications/nhs-outcomes-framework-2014-to-2015>

Compact Voice – Publications:

<http://www.compactvoice.org.uk/resources/publications>

Fair Society, Healthy Lives (February 2010) :

<http://www.instituteofhealthequity.org/projects/fair-society-healthy-lives-the-marmot-review>

Recognised, valued and supported: next steps for the Carers Strategy:

<https://www.gov.uk/government/publications/carers-strategy-actions-for-2014-to-2016>

Health, Work and Well-being is a cross-government initiative that promotes the positive links between health and work :

<http://www.dwp.gov.uk/health-work-and-well-being/>

Equality Objectives 2012-16 (April 2012) :

<http://www.dh.gov.uk/health/2012/04/equality-objectives-2012-16/>

Voluntary Sector Strategic Partner programme 2014-15:

[Strategic Partner Information Pack](#)

Guide to the healthcare system in England (May 2013) :

<https://www.gov.uk/government/publications/guide-to-the-healthcare-system-in-england>

Improving Care for People with Dementia – Policy

<https://www.gov.uk/government/policies/improving-care-for-people-with-dementia/activity>

The Francis Executive Summary:

<http://www.midstaffspublicinquiry.com/report>

The Government’s initial response to ‘the Mid-Staffs Report’; ‘Patients First & Foremost’:

<https://www.gov.uk/government/publications/government-initial-response-to-the-mid-staffs-report>

You can download other relevant publications from

www.gov.uk/government/organisations/department-of-health

Please check the GOV website regularly for updates and forthcoming publications.