

GUIDANCE FOR APPLICANTS 2011



General Information

The Foundation aims to alleviate conditions of distress, deprivation and disadvantage that lead to social exclusion by funding charitable work across a broad range of social priorities that will bring about positive change. The Foundation's current priorities are summarised in our Programmes.

Organisations supported by the Foundation tend to share these features:

- There is a clear sense of objectives and how to achieve them.
- The work is about providing solutions to problems, not about making them more bearable.
- An award has a good chance of making a difference to the organisation and to its clients and having an impact in the longer term.
- The work may be a new imaginative approach, something in a new area of need, or something that is risky or sensitive.
- Every effort is made to comply with statutory requirements such as the *Statement of Recommended Practice: Accounting and Reporting by Charities 2005*.
- Recognised quality assurance and accreditation schemes and training for trustees and staff are used as tools to improve the organisation's effectiveness.

Area of Benefit

The Foundation makes its awards in the following areas of England:

Counties of Berkshire; Bristol, Avon & Somerset; Buckinghamshire; Cambridgeshire; Dorset; Gloucestershire; Hampshire; Middlesex; Nottinghamshire; Oxfordshire; Surrey; Sussex; Warwickshire (not including the Greater Birmingham area) and the Greater London Metropolitan Area as defined by the M25 motorway.

Grants Programmes

Foundation awards are made to work in four programmes areas which have specific aims and priorities set by the Trustees. These are the criteria against which the

Trustees assess the relevance and potential impact of outcomes that applicants propose to achieve with the help of a Foundation grant.

The Applications Process

The Foundation has three Family Grants Committees that meet around June, October and February in the year.

Following the initial assessment process, applicants whose bids have not been rejected or deferred are invited to submit their bids to a particular grants meeting agenda. The two stage application process is explained further in the section [How to Apply](#).

New applications will not be considered from previously successful applicants within 24 months of the end of the funded grant period.

Awards

Applications are accepted for awards made under our published programmes. Awards may be towards:

- A specific project or body of work.
- Core costs such as rent and non-project specific salaries. Infrastructure development and capacity building such as staff or management training.

Our awards are either one-off payments or an amount where the grant payments are spread over a number of years.

Levels of Awards

A one-off grant is unlikely to exceed **£15,000**.

Our periodic grants **range up to £30,000** depending on the nature of the project and the length of the award. For 2011, the maximum amount that our grants committees may award to applications coming via the Foundation's web site is **£30,000 over not less than two years**.

Bids in excess of these amounts will be rejected.

Length of Awards

The maximum period of support is three years. Grants payable over a number of years may be subject to tapering instalments such that there is a maximum payment in one year with lower payments in other years.

Example: £30,000 grant over three years in payments of £15,000, £10,000 and £5,000 (or any combination that meets the funding or income strategy of the applicant).

PROGRAMMES 2011

Objective

Under the general theme **Foundations of Society**, the objective of The Wates Foundation in 2011 is to promote work that builds social values and responsibility and provides access to opportunities that address disadvantage.

Following this summary, each programme is explained in detail.

Building Family Values

Priorities

- **Promoting the family unit**
- **Domestic abuse**
- **Supporting children and young people at risk**
- **Opportunities for children and young people 5-25 years of age**

Community Health

Priorities

- **Addiction**
- **Mental Health**
- **Disabilities – the disabled**
- **Aged and Infirm**
- **Alternative and complementary practice**

Life Transitions

Everybody experiences transitions during their life: in early childhood; passing through stages of schooling; into and out of employment; leaving military service; entering retirement and older age. People have to cope with bereavement, the onset of illness or disability and transitions through parenthood; others have to negotiate more unusual transitions, out of prison or mental health. Through relationships and support in the home and at school, through work provision and shaping of responsible attitudes, people can weather these transitions better and acquire the ability to sustain change and access improved life chances.

Priorities

- **Preparing client groups for key transitions to facilitate informed and accessible changes in life circumstances**
- **Addressing failure to deal adequately with key transitions, leading to negative outcomes in the short term and potentially in later life**
- **Promoting personal resilience, allowing beneficiaries to access life opportunities better, having achieved a key transition successfully**

Safer Communities

Priorities

- **Crime in Communities**
- **Alternatives to custody**
- **Preparing offenders for release**
- **Resettlement of offenders after release**
- **Female offenders**

PROGRAMMES 2011

Building Family Values

Aim

To promote and reinforce the role of the family unit as a safer more caring environment, fostering social and civic values, responsibility and behaviour, and encouraging the young to take up opportunities for education, training and employment.

Priorities

- Promoting the family unit
- Domestic abuse
- Supporting children and young people at risk
- Opportunities for children and young people 5-25 years of age

Typical Activities

- Family advocacy and advice; training and mentoring schemes for parents
- Community volunteering
- Vocational training for young people, especially those not in education, employment or training (NEET)
- Support to children in care or adoption
- Domestic abuse
- Activity schemes for disadvantaged children
- Urban streets youth projects
- Literacy & out of school tuition

Likely Outcomes

- People are confident in their parenting skills
- Reduction in violence and abuse in the home
- More people contribute actively to their communities
- More young people have access to training for employment
- More volunteer support available to disadvantaged families

Community Health

Aim

To provide avenues for an improved quality of life for those people with addictions, those disadvantaged by reason of mental or physical disability and their carers and those who are living less healthy or active lives by virtue of age or infirmity.

Priorities

- Addiction
- Mental health
- Disabilities
- Aged and Infirm
- Alternative and complementary practice

Typical Activities

- Community-based substance abuse therapy and rehabilitation
- Volunteering and placement schemes
- Advocacy and advice for the disabled; schemes assisting the disabled into independent living
- Training, employment and access opportunities for the disabled
- Young carer schemes
- Promotion of healthy and active life styles for the aged and infirm
- Schemes promoting inclusion of the disabled in the community including public awareness, employment, education and leisure
- Schemes specifically for disabled ex-Service personnel including those with mental disabilities such as post traumatic stress syndrome and related substance abuse.
- Palliative care schemes
- Neo-natal intensive care
- Medical research
- Mental health

Likely Outcomes

- More people in addiction therapies
- More opportunities of all kinds for those disadvantaged by reason of mental or physical disability
- Improved well-being amongst older people over 70 years
- More people in independent living including the disabled and young carers
- More young carers able to access education, training and employment
- Better quality of life for long term adult carers
- More volunteers in community health work

Life Transitions

Everybody experiences transitions during their life: in early childhood; passing through stages of schooling; into and out of employment; leaving military service; entering retirement and older age. People have to cope with bereavement, the onset of illness or disability and transitions through parenthood; others have to negotiate more unusual transitions, out of prison or mental health. Through relationships and support in the home and at school, through work provision and shaping of responsible attitudes, people can weather these transitions better and acquire the ability to sustain change and access improved life chances.

Aim

To prepare individuals and groups for the key physical, psychological and environmental change points in life that can affect significantly the development of personal attitudes and behaviour, and promote the ability for them to sustain change and access better life chances

Areas of Specific Interest

This programme has the following areas of interest:

- **Early Years Interventions** - supporting families and children
- **School Years Interventions** - supporting young people at schooling change points
- **Mental Health** - supporting individuals to whole person recovery
- **Interventions for Older People** – supporting individuals into retirement, through loss of a partner and into old age
- **Former Service Personnel** - supporting those that leave military service to make a successful transition into civilian life

Priorities

- Preparing client groups for key transitions to facilitate informed and accessible changes in life circumstances
- Addressing failure to deal adequately with key transitions, leading to negative outcomes in the short term and potentially in later life
- Promoting personal resilience, allowing beneficiaries to access life opportunities better, having achieved a key transition successfully

Typical Activities

- Building parent and baby relationships - physical, mental and social
- Early years family support work: families struggling to cope with children; support to single parent families
- Supporting single parents with the skills to raise responsible children
- Development of social responsibility in children
- Navigating key change points into and out of education

- Addressing the needs of former Service personnel in areas of employment, mental health, addiction, criminal justice and homelessness
- Addressing the wellbeing needs of mental health sufferers to promote whole person recovery
- Addressing the advent of disability or long term illness

Likely Outcomes

- Reinforcement of parent-children relationships as the basis for better life opportunities
- Children grow up as responsible citizens
- Fewer young people at risk of anti-social behaviour and exclusion from education
- Facilitation into mainstream life of mental health sufferers
- Reduction in numbers of former Service personnel in disadvantaged circumstances
- Increased well being in old age

Safer Communities

Aim

To promote initiatives contributing to the reform of the criminal justice system, a fairer and more appropriate penal system, the effective rehabilitation of offenders, particularly females, and the promotion of family contacts to reduce chances of re-offending on release.

Priorities

- Crime in Communities
- Alternatives to custody
- Preparing offenders for release
- Resettlement of offenders after release
- Female offenders

Typical Activities

- Crime diversion and prevention schemes especially with young people
- Work around community sentences
- Peer and other mentoring schemes
- “Through the gate” resettlement schemes encompassing physical and mental health, housing, training, education and employment
- Substance abuse therapy and rehabilitation
- Sexual abuse and violence in the home
- Female offender and children work
- Support to families of offenders
- Parenting skills for offenders
- Advocacy and advice schemes
- Occupational therapy work
- Volunteering and placements under licence
- Trafficking

Likely Outcomes

- A reduction in re-offending
- More opportunities pre and post-release for training, education and employment
- More opportunities pre and post-release for mental, physical and substance abuse support services
- Fewer female offenders
- More offenders released into a family context
- Greater resort to alternatives to custody
- More effective alternatives to custody

APPLICATIONS NOT CONSIDERED

As a general rule we expect that applicants will have considered the Foundation's *Guidance for Applicants* on this web site. As our guidelines change every several years, reliance should not be placed on entries in guides to trusts and foundations published by organisations such as the Directory of Social Change or similar works of reference.

Our preferred format for initial approaches for funding is laid down in the section *How to Apply*. Applications that make no effort to meet this simple requirement will be rejected automatically.

We cannot fund:

- Organisations that are not registered or recognised as charities unless in the process of registering. Applications by regulated not-for-profit social enterprises may be considered.
- Work that is not legally charitable.
- Political parties, political lobbying or campaigning.
- Churches or other religious organisations where an award will be used for religious purposes.

We do not fund:

- Individuals for **any** purpose.
- Large, well-established or national charities.
- Organisations whose total income in the year preceding an application exceeded **£700,000 except where unusual circumstances applied in that year**.
- Statutory bodies including local authorities and their agencies.
- Grant-making bodies except through partnerships.
- Heritage, conservation or archival projects unless relevant to the urban or rural built environment.
- Capital projects.
- Conferences.

- Appeals of any kind including for disaster relief, sporting, social or other fund-raising events.
- Animal welfare organisations.
- Activity taking place overseas.
- Work delivered outside of the **Counties of Berkshire; Bristol, Avon & Somerset; Buckinghamshire; Cambridgeshire; Dorset; Gloucestershire; Hampshire; Middlesex; Nottinghamshire; Oxfordshire; Surrey; Sussex; Warwickshire (excluding the Greater Birmingham area) and the Greater London Metropolitan Area as defined by the M25 motorway.**

Grants will not be made to:

- Work that is a public funding or statutory responsibility whether fulfilled or not.
- Replace cuts in funding by statutory bodies where the Foundation becomes the largest single provider.
- Top-up funding on under-priced contracts or other commissioned work.
- Organisations where we become the largest single income provider.

How to Apply

What You Should Know

Applications to the Foundation are accepted by post, but NOT by email, at any time on a rolling basis. An acknowledgement can normally be expected within 14 working days.

We operate a two stage application process that should reduce the time that applicants may spend preparing material and allow us to give a response to the application in a reasonable time.

We have three Grants Committees that meet at different times in the year. You cannot apply to a specific Committee.

On average, 90% or more of requests are rejected before the second stage.

First Stage

We do not use an application form so that applicants are not constrained in promoting their case for an award. However, we do expect that you comply with our format. Applications that make no effort to meet this simple requirement will be rejected automatically. The basics:

- Initial applications should be of no more than **four A4 pages** (minimum font size Arial 11 point) addressing the questions below. These are designed to elicit sufficient information to explain your application without having to contact you.
- A budgetary breakdown may be attached additional to the four-page limit. Budgets covering more than one year should include elements for inflation. Salaries should identify NI costs and pensions where appropriate.
- Supply the name of a contact person, a telephone number and an email address.
- Your application **must be accompanied by a signed copy of your latest Annual Report and Accounts which comply with Charity Commission requirements.**
- Additional publicity material including pamphlets, newspaper cuttings, Annual Reviews and DVDs will not be read.

Using the questions as headings and in the order given, tell us:

- Who you are and what you do.
- About the work you want funded including beneficiaries, location and timescales.
- How much you need from us and over what period – one year, two years or three.
- Where any balance of funding is coming from - such as bids to other funders - and how you intend to fund the work when our award ends.
- How this work will make a difference to the people you seek to benefit.
- How you intend to monitor the work, measure its success and ensure its quality.
- How your work benefits the public as defined by the requirements of the Charities Act 2006.

Your application **MUST** contain the following statement:

We are aware that supplying any deliberately false information or making any deliberately false statement may result in prosecution. To the best of our knowledge and belief, all statements made in this application and its associated documentation are true and accurate. I am authorised to sign on behalf of the organisation.

Name

Position

What Happens Next

All requests for support are rigorously filtered. The assessment process includes financial and other due diligence checks to establish the authenticity of your application; this may involve a preliminary visit. Application to the second stage will only be invited after this process.

We send out a letter outlining the broad elements identified in the initial application together with the second stage application questions. You will have assembled much of the information to answer these as part of your initial approach to the Foundation. Where appropriate, the completed application questionnaire will be supported by a business or work plan and future funding strategy.

The process of preparing an application that goes to a Grants Committee, including arranging a visit to you by a member of the Committee, can take three months or more.

If Your Application is REJECTED

There is no time limit before unsuccessful applicants at any stage might re-apply. If requested we can provide feedback on why an application was unsuccessful. Before re-applying, however, a telephone call to the Foundation is always advisable.

Final Point

We have a small staff team. However, if you are in doubt about whether you are eligible under our guidelines, we are happy for potential applicants to ring us up and discuss funding opportunities or seek clarification. This often saves on unnecessary correspondence.

GRANTS POLICIES

Monitoring Arrangements

The Trustees of the Foundation make their awards to bring about positive change in the circumstances of an organisation and its staff or beneficiaries to achieve the objects in the Foundation's Mission Statement. The Foundation monitors the grants that it makes in order to assess their impact and provide lessons and experience for future grant making. Agreement to take part in the Foundation's monitoring process is a condition of all grants made. The Foundation seeks to apply monitoring in proportion to the level and type of award and the size and capacity of beneficiary organisations to participate in the monitoring process.

One-off Grants

One-off grants are paid soon after the Grants Committee meeting concerned. A short follow-up report may be requested. The report seeks to establish what impact the award has on the applicant organisation's situation, for example with improved service delivery, benefits to clients, income flow and stability or other factors as appropriate. There is no format for this type of report: a short letter suffices.

Periodic Grants

Periodic grants are made to achieve positive change over time, normally a period of three years. Potential change is usually specified as one or more outcomes that the applicant believes that it is able to achieve with the added resource of the Foundation's funds. Outcomes will be *quantitative* or *qualitative*, *hard* or *soft* and *short* or *long-term*. They will be measurable against targets, benchmarks, milestones or other identifiable achievements by the applicant organisation, its staff or clients.

Monitoring of the progress of a grant takes place at intervals throughout its life. Depending on the size of a grant, annual instalments may be paid at six-month or twelve-month intervals. Each payment is triggered on the receipt of a satisfactory monitoring report in the format of the Foundation's Grant Progress Report. Agreement to this arrangement is a condition of Foundation grants. A copy of the Progress Report questions is sent out with the Terms & Conditions of the award.

Amongst other things, the Progress Report seeks to establish the extent to which progress has been made towards achieving the outcomes originally stated by the applicant organisation. Assertions of progress will normally be supported by data such as inputs and outputs collected by the applicant organisation in the routine course of monitoring its own performance.

Evaluation

The Trustees of the Foundation are always pleased to see evaluations that have been commissioned by or on behalf of applicant organisations.

Performance Reviews

All Foundation periodic grants are treated as conditional liabilities. That is, payment of instalments of the award is conditional on applicants complying with the Terms & Conditions of the grant issued at the time the award is notified and on the Foundation achieving sufficient income during the relevant financial year to meet its liabilities.

Each year, normally in January or February, the Trustees of the Foundation carry out a review of the performance of every current grant and of those that have been completed in the financial year under review, taking action as appropriate. In March the Trustees review income receipts for the year under review and meet with the Foundation's investment manager to consider estimated income for the following year.

Terms & Conditions

1. The Trustees of the Wates Foundation make their grants for the charitable purposes set out in the letter of application, or as agreed and sometimes modified by the Foundation.
2. Organisations are required to acknowledge in writing receipt of payments and their agreement to the Terms & Conditions of the grant.
3. The Foundation's grants are either one-off awards or an award spread over a period of time. Both types of grant are often paid in instalments at set intervals. Where the grant is a contribution towards part or all of the cost of new staff, the Foundation requires: a job description; the name of the employee; and the starting date of employment before payment begins.
4. After the initial payment of a periodic award, or where a one-off award is made in more than one payment, further instalments are subject to review in the form of a progress report from the beneficiary organisation to trigger a subsequent instalment. Where reports are overdue by two months or more without agreement, the Foundation reserves the right to cancel or reclaim the grant on review.
5. A progress report must be accompanied at least once a year by up-to-date signed, audited or independently examined accounts or such accounts as are required by the Charities Act or Charities (Accounts and Reports)

Regulations. Beneficiary organisations should acknowledge the support of The Wates Foundation in their Accounts and Annual Report. It is expected that a Foundation grant will be listed in Accounts under the heading **Unrestricted** or **Restricted** as appropriate.

6. The Foundation expects that beneficiary organisations will keep proper and up-to-date records showing how the grant is being used. The Foundation may request relevant financial records and progress reports for inspection at short notice.

7. Grants not taken up within two years of the date on which they are offered will normally be cancelled after review. The Foundation reserves the right to reclaim any grants or parts of a grant that have not been used for the purposes for which given. Organisations will be expected to repay grants if it is believed that they have acted fraudulently or negligently or are dissolved, wound up, disbanded, go into insolvent liquidation or otherwise cease to operate.

8. The information that the applicant organisation provides in relation to the application and in supporting documents and for the life of any grant awarded will be used to administer the award and for the Foundation's own research and learning purposes. We may give copies of this information to other organisations and agencies when assessing the application and monitoring the progress of work covered by an award and evaluating the work as part of our funding programmes. These organisations may include accountants, external evaluators and statutory agencies such as the Charity Commission. We may also share information with other public, corporate or independent funders providing funding towards the work or who have a legitimate interest in applications and grants, and for the prevention or detection of fraud. We might use the information provided for our own research, but recognise the need to maintain confidentiality of vulnerable groups whose details will not be made public in any way, except as required by law.

(The support of the Association of Charitable Foundations is acknowledged in the formulation of this guidance).

The Wates Foundation Logo

The Trustees do not pro-actively promote the work and achievements of the Foundation through the literature, works or events of other organisations.

The Trustees restrict acknowledgement of their awards to appropriate mentions in the Annual Report and Accounts of beneficiary organisations. Otherwise, the Trustees promote the Foundation by making its grant making programmes accessible and available through the Foundation's web site and by participation in Funder events run by accredited umbrella organisations.

Applications for use of the Foundation's logo by beneficiaries of Foundation awards are considered on a case by case basis. Requests are to be made in writing to the Director.

Contacting us

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Our office hours are 9 am to 5 pm, Monday to Friday. The office is closed at weekends and on public holidays. There is a voice mail service.