



SMALL CAPITAL PROGRAMME

Application Guidance Notes

Deadline for Applications	Decisions
4pm, Thursday 15 October 2020	1 December 2020

Please note that all purchases and minor works must be completed by **Friday 5 March 2021**. If you are unable to meet these conditions, you should NOT apply to this scheme as the Arts Council will not meet any costs incurred beyond this period.

CONTENTS

Introduction **3**

- Is your project timeframe suitable?
- Aims of the Small Capital Programme
- How much funding is available?
- How much partnership funding do you need?

Eligibility **5**

- Who can apply?
- Who cannot apply?
- What you can and cannot apply for

How to Apply **7**

- Help with your application
- Making an online application
- Mandatory enclosures
- Government Funding Database
- Detailed guidance on mandatory enclosures
- After you submit your application

If You Receive an Award **15**

- Letter of offer
- How payments will be made
- Procurement of goods and services
- Post-project monitoring
- Children / Young People / Adults at Risk
- Equality of Opportunity

CONTENTS

How We Will Make Our Decision **18**

Assessment criteria

How are decisions made?

Is the Arts Council's decision final?

Other information **19**

Openness and accountability

Data Protection

And finally...

INTRODUCTION

Thank you for your interest in the Arts Council of Northern Ireland's Small Capital Programme.

These guidance notes give information on who is eligible to apply to the programme and how to submit an application. It also describes how your application will be assessed, how decisions are made and what you will be asked to do if you are awarded a grant.

This document and the relevant application form are available on request in large print format and disk and also on the Arts Council's website: <http://www.artscouncil-ni.org>

IS YOUR PROJECT TIMEFRAME SUITABLE?

You should only apply to this programme if you will be able to complete the procurement, purchase and receipt of your requested items of equipment from notification of award and 5 March 2021. Similarly, if you are applying for minor works costs, all work must take place and be completed from notification of award and 5 March 2021. Eligible expenditure can only be incurred within these dates. If you are unable to meet these conditions, you should NOT apply to this scheme as the Arts Council will not meet any costs incurred outside this period.

AIMS OF THE SMALL CAPITAL PROGRAMME

The Arts Council has designed this programme to enable organisations to purchase equipment and/or carry out minor works to their premises which will enhance their artistic services.

We want to support activities which benefit the people of Northern Ireland or that help arts organisations in Northern Ireland carry out their work. Particular priority will be given to equipment and minor works which

- address Covid-19 requirements in working remotely;
- improves the accessibility of the arts;
- improves the direct delivery of arts provision;
- enhances or broadens the audience/participants' experience of arts programming; or
- raises the quality of the artistic work produced.

INTRODUCTION

HOW MUCH FUNDING IS AVAILABLE?

The Small Capital Programme budget is £500k. Please keep in mind that the amount of money available is limited and demand for funds is likely to be extremely high. It is not usually possible to fund all applications which simply meet the criteria or to fund the entirety of any given request.

We will aim to distribute our funds as widely as possible and may take account in the assessment of your application of the level of support you have previously received or are currently receiving, as well as your organisation's management of any previous grants.

- You should be realistic in your expectations and budgets and bear in mind that the Council may choose to fund specific elements of your proposal rather than the full request.
- You may apply for multiple items of equipment¹ and/or minor works costs.
- You will need to provide at least 2 quotes for each requested item of equipment²; more if the value of the item is above £5,000 (**see p.10 below**)
- For minor works applications, you will need to provide a schedule of work, together with at least 2 quotations for each element of the work (**see p.11 below**), in addition to details of your lease.
- We will not pay VAT on any expenditure incurred by VAT registered organisations with the ability to reclaim VAT costs.
- Remember that the grant will be paid **retrospectively** on production of invoices/receipts.
- Once awarded, grants cannot be increased.

HOW MUCH PARTNERSHIP FUNDING DO YOU NEED?

Only local authorities must provide partnership funding. The minimum partnership funding provided by such organisations is 50% in cash from non-Arts Council sources (in kind contributions will not be considered).

For all applicants, the assessment process may take into account the other funds you are able to bring to the project and this may influence the outcome of the assessment.

¹ Please note, this does not mean that you can submit multiple applications. Only one application per organisation will be accepted.

² If you are requesting more than one of any given item of equipment, only one set of quotes is necessary. For example, if you request 3 identical laptops which each cost £1,000, you only need to upload 2 quotes in relation to this; you do not have to upload 2 separate quotes for each of the 3 laptops.

ELIGIBILITY

WHO CAN APPLY?

The Arts Council welcomes applications from the widest possible range of organisations and in particular from applicants whose projects benefit individuals categorised under Section 75 of the Northern Ireland Act 1998. In addition, in order to be eligible to apply to *this* programme, please note the following:

- You do not have to be primarily an arts organisation, (for example, community groups may apply to the scheme), however, the purpose of the requested equipment or minor works must be clearly focussed on the arts.
- Local authorities are eligible to apply but they are a low priority.
- Registered charities and other fully constituted organisations which cannot distribute a profit are eligible to apply.
- Commercial organisations can only apply for support if the equipment / minor works is primarily for the benefit of the public rather than their own commercial interests.
- If your organisation has a limited membership you must show that the equipment/minor works will benefit the wider public.
- Groups of organisations (consortia) working together to deliver specific projects may apply.

WHO CANNOT APPLY?

- Individuals
- Broadcasters (excluding community service broadcasters)
- Central Government Departments
- Bands seeking musical instruments (the Arts Council has a separate Musical Instruments for Bands programme)
- Schools, Colleges and Universities
- Organisations who are in breach of the terms of previous ACNI grant awards.

WHAT CAN YOU APPLY FOR?

You can apply for any minor work or item of equipment for an arts-related activity such as, but not limited to, the following:

- Lighting equipment
- Stage equipment
- Sound equipment
- Accessibility equipment

ELIGIBILITY

- Captioning equipment
- Video equipment
- Minor works
- Transport
- IT equipment *
- Office equipment.

* The following maximum contributions towards these particular items of IT equipment should be noted. Contributions above these limits will only be made in exceptional circumstances, where the applicant has presented a strong rationale justifying additional costs per item.

- Tablet Computers: £500
- Laptops/PCs: £1,200

WHAT YOU CANNOT APPLY FOR

- Second-hand equipment without a warranty / guarantee
- Software (other than pre-loaded operating systems and packages)
- Equipment service costs
- Musical instruments
- Sheet music
- Mobile phones
- Consumables.

Please note that this list is not exhaustive. If you have any queries about the eligibility of a proposal, you should contact and speak with the relevant art form officer before submitting an application.

HOW TO APPLY

HELP WITH YOUR APPLICATION

These Guidance Notes are available on request in large print format and disk, and also on the Arts Council's website here: <http://www.artscouncil-ni.org> .

If you have any queries about the programme or need any help or advice completing the application, please contact the Arts Council. A list of staff can be found on the website - <http://artscouncil-ni.org/contact-us>.

MAKING AN ONLINE APPLICATION

You must apply using our online system. We will not accept applications in hard copy or by email. You will find a link to the Small Capital Programme webpage here <http://artscouncil-ni.org/funding/for-organisations> .

- Online applications may be edited, saved and returned up to the closing date.
- You must submit all mandatory enclosures associated with the application at the same time as your application, ie. they must be uploaded to your online application prior to its submission. These enclosures are listed on the attachments page within the online application and are detailed below.
- **Please ensure that you leave sufficient time to upload all documents to the system as there can be long delays as the closing deadline approaches and the system will shut down at 4.00 pm precisely on the closing date, Thursday 15 October 2020.** If your complete application is not **fully** uploaded when the system closes, your application will not be accepted.
- If you submit your application by the closing deadline, you will receive an automated email advising that your application has been successfully submitted to the system. **If you do not receive this email, your application has not been submitted.**

Please remember that it is your responsibility to ensure that we receive the application form and uploaded enclosures by the closing time and date.

MANDATORY ENCLOSURES

These are the documents which you must provide in conjunction with your application. Some of these must be uploaded to your online application via the attachments page; others must be uploaded to the Government Funding Database (GFD - see notes below).

HOW TO APPLY

You must upload the following mandatory enclosures to your Small Capital Programme application before submission. **Read on** for information on the additional documents that you must upload to the GFD:

- A completed Equipment Request List pro forma (available on the programme webpage) listing each item you wish to purchase, detailing individual prices. You must also indicate your VAT status on this form.
- **2 or more quotations or tenders** for each item of equipment³, depending on cost (**see p.10 below**).
- **IF** applying for minor works costs, provide a schedule of the work to be undertaken.
- **IF** applying for minor works costs, **2 or more quotations or tenders** for each element of work to be undertaken, depending on cost (**see p.11 below**)
- **IF** applying for minor works costs, details of the length of lease your organisation holds on the building to receive the minor works. In deciding whether or not to award a grant, the Council will consider the level of investment against the number of years left on the lease and if any value will accrue directly to the landlord at the end of the lease.
- Management Accounts for the period up to 31 March 2020 (**if** the accounts you have uploaded to the Government Funding Database are not for 2019/20 – see additional notes below.)
- Detailed I&E budget for your whole organisation for the 2020/21 financial year.
- Detailed description of your organisation's programme of planned arts activities for 2020/21 (only applicants who are not 2020/21 AFP clients must submit this.)

Please keep in mind the following important points:

- You must upload **all** the necessary enclosures prior to submitting your online application. If any enclosures are missing, your application will be ineligible.
- All mandatory enclosures must be in **Word, Excel or pdf format**. We cannot accept documents in other formats.
- The total size of all your uploaded documents cannot exceed **25 Mb**.
- If you upload an enclosure in a format which we do not accept or which is corrupted or which we cannot open, the enclosure will be considered missing and your application will be ineligible.
- Do not compress files into one zip file. Files must be uploaded as individual documents.

³ If you are requesting a highly specialized item of equipment for which there is only one supplier, you must upload a statement explaining why this is the case.

HOW TO APPLY

Important points continued:

- **All data must be PC compatible.** If non-PC compatible data is supplied, your application will not be assessed. For example, if using a MAC, it is the applicant's responsibility to ensure that any enclosures uploaded to the online application are PC compatible.
- The submission of weblinks or website addresses in lieu of enclosure documents or quotations is not acceptable and will result in your application being made ineligible.
- Registering on the Government Funders Database may take up to 5 days.

GOVERNMENT FUNDING DATABASE

As part of Government's Reducing Bureaucracy programme, you are required to upload a number of master documents to the Government Funding Database (GFD). Many organisations in receipt of ACNI funds are already registered with this database; others will be required to register prior to the application being assessed. Once uploaded, these documents will exist for all applications you make to any Government department and you will not be required to submit them with individual applications, including future applications to the Arts Council.

If you are based in Northern Ireland, the following documents **MUST** be uploaded to the Government Funding Database at

<https://govfundingpublic.nics.gov.uk/Home.aspx>

- Constitution and/or Memorandum and Articles of Association
- Most recent set of Audited/Certified/adopted accounts.
- Organisation Chart
- List of office bearers
- Rental Agreement/Lease/Evidence of ownership

If you are based outside Northern Ireland you **MUST** upload the 5 documents listed above **AND** all the mandatory enclosures listed on pages 10 to 12 at the time of submitting your online application.

If you are not currently on the Database you will be required to register at <https://govfundingpublic.nics.gov.uk/Home.aspx> Full instructions for uploading documents to the Government Funding Database are available for download from the Arts Council's website.

HOW TO APPLY

DETAILED GUIDANCE ON MANDATORY ENCLOSURES

Further information on all mandatory enclosures can be found below. If you have any queries about any of the documents, please contact the Arts Council of Northern Ireland. A list of staff can be found on the website - <http://artscouncil-ni.org/contact-us>.

Mandatory Enclosure	Upload to	Guidance on Enclosure
Equipment Request List Pro Forma	Online Application	<p>Available for download on the programme webpage, you must complete this, listing each item you wish to purchase, detailing individual prices.</p> <p>You must use and complete the excel pro forma provided. Do not amend the format of the sheet, or add new columns – though you may add new rows. If you do not provide the pro forma or if you provide the information in another format, your enclosure will not be accepted and your application will be ineligible.</p> <p>Important Note: VAT</p> <p>You must state on the Pro Forma whether your organisation is registered for VAT and if it has the ability to reclaim VAT costs. <u>If this is not completed the list will not be accepted</u></p>
Quotations for each Item of Equipment	Online Application	<p>The number of quotations you must provide depends on the cost of the equipment as follows:</p> <ul style="list-style-type: none"> (i) up to £5,000 in value (excluding VAT): A minimum of two quotations or evidence of a price check with at least two contractors/suppliers to ensure value for money has been achieved. Price checks and/or quotations should be documented and retained on file for verification purposes. (ii) between £5,000 and £30,000 in value (excluding VAT): The organisation must seek a minimum of two tenders for supplies and services between £5,000 and £30,000 in value (excluding VAT). Tender procedures are available from the Arts Council on request. (iii) Any procurement over £30,000 must be referred to the Arts Council of Northern Ireland for further discussion. <p>The Arts Council of Northern Ireland reserves the rights to examine all paperwork to verify compliance with this condition.</p>

HOW TO APPLY

Mandatory Enclosure	Upload to	Guidance on Enclosure
Schedule of Work to be Undertaken	Online Application	IF you are applying for minor works costs , provide a schedule detailing each element of the planned minor work.
Quotations for each Element of Work	Online Application	<p>The number of quotations you must provide depends on the cost of the minor works as follows:</p> <ul style="list-style-type: none"> (i) up to £5,000 in value (excluding VAT): A minimum of two quotations or evidence of a price check with at least two contractors/suppliers to ensure value for money has been achieved. Price checks and/or quotations should be documented and retained on file for verification purposes. (ii) between £5,000 and £30,000 in value (excluding VAT): The organisation must seek a minimum of two tenders for supplies and services between £5,000 and £30,000 in value (excluding VAT). Tender procedures are available from the Arts Council on request. (iii) Any procurement over £30,000 must be referred to the Arts Council of Northern Ireland for further discussion. <p>The Arts Council of Northern Ireland reserves the rights to examine all paperwork to verify compliance with this condition.</p>
Lease Statement	Online Application	<p>This should indicate the length of lease your organisation holds on the building to be refurbished and should highlight any issues that we should be aware of regarding the lease or the building, eg. disagreements / ongoing legal issues. Please note that you are also required to upload a copy of your actual lease to the Government Funding Database.</p> <p>In deciding whether or not to award a grant, the Council will consider the level of investment against the number of years left on the lease and if any value will accrue directly to the landlord at the end of the lease.</p>

HOW TO APPLY

Mandatory Enclosure	Upload to	Guidance on Enclosure
Management Accounts up to the period 31 March 2020	Online Application	Applicants are required to upload a copy of their organisation's most recent Audited/Certified Accounts to the Government Funding Database. If the accounts uploaded to the GFD are not for the year 2019/20 (ie, if your most recent audited accounts are for the 2018/19 financial year), we require a set of management accounts covering the intervening period, up to March 2020. We require these accounts to assess the overall financial wellbeing of your organisation and to judge whether there is a need for Arts Council funding.
Detailed I&E budget for your whole organisation	Online Application	This is a budget for your entire organisation for the 2020/21 financial year.
Detailed description of 2020/21 arts programme	Online Application	<p>This is a mandatory enclosure for all applicants who are <u>not</u> ACNI 2020/21 AFP clients.</p> <p>You should describe in detail the programme of arts activities you plan to deliver including the following where possible:</p> <ul style="list-style-type: none"> • Locations and dates of all events within the programme • Names of artists, tutors, facilitators (if known) for each event or project; OR details of the process you intend to use to select the artists. • Projected participation in each event or project – numbers and age ranges – whether they will actively participate or will be an audience for a final presentation • For organisations whose programme includes the production of artistic material (journals, magazines, books, film, CD, or other media) a list of titles with print run and projected sales. Such organisations should also document promotional events associated with these materials (launches, readings, viewings, etc). • Name of Project Manager for each major element, stating their experience of managing/delivering arts activities.

HOW TO APPLY

Mandatory Enclosure	Upload to	Guidance on Enclosure
Constitution and/or Memorandum and Articles of Association	GFD	Please note: The name of your organisation as given in your constitution document should be the same name as that given in the application, and on your organisation's bank account, details of which we will request if you receive an award.
Most recent set of Audited/Certified Accounts	GFD	Please note: if these accounts are not for 2019/20, ie up to the period 31 March 2020, you must upload a set of management accounts with your application.
Organisation Chart	GFD	This is a diagram showing us the structure of your organisation, in terms of staff, board and committees.
List of Office Bearers	GFD	A list of <u>all</u> the office bearers on your board and sub-committees (if relevant), eg, Chair, Treasurer, Secretary, Chair of the Finance Committee etc.
Rental Agreement / Lease / Evidence of Ownership	GFD	These documents are in relation to the premises from which your organisation operates.

Non-Mandatory Enclosure	Upload to	Guidance on Enclosure
Copies of LOOs from Other Funders	Online Application	IF you have any letters from sponsors or other funders which will contribute costs towards your proposed purchases / minor work, you should include them with your application as demonstration of support.

HOW TO APPLY

AFTER YOU SUBMIT YOUR APPLICATION

- The Arts Council will acknowledge receipt of the application form.
- The application will be assessed by an Arts Development Officer. This process will be based on the information provided in the application form and enclosures, and on our knowledge of your organisation's management of any previous awards.
- Officer assessments will be subject to a moderation process.
- The Arts Council will contact you with the final decision by letter.
- If your application is rejected, the Council will provide you with detailed reasons for the rejection.

IF YOU RECEIVE AN AWARD

LETTER OF OFFER

Following the decision, successful applicants will be issued with a contract outlining the conditions attached to the award and the specific purposes for which the award can be used.

- You will not be able to incur project expenditure until you have met certain conditions of grant and received your letter of offer from the Arts Council. You should take this into account when planning your project.
- It is important that you read the letter of offer and enclosed conditions carefully before signing and returning it. The letter of offer will set out what you may spend the grant on and by what date the project must be completed.
- **If there are any changes to your project from the original application, the Arts Council must be informed immediately in writing before any project expenditure is incurred.** If you don't tell us about changes you may have to repay the award and this will affect decisions on any future applications you might make.

HOW WILL PAYMENT BE MADE?

All payments will be made retrospectively against invoices or proof of expenditure. Payments will be made by BACS transfer only. You will need to complete and return the BACS form issued with your letter of offer.

PROCUREMENT OF GOODS AND SERVICES

Applicants must seek the best value for money in relation to all proposed equipment purchases and minor work; best value for money is defined as the most advantageous combination of cost, quality and sustainability to meet your requirements.

Successful applicants must ensure that any purchases made with grant funds are in compliance with the guidance on procurement as stated in their Letter of Offer and as reproduced on pages 10 and 11 above. They must also maintain a clear audit trail of robust decision-making and retain all appropriate procurement documentation. The Arts Council will reserve the right to inspect this documentation at any point, and it will be specifically requested should your project be selected for a Verification Visit.

IF YOU RECEIVE AN AWARD

POST-PROJECT MONITORING

- At the end of the project you will have to submit an End of Project Report on a pre-supplied form. On this form you will have to give details of the final income and expenditure for the project.
- At a set date following project completion, you will be required to return an Evaluation Report detailing how and to what extent the new equipment/minor work has impacted on the provision of arts services within your organisation.
- **Verification Visits** - Your project may also be subject to a verification visit by ACNI staff to ensure that the project grant has been spent as agreed in your letter of offer and that all processes (eg. procurement, processing of payments within your organisation) related to project delivery were in compliance with LOO conditions and your own stated financial procedures. It is therefore important that you retain all the project documentation which evidences this.

The Arts Council will retain a financial interest in the equipment purchased for a period of between 5 and 10 years, dependant on the type of equipment purchased. **You will not be able to dispose of any equipment within that time period, which will be stated in your letter of offer, without the Council's approval.**

CHILDREN / YOUNG PEOPLE / ADULTS AT RISK

It is a requirement of ACNI funding that any organisation which comes into contact with children, young people and adults at risk, either directly through its programmes or indirectly through its services, must agree to a Safeguarding Commitment which must have been formally approved by your organisation.

Organisations that work with children, young people and adults at risk need to ensure that their safeguarding systems and procedures adhere to best practice. Please see the information below to consider in relation to your own organisation's procedures and note that you must agree the safeguarding commitment statement as part of your application form:

If your safeguarding policy and procedures are older than 3 years please review and update them to ensure your policy and procedures are in line with best practice and legislation relating to protection issues. If you are successful in obtaining a grant, the Arts Council may, as part of its monitoring processes, ask to see these documents during the incoming year.

IF YOU RECEIVE AN AWARD

EQUALITY OF OPPORTUNITY

It is a requirement of our funding that your organisation commits to equality of opportunity and good relations duty.

The Arts Council of Northern Ireland has a statutory duty under the Northern Ireland Act 1998, in carrying out its functions to have due regard to the need to promote equality of opportunity between all Section 75 groups and you will note that you must agree an Equality of Opportunity and Good Relations policy statement as part of your application form.

HOW WE WILL MAKE OUR DECISION

ASSESSMENT CRITERIA

We will assess your project against the following criteria:

Criterion 1: Quality of Arts Activities (Covid-19 related benefits)

Criterion 2: Public benefit

Criterion 3: Track Record

Criterion 4: Financial viability and quality of management

It is very important that you think carefully about how your project satisfies these criteria and use the application form to demonstrate this to us. Your project must meet all the programme criteria.

Criterion 1 – Quality of Arts Activities (Covid-19 related benefits): You should detail how the equipment will enhance the quality of your arts activity. If there are any requested items in response to Covid-19 this should be stated also.

Criterion 2 – Public Benefit: You should detail how the equipment will benefit your audiences/participants/artists.

Criterion 3 – Track record: You should detail what your organisation does and its track record working in the publicly funded arts and cultural sector.

Criterion 4 - Financial Viability and Quality of Management: This will be assessed using the financial information and quotes you provide with the application. If you are a previous ACNI grant recipient, we may also use our knowledge of your organisation's management of previous Arts Council grants.

HOW ARE DECISIONS MADE?

All applications will be assessed by an Arts Development Officer against the criteria as listed above, taking into account the programme's aims and priorities. Officer recommendations are then subject to a moderation process. Depending on the level of award, final decisions will be made by Grants Committee or Arts Council Board.

Please note that where the funding programme is over-subscribed Arts Council reserves the right to prioritise those applications where the requested equipment / minor works are in response to Covid-19 regulations.

OTHER INFORMATION

IS THE ARTS COUNCIL DECISION FINAL?

There is a review procedure, which is available on the web site and will be sent out to any unsuccessful applicants.

OPENNESS AND ACCOUNTABILITY

Under the Freedom of Information Act 2000, any information held by us (which will include your application) is potentially accessible by the public.

Information supplied by you will be held in manual files and on a computer-based grants management system. Reports from the information you supply and from comments made on your application by external assessors and staff members are likely to be held on both manual and computer-based systems. The information you supply will be made available to those assessing any other grant applications you make.

By submitting your application you waive any right to raise any type of proceedings against the Arts Council of Northern Ireland as a consequence of, or in contemplation of, any disclosure of the contents of your application in response to an information request made under the Freedom of Information Act 2000.

DATA PROTECTION

Data held on our grants management system is used for of the following purposes; statistical reporting, application assessing, accounting purposes and for contacting you. For full details of how the Arts Council of Northern Ireland uses personal data please refer to our Privacy Policy available on our website www.artscouncil-ni.org/

APPLYING ONLINE

Applications to the Small Capital Programme will only be accepted online.

The online application system has been tested and is sending out relevant notification issues. We are, however, aware that some applicants to online grants programmes may experience issues such as the account holder not receiving links to reset passwords, not receiving notifications of when applications are edited and saved, nor when applications have been submitted. These issues relate to those account holders with email addresses from the following email providers – btinternet, yahoo and virgin – and customised email addresses.

The potential issues lie with those email providers and are beyond the control of Arts Council; if encountered they need to be addressed by the relevant email provider.

Should you be affected by a problem which cannot be resolved with an email provider, we would strongly recommend that accounts are set up using Gmail or Outlook email addresses. Where applicants may have previous accounts with other email addresses, we will be able to transfer historical information to new accounts if required.

AND FINALLY...

If you have any queries about the programme or need any help or advice completing the application, please contact the Arts Council. A list of staff can be found on the website - <http://artscouncil-ni.org/contact-us>.

These Guidance Notes are available on request in large print format and disk, and also on the Arts Council's website here: <http://www.artscouncil-ni.org> .

Good luck with your application!