

# *United Utilities Trust Fund*



Registered Charity No 1108296

## **Project Funding Information**

### **2007/2008**

Contains:

- General Notes on Project Funding
- Example of Funding Agreement
- Example of Project Monitoring Form

**August 2007**

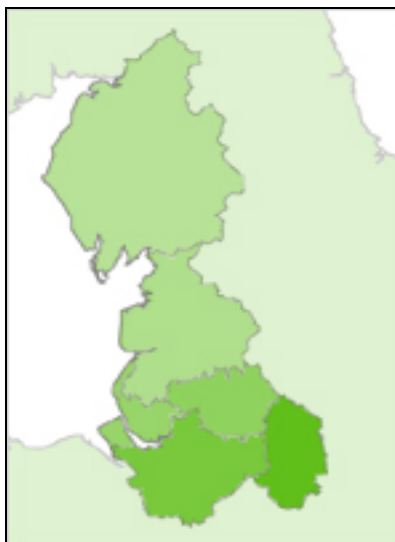
# Project Funding

## General Notes

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### Who can apply?

Any voluntary organisation, not for profit organisation or registered charity that delivers services within the United Utilities Trust Fund geographical area. (Please refer to map below.)



### What types of projects will be considered?

Projects should enhance and develop the provision of debt/money advice services to individuals within the United Utilities Trust Fund geographical area.

All projects must be able to demonstrate that a project will benefit customers of United Utilities Water Ltd who are in hardship and who are unable to meet the costs of water and/or sewerage charges.

**Applications from organisations who seek to employ trainee advisers as part of the project are encouraged.**

United Utilities Trust Fund are aware of the difficulties that many advice centres encounter when attempting to recruit experienced debt advisers. With this in mind and in line with the Financial Inclusion Fund approach, we are seeking to encourage the recruitment of trainee advisers who have little or no previous experience of debt advice work. We hope that in the longer term this will help increase the capacity of the advice sector to deal with debt enquiries. We would expect that the trainee advisers would follow a similar training syllabus to that provided by the Money Advice Trust wiseradvisor programme.

**All projects must support a 'deprived community' for definition, this is where a significant majority of the residents live in the worst 10% of wards in the UK.**

All projects must involve and support **at least one** of the following:

- Ethnic Minorities Group(s)
- Mental Ill Health
- Individuals held in custody and their dependants

## **Assessment Criteria**

Organisations must be able to demonstrate that a project will benefit customers of United Utilities Water Ltd who are in hardship and who are unable to meet the costs of water charges.

Trustees will assess applications according to the following criteria:

- Clear definition of the deprived community you are to assist
- Specific group of people to be assisted
- Clear definition of the problem and how the proposed solution will deal with it
- Cost effectiveness/value for money
- Delivery mechanisms
- Track record of delivering projects

## **How much can I apply for?**

Up to a maximum of £30,000 per annum.

This amount to include all costs associated with the project.

## **How Long can the Project Funding Last?**

Up to a maximum of 2 years.

Continued funding during the life of the project will always be subject to satisfactory project performance, overall demands on the Trust Fund and the general availability of funding.

## **What will not be funded?**

If you or your project falls into one of the following categories please do not apply.

- Existing projects.
- Charities which appear to us to have sufficient unrestricted or free reserves, or are in serious deficit.
- Projects outside the geographical area (Please refer to map)
- National charities that do not have the facility to accept the funding on a regional basis.
- Grant making bodies seeking to distribute grants on UUTF's behalf.
- General appeals, sponsorship and marketing appeals.
- Replacement of existing programmes or statutory funding

## How do I apply?

Stage One – Submit a brief outline of the project on a maximum of 2 A4 pages to:

United Utilities Trust Fund  
PO Box 12658  
Sutton Coldfield  
B73 9DF

Or by email to [gay@aurigaservices.co.uk](mailto:gay@aurigaservices.co.uk)

This initial interest will be assessed and applications which meet the criteria, in the opinion of the Trustees, will be invited to: –

Stage Two – Submit a full application (\*see below) to include:

- What you plan to do and how – i.e. your business proposal.
- The need your project is attempting to meet and evidence of its importance, scale and urgency.
- Your most recent annual report.
- A copy of your current year's budget and most recent management accounts.
- A copy of your most recent audited or independently examined accounts.
- A copy of the section in your Memorandum and Articles or Constitution, or terms of reference which tell us what your organisation's objects are.
- The proposed budget for your project.
- A job description and person specification for proposed post (if applicable).
- Your organisation's aims, its management procedures and its experience which qualifies it to take on this project.
- Evidence of your organisation's commitment to equal opportunities (for both service users and staff) and evidence of good employment practice.

\*If your project application meets criteria you will be invited to submit a full application which will be posted to you. An example of the application you will be asked to complete follows.

All applications will be treated in the strictest confidence.

Please keep copies of all the material that you send us.

## Time Scale

Please submit your Stage 1 outline by 8<sup>th</sup> October 2007.

Applicants who are invited for 'stage two' will be notified as quickly as possible with full completed applications to be submitted by the 30<sup>th</sup> November 2007.

## General Information

Please remember funding is limited. Demand for funding is likely to outstrip available funds. This means that some applications may need to be refused even though they meet criteria.

If your organisation or project is not able to meet criteria please do not apply. The criteria for projects may change in the future.

The Trustees' decision is final.

If your organisation is successful in securing funding, you will be required to accept the conditions of receiving a grant (see example funding agreement attached)

Projects must commence within 3 months of the Trust's offer.

Capital purchases required as part of a project must normally be made within three months of the first grant instalment. (Expenditure on alternative capital items must be agreed by the Trust in advance.)

Funding will be released quarterly in advance after receipt of satisfactory monitoring reports (see example monitoring form attached). At the end of the project you will be required to submit a report detailing the achievements and outcomes of the project.

The grant must be spent on the work specified on the application form and confirmed in the grant acknowledgement letter from the Trust. It must therefore be accounted for as restricted funding.

If the project objectives are not being met then the Trust may consider withdrawing the grant but will discuss problems with you beforehand to resolve if possible.

The Trust may request that you include information in your own literature to acknowledge and help publicise the work of the Trust.

Organisations who receive funding will be required to provide an end-of-year report detailing project achievements. The Trust may request the provision of further information to help publicise the work of the Trust.

If your application cannot be supported you should not reapply for the same purpose unless our letter to you explains that you can and under what circumstances.

You will not normally receive more than one grant from United Utilities Trust Fund.

You should be able to demonstrate how you have planned to continue your work after the grant ends and not assume further funding will be offered.

Project grants can be for varying periods of time – up to 2 years maximum.

Applicants will be required to demonstrate a commitment to equal opportunities for both service users and staff and evidence of good employment practice.

Guidance from other funders will help to establish confidence in your project (and to make UUTF grants go further).

Please do not ask the Trustees of UUTF to be a reference for your application.

Please do not canvass any of the Trustees. If an undeclared interest is discovered after an organisation is awarded funding, grants will be frozen pending review and decision by Trustees.

The grant must be spent on the project specified on the application form and as confirmed in the acknowledgement letter from the Trust.

### **For more details:**

Please contact Gay Hammett at Auriga Services Ltd on 0121 362 3625 or email your enquiry to [gay@aurigaservices.co.uk](mailto:gay@aurigaservices.co.uk)

Auriga Services Ltd, Emmanuel Court, 12-14 Mill Street, Sutton Coldfield, B72 1TJ.  
(Trustees have delegated the day to day management of the Trust fund to Auriga)



## **FUNDING AGREEMENT – REVENUE GRANT**

I agree to accept, on behalf of ....., a grant of £..... (payable in quarterly instalments) from the United Utilities Trust Fund being the total amount awarded under this agreement.

This funding is for the period of .....to ..... .

I agree to accept the following conditions of receiving the grant:

- a) The grant will be spent for the expenditure purposes detailed in our project application to the Trust as confirmed, and, where appropriate, amended, by the Trust's award letter.
- b) All salaried vacancies funded by the Trust will be advertised in such a manner as to ensure equality of opportunity.
- c) Employment and working conditions for project staff will comply with all relevant employment and health and safety legislation and codes of practice.
- d) All expenditure in connection with the project will be completed by the end date unless otherwise agreed in writing with the Trust.
- e) The grant will be treated as restricted funds and used solely for the purposes in the project application. The grant and associated expenditure will be separately accounted for unless otherwise agreed in writing with the Trust.
- f) Any grant not spent by the end date will be accounted for and may have to be returned to the Trust.
- g) Projects must commence within 3 months of the Trust's offer.
- h) Capital purchases will normally be made within three months of receipt of the first grant instalment. Payment will be released on receipt of invoice and paid direct to the supplier. Expenditure on alternative items will not be permitted except by prior written agreement with the Trust.
- i) Monitoring forms and other reports will be completed in full and returned within three weeks of the period end.
- j) Staff of the Trust or authorised representatives will be permitted to visit the project, meet project staff and have access to any information relevant to the progress and conduct of the project except any information which would identify individual clients and therefore be a breach of client confidentiality.
- k) The Trust's support will be acknowledged in annual reports, vacancy adverts and other information issued by the organisation concerning the project.
- l) Any variations to the project or the above requirements must be agreed in writing with the Trust before the variation is made.
- m) The organisation holds or will hold a valid Category D Credit Licence issued by the Office of Fair Trading, or is a member of an organisation such as adviceUK or CitA which hold a Office of Fair Trading Group Licence.
- n) The organisation has arrangements in place to maintain the project if the funded employee is not able to fulfil the work required to maintain outputs agreed. In such an event the organisation will notify the Trust in writing within two weeks of the person's absence.
- o) Funding must not be used to cover sick pay for periods exceeding two weeks or for absence from work for any other reason (except annual holidays).

I accept that if the project is in breach of the above requirements, or if project objectives are not being met, or if the Trust's objects no longer allow it to support the project, the Trust may withhold payment of the next instalment of the grant, or make payment of the next instalment subject to further conditions. I further understand and accept that, if the Trust is subject to a shortfall in overall funding, it may give reasonable notice that funding of the project can no longer be continued.

Signed on behalf of:

Signature:  
Name:

Date:  
Chair of Organisation:

## **EXAMPLE**

*United Utilities Trust Fund*



### **PROJECT MONITORING FORM**

**Please complete this form and return it to the Trust within three weeks after the monitoring period end.**

**Period:      From.....To.....**

**NB: Questions 1 & 2 relate to your organisation. All remaining questions relate to the funded project.**

#### **About your organisation**

1      How many client contacts has your organisation received during the period?

2      How many of these client contacts related to debt problems?  
*(The Trust does not need to know the number of 'issues' – just 'contacts')*

#### **About your project**

3      How many new 'debt' clients has the project worker advised?  
*(If clients are seen as a couple, please count these as one person.)*

4      Please state the total number of advice sessions for the above.

5      What was the total amount of debt owed?

6      What was the total amount owed to United Utilities Water Limited for water and/or sewerage charges?

7      How many of your clients were unable to meet the cost of charges payable to United Utilities Water Limited on the basis of their existing 'budget' arrangements?  
*(Either for arrears or ongoing charges.)*

8      How many payment plans have you set up with United Utilities Water Ltd on behalf of your clients?

9      After receiving advice/help, how many of your clients were still unable to meet the cost of water or sewerage charges?  
*(This means those people who, even after advice, and with non-priority debts minimised or frozen, are still unable to meet the ongoing cost of water charges if arrears and other essential costs are to be met.)*

10      How many clients have made an application to United Utilities Trust Fund?





## EXAMPLE

### **PROJECT MONITORING FORM**

*The Trust will monitor applications received where the name and address of your organisation is shown in the 'Referral' box (page 10 of the individual application form) and, on request, we will provide you with the following information: - How many were: (a) 'Successful' (b) Grants paid and totals (c) 'Referred back for more information' and (d)'Rejected'*

**The schedule below should only be completed in the case of projects where additional 'outputs' (as described in your application) have been agreed as part of the project.**

Additional Benefits/Outputs from Project	This quarter

Details on this form will be used to measure the success of the project during its duration. Continued funding may depend on achievement of outputs.

**If actual outputs are lower than originally agreed, please give reasons.**

Feel free to include other information/reports relevant to the project when submitting this form.



# United Utilities Trust Fund



## **PROJECT FUNDING**

### **APPLICATION FORM AND GUIDANCE NOTES**

Contact details:

Contact Name	Organisation Name
Address	
Contact Phone Number	
Email	

Total amount requested and term, for example £10,000 (£5,000 per year for 2 years):

Description of project for which you are seeking funding:

How soon do you expect to start?

Please indicate the 'deprived community/communities' to be assisted within the local authority areas to which your project will apply

Signature of Chairperson or Treasurer

Your organisation's Charity Number

Print name

Date

### **Supporting Information**

**Information about the proposal, services or activities for which funding is sought.**

1. Define the issues/problems which you intend the project will address.

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2. How have you identified and quantified these issues/problems?

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3. Please explain exactly how you propose your project will deal with these issues.

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4. How will your project meet the defined aims of the UUTF Organisational Grants programme?

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5. . Tell us about your organisation. What does it do? How many staff do you employ?

What other funding do you receive and for what?

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6. Are you asking anyone else to fund or part fund this project?

Please include a budget for the project with your application.

*United Utilities Trust Fund is particularly looking for proposals with a variety of funding sources where the Trust Fund's contribution will help to lever in additional funds.*

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7. How will you ensure that you have sufficient funds to continue after the Trust's funding has stopped?

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8. Please explain in detail what you hope will be the final outcome and achievements of the project. How will you know if the project has been successful? (Milestones, evaluation of 'outputs' etc)

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9. Please complete the list below showing outputs by which you intend that the project should be measured during its first year of operation:

Output	Quarter 1	Quarter 2	Quarter 3	Quarter 4
1. How many new 'debt' clients (ie. <u>People</u> ) will you advise? (Please indicate the proportion that will be customers of United Utilities Water Ltd. For example 100% or less if applicable)	%	%	%	%
2. How many advice sessions will you hold?				
3. How many payment plans will you set up with United Utilities Water on behalf of clients?				
<b>Some suggested other 'outputs':-</b>				
a. How many training sessions will you hold for existing or new money advice staff and/or volunteers?				
b. How many staff/volunteers will you train?				
c. How many new or additional out of hours money advice sessions will be held?				
d. How many new or additional money advice outreach sessions will be held?				
e. How many new or additional hours of money advice by telephone will be provided?				
f. How many additional hours of money advice will be provided?				



**Please use the space below to identify any other relevant outputs which you wish to include in support of your application**


Please explain in detail what processes are in place to measure the 'outputs' / milestones of this project.

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10. Please give the names and contact information for two independent referees who may be asked to give their opinions about your idea and your organisation.

Name	Name
Organisation	Organisation
Position	Position
Address	Address
Postcode	Postcode
Telephone	Telephone
Email	Email
How does this person know your organisation?	How does this person know your organisation?

## Checklist

Before sending your application, please check that you have completed all sections and enclose all the relevant information.

☐

Your most recent Annual Report

☐

The budget for your project.

☐

Your most recent audited accounts

☐

Your Memorandum & Articles\*

☐

Your most recent management accounts

☐

Job description and person specification

\*We only require sections from M&A that explain the objects of your organisation in the case of company limited by guarantee otherwise from your governing document.

## **Guidance Notes on Completing the Application Form**

### **Page Eleven**

#### **Contact name:**

This should be the person who wrote the application and can discuss the application in detail.

#### **Amount requested:**

Put in the total amount for which you are asking. For example, if you want £5,000 per year for 2 years, write £10,000 over 2 years.

#### **Description of project:**

Title of the project and brief summary.

#### **How soon do you expect to start?**

Your planned or anticipated start date. We understand that this may change.

#### **Local Authority:**

Please specify the 'deprived community or communities' within which cities, counties, district or boroughs will most benefit from your work.

#### **Signature:**

The person who signs the form must be the Chairperson or Treasurer of the organisation applying for a grant.

### **Pages Twelve & Thirteen**

#### **Describe your project:**

Describe your proposed project in detail. What issues have you identified and how you aim to address these, sources of information and facts, and how a grant will enable you to respond to these issues. It is essential that you can demonstrate that United Utilities Water customers who are in 'poverty, 'hardship' or distress and 'need' and who are unable to pay water charges will benefit from your project.

### **Page Fourteen**

#### **Organisation:**

Please tell us about your organisation. How many people work there, paid and volunteers?

Please tell us what other funding you receive, from whom, the time scales and funding that you are applying for at the present time.

Please submit evidence of your 'track' record of delivery.

### **Partnership Funding:**

Please indicate if you are applying or have secured any other funding for this project.

The Trustees are keen to work with partners as this helps to make available funding go further.

Please enclose a full budget for the project including any other funding applied for or secured.

## **Page Fifteen**

### **Sufficient Funds when funding stops:**

Please tell us how you will ensure that the project will continue after funding from United Utilities Trust Fund has stopped.

Trustees wish to support projects that are long term and will not end when funding ceases.

### **Final Outcomes and evaluations:**

Please explain what you hope will be the final 'outcome' of the project. Use this section to detail your anticipated achievements and how you will measure your success.

## **Page Sixteen and Seventeen**

### **Intended outputs:**

Please indicate what you anticipate the 'outputs' will be in the first year if you receive a grant from the Trust. It may be useful to refer to the example of our monitoring forms to see what specific information we require.

On page 7 there is a space for you to add additional or different outputs that are relevant.

All outputs must be realistic and accurate as future funding for your project may depend on it.

## **Page Eighteen**

### **Referees and Checklist:**

Please include two independent referees to support your project. We may contact them. (Please do not include any United Utilities Trust Fund Trustee.)

An interest, for example association with Trustee or other person, who might be regarded as being able to influence your application, should be declared. This will not necessarily prejudice your application. If in doubt, please declare. If an undeclared interest is not revealed until after funding has been offered and accepted by the organisation, funding will cease immediately pending a review of the circumstances and further decision by trustees.

Please use the checklist to ensure that relevant information is included. Recent accounts will be required. Your last Annual Report will provide helpful detail to the Trustees.