**Audrey Mosey Committee**
**Grant Making Policy**

**1. Priority 2019/22**

The I AM Fund Committee reviews programme impact and local needs to set annual priorities. Currently welcoming applications in response to the following:

Connecting children and young people to performance arts that will:
- Inspire participation
- Improve experience
- Identify local talent

Project proposals must meet at least one of the above priority themes AND demonstrate a commitment to learning and development.

**2. Who can apply?**

- Registered Charities
- Constituted Community and Voluntary Organisations
- Community Interest Companies (see notes**)
- A business with social objectives and reinvest all profit into these objectives
- Charitable Incorporated Organisation

To be eligible the organisation must have:

- A management committee, board or Trustees of board of Directors with at least 3 unrelated people as members.
- A written constitution or set of rules that sets out the purpose and management of the organisation.
- A bank account in the name of the organisation with at least two unrelated cheque signatories.

We will prioritise small, grassroots charities and community organisations over larger organisations that have a higher profile and dedicated fundraising staff.

Organisation can only be in receipt of one active grant at any one time; monitoring information and fulfilment of grant conditions will determine if the grant is still active.

This is to ensure that:

- Funding can reach as many groups as possible and not only appealing to those organisations who have previously been funded on more than one occasion.
- Previously funded organisations have submitted an end of grant form and we are satisfied that the grant funding has been spent as required.

## 3. Exclusions

Grants will not normally be awarded to the following types of activity or organisations:

- Organisations operating outside our area of benefit.
- Previously funded organisations with overdue end of grant form.
- Local branches of national organisations (unless they are locally managed and are financially independent).
- Public bodies to carry out their statutory obligations.
- The promotion of religion or political causes.
- Retrospective funding – grants for a project that has started or already completed.
- Organisations with more than 12 months' reserves.
- Animal welfare organisations.

Projects should have a lasting benefit and therefore we will not fund the following projects requests:

- General large appeals, sponsored and fundraising events that do not offer a substantial difference to our area of benefit.
- Consultancy fees (including professional bid writers fees).
- Projects that duplicate an existing service.
- One-off events without long term benefit.
- Items that will be removed from the area of benefit (without our prior consent).

## 4. Grant Application Process for Organisations

Grants are typically available for one year and the grant size varies depends on the criteria of the particular grant programme.  It is a requirement of the grant award that the project should start within two months of the payment of the grant.

The application process is as follows:

- All applications will be processed using the Beecan grant management system.
- Applicants can discuss their proposals with HEY Smile Foundation prior to submission.
- Project budgets must be clear and linked to the direct costs of the proposed project.
- In cases where organisations have difficulty with this process, we will consider a verbal presentation. Written notes from the presentation will be recorded and used within the decision making process.
- Due diligence checks includes using Beecan data and supporting documents supplied with application. We may approach external partners to ensure suitability.
- An assessment of the application is made based on an assessment template agreed by the panel members and our Board of Trustees.
- Final decision will be made by the Trustees based on information recorded and recommendations made during the panel assessment process.

Funding support and guidance will be distributed either via:

1) An open application process with advertised criteria and deadlines using Beecan.

2) A targeted application process to address a specific localised need. This may involve targeting smaller number of organisations that fit a specific criteria to be invited to submit an application. This is only used when there are limited funds to award and having an open application process would lead to the overwhelming majority of applications being unsuccessful and create a capacity issue for the Charity.

3) Occasionally we award grants to a specific organisation to deliver a project on behalf of the programme. In these cases the programme will agree the selection process for organisations and the grant will be subject to a Service Level Agreement

In all cases funding decisions are signed off by the Chair or Vice-Chair of the charity, or in the event that both are not available a nominated fellow trustee will sign on their behalf.

## 6. Grant Panels

Assessment of applications will involve a panel, if recommended for funding, HEY Smile Foundation Trustees will consider and endorse recommendations.

- Audrey Mosley Fund Committee will form the assessment panel; to include two representatives of the estate and a Trustee from HEY Smile Foundation.
- HEY Smile Foundation to provide administration support and guidance during each meeting but this role does not include voting powers.
- To endorse panel recommendations will required the same number of Trustees to make a quorate decision (as defined within HEY Smile Foundation governing document).
- Committee decisions are made by reaching a consensus.
- However if a vote is required, the Chair of the meeting will have the deciding vote in the case where there is no majority.
- The Committee and Trustee decision is final; applications cannot appeal.
- In the event that an applicant has to withdraw their application after the panel decision has been made; the Committee Chair, in consultation with Committee Members and Trustees, can agree to award the grant to another applicant.

## 7. Notifying applicants of the panel decisions

- All applicants are notified of the panel decision within two weeks of the panel meeting.
- Unsuccessful applicants will receive feedback about the main reasons why their application was not successful with any relevant signposting to other funding advice or grant programmes managed by other funders.
- Successful applicants are required to sign our Terms and Conditions before payment by BACS or Cheque can be made.
- Applicants are also required to submit a payment receipt to ensure that the funds have been received into the correct account.
- Successful applicants are required to record any grant awarded by the Charity in their annual accounts; income to be restricted, referring to the fund as "Smile Foundation; Audrey Mosey Fund".

## 8. Project evaluation and monitoring

- The committee has implemented a simple monitoring framework to capture actual expenditure, the difference made and any lesson learnt. In agreement with each successful applicant, Terms and Conditions will include clear outcomes for the project that the applicant will report back on in the end of grant project evaluation. This will support our evidence of public benefit and explore new ways of working.
- It is also a requirement that successful applicants follow PR and logo guidelines when promoting their projects. The committee may request a case study mid-way through the project to highlight the impact of the project from the view of a service user, client or beneficiary.
- Trustees may carry out visits of the projects it has funded and has a target of carrying out a minimum of visits that reflect 10% of projects funded per year.
- If a project is not progressing satisfactorily or there is an under-spend at the end of the project then these monies must be returned unless a revised project budget and timeframe have been agreed in writing by the Trustees before the end of the grant period.
- The Committee is keen to give active support to organisations where possible, and welcomes invitations to attend open days and Annual General Meetings.

**9. Feedback from applicants and Complaints Policy**

- We welcome feedback from all applicants on our application process and we are continually looking at ways to make improvements to ensure that the process is efficient and effective but also supports applicants through the process.
- Feedback surveys will be circulated as part of our monitoring process of successful applications. If they have been unsuccessful with an application, they will also receive via letter a link to an online survey.
- In the event that an applicant is not satisfied with their experience and wish to make a formal complaint in writing. Our complaints procedure can be requested by contacting the charity via email.

For more information about submitting an application or any information contained in this policy please contact HEY Smile Foundation at hello@heysmilefoundation.org or by calling 01482 590270

**Notes**

*CICs are entitled to pay share dividends of up to 50% of their income so this ensures that this income would be raised through trading and not grant funding.

**CICs are entitled to pay directors and this is often the reason why the CIC model is chosen instead of a registered charity where trustees are normally unable to be paid.

As directors can be paid and set the price for a share dividend (without other checks and balances in place) we need to have information on the salary levels of directors.

**List of Supporting Documents required by Organisations Submitting Applications**

| Document | Why do we need it? |
|---|---|
| **Constitution/Memorandum of Articles and Association** | Demonstrates that an organisation has some form of rules about how it is governed – should include election of Chair, Treasurer, Secretary, when and how often meetings held and a dissolution clause. |
| **Management Committee list** | We require a list of names and addresses (where possible) identifying Chair, Treasurer Secretary and cheque signatories. Demonstrates that the organisation has enough trustees to oversee the running of the organisation (minimum of 3),and whether they are related (especially important with cheque signatories) |
| **Annual Accounts** | These can be audited accounts or an income/expenditure spreadsheet depending on the size of the organisation. Demonstrates the financial position of the organisation regarding income, expenditure, loans, liabilities etc |

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| **Bank statement** | Demonstrates that the organisation has a bank account in their name and we can check whether overdrawn or running up high balances. *Important that it shows account name, sort code and account number clearly |
| **Safeguarding Policies/Equal Opportunities** | Children and Young People or Vulnerable Adults – demonstrates that the organisation has policies in place |