



Department
for Work &
Pensions



Department
of Health &
Social Care

WorkWell Prospectus Appendix A

Grant Application Instructions and Assessment Criteria

November 2023

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1 - General information

These instructions, together with the WorkWell Prospectus document and all other information and documents to which they refer, are designed to ensure that each completed Grant Application is treated fairly. It is important, therefore, that you provide all the information asked for in the format and order specified.

This document contains the information and instructions Eligible Integrated Care Boards (ICBs) need to submit a completed WorkWell Grant Application, on behalf of their local work and health system partnership, to be selected as a Vanguard to deliver a pilot WorkWell service in their area.

An Eligible Integrated Care Board is any NHS ICB which is not in the NHS national Recovery Support Programme (RSP) at the time of submitting their Grant Application. Integrated Care Boards in the RSP are not eligible to apply to deliver a WorkWell pilot. For the avoidance of doubt, the term Grant Applicant throughout these documents refers to an Eligible Integrated Care Board (ICB) applying to deliver a WorkWell pilot.

As outlined in the *WorkWell Prospectus*, the Local System Partnership will consist of ICBs, Local Authorities (LAs) and the local Jobcentre network, working alongside a wider group of local organisations including but not limited to – employers, primary care, and voluntary and community sector organisations.

Please read the information and instructions carefully as non-compliance with the instructions may result in the disqualification of your Grant Application from this exercise. Grant Applicants need to ensure that they have read all the documentation contained within this pack thoroughly.

Terms defined in *Appendix C - WorkWell Grant Guidance* shall have the same meaning in these instructions.

1.1. Administration of the Grant Application process

The Grant Application process opens on 30/11/2023 and you have until 23:55 on 22/01/2024 to email your Grant Application to the relevant Joint Work and Health Directorate (JWHD) team at dhsc.workwell@DWP.GOV.UK. Grant Applications made after this point will not be accepted or considered.

WorkWell is administered by the JWHD jointly sponsored by the Department of Health and Social Care (DHSC) and the Department for Work and Pensions (DWP). Grants payments to Vanguards will be awarded by the DWP, further information on grant administration and payment can be found in *Appendix C – WorkWell Grant Guidance*.

Applications will be assessed in accordance with the process outlined in section 3 of this document. The JWHD WorkWell team will then write to Grant Applicants (using contact details provided) to inform them whether they will be offered Vanguard status. As a Vanguard the Grant Applicant will enter into a Grant Funding Agreement with the DWP.

Amendments to the Grant Application process or documents by JWHD

JWHD reserves the right to:

- (a) change the basis of or the procedures for the WorkWell Grant award process at any time;
- (b) amend, clarify, add to or withdraw all or any part of the Grant Application Instructions and Assessment Criteria, the Prospectus, the Grant Funding Agreement, and any documents attached or annexed there to, at any time during the Grant Application process, including varying any timetable or deadlines set out in these Grant Application Instructions and Assessment Criteria document;
- (c) cancel all or part of the WorkWell Grant Application/award process at any stage at any time; and/or
- (d) not conclude the WorkWell Grant Application/award process or award a WorkWell Grant for some or all of the funding for which Grant Applications are invited.

With the aim of ensuring that the WorkWell pilot programme operates in a diverse range of settings and benefits as many potential Participants as possible within the Funding Envelope, and achieves a spread of available funding in a manner which maximises the overall value of the pilot as a test of the WorkWell concept nationally; the JWHD reserves the right to explore with the top 15 ranked applicants the possibility of adjusting their estimated volumes (either up or down). These discussions would be without obligation on any party and will not affect selection as a Vanguard. See steps 7a and 7b under section 3.3 of this document for further detail.

All Grant Applicants accept and acknowledge that the JWHD is not bound to accept any Grant Application or obliged to award a WorkWell Grant to any Grant Applicant at all.

1.2. Costs and expenses

All Grant Applicants will be liable for all costs incurred in the preparation and submission of their Grant Application. Neither DHSC or DWP will be liable for these costs and the Grant Recipients cannot use their WorkWell Grant Funding to cover costs incurred in the preparation and submission of their Grant Application.

1.3. Questions on the Grant Application Process

Two post-launch webinars to take questions from interested parties will be held on 6th and 7th December 2023. A question-and-answer log will be produced to capture questions asked during the webinar and subsequently updated regularly, dependent on additional questions being asked.

Any interested party may subscribe to the mailing list for the question-and-answer log by indicating an interest in the initiative. Please indicate if you would

like to subscribe by sending an email to dhsc.workwell@DWP.GOV.UK with the subject heading 'Question and Answer Log'.

Questions can also be submitted any time throughout the Grant Application period to dhsc.workwell@DWP.GOV.UK for consideration. All questions will be reviewed to determine whether the response given provides useful clarification for prospective applicants. A response deemed useful in this way will be incorporated into an update to the question and answer log which will be circulated to all subscribed interested parties directly via email.

Any questions deemed to be already answered adequately by the WorkWell Prospectus and accompanying appendices, are irrelevant to the WorkWell Grant Application exercise, or covered by existing responses, will not be answered. Should there be anything in your clarification question which you feel is sensitive to your area, please identify this when raising the question. In cases such as this, the JWHD may respond only to the prospective Grant Applicant that has asked the clarification question (i.e., and not include the question or answer in the question-and-answer log). This will apply in cases where the JWHD is satisfied that (a) the clarification question is sensitive to that prospective Grant Applicant's area and (b) responding only to that prospective Grant Applicant would not be contrary to a fair competition.

Where the JWHD is not satisfied the above criteria are met, we will provide the questioner with the opportunity to either withdraw the clarification question or confirm that the question and answer can be included in the question-and-answer log.

Note that in all cases, the JWHD's handling of Grant Applications and clarification questions submitted will be subject always to the UK Government's obligations under the Freedom of information Act (FOIA), Environmental Information Regulations (EIR), and any other applicable legislation which may result in the information submitted being disclosed.

1.4. Data security

Please be aware of sensitive information that you may wish to include in your Grant Application. Use anonymised information if you are referring to a specific example. Do note, the whole of the WorkWell Grant Application process and the issue and use of WorkWell Grant(s) is subject to standard Freedom of Information requests.

1.5. Grant Application Timetable

Set out below is the proposed "Grant Application Timetable". This is intended as a guide and, whilst the JWHD does not intend to deviate significantly from it,

there may be occasions where the Grant Application Timetable will be subject to change.

Launch of WorkWell Grant Application exercise	30/11/23
Grant Application Deadline	22/01/24
Successful ICBs notified of award.	Early April 2024

A longer-term timetable for the entire grant process is included in *Appendix C – Grant Guidance*.

All Grant Applications must be received by the submission deadline of 23:55 22/01/2024. All Grant Applications received after the submission deadline will be rejected.

JWHD intends to issue a draft Grant Funding Agreement in due course.

2 - WorkWell Grant Application Completion

2.1. Completing the Grant Application Form

You should answer all questions using the template provided, presenting them in the same sequence and using the same references. Only information entered into the appropriate answer boxes (which may be extended as necessary but should not exceed any applicable maximum word count) will be taken into consideration for the purposes of scoring the Grant Application Form.

We have applied a maximum word count on your response to all scored questions. These limits are provided in the Grant Application form template and any words exceeding the allocated word count will be disregarded entirely and will not be evaluated.

In the event a Grant Applicant scores 0 on any individual scored question, or fails to answer all questions within the form, the Grant Application will be deemed a Rejected Grant Application and disqualified. Grant Applications not deemed to be a rejected application will be considered a Valid Grant Application.

Responses must be presented using Arial font size 12 (English language and black typeface) this includes instances where information may be tabulated or bulleted as part of the response. The only exception permitted is for illustrative screen shots, graphs and charts, all such additions shall count towards the relevant word count and should be presented within the relevant response box rather than embedded separately as this information will be disregarded. All acronyms and abbreviations, if used, must be fully explained.

Grant Applications must be completed using Microsoft Word. Grant Applications submitted in alternative formats such as Microsoft Project, Excel format or PDF will not be accepted.

No additional documentation should be submitted with the Grant Application. **The only exception to this is for letters of support from local delivery partners.** These letters should be submitted separately in PDF format alongside the completed Grant Application. Attachments submitted outside of the application form will not be formally assessed using the Assessment Criteria Scoring Methodology.

2.2. Submitting your finished Grant Application

The Grant Application template structure must not, under any circumstance, be altered. Your Grant Application may be completed and submitted at any time before the submission deadline using the JWHD email address at dhsc.workwell@DWP.GOV.UK.

You are responsible for ensuring that your Grant Application Form has been fully completed and all information included prior to the Grant Application submission deadline.

Please allow sufficient time to submit your Grant Application. It is recommended that you allow time for a final check to be undertaken prior to the submission deadline. It will not be possible for you to submit any further information after the application exercise submission deadline. Information Technology (IT) problems within your own system will not be considered reasonable grounds for late submission.

You may modify and resubmit your Grant Application at any time prior to the submission deadline. Any revised application should be clearly marked as a revision to an existing Grant Application in the covering email and state the time and date of the email containing the earlier Grant Application it supersedes. Grant Applications cannot be modified after the submission deadline.

3 - Grant Application assessment process

3.1. Declaration compliance

All grant applications will receive a confirmation of receipt via email from the JWHD.

All Grant Applicants must ensure that their Grant Applicant has:

- 1) Completed the required declarations in sections 4.2 and 5 of the Grant Application.
- 2) Responded to all questions.

A Grant Application which does not satisfy any of the points of the compliance check will be deemed a rejected application.

After the deadline for Grant Applications passes, each Valid Grant Application will be fully assessed against the Assessment Criteria set out below.

3.2. Assessment Criteria and Scoring Methodology

Each scored question will be marked out of 6. The summary table below shows the number of points, if any, available for each question and any weightings applied to the question.

The highest Total Score available is 39.

Response number	Points available (of 39 total)	Weighting applied
Section 1		
Section 1 <i>Contact Information</i>	0 – Zero	N/A
Section 2		
Section 2.1 <i>Outline your proposed Vanguard Footprint i.e., the area/s where you propose to deliver your WorkWell service</i>	0 – Zero	N/A
Section 2.2 <i>Is your proposed Vanguard Footprint for the WorkWell service Predominantly Urban or Significantly Rural?</i>	0 – Zero	N/A
Section 2.3 <i>Justify with evidence the proposed Vanguard Footprint for your WorkWell service.</i>	6 – Six	No weighting applied.
Section 3 – A		
Section 3.1 <i>Please list your expected key delivery partners below</i>	0 – Zero	N/A
Section 3.2 <i>Provide a list of the letters of support from delivery partners you will attach to this application.</i>	0 – Zero	N/A
Section 3 – B		
Section 3.3 <i>Explain your approach to developing an integrated Work and</i>	6 – Six (12 - Twelve with weighting)	100% weighting applied to points awarded i.e., a 6

<i>Health Strategy with WorkWell at its centre.</i>		point score would be worth 12 points total.
Section 3.4 <i>Outline your proposed integrated service delivery model for WorkWell and how you will work with key partners to deliver this.</i>	6 – Six (12 - Twelve with weighting)	100% weighting applied to points awarded i.e., a 6 point score would be worth 12 points total.
Section 3.5 <i>Provide your Expected Participant Volumes and estimated costs.</i>	0 – Zero	N/A
Section 4		
Section 4.1 <i>Outline your approach to governance and any relevant experience.</i>	6 – Six (9 – Nine with weighting)	50% weighting applied to points awarded i.e., a 6 point score would be worth 9 points.
Section 4.2 <i>Declaration on data protection.</i>	0 – Zero	N/A

The assessed element of the Grant Application Form is comprised of 4 scored questions within the Grant Application. Each Grant Application will be scored using the Assessment Criteria in the table below.

Score	
6	The response was robust, detailed, well-articulated in all material respects providing strong evidence of expert knowledge/that the criteria would be met, with no weaknesses or areas of concern with the content.
4	The response presented evidence of expert knowledge/that the criteria would be met, good in many respects but with minor weaknesses or concerns with the content.
2	The response provided limited evidence of expert knowledge/that the criteria would be met, there were major weaknesses or concerns with the content. The response lacked significant detail/or clarity.
0	The response did not provide evidence of expert knowledge/that the criteria would be met; and was wholly unsatisfactory in terms of content. Major weaknesses, issues or omissions were identified. The response was poorly articulated and/or inconsistent.

3.3. Process for selection of successful Grant Applications

Step 1 - Each Grant Applicant deemed to have submitted a **Valid Grant Application** will be awarded an Assessment Score in accordance with the Assessment Criteria above, weightings will be applied where relevant to determine the Grant Applicant's Total Score.

Step 2 – The Grant Applicant with the highest Total Score from each of the seven NHSE Regions will be selected as the region's top scoring Grant Applicant, these Grant Applicants will be added to the Vanguard Shortlist in order of merit (as between themselves) as the top ranking Grant Applicants in the Vanguard Shortlist (i.e. they will always rank ahead of any other Grant Applicants which may be subsequently added to the Vanguard Shortlist following application of the further Steps set out below). Should no Valid Grant Application be received from a given region, no top scoring Grant Applicant for that region will be added to the Vanguard Shortlist.

Step 3 – The initial Vanguard Shortlist will be checked to determine how many Grant Applications propose covering a Significantly Rural Service Delivery Area. Should two or more Grant Applications on the Vanguard Shortlist propose covering a Predominantly Rural service area. Step 4 will not be applied.

Step 4 – In order of merit, additional Grant Applicants who propose covering a Significantly Rural Vanguard Footprint, and are not yet on the Vanguard Shortlist, will be added to the shortlist. This will be done until two Grant Applications are on the Vanguard Shortlist which propose covering a Significantly Rural Vanguard Footprint. Should no Valid Grant Applications which propose covering a Significantly Rural Vanguard Footprint be available, this step will not be applied.

Step 5 – In merit order, more Grant Applicants who are not yet shortlisted will be added to the Vanguard Shortlist until fifteen Grant Applicants are on the shortlist, or until no Valid Grant Applications remain to be shortlisted.

Step 6 - The total estimated Grant Funding being applied for by Grant Applicants on the Vanguard Shortlist will be compared with the total Grant Funding available in the funding envelope for WorkWell to establish whether there is sufficient funding available for all Grant Applicants on the Vanguard Shortlist.

Step 7a – In a scenario where after allocation of participant volumes to Grant Applicants on the Vanguard Shortlist, additional funding is still available, JWHD will explore revising volumes up with Grant Applicants on the Vanguard Shortlist who are interested, and will allocate additional volumes based on mutual consent.

Step 7b – In a scenario where allocation of volumes to top-ranking Grant Applicants on the Vanguard Shortlist means that the programme cannot run with an appropriate number of pilot sites and operate in a diverse range of settings, JWHD will explore with top-ranking Grant Applicants the possibility of revising down their volumes, to allow allocation of funding to a higher number of Grant Applicants on the Vanguard Shortlist.

3.4. Assessing ICB WorkWell Vanguard Footprints as Significantly Rural or Predominantly Urban

For the purposes of responding to Question 3. A Vanguard Footprint should be classed as either 'Predominantly Urban' or 'Significantly Rural' with reference to the Rural Urban Classification [[Rural Urban Classification - GOV.UK \(www.gov.uk\)](http://www.gov.uk)]. Grant Applicants are to classify their proposed Vanguard Footprint by applying the following method.

Step 1: Produce a Local Authority District list noting every district which falls within the Grant Applicant's proposed Vanguard Footprint for WorkWell. Districts should be listed even if only a small part of the Local Authority District falls within the Vanguard Footprint.

Step 2: With reference to the [2011 Rural Urban Classification lookup tables for all geographies - GOV.UK \(www.gov.uk\)](http://www.gov.uk) the Grant Applicant should note the Rural Urban Classification 2011 (3 fold) next to each district on their Local Authority District list.

Step 3: Count the number of districts on the Local Authority District list which are classified as 'Predominantly Rural' or 'Urban with Significant Rural'. If the total number of listed districts classified as either is equal to or greater than the number of listed districts classified as 'Predominantly Urban', then the proposed Vanguard Footprint is classified as 'Significantly Rural' for the purposes of this Grant Application.

For more information refer to the [Practical guides for using the 2011 Rural Urban Classification - GOV.UK \(www.gov.uk\)](http://www.gov.uk).

Worked Example (For illustrative purposes only):

Local Authority District list for proposed Vanguard Footprint

Local Authority District	Rural Urban Classification 2011 (3 fold)
Allerdale	Predominantly Rural
Carlisle	Urban with Significant Rural
Durham	Predominantly Rural
Darlington	Predominantly Urban
Eden	Predominantly Rural
Hartlepool	Predominantly Urban
Middlesbrough	Predominantly Urban
Northumberland	Predominantly Rural
Stockton-on-Tees	Predominantly Urban

Total number of Predominantly Rural/Urban with Significant Rural districts listed:
5.

Total number of Predominantly Urban districts listed: 4

Overall determination: Significantly Rural

3.5. Tie breaker

In the event of 2 or more Grant Applicants achieving the same Assessment Score, the following process will be applied:

Step 1 – The Grant Applicant with the highest score for question 3.4 will be deemed to have the higher Assessment Score. If more than one Grant Applicant has the same score for question 3.4, then step 2 will apply;

Step 2 – The Grant Applicant with the highest score for question 3.3 will be deemed to have the higher Assessment Score. If more than one Grant Applicant has the same score for question 3.3 then step 3 will apply;

Step 3 – The Grant Applicant with the highest score for question 4.1 will be deemed to have the higher Assessment Score. If more than one Grant Applicant has the same score for question 4.1 then step 4 will apply;

Step 4 – The Grant Applicant with the highest score for question 2.3 will be deemed to have the higher Assessment Score.