



Lottery Capital Programme

**Help Notes**

**Major Capital Projects**



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We implement an [Equal Opportunities Policy](#).

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# Help Notes

## Major Capital Projects

### Introduction

Welcome to our Help Notes for the Capital Programme: Major Capital Projects. You can apply to this strand of the Capital Programme for funding towards significant construction projects.

Your project will already have completed its feasibility and design development stage. These will have been reviewed by us and you will have been invited to apply for funding towards the construction, fit out and associated costs. If your project has not yet reached RIBA (Royal Institute of British Architects) Stage 3 (**Developed Design**), please contact the Arts Council for further advice.

The aim of these notes is to help you complete your application online.

We'll explain how to use our online system as well as provide you with a guide to the information you must tell us about your project. We'll also tell you why we're asking you for certain information and how we'll use the information you give us. All the information you provide should be as accurate and up to date as possible.

You'll also need to submit supporting documents with your application. These notes will explain more about the documents we need from you, and how to submit them.

### How to use these Help Notes

These Help Notes can be read as a "stand-alone" document or you can follow the hyperlinks to look at specific sections of the notes as you fill in your form online. These should be read alongside the [General Guide to the Arts Council of Wales' Capital Programme](#), our [Capital Strategy 2012-2017](#) and our [Additional Guidance Notes: Major Capital Projects](#).

### "Your Project" and "Project Outcomes"

Throughout these notes we talk about "your project". We use this term to describe what you are applying to us for. For example, your project could be the purchase of new sound and lighting equipment for your theatre.

We also talk about "project outcomes". We use this term to describe what will happen if your application is successful and your project goes ahead. For example, the project outcomes of purchasing new sound and lighting equipment could be the ability to stage more productions, which in turn could mean more earned income.

## Attachments

Throughout these notes we'll highlight in boxes the supporting information that you must provide with your application form. It helps us either check your organisation is eligible to apply and / or helps us with our assessment.

Submitting this information is mandatory.

You can read more about how to upload this information using our online system in section six of these notes. We'll also remind you here about the information you need to provide.

## Alternative and Accessible Formats

Sometimes there are particular reasons why people find it difficult to apply for a grant to access our services. If you experience or anticipate any barriers with our application process, require help to make an application, or accessing our services and information, please contact us to discuss the types of support we can provide. You can find our contact details here.

## Keeping in Touch

From time to time we may need to make changes to our Capital Programme. These will be publicised on our website.

By registering at <http://www.arts.wales/> you'll receive automatic updates about our Lottery funding, as well as news about consultations and other initiatives. Register now for our Newsletter or subscribe to our News feed. Or follow us on Twitter [@Arts\\_Wales\\_](#).

## Applying Online

You can access our online application system by visiting our [website](#) and by following the links. Or, you can click [here](#). You'll need your login details. Remember you shouldn't share these login details with anybody outside of your organisation.

Once you've clicked the *Start an application* button you'll need to complete a simple questionnaire that checks if you're eligible to apply. If your organisation is eligible you'll be asked to choose an application form. If you make any misleading or false statements on this questionnaire you must repay any grant we award you. If you're unsure, please contact us.

When you are working on your application online, it is useful to remember:

- You can complete your application in one go, or work on it at different times.

- You can fill in the sections of the form in whichever order you prefer, but you'll only be able to submit your application when all of the sections are complete
- If you have your application form open on your computer, but you do not work on it for two hours, you'll automatically be logged out of our online system. Any work that you haven't saved will then be lost

The Capital Programme has no deadlines. As long as you've discussed your project with an officer you can submit your application at any time.

### Getting Started Checklist

Make sure you've read our [General Guide to the Arts Council of Wales' Capital Programme](#) and our [Major Capital Projects – Additional Guidance Notes](#) before you start to fill in your application form.

Have you got everything you need to complete your application form?

- Your organisation's contact details and information (unless you've applied to us before using our online system)
- Your written proposal
- Details about your project, including its start and end date, artform breakdowns and equalities Information
- Your governing document, such as a constitution, trust deed or articles of association
- Your project budget (this must be on the downloaded template)
- Your Stage 3 Cost Plan
- Your Stage 3 Design Report and drawings
- Your technical specification and list of the equipment to be purchased
- Your sustainability assessment and sustainability strategy
- Your independent access audit
- Your public art strategy

- Your project management group's terms of reference
- Your post-completion operational and maintenance plans
- Your construction programme
- Your business plan
- Proof that your organisation has a bank account that requires at least two people to authorise transactions
- Your other supporting information (which could include permission from your landlord for the project to go ahead, CVs of newly appointed consultants, proof of planning permission, confirmation of partnership funding, a structural survey, listed building consent etc.

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## Section 1: About Your Organisation

In this section we're asking you to provide some basic information about your organisation. It's important that the information you give us is accurate and consistent with any other information you've given us, or information which is in the public domain, such as:

- Information on your website or social media
- Information we can find by searching the internet, or
- Information held by regulatory bodies such as the Charity Commission and Companies House

### Contact Details

We ask for three at least three sets of contact details:

- Your organisation's address (this must be your organisation's main administrative office or base. If you're a company or charity this must be your current registered address)
- The Chair of your governing body
- The person in your organisation authorised to deal with all matters relating to this application (we call this person the Primary Contact)

The Primary Contact is the person we'll get in touch with regarding all aspects of your application, and they must have your organisation's authority to sign and approve documents and answer any queries we may have.

We must always have the contact details for more than one person from an organisation. So, if your Chair and Primary Contact is the same person, please provide details of an alternate contact with appropriate authority from your organisation.

If your application is successful, the offer of a grant will be sent to the Primary Contact. They will be responsible for sending us the additional information needed to address any specific conditions placed on the grant, as well as the progress reports we request, and a completion report once the project comes to an end.

We will only ask you to provide these contact details the first time you apply to us online. As you have already made an application to us, these details will already be filled in on your form for you to review and update if you need to.

## Third party involvement

All applications must be the work of your organisation, and not that of a third party. Even if you've received help with developing your application, the contact details you provide must be for individuals from your organisation who have the appropriate authority to make decisions and sign documents such as contracts and funding agreements on behalf of your organisation.

Please remember that we are not able to support any costs you have been charged for advice on and help with completing your application.

As part of our anti-fraud procedures we will investigate any application form submitted that is substantially similar to others we have received. We will also investigate if an application is submitted in your organisation's name and we discover that you are not aware of the project or the request for funding.

## Your organisation and main areas of activity

We're often asked about the types of organisations we fund and what arts activity they deliver. The information you give here will help us answer these questions. It will also help us when we assess your application. There are three things for you to do:

- Tell us about your organisation. You can only write 500 words so think about the key facts you want to tell us which sum up your organisation, your usual arts activity and the way you work
- Select the most appropriate categories from the dropdown lists. If you're unsure of the Government region where you're based just use our online [postcode lookup tool](#)
- Tell us how many paid or voluntary staff you have. This helps us to understand the size of your organisation and the number of people that will be supporting your project. Please round up to the nearest whole number

### **Attachment: Governing Document**

You must submit your organisation's governing document (such as a constitution, trust deed or articles of association) with your application, unless you are a town council, local authority, health body or university (that's because these are statutory bodies).

Your governing document sets out how your organisation works. It tells us what your organisation is set up to do and how it does it.

We take the responsibility of distributing public funding very seriously, and that's why the way you run your organisation is important to us. We need to be sure that your organisation is properly setup and able to manage a grant appropriately.

If we've received a copy of your governing document since January 2016 you'll only need to submit it again if it has been changed.

You can read more about our eligibility checks and what we'll look for in your governing document in our [General Guide to the Arts Council of Wales' Capital Programme](#). Our [Information Sheet](#) about governance provides further sources of advice.

Please note that we review your governing document to address specific aspects of our eligibility and assessment criteria. In so doing we are not carrying out a full "healthcheck" of your organisation and are not endorsing your approach to governance. If your organisation is registered with Companies House or the Charity Commission it is your responsibility to make sure you have complied with all appropriate regulatory requirements.

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## Section 2: Your Project Proposal

In this section we're asking you to tell us in detail about your project. Instead of asking you to answer lots of questions, we'd like you to write a proposal about your project.

We have identified seven broad themes which all applications for Capital Lottery funding must address.

These themes are:

- Meeting an identified need
- Delivering a high quality project
- Benefiting the public
- Ensuring your project is fully accessible
- Demonstrating your strengths and sustainability
- Planning and managing a successful project
- Funding a successful project
- Managing risk

Each section of your proposal will be about one of these themes.

It's important that you follow this structure and the guidelines on the information you need to provide as it helps us compare like with like as part of our assessment process.

In each section you'll need to tell us certain key facts about your project. You'll also need to show us the extent to which your project addresses each of these themes. We'll tell you below the information you must give us.

There is no limit on how much you can write and you must make sure that your proposal provides all of the information we ask you for.

Wherever you can, please provide us with evidence to support your proposal. In particular we need to see clear evidence of demand and support for your project. You'll also need to send us a project budget and information to support your project. Click [here](#) to read more about attachments.

## Funding priorities

We use funding priorities to help us target our investment and to make choices between applications. We will only consider applications that fit strongly with our priorities.

You can read more about our funding priorities in the [General Guide to the Arts Council of Wales Lottery Capital Programme](#) and our [Capital Strategy 2012-2017](#).

## How we use your project proposal

We know that demand for our Capital Lottery funding will be high and that there are many good applications that we aren't able to support because there isn't enough money available...

We use the information in your project proposal to help us make a decision on your application. We consider how well you've addressed the broad themes we have identified. We also take into consideration our strategic and funding priorities, our knowledge about your organisation and your previous projects that we've funded. You can read more about the things we are looking for when we assess your application in the [General Guide to the Arts Council of Wales' Capital Programme](#).

## Meeting an identified need

*Tell us about your project and why it is needed.*

Tell us the key facts about your project. We'll ask you for more detailed information later on, but here we want you to summarise what you want to do and what it will achieve, why you want to do it and why it's important to you.

### In your project proposal, you should:

- Describe your project. Tell us about the building and /or redevelopment / refurbishment work you want to do:
  - Itemise the capital requirements of your scheme as set out in your Final Project Brief
  - Tell us how your project meets your users' accommodation needs and technical requirements
- Tell us how your project fits with your organisation's aims:
  - Why is it appropriate for your organisation to deliver this project?
  - How will it help you expand or improve what you already do?
- Tell us how you know your project is needed:
  - What evidence of demand do you have?

- Does your project form part of a wider strategic plan, for example a local authority led regeneration strategy or arts strategy?
- How will it contribute to the national arts infrastructure?
- Tell us why you think your project meets the need you have identified.

You may find that much of the information you have about the need for your project hasn't changed since you made your application to us for the design development work. This is fine, but you must make sure you tell us of any changes or any further work you have done on this theme.

### Attachments

You will need to submit the following information with your application form:

- Stage 3 detailed Design Report and a full set of design drawings
- Your technical specification and a list of equipment to be purchased

### We are looking for:

- A clear description of a well-researched, well-designed major capital project
- The extent to which you have shown the need for your project and how well your project meets the need you have identified

### Delivering a high quality project

*Tell us the vision for your project. What do you want to achieve? What steps will you take to make sure your project is fit for purpose and that it will be of high quality?*

### In your project proposal, you should:

- Tell us the vision for and aims of your project. How did you agree on these?
- Tell us how you will ensure you deliver a high quality project:
  - What steps have you taken to ensure that your project is well designed?

- Show us that you have considered the functionality of your project:
  - Demonstrate how any building or redevelopment / refurbishment work is appropriate to its proposed usage, or “fit for purpose”
  - Tell us how your project will be making an innovative use of the space available to you
  
- Show us how your project will ensure maximum independent access for the widest range of people, including disabled people, whether as attenders, participants, artists and members of staff:
  - Tell us the key findings of your independent access audit and how you have implemented its recommendations in your project
  
- Show us how you’ve considered the physical impact of your project:
  - If you’re redeveloping or refurbishing an existing building, tell us how it integrates with the rest of your site
  - Tell us how you will ensure that any external works will integrate with the surrounding buildings and the environment around it
  
- Show us how you’ve considered the principles of sustainable development in its broadest sense:
  - Tell us whether you’ve signed up to [Wales’ Sustainable Development Charter](#). If you’ve not yet done so, this will be a condition of your grant, should your application be successful
  - Tell us how your project contributes to the well-being goals as set out in the [Well-being of Future Generations \(Wales\) Act 2015](#)
  
- Tell us how you have considered the environmental performance of your project:
  - Tell us about the key findings of your sustainability assessment and how you have implemented its findings in your project. In so doing, you should:
    - Show us how you are aiming to reduce the demand for energy, as well as increase energy efficiency and maximise the use of renewable fuels
    - Tell us how you will maximise the use of sustainable materials
    - Tell us how you will minimise the water usage of your building
    - Tell us your approach to waste management and pollution, both during the construction phase and once your project is operational
    - Tell us how you have considered the travel and transport implications of your project, and whether you have devised a green travel plan
  
- If you are purchasing equipment, tell us:
  - What research you’ve done to be sure that any equipment you want to buy is fit for purpose and will meet the need you have identified
  - What research you’ve done into the quality of the product you want to buy and its lifespan and maintenance costs
  - What research you have done to show that any equipment you have chosen to buy offers value for money

- Tell us if there have been any changes to your project team since the completion of your design development phase (RIBA Stage 3 **Developed Design**), and why you have made these changes
- If you are making any more appointments to your project team at this stage, tell us:
  - The role and terms of the appointment
  - The procurement route you've chosen for these appointments
  - Why the appointment is needed
- Tell us your proposed method of procurement for construction works and any equipment / goods. If you have already made these appointments, tell us why this is the case and the process you followed
- Show us how you will meet your statutory obligations during the construction phase with regards to:
  - Building Regulations
  - Health and Safety at Work
  - Construction (Design and Management) Regulations (CDM) 2015
  - The Control of Asbestos Regulations

When buying goods and services for your project you must comply with all current UK and EU legislation on procurement that applies to your organisation and your project. As a minimum, any individual or organisation / contractor working on your project that will receive £5,000 or more will need to be appointed through a competitive tender process. If these appointments have already been made you will need to submit an appropriate tender report.

If you intend to purchase equipment which does not form part of the main contract for the project, you must submit three quotations from separate suppliers for all items or packages of items costing £2,500 or more.

If you want to purchase a package of items from one supplier that will cost £30,000 or more you should also submit a tender report that tells us why have chosen to use that supplier and why purchasing the equipment in this way is value for money.

You can read more about our requirements for sustainable development and the environmental impact of your project, about the quality of design and construction and procurement in our [Additional Guidance Notes: Major Capital Projects](#).

## **Attachments**

You will need to submit the following information with your application form:

- Independent access audit
- Sustainability assessment and sustainability strategy
- Post completion operational and maintenance plans

### **Independent access audit**

You will have completed an access audit as part of your design development work. It will have completed a review of any barriers which are preventing the widest range of people, including disabled people, from accessing your building and your services. Its scope should be wide ranging, but it's important to remember that conducting an audit is only the first step; what's crucial is how you implement its recommendations.

### **Sustainability assessment and sustainability strategy**

These ensure that your detailed design work are underpinned by your aspirations for sustainability, and evaluate your options for the use of sustainable technologies.

### **Post completion operational and maintenance plan**

These should demonstrate that your approach to effective environmental performance and sustainability are embedded within your organisation's future working practices. The form that these take will depend on your organisation and the type and scale of your project, but you should consider issues such as the provision of training in the use of newly installed sustainable technologies, operational approaches to saving energy

## **We are looking for:**

- A clear, appropriate and achievable vision, that all of your project's stakeholders agree upon
- The extent to which you have shown that you will deliver a high quality project that will meet your vision and is fit for purpose

## Benefiting the public

*Tell us about the impact of your project (the project outcomes) and the benefits it will bring to the people of Wales.*

### In your project proposal, you should:

- Tell us about your project outcomes. What will change if you are able to deliver this project? What do you hope the long-term impact of your project will be?
- Tell us how your project will make a contribution to the arts sector in Wales. You should do this by showing how your project fits with our funding priorities for the Capital Lottery programme. You can read more about our funding priorities in the [General Guide to the Arts Council of Wales Lottery Capital Programme](#) and our [Capital Strategy 2012-2017](#).
- Describe the people who will benefit from your project and tell us how they will benefit. For example:
  - Will your project benefit the people who already enjoy the arts activity that you deliver, either as an audience member or participant?
  - Will your project help a wider audience enjoy the arts activity that you deliver, or encourage people to take part who may not have done so before?
  - Will your project help creative professionals such as artists and craftspeople develop and present their work?
  - Will your project benefit your staff and volunteers
- Tell us how your project will affect the quality and quantity of the work you do.
- Tell us how you will integrate artworks into your project
- Tell us how you will make the outcomes of your project as inclusive as possible by explaining how you have considered the needs of disabled people and other hard to reach groups.
- Tell us how you will market the outcomes of your project to ensure the widest possible involvement with your arts activity.

## **Attachment: Public Art Strategy**

You must submit your public art strategy which sets out your approach to integrating artwork into your project. It should set out a cohesive strategy for the commissioning of artworks and provide details on how you will recruit artists and manage the commissions. Consideration should also be given to the long-term maintenance of the artworks and provide assurances that any life-cycle costs can be met.

You can read more about our expectations for public art in our [Additional Guidance Notes: Major Capital Projects](#).

### **We are looking for:**

- A clear description of the proposed outcomes of your project
- The extent to which you have shown us that the project outcomes you aim to deliver are achievable
- The extent to which you have appropriately considered issues of inclusion, equality and diversity, and demonstrated that your organisation has a commitment to minimising barriers to attendance and participation
- The extent to which you have appropriately integrated artworks into your project

### **Ensuring your project is fully accessible**

- What measures have you taken to ensure that your project satisfies the requirements of the Equality Act? For example, have you undertaken a recent access audit and how will any recommendations be incorporated into your proposal?

### **Demonstrating your strengths and sustainability**

*Tell us about your organisation and how it is managed. Show us that you have considered the financial impact of your project on your organisation.*

#### **In your project proposal you should:**

- Tell us about your management and staff structures, and how your organisation is governed.

- What skills and experience does your governing body bring to the organisation?
- Tell us about the organisational “health check” you have carried out:
  - Show us how you have reviewed the strength of your governing body, and your staff and volunteers
  - Tell us the experience of those involved in delivering a project of this scale and complexity
  - Tell us how you are addressing any gaps you identified in the skills, experience and capacity needed to deliver your project
- Show us that you have considered the impact of your project on your organisation’s capacity to deliver its usual activity:
  - Tell us the impact of any building closures required during the construction phase and how this will be managed
  - Tell us the impact of the construction phase on your artistic programme and how this will be managed
- Show us that your organisation is financially robust and well-managed.
- Show us that you have considered fully the financial impact of your project:
  - Demonstrate that you are able to meet any new running costs, maintenance and lifecycle costs associated with your project on an annual basis. How have you calculated these costs?
  - Tell us if your assessments show that your project will have a positive effect on your organisation’s financial resilience. For example, by generating income, cutting costs or enabling you to work in partnership with other organisations.
- Tell us if your project will enable new initiatives to take place or will help you respond to new opportunities
- Tell us if your project will help you maximise funding opportunities from other sources

You can read more about our requirements for carrying out a health check of your organisation in our [Additional Guidance Notes: Major Capital Projects](#).

## **Attachments: your business plan and your bank account**

### **Business Plan**

In parallel to your design development work you will also have developed a detailed business plan. You must submit this latest business plan to support this section of your project proposal.

This helps us find out more about your organisation and your artistic programme, and will help us understand the context of your major capital project. It should demonstrate fully the financial impact of your project and show how you will manage any additional revenue implications resulting from your capital development.

### **Bank Account**

You must submit proof that you have a bank account in your organisation's name that requires at least two people to authorise transactions. (These are usually referred to as the account's signatories). By transactions we mean any withdrawals, transfers or payments made from the organisation's account. Please note that we cannot accept building society accounts that operate with a passbook only. You do not need to submit proof of your bank account if you are a statutory body.

This helps us check that you are eligible to apply and helps us understand how you manage your finances. We take the responsibility of distributing public funding very seriously, and that's why the way you manage your finances is important to us. We expect the organisations we support to have in place appropriate controls that ensure they can manage effectively and appropriately any funds they receive. One of these measures is requiring at least two people to authorise transactions.

We will accept any combination of the following documents to meet this requirement. Please remember that we are looking for proof that the account is in the organisation's name, and that it requires at least two people to authorise transactions:

- A scan of a pre-printed paying slip
- A scan of a blank cheque
- A letter from your bank confirming the details we need to know

If your application is successful we will check this by asking you to provide further details about your account. We will not be able to release any payments until we have received and checked this information. Any discrepancies will be taken seriously and investigated.

## We are looking for:

- The extent to which you have shown us that your organisation is well-managed and stable, and well-placed to take on a major capital project
- The extent to which you have shown us that your organisation is financially robust
- The extent to which you have considered the financial impact your major capital project may have on your organisation

## Planning and managing a successful project

*Tell us about your approach to the project. Tell us who'll be responsible for its management and delivery and how you'll keep the project on track.*

### In your project proposal you should:

- Tell us how you will manage your project:
  - Who in your organisation has overall responsibility for its delivery?
  - Tell us about the dedicated project management group you must set up to oversee the project, and how it will be run.
  - If you've already appointed your independent project manager, tell us about them and their role, and how they were chosen. If you've not selected your project manager tell us the process you will follow to make this appointment.
  - How will you ensure that there is clarity of roles and responsibilities if you are delivering your project in partnership, or working with one or more contractor / supplier?
  - Tell us if you have any experience of delivering similar projects. What did you learn from these that you can apply to your project now?
- Tell us how you'll manage the commissioning of artworks for your project.
- Tell us about your project timetable and show us it is achievable.
- Tell us how you will keep your project on track:
  - How will you and your appointed project manager monitor your project budget?
  - How will you and your appointed project manager oversee your project team and contractor(s)?
  - How will you and your appointed project manager monitor your project's progress and report this to your governing body and senior staff?
- How will you know if your completed project has been successful?

You can read more about our requirements for carrying out a health check of your organisation and about independent project management in our [Additional Guidance Notes: Major Capital Projects](#).

## **Attachments**

You must submit the following information with your application.

### **Project Management Group Terms of Reference**

You must set up a Project Management Group which has collectively responsibility for overseeing your capital project and monitoring its progress. This group must meet regularly and have agreed terms of reference in place so that there is clarity about its role and levels of responsibility. The terms of reference should also set out clear lines of reporting from the Group to senior members of staff and your governing body.

### **Construction Programme**

The construction programme sets out the timetable for the building works. It is important for us to review the programme to ensure that your project is deliverable within the timeframe you have set. Any delays can potentially impact on your project's cost and must be addressed as soon as possible.

## **We are looking for:**

- The extent to which you have demonstrated that you can deliver and manage your project successfully, ensuring it is completed on time and within budget.
- How well you have demonstrated that your project team has the required skills and experience.

## **Funding a successful project**

*Tell us about your project budget and the other funding you need to raise to be able to deliver your project.*

### **In your project proposal you should:**

- Tell us about the other funding you need for your project:
  - Where will it come from?

- Is it in place?
- If not secured, tell us your approach to fundraising and demonstrate that it will be raised in time

You can read more about the costs we can and cannot pay for in the [General Guide to the Arts Council of Wales Lottery Capital Programme](#).

### **Attachments: Project Budget and Stage 3 Cost Plan**

You must submit a project budget with your application form. This must be on our project budget template which you can download from the application form.

The figures you present in your project budget will be drawn from the Stage 3 Cost Plan that was completed during the design development work. You must also submit a copy of your Cost Plan with your application form.

### **We are looking for:**

- A project budget that is based on a realistic and accurate Stage 3 Cost Plan, and that is appropriate to the scale and type of project you are delivering
- How successful you've been at fundraising and how likely it is that you will raise all of the required funds for your project, if you have not already done so

### **How to use the project budget template**

Your project budget must be submitted on our [Project Budget Template](#).

The template will automatically calculate subtotals for you and help ensure your budget balances. You should complete the grey boxes on the spreadsheet, where appropriate. If some of the headings aren't relevant to your project you can leave them blank. White boxes cannot be changed. Please use full £ only.

Your project budget should tell us how much your project will cost (expenditure) and how much you'll receive to pay for it (income). The income and expenditure for your project should balance (be equal).

### ***Project Expenditure***

Use the template to tell us how much your project will cost. Use the headings given to show us the cost of all the items you will be paying for as part of your project. We know that all

projects and Cost Plans are different, but the budget headings we use should be similar to those in your project's Cost Plan.

We'll use similar headings to monitor your project budget, so it is a good idea to become familiar with them at this stage.

The costs you include must be eligible. You can read more about the costs we can and cannot pay for in the [General Guide to the Arts Council of Wales Capital Programme](#).

### **Building costs**

Tell us the total cost of all of the building work. You should split this into enabling works and work covered by the main construction contract. Enabling works are building works that need to take place to enable a project to start, but which are not part of the project itself, for example constructing an entrance to the site.

If you intend to pay any contractor £5,000 or more, you'll need to appoint them using a competitive selection process. We will check to make sure that you make any appointments appropriately and will expect to see tender reports in due course.

You can read more about our requirements for procurement in our [Additional Guidance Notes: Major Capital Projects](#).

### **Professional Fees**

Tell us about the professional fees you'll need to pay. We have itemised the fees for your independent project manager and your design team. If you are paying other professional fees please tell us about these appointments in the "Planning and Managing a Successful Project" section of your project proposal.

If you intend to pay any individual or organisation £5,000 or more, you'll need to appoint them by using a competitive selection process. We'll check to make sure that you make any appointments appropriately.

### **Fit Out Costs**

Fit out costs are usually items such as equipment and loose furniture which are being purchased outside of the main contract.

### **Public Art**

We require that at least 1% of the construction cost of your project is included in your project budget for the commissioning of artwork(s).

## **Value of support in kind**

This can include the work of an unpaid volunteer, and the donation of land, buildings or equipment. We do not accept discounts given by suppliers as an in-kind contribution to your project.

You should submit a letter with your application which confirms the in-kind support and shows the value of the goods or services being given, and how you've calculated it.

## **VAT**

If you are not registered for VAT you should include VAT in your project budget.

If you are registered for VAT, your project budget should only include VAT that you cannot claim back (called "irrecoverable VAT"). Tell us how you have calculated the amount of irrecoverable VAT you have included in your project budget.

## **Contingency**

We recommend a contingency of 10% of the project cost.

## **Other costs**

Tell us any other costs you'll have to pay as part of your project that are not covered by the other budget headings.

## ***Project Income***

Use the template to tell us about the income you'll use to pay for the project. You should tell us the name of each funding partner, and whether their contribution is confirmed or being applied for.

## **Other Public Funding**

Tell us here about any grants from public organisations such as the Welsh Government or the European Union.

## **Support in kind**

This should be the same as any in-kind cost you included in your project expenditure figures.

## Other Income

Tell us here about any other income you will use to pay for the cost of your project. This can include:

- Your own funds (although if you are a member of Arts Portfolio Wales this cannot come from you revenue grant)
- Income from fundraising, public appeals and donations
- Grants from other Lottery Distributors
- Grants from other trusts and foundations

## Managing Risk

*Tell us how you will identify, monitor and manage risks associated with your project*

**In your project proposal you should:**

- Tell us if you have already identified any risks
- Tell us how you will identify and manage risk throughout the delivery of your project
- Tell us who is responsible for managing risk and reporting this to your governing body and senior staff?

**We are looking for:**

- A coherent and strategic approach to risk analysis and management.

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## Section 3: Building Details

In this section we're asking you to tell us some basic information about the building which will benefit from your project, if it is an existing property. You must also show us that you're considering key statutory obligations that apply to your project.

### Status of the building

It's important that you tell us about your lease. In order to be eligible for funding, your lease must have at least twenty five years remaining.

If the building is leased, you must have the landlord's permission for your project. You must submit written confirmation of the landlord's permission with your application, if applicable.

If the building is listed, you must tell us whether it is Grade II, Grade II\* or Grade I. You should discuss your project with your local planning authority and / or CADW. You should tell us here about the outcome of these discussions.

Any work which will change a listed building's character needs to be given Listed Building Consent (LBC), before it can go ahead. Tell us here if you have received Listed Building Consent, or if you are awaiting a decision.

### Structural Survey

Tell us if you have carried out a structural survey of your building during the planning and development of your project, and how its findings have affected your project.

If you do not think a structural survey is required for your project, tell us why.

You must submit a copy of your structural survey with your application form, if it is available.

### Requirements

#### Planning Permission

Tell us the status of your application for planning permission.

Tell us whether you have made an application for **outline** or **full** planning permission, and when you are expecting a decision. If planning permission has been granted, tell us about any conditions attached.

You must submit a copy of your planning permission with your application form, if it's available.

## **Asbestos**

Under the Control of Asbestos Regulations 2012, (which replaced the Control of Asbestos at Work Regulations 2002), if you're responsible for maintenance of non-domestic premises, you have "duty to manage" the asbestos in them, to protect anyone using or working in the premises from the risks to health that exposure to asbestos causes.

If you want to do any building or maintenance work in premises, or on plant or equipment that might contain asbestos, you need to identify where it is and its type and condition; assess the risks, and manage and control these risks.

You should tell us how you will approach this "duty to manage" in relation to your project. Further information can be found on the Health and Safety Executive's website:

<http://www.hse.gov.uk/asbestos/regulations.htm>

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## Section 4: Project Details

In this section we're asking you to give us some facts and figures about your project. We use this information to help us monitor what's happening across Wales and to report on the impact of our funding.

### Project Dates

The start of your project should be when you expect to incur costs. For example, when purchasing equipment, the start of your project might be when you have to pay a deposit. We cannot fund any activity that has already taken place.

If we award you a grant, we'll use these dates to request information from you such as progress and completion reports. If your project dates change, please tell us as soon as possible, and let us know why you have made these changes.

### Art Form

Here we are asking you to tell us, using percentages, about the art forms associated with your project.

So if your project is purely related to dance (say the purchase of a portable dance floor), you should put 100% next to dance in the list given.

If your project involves more than one art form, you must estimate as best you can the proportion of different art forms it includes. For example, if your project is the purchase of new lighting equipment for a theatre, think about the programme you will deliver and tell us about the different art forms involved. Your answer may look something like this: drama 50%, music 40% theatre entertainment 10%.

### Equalities

Ensuring that the widest possible cross-section of people is able to enjoy and take part in the arts is fundamental to our work. As a public body we have a cultural, moral and legal responsibility to promote equality and inclusion. It's a responsibility to which we attach great importance.

We want to ensure that we and the organisations that we fund develop a comprehensive knowledge and understanding of diversity and equality. We want to see more equal access to the arts whether as audiences or participants, so we want our funding to work harder at reaching those people who are affected by inequality. We also want to celebrate the role the arts can play in advancing equality, including fostering good relations between people who are affected by inequality and those who are not.

In spite of the good work undertaken by many artists and arts organisations, we know that some people face barriers to their enjoyment of the arts. This is one of the reasons why we take Equalities so seriously. As a public body we're required by law to collect and monitor information about who our funding is benefitting. This helps us report on our progress in addressing inequalities in the arts and helps us target funding where it's needed most.

The Equality Act 2010 talks about people with "protected characteristics" and we're collecting information about arts projects that target and deliver activity specifically for those groups of people. At the current time we're gathering information about groups using the list included in The Equality Act 2010. We're therefore asking you to tell us if your activities are for people from a particular age group, disabled people, people of a specific race, religion or belief, whether the activity is for men only, women only or has a focus on sexual orientation, gender reassignment, or pregnancy and maternity.

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## Section 5: Declaration

In this section of the application form we're asking you to read some important information about our responsibilities around Data Protection and Freedom of Information. It's important that you understand how the information you submit will be used and stored by us. And you need to know what to do if you believe that any of your information is commercially sensitive or confidential.

We're then asking you to confirm a number of statements. By ticking the box you're signing the application form electronically on behalf of your organisation.

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## Section 6: Attachments

This section allows you to submit all your supporting documents. Our online system calls these, attachments.

We've highlighted the attachments that you must submit with your application form. Here's a reminder for you:

- Your project budget (this must be on our downloaded [Project Budget Template](#))
- Stage 3 Cost Plan
- Stage 3 Design Report and full set of design drawings which have been signed off by your organisation (Due to their size we require you to submit hard copies of these. Further information can be found on the application form)
- Technical specifications and a list of equipment to be purchased
- Sustainability assessment and sustainability strategy
- Independent Access Audit
- Public Art strategy
- Post completion Operational and Maintenance Plans
- Project Management Group Terms of Reference
- Construction Programme
- Your Business Plan
- Your governing document
- Proof that you have a bank account in your organisation's name that requires at least two people to authorise transactions. (Please note that we cannot accept building society accounts that operate with a passbook only).

Remember that these are mandatory. They form an essential part of our assessment and we won't be able to accept your application without them.

If we've received a copy of your governing document since January 2016 you'll only need to submit it again if it's been changed. You don't need to provide your governing document if you're a town council, local authority, health body or university.

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## How to upload your documents

Use the dropdown menu at the bottom of the screen to upload your documents. Each of the mandatory documents is included in the menu. There is also an “Other” category. You can use all of these categories more than once, but please note that there is a maximum total file size of 60MB for attachments.

If you need help with document formats or want further information on other technical issues, please read our Applying Online Information Sheet, or have a look at our attachments trouble shooting guide.

## Other supporting information

We know that capital projects are complex, and different types of project will need to provide is with different pieces of information. You may find that you need to submit some of the following to support your application, which you can upload using the “other” category on the dropdown menu:

- Tender report(s)
- Suppliers’ / contractors’ quotations
- CVs of project team, unless previously submitted
- Independent Project Manager’s job description
- Fundraising Strategy
- Evidence of partnership funding secured to date
- Letters confirming any in-kind support
- Evidence of demand for your project
- A structural survey
- An asbestos survey
- Planning permission documents
- Listed Building Consent
- Permission from landlord for your project to go ahead

If you are unsure what information you need to submit with your application, please check with us. If some of this information is not yet available, we may request it as a condition of our grant to you.

You may also want to submit examples of your creative work or other similar projects you have completed.

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## Section 7: Review my Application

This section allows you to review the information you've filled in so far, and to make any changes. Our online system will also tell you if you've missed any questions. If you're happy with your application you can click Submit. This forwards your application to us for consideration.

A copy of your completed application will always be available on our online system for you to see, once you've clicked the button to submit it. You'll find it saved under the "submitted applications" section on our online system, after you've logged in. You can also print a copy for your own files.

Once you've clicked Submit you'll receive an automatic acknowledgement by email. If you don't receive this please check it's not in your junk mail folder. If you still haven't received your acknowledgement email, please check your application form and try clicking Submit again.

If your application isn't finished, click Save and Finish Later. You'll then receive an email containing a copy of your draft form. Please keep this email for reference.

### Checking your application

We'll confirm that we've received your application by sending you an acknowledgement email. This will also ask you to fill in your Equal Opportunities Monitoring Form by clicking the link to a dedicated page on our website. Your application cannot be considered complete unless this form has been filled in and submitted.

We'll check your application and allocate it to an officer. We can only assess applications that are complete. By this we mean providing all of the information we have asked for in sufficient detail to enable us to carry out a proper assessment. If we're not able to assess your application, we'll tell you the main reasons why.

### What to do if you're unable to accept money from the National Lottery

If you're unable to accept lottery funding for religious reasons, please upload a letter with your application explaining why this is the case. If your application is successful we will try and fund your project from money we receive from other sources.

## Disclaimer

We have tried to make sure the information we give is correct. We do not assume and hereby disclaim any liability to anyone for loss or damage caused by mistakes or omissions in the information we provide, whether these mistakes or omissions are caused by negligence, accident or any other reason.

## Contact Us

If you need any more information to help you complete your application online you can contact us:

Telephone: 0845 8734 900 (at local call rates)

Text phone: 029 2045 0123

SMS: 07797 800 504 (messages are only charged at your standard network rate)

Email: [information@arts.wales](mailto:information@arts.wales)

Website: [www.arts.wales](http://www.arts.wales)

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