Adult Social Care

A guide to applying for Adult Social Care **voluntary grant funding** for 2011-12

THE ROYAL BOROUGH OF
**KENSINGTON
AND CHELSEA**

Contents

This guidance will provide you with the following information:

Introduction

These guidance notes provide information for voluntary and community organisations seeking to apply for grant funding from the Royal Borough of Kensington and Chelsea, which will be awarded in April 2011 until March 2012.

1. Organisations eligible to apply for Adult Social Care funding

The following organisations can apply:

➢ voluntary organisations

➢ not-for-profit organisations

➢ charities

➢ social enterprises

➢ community groups

➢ community-interest companies

The organisations must:

➢ provide services to people that live, work or visit the Royal Borough of Kensington and Chelsea

➢ provide services to people 18 years old and above

Who **should not** apply?

➢ individuals

➢ services that are for profit (excluding social enterprise) or private gain

➢ organisations that seek to set up grant programmes

➢ organisations seeking annual grant funding for more than £50,000

The Royal Borough of Kensington and Chelsea will **not** fund

➢ capital programmes

➢ loan repayments

➢ budget deficit

➤ activities that promote a political or religious view

➤ projects that duplicate existing service provision

2. Important information on criteria for requesting funding for 2011-12

The needs of local communities are regularly changing, and therefore it is vital that Adult Social Care meets the needs and expectations of the local community. The third sector is instrumental to working with all groups in the community and to shape and deliver services for current and potential users.

As demands on public money become ever more challenging, it is important that Adult Social Care demonstrates that money is spent efficiently and that our priority areas are met, providing positive outcomes for the borough's residents. The business group must provide services to those with the highest level of need/s.

During 2010-11 Adult Social Care has undertaken various strategic reviews. These cut across specific service areas and individual organisations that are currently funded by the annual voluntary grant. This has lead to a number of recommendations to the Health, Housing and Adult Social Care Cabinet Member to move a number of services from grants to contracts. This means that Adult Social Care will **not** consider applications in the following areas:

- income maximisation services (exceptions are services that support people with sensory impairment or aim to improve access to mainstream services)

- services requesting funding to provide legal and debt/debt management advice

- day opportunities for older people and people with learning disabilities

- services providing day opportunities for service users with mental health problems. (Mental health services is currently reviewing its services which will shape how they are delivered in the future)

- services that support people with a learning disability, a physical disability and a mental health problem into employment

- professional advocacy services that work with older people and people with a physical disability

- professional advocacy services that work with residents on specific housing issues

- information and advice services (exceptions are organisations that aim to improve access to mainstream services, for example organisations working together or in formal partnerships to improve access routes)

- services that would more appropriately meet the service models of NHS Kensington and Chelsea.

2.1 Other funding streams

It is important that organisations seeking funding in the following areas, contact the manager responsible for that particular service area:

Carers' services

Organisations requesting funding to deliver direct services for carers will need to discuss funding arrangements for 2011-12 with the Carers Strategy Project Manager as different commissioning approaches will be used. For funding relating to carers services please contact:

Laxmi Jamdagni (Carers Strategy Project Manager)
Laxmi.Jamdagni@rbkc.gov.uk
020 7361 3926

Substance use, homelessness and HIV services

For funding relating to substance use, homelessness services and HIV services, please contact:

Gaynor Driscoll (Service Manager Substance Use and Homelessness)
Gaynor.Driscoll@rbkc.gov.uk
020 7361 2418

Substance use, homelessness and HIV services are currently being funded by Adult Social Care or other funding streams. The Adult Social Care annual voluntary grant **will not** consider applications that would duplicate services currently being provided. It is also important to note that these service areas may also be jointly funded with health and therefore would not be considered under the annual voluntary grant process.

2.2 Transport

Adult Social Care will consider applications for funding if the organisation can demonstrate how it will meet one or more of the seven priorities (see below).

Adult Social Care **will not** consider application submissions for the following:

- transport for organisations and services that are considered to duplicate existing provision

- vehicle running costs where a transport grant has been awarded in 2009-10 or 2010-11, or where a vehicle has been donated by the Council.

If applying for a transport grant, please state reasons as to why users cannot use public transport.

3.   Adult Social Care priorities

For 2011-12 Adult Social Care has provided seven priority areas, which organisations will need to be able to demonstrate they meet.

Which application form you submit will determine how you will need to demonstrate how your organisation will meet the priorities. Your organisation is **not** required to show that it meets all seven of the priority areas, as this is dependent upon the service or project your organisation wants to provide in the borough. None of the seven priorities is more or less important than another and they carry the same scoring components. What is important is that your application form clearly describes the service your organisation wants to provide and how it will meet with one or more of the priority areas. These are:

i) **Improved quality of life** – to provide services that promote independence and support residents to live a fulfilling life that enables them to realise their potential. Promotes user and carer involvement and inclusion that demonstrates positive outcomes for individuals.

ii) **Making a positive contribution** – people who use services will be encouraged to participate fully in their community and their contribution will be valued equally with that of other people. New and existing service users and carers will be involved in designing, reviewing and decision-making.

iii) **Better health and well-being** – to offer services that provide positive outcomes to an individual's health and well-being in an inclusive way and to support people to engage in their communities and promote well-being and active citizenship.

iv) **Dignity and respect** – services that are accessible to a diverse community. Individuals will have choice and control over how they wish to live their lives free from harm and abuse. An individual's self-awareness and safety will be promoted and quality assurance systems will be in place to demonstrate this.

v) **Choice and control** – service users and carers will be able to access high quality services and be involved in service improvement of an existing service or the development of a new emerging service design. Services will be flexible to meet the needs of individuals or groups and will work creatively to make 'personalisation' a reality.

vi) **Freedom from discrimination and harassment** – individuals will have fair and equal access to services without discrimination, and be safe from harm or harassment. Services will promote diversity and social cohesion.

vii) **Economic well-being** – to support service users and carers to access economic opportunities; services will be provided to the most disadvantaged and hard to reach groups. This will enable people to develop their skills and potential and maximise their opportunities in the local community.

3.1 Service developments for 2011-12

Applications submitted will need to meet one or more of the seven priorities stated, however we also welcome applications in the following areas:

- **Partnerships** – organisations seeking partnership opportunities which strengthen and enhance services, build capacity and provide opportunities to access mainstream services. We would particularly welcome partnerships from small and Black and Minority Ethnic (BME) organisations.

- **Innovation** – services which can enhance the market as well as meet existing and emerging need for the future.

- **Prevention** – low to medium levels of preventative services which work with existing service users known to Adult Social Care or prevention models which deliver services that support one or more of the seven priorities and promote independence and work to minimise social isolation.

- **Volunteering** – which builds on citizenship and community contribution. Services should demonstrate how volunteering provides additional value to the organisation as well as to the individual volunteer and how it has helped increase the organisation's capacity.

- **Personalisation** – demonstrating how an organisation will develop and provide personalised approaches when offering services and how it will market and promote its services to service users.

- **Supporting isolated and hard to reach communities as well as isolated individuals** – supporting communities and individuals to access mainstream services. Supporting organisations that support or engage with isolated older people.

- **Pilot or short projects/services** – shorter term projects (less than 12 months) or pilots that support new service or market developments. For this type of application it is recommended that organisations apply up to the £10,000 funding threshold.

- **User engagement** – services which promote and demonstrate creative ways of engaging and involving users in developing services. Support a more active role with working together on how services are delivered and how users can be involved in improving quality.

3.2 Demonstrating outcomes

All organisations awarded funding by Adult Social Care will need to be already, or be working to, outcome focused approaches which can demonstrate one or more of the seven priorities stated above. They should be looking at new ways of working which can improve the experience of service users and engage with them on how services should be delivered.

4.   NHS Kensington and Chelsea investment round for 2011-12

NHS Kensington and Chelsea (NHS K&C) will be commencing its investment round for 2011-12 along similar time frames as the Adult Social Care annual voluntary grant allocation. NHS K&C will have its own funding criteria and application form to award funding to start in April 2011. It is currently reviewing existing services that it funds with the view that future investment will be limited. NHS K&C is working with Kensington and Chelsea Social Council to support the voluntary sector with funding.

A communication protocol has been agreed between Adult Social Care and NHS K&C. This means that we will share information on application submissions to reduce any duplication and determine if there are any joint funding opportunities. In these circumstances organisations will be contacted by either Adult Social Care or NHS K&C to discuss their application and to inform them which statutory agency will lead on it.

For 2011-12 there is **no** joint funding application form and therefore it is the organisation's responsibility to submit the appropriate application form from the respective statutory agency.

For more information on the NHS K&C investment round for 2011-12 please contact:

Caroline Leveaux – Acting Senior Commissioning Manager for Non-Acute Services.
Caroline.Leveaux@kc-pct.nhs.uk
020 8969 2488

5.   Royal Borough of Kensington and Chelsea Corporate Services funding 2011-12

Corporate Services has also opened its funding for the voluntary sector for 2011-12. A communication protocol has been agreed to share information on application submissions to identify any duplication. In some instances an application form which has been received by either business group may be deemed more appropriate and/or aligned to the other business group's priorities. In these circumstances the lead officer will follow their respective business group's criteria and inform the organisation through the usual channel of the Key Decision Report.

To clarify which application form you need to submit or which business group would meet your organisation and/or service criteria, please contact:

Corporate Services – Deborah Wallworth (Voluntary Sector Manager)
Deborah.Wallworth@rbkc.gov.uk
020 7598 4632

Adult Social Care – Enid Coleman (Sector Lead – Third Sector, Partnerships and Innovation)
Enid.Coleman@rbkc.gov.uk
020 7361 2072

Please note that Corporate Services closing date for the submission of application forms is 15 September 2010 by 12 noon.

6. Funding thresholds

For 2011-12 Adult Social Care will have three funding thresholds of:

 - ➢ Up to £10,000
 - ➢ £10,001 to £20,000
 - ➢ £20,001 to £50,000

Please ensure that you choose the correct application form depending upon the amount you want to request from Adult Social Care.

Each funding threshold carries different requirements as to the type of information that you will need to provide on the application form. Organisations should make sure applications are for services that are well thought out and have realistic costs.

Up to £10,000

This amount is aimed at (**but not exclusively**) the following areas which Adult Social Care wants to encourage and develop:

 - one-off pilots

 - projects which are in their early stages of development

- organisations applying for the first time with a new idea/service/project

- projects that aim to look at a current and future social need which can develop and improve the social care market

- small and/or Black and minority ethnic organisations that want to develop any of the above, either within their own organisation or in partnership with another organisation, which also meets with the eligibility criteria already stated. The partnership organisation can be either a small, medium or large organisation.

If the above criteria are not applicable to your organisation, but you are requesting funding up to the grant value of £10,000, you will need to complete this application form. This includes organisations that are applying for the first time and organisations that are currently funded by Adult Social Care that want to apply for 2011-12 funding of the value of up to £10,000.

Funding thresholds £10,001 to £20,000 and £20,001 to £50,000

There are two other funding thresholds: £10,001 to £20,000 and £20,001 to £50,000. Please ensure that you complete the correct application form.

How many application forms to complete?

Complete only **one** application form.

You can apply for core funding as well as service costs.

7.   Guidance on completing the application form

7.1 General information for completing all application forms

Please ensure that you have looked at the funding priorities for Adult Social Care when completing the application form. You must show how the service will meet the funding priorities; you do not need to meet all the priority areas and all priority areas carry equal weighting.

Ensure that you have completed all sections of the application form and provided any additional information requested. It might be useful to photocopy the application form and complete a first draft before submitting your final version.

Sections of the application form tell you the maximum number of words you can use to answer the question, therefore please ensure you follow the guidance; you can use fewer words.

Please ensure that you complete the correct application form for your organisation. The funding threshold you apply for will determine the information you need to submit.

7.2 Specific guidance for completing all the application forms

Front page of the application forms

The front page of all the application forms will ask you to state clearly the amount of funding you are requesting from Adult Social Care. Please state clearly the amount your organisation is requesting under the following:

➢ Social Care
➢ Transport

So that we know what you are requesting from the other business groups across the Council, you will also need to state the amount you have also requested or received from:

➢ Corporate Services
➢ Family and Children's Services

7.3 First stage of application form

There is information that you will need to submit with the application form. The funding threshold you are applying for will determine the type of information that you will need to submit. If you do not submit the information requested, it may prevent your application from being considered.

Annual report and audited accounts
A draft or final copy of your 2009-10 annual report and audited accounts is acceptable. If you are a small organisation and do not need to produce audited accounts, then a copy of certified accounts or the organisation's bank statements (last three months) will be sufficient.

Finance

Income 2011-12
Within the application forms you will need to provide financial information for the overall organisation. Provide details of the income you can realistically expect in 2011-12, including the proposed grant from the Royal Borough. The budget should be sufficient to cover your services and/or be able to meet core costs, for example rent, telephone. Only include non-Royal Borough grants if you are reasonably sure they will be received in 2011-12.

Expenditure 2011-12
Provide figures for the main items of expenditure for the organisation.

Governance
Organisations will need to submit a copy of the governing document. This also applies to organisations that currently receive funding from Adult Social Care.

Policies and inspection reports

You will need to state whether your organisation has the policies and inspection reports outlined in place. You do not need to submit copies of the policies at this stage, but you may be required to produce them if requested by Council officers at a later stage. Failure to do so could affect your grant.

Compact and codes of practice

The Royal Borough requires all organisations it funds to have signed up to the Compact and Codes of Practice. If you are unsure whether you have or have not, contact the Voluntary Sector Team in Corporate Services.

Independent referee

You need to provide an independent referee. Give details of someone who has a "professional" relationship with the organisation, a funder or someone who has made a referral to the organisation. Do not choose someone who works for the organisation, is on the management committee, provides a service on behalf of the organisation or is a relative.

Service description funding breakdown 2011-12

Your organisation will need to provide us with information about each service area that you are requesting funding for. Depending upon the service/project, you will need to provide a breakdown of the areas and the amount needed to fund each specific area. (You may need to photocopy or electronically copy and paste this section if there is not sufficient space to detail all services you are requesting funding for).

7.4 Second stage of application form

Aims and objectives

Explain what your organisation does and what it wants to achieve for local people. This information may be in your mission statement.

Service description/detail and priorities

The funding threshold you have applied for will determine the amount of information we require you to provide.

Give a description of the service and outline the main service areas. Make sure you describe how the service will meet the priorities. For example, describe what the service is, how you will achieve it, when it will be available, the number of staff involved, whether it will be provided across the whole of the borough or in a specific area. State if you are working in co-operation with another organisation or as part of a consortium.

Ensure that you have read the funding priorities before completing the application form. On application forms for up to £10,000, you will only need to tick which priorities your service will meet. On application forms above £10,001, you will need to provide more information on how the service/project will meet the priorities.

You do not need to meet all the seven priorities in the application form.

(You may need to photocopy or electronically copy and paste this section if there is not sufficient space to detail all services you are requesting funding for).

Application forms £10,001 to £20,000 and £20,001 to £50,000

Users' targets
Detail the user group/s the service is aimed at. For example, young people, people who are socially excluded, culturally specific, people with a physical disability, people from the African Caribbean community. Give age ranges of people expected to use the service.

If your organisation works in more than one borough, please tell us the percentage of users you expect to be residents of the Royal Borough of Kensington and Chelsea.

Monitoring and evaluation
Monitoring is the routine, systematic collection of information relating to your service/s to see how well you are doing and if the outputs and outcomes are being met. Describe how you monitor what you do, for example, daily records of attendance.

Evaluation is when the information you have collected is then used to see what works well or what may need to change to improve the service. You should state the methods that will be used for evaluation purposes, for example, user questionnaires, advisory groups or user forums.

User involvement
Describe how you involve and consult with users in decision-making and how this improves and impacts on the service delivery for the organisation.

Application form £20,001 to £50,000

Outputs
Give the figures that will show the level of activity that you plan to undertake, for example, the number of volunteers recruited, the number of support groups that will be held, number of training seminars given, how many hours a service will be available. Outputs should be specific, measurable and realistic.

Quality assurance
If you use a quality assurance system, please state which one your organisation uses. If you have been awarded a quality mark for either service delivery or organisational and management standards, say which one/s, for example, PQASSO or Investors in People.

If your organisation is currently not using a recognised quality assurance system, then describe what you do to maintain and improve the quality of the service/s you provide.

Added value

Use this section to state why the service/s you provide offer value for money. For example, the organisation may use volunteers which support the level of service. You may receive funding from other sources which enables you to maintain a level of service at the request of the Royal Borough.

Your service may cost more due to legislative requirements or because there is a requirement to have a level of staffing due to the nature of the service you deliver.

BACS form

Organisations not currently receiving a grant from the Royal Borough of Kensington and Chelsea must complete, sign and return this form by post or by hand, by the deadline. Do not email this form. Remember to include a copy of the current bank statement. Organisations currently funded by the Royal Borough need not complete this form unless bank details have changed.

Declaration

Please ensure that you read the declaration before signing. The declaration will require at least one signature from a member of your management committee, for example, Chairman or Treasurer. The other signature should be an appropriate member of staff, for example Director or Manager. **We will not accept this part of the application form electronically.**

Returning the application form

The application form can be completed and sent electronically. The email address to return your application form to is: asc.voluntarygrants@rbkc.gov.uk. Supporting documentation can also be submitted electronically with your application form. However, if you do not have this I.T. resource you must ensure that a hard copy of the application form and supporting information is received by the deadline, as well as the signature page of the application form. **Only a signed hard copy of the BACS form will be accepted (this will not be accepted electronically).**

The **closing date** for the submission of Adult Social Care voluntary grant application forms is **24 September 2010 by 12 noon.**

Acknowledgement

All applications received by the closing date will receive an acknowledgement from Adult Social Care, within 10 working days from the closing date. This will either be by post or email. If you do not receive an acknowledgement letter/email within this time please contact Enid Coleman – Sector Lead for Third Sector, Partnerships and Innovation immediately on 020 7361 2072 or email at Enid.Coleman@rbkc.gov.uk.

Who to contact if you need help or advice when completing the application form

8.   Royal Borough of Kensington and Chelsea - Adult Social Care:

Enid Coleman – Sector Lead for Third Sector, Partnerships and Innovation 020 7361 2072 (Please also contact for general queries)

Toby Dickinson – Mental Health Commissioning Manager 020 7361 3791

Joanna Hughes – Accessible Transport Development Officer 020 7361 3233

Laxmi Jamdagni – Carers Strategy Project Manager 020 7361 3926

Kensington and Chelsea Social Council (KCSC) can also help you to complete application forms and you can contact them on 020 7243 9800.

9.   Kensington and Chelsea Social Council

2011-12 Voluntary grant surgery

A voluntary grant surgery offered by Kensington and Chelsea Social Council (KCSC) will provide an opportunity for you to discuss your application and to get feedback on your draft application. Kensington and Chelsea Social Council will be providing an opportunity for you to meet with its staff to discuss your application. You can contact the Social Council directly on 020 7243 9807 and ask for Brenda Nambooze.

Dates of surgeries:

3 September 2010 in the morning

7 September 2010 in the afternoon

Both the 3 and 7 September are for Corporate Services and Adult Social Care applications

14 September 2010 in the morning

15 September 2010 in the afternoon

Both the 14 and 15 September is for Adult Social Care applications **only.**

The following conditions apply:

- you will need to book in advance with Kensington and Chelsea Social Council

- you will be expected to have done some work on your application before the surgery

- the meeting will be with KCSC **only**.

Appendix One

What will happen after you have submitted your application form?

The closing date for submitting Adult Social Care application forms is:

24 September 2010 by 12 noon.

Officers who are responsible for working with the voluntary sector will consider your application. The application will be assessed carefully to ensure there is no duplication of funding.

Applications will be assessed against the funding priorities and against organisational competences outlined in the application form submitted. Additional information required to be submitted with the application form will also be assessed.

Officers will make recommendations to Cabinet Members responsible for funding, who will then make the final decision on grants. You will be notified in writing of the funding decision within three weeks of the decision being made. The final decision rests with the Council and there is no appeal process.

Successful applications

Even if successful, the grant amount may differ from your application.

A funding agreement will be negotiated, which will include monitoring arrangements and terms and conditions of funding. The level of detail will depend on the amount of grant that you receive. Your organisation will be expected to meet these conditions. If not, funding may be withdrawn. Grant funding is usually paid quarterly in advance.

Monitoring information will be based on the purpose for which the grant is given. This will be agreed when negotiating a funding agreement. Monitoring will require you to illustrate that you are achieving the outputs and outcomes that you gave in your application.

Unsuccessful applications

We expect to refuse some applications. If refused, there is no right to appeal. You will receive feedback, but most of the services we will be unable to fund will be turned down because:

- the funding priorities are not met, or are not shown to be met
- there is insufficient funding available to support the proposed service
- the service is duplication of other local provision
- the quality of the service provision is doubted
- the competency of the organisation to provide the service is doubted.

If you have previously received funding from the Royal Borough we will arrange to meet with you, on request, to discuss the implications of the loss or reduction in the grant funding and to devise strategies for managing any issues that arise as a consequence.

Previous grant recipients should **not** assume that existing funding levels will continue.

Appendix Two

Information on the assessment process

This appendix is essential to help you to complete the application form. It provides information on the key areas that the Royal Borough will look at when assessing your application.

First stage

For the first stage, officers will look at organisational competence to ensure good governance and management. The application will not go to the second stage if it does not meet our requirements, which are listed below. Your application form will require some documents and information to be submitted with it, and we will likely fail those applications which do not provide the evidence requested. If you have any queries, contact a member of Council staff (see who to contact).

Information to be provided:

I. a constitution, memorandum and articles or equivalent
II. evidence of a Management Committee that meets regularly, shown by a list of members and minutes of both the last regular meeting and the last Annual General Meeting
III. evidence that the organisation is managed successfully within available resources, shown in part by a copy of the latest audited accounts and your projected budget for 2011-12
IV. a copy of your last annual report
V. if you are a regulated service, the latest inspection report.

Policies and procedures

We will only support organisations that are well managed, and the Council will be looking for evidence of how you ensure effective management and high quality service delivery. At this stage you do not need to submit policies and procedures, but you do need to inform us if you have policies and procedures in place. You may be requested to present them prior to funding being released. The type of information we may ask you to demonstrate within policies and procedures are:

I. equal opportunities – which show mechanisms for promoting equal opportunities and equal access for staff, volunteers, service users and carers
II. policies which demonstrate good management and administration structures, such as complaints, financial and staffing policies
III. premises – should be owned or there should be evidence of a secure tenancy. Premises should be appropriate for usage
IV. staffing policies which ensure that appropriately experienced, trained and qualified staff have been checked for their suitability. Also that support and training is offered to volunteers
V. that policies for staff, paid or voluntary, working with children, young people and vulnerable adults are checked that they do not have

criminal convictions or are not on the Protection of Vulnerable Adults Register (POVA).

Second stage

Organisations will be required to demonstrate that they have experience of delivering services for local people, and/or knowledge of the user group.

Organisations funded in 2010-11 will need to show that they are:
- complying with the terms of the existing Funding Agreement
- providing monitoring information at agreed dates
- making progress towards meeting the agreed targets
- employing competent and qualified staff
- showing consistent professional management of the organisation.

Organisations not funded in 2010-2011 will need to provide evidence of:
- knowledge of the user group
- experience of service delivery with the user group either in Kensington and Chelsea or elsewhere
- trustees, staff and volunteers having the skills and expertise to provide the service for which an application is being made.

Service quality

Quality assurance

The Royal Borough has determined that all organisations in receipt of funding should have in place, or be working towards, a recognised quality assurance system. For example, the Practical Quality Assurance System for Small Organisations (PQASSO) provides core quality assurance measures.

Organisations not previously funded by the Royal Borough will be required to demonstrate that they have a quality assurance system in place, are working towards one or will do so if funded.