

## Catalyst Small Grants programme Guidance for applicants

The below is an outline summary of key information. Please see [Section three](#) for full eligibility criteria.

Summary of key information	
<b>What is the focus of the fund?</b>	<p>Catalyst Small Grants programme is intended to build fundraising capacity and encourage more private giving to arts and culture resulting in improved financial resilience support.</p> <p>The fund will provide a one-off grant for organisations to develop their capacity and provide transitional support. Organisations will need to propose the capacity building solution that best suits their business model and fundraising strategies.</p> <p>Organisations will invest in the necessary tools, training and skills development to build their capacity to fundraise and diversify their income streams.</p>
<b>Who can apply?</b>	<p>Any organisation which falls into one of the following categories <i>at the point of application</i>:</p> <ul style="list-style-type: none"> <li>• National Portfolio Organisations (receiving Arts Council investment of £250,000 a year or below)</li> <li>• Accredited museums receiving Arts Council investment of £250,000 a year or below</li> <li>• Other not-for-profit arts and culture organisations</li> <li>• Local authority library services in England (including organisations that</li> </ul>

	<p>have been commissioned to deliver the whole library service on behalf of local authorities, such as trusts, staff-led public service mutuals, community mutuals, and Community Interest Companies)</p> <ul style="list-style-type: none"> <li>Consortia are welcome to apply but a lead applicant must be clearly identified and <i>each consortium member must be eligible as an organisation in its own right, as per the eligibility criteria set out above and below</i>. Your application must show the benefits and rationale of working as a consortium. A partnership agreement will need to be in place at the point of application. Please see <a href="#">Section three</a></li> </ul> <p>To be eligible to apply, organisations must have an annual turnover of between £100,000 and £750,000.</p> <p>Organisations must evidence a track record of a previous funding history with Arts Council England (i.e. have been awarded a grant) in the two years prior to application.</p> <p>Organisations must not be applying to other Arts Council programmes such as Grants for the Arts to fund this activity or do so within the timeframe of this grant.</p>
<b>Who cannot apply?</b>	<ul style="list-style-type: none"> <li>Individuals</li> <li>National Portfolio Organisations receiving Arts Council investment of more than £250,000 a year</li> <li>Accredited museums receiving Arts Council investment of more than £250,000 a year</li> </ul>

	<ul style="list-style-type: none"> <li>• Non-Accredited museums</li> <li>• Organisations based outside of England</li> <li>• Non-public libraries (e.g. community libraries outside statutory provision, academic libraries, private libraries)</li> <li>• Organisations that do not have an annual turnover of between £100,000 and £750,000</li> <li>• Organisations that do not have a previous funding history with Arts Council England (i.e. have been awarded a grant) from the two years prior to application</li> <li>• Organisations which have received Catalyst: Evolve funding in the past</li> <li>• Organisations which have received Catalyst funding for 'Capacity building and match' or 'Building fundraising capacity' in the past</li> </ul>
<b>When is the deadline for applications?</b>	We will accept applications for Catalyst Small Grants funding by midday on Thursday 10 August 2017.
<b>How much can be applied for per application?</b>	<p>Between £10,000 and £30,000</p> <p>The total budget for this round of funding is £3,000,000</p>
<b>When must the activity take place?</b>	<ul style="list-style-type: none"> <li>• Activities must start no earlier than 12 February 2018</li> <li>• Projects must be completed within 18 months of the project start date</li> <li>• All projects must be completed by 14 December 2019 at the latest</li> </ul>
<b>Minimum match funding from other sources</b>	<p>10 per cent of total project budget. This can include cash and support in kind.</p> <p>Please see <a href="#">Section three</a></p>

<b>When will we make our decision?</b>	We will aim to notify applicants of our decision no later than Friday 12 January 2018.
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## **Section one – introduction**

### **Welcome**

Thank you for your interest in the Catalyst Small Grants programme. This guidance gives you information on how to apply for funding to the Catalyst Small Grants programme.

Catalyst Small Grants programme is intended to improve financial resilience through building fundraising capacity and encouraging more private giving in arts and culture. It will support the following: NPOs (equivalent to a Band 1 investment); non-NPO, small-to-medium, arts-focused organisations; non-MPM accredited museums; local authority library services as described in [Section three](#).

The fund will provide a one-off grant to such organisations to develop their fundraising capacity and provide transitional support. Organisations will need to propose the capacity building solution that best suits their business model and fundraising strategies. Organisations will invest in the necessary tools, training and skills development to build their fundraising capacity and diversify their income streams.

### **About Arts Council England**

Arts Council England champions, develops and invests in artistic and cultural experiences that enrich people's lives. We support a range of activities across the arts, museums and libraries – from theatre to digital art, reading to dance, music to literature, and crafts to collections.

Great art and culture inspires us, brings us together and teaches us about ourselves and the world around us. In short, it makes life better. Between 2015 and 2018, we plan to invest £1.1 billion of public money from government and an estimated £700 million from the National Lottery to help create these experiences for as many people as possible across the country.

On behalf of the Department for Education, we are investing over £75 million between 2015 and 2016 in a network of 121 Music education hubs across England.

For more information about the Arts Council visit [www.artscouncil.org.uk](http://www.artscouncil.org.uk)

## **About Arts Council England's strategic funds 2015-18**

Our Strategic funds help us to target particular challenges, opportunities or gaps, creating the environment for further development to take place in the arts and culture sector. Ultimately, they help us meet the goals set out in our strategy, [\*Great art and culture for everyone\*](#). Our goals, for reference, are as follows:

**Goal 1:** Excellence is thriving and celebrated in the arts, museums and libraries

**Goal 2:** Everyone has the opportunity to experience and be inspired by the arts, museums and libraries

**Goal 3:** The arts, museums and libraries are resilient and environmentally sustainable

**Goal 4:** The leadership and workforce in the arts, museums and libraries are diverse and appropriately skilled

**Goal 5:** Every child and young person has the opportunity to experience the richness of the arts, museums and libraries

**All of these goals are important, but we expect successful applicants to the Catalyst Small Grants programme to make a strong case under Goal 3: The arts, museums and libraries are resilient and environmentally sustainable.**

## **Section two – purpose of the Catalyst Small Grants programme**

### **Aims and outcomes**

This fund continues the work of the first Catalyst programme (2012-2015) which concluded in summer 2015. Three evaluation reports have been published with the final one published in January 2017. This final report focuses on a one-year transition period from the Catalyst funding coming to an end for funded organisations.

The subsequent Catalyst Evolve and Catalyst Small Grants programmes - seek to learn and build upon past investments in philanthropy and fundraising and support Arts Council England's wider work in encouraging organisations to diversify their income sources in order to become more resilient.

The evaluation reports for the first Catalyst programme indicated the importance of the following factors in the ability of arts organisations to fundraise:

- Fit for purpose governance and management structures
- Appropriate fundraising strategies being in place
- Supporting information, communication and technology infrastructure
- Improved skills and perception of fundraising across organisations

The central aim of the fund is to provide organisations with the necessary tools, training and skills development to build their capacity to raise funds from private giving and diversify income streams resulting in increased resilience.

For information, Arts Council England defines private giving as including philanthropic donations from individuals, trusts and foundations and businesses, as well as corporate sponsorship.

We expect organisations to have completed their project within an 18 month timeframe from the project start date and by 14 December 2019 at the very latest.

### **How much funding is available?**

There is a total of £3,000,000 available through this fund and we expect to make in the region of 100-120 grants in total. You can apply for a grant between £10,000 and £30,000.

You will need to provide a clear case for support and a detailed budget. We will expect you to have undertaken an initial feasibility and costing exercise if your request includes investment in capital items such as new systems and technology.

The scheme will support organisations for a period of up to 18 months.

This is an open and competitive application process. We have limited funds available and we know there will be a significant demand for funding from arts and culture organisations including museums and libraries. It is likely that there will be good applications that we will not be able to fund. You should think about what you would do if we cannot award funding.

We expect this investment to have a longer term impact for the sector and successful applicants. However, support through this programme does not indicate additional investment will be made available by Arts Council once the programme has finished and you should consider how you will sustain activity once funding comes to an end. This is particularly relevant for ongoing maintenance and upgrades of systems and technologies to ensure they are fit for purpose into the future.

### **Geographical focus of the fund**

The geographical focus is designed to support Arts Council's intent to ensure that a minimum of 75 per cent of our Lottery funding is spent outside London. For this particular fund our expectation is that 80-90 per cent of the fund will be committed outside London.

## **Section three – eligibility**

Please read the eligibility requirements for the fund carefully. If you do not meet any of these requirements we will be unable to consider your application for funding.

<b>Who can apply?</b>	<ul style="list-style-type: none"><li>• National Portfolio Organisations receiving Arts Council investment of £250,000 a year or below</li><li>• Accredited museums receiving Arts Council investment of £250,000 a year or below</li><li>• Other not-for-profit arts and culture organisations</li><li>• Local authority library services in England (including organisations that have been commissioned to deliver the whole library service on behalf of local authorities, such as trusts, staff-led public service mutuals, community mutuals, and Community Interest Companies)</li><li>• Consortia - are welcome to apply but a lead applicant must be clearly identified and <u>each consortium member must be eligible as an organisation in its own right, as per the eligibility criteria set out above and below</u>. Your application must show the benefits and rationale of working as a consortium. A partnership agreement will need to be in place at the point of application. Please see <a href="#"><u>Consortia and partnership agreements</u></a> below</li></ul> <p>To be eligible to apply, organisations must have an annual turnover of between £100,000 and £750,000.</p> <p>Organisations must also evidence a track record of a previous funding history with Arts Council England (ie have been awarded a grant) in the two years prior to application.</p>
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	<p>Organisations must not be applying to other Arts Council programmes such as Grants for the Arts to fund this activity or do so within the timeframe of this grant.</p>
<b>Who cannot apply?</b>	<ul style="list-style-type: none"> <li>• Individuals</li> <li>• National Portfolio Organisations receiving Arts Council investment of more than £250,000 a year</li> <li>• Accredited museums receiving Arts Council investment of more than £250,000 a year</li> <li>• Non-accredited museums</li> <li>• Organisations based outside of England</li> <li>• Non-public libraries (e.g. community libraries outside statutory provision, academic libraries, private libraries)</li> <li>• Organisations that do not have an annual turnover of between £100,000 and £750,000</li> <li>• Organisations that do not have a previous funding history with Arts Council England (i.e. have been awarded a grant) from the two years prior to application</li> <li>• Organisations which have received Catalyst: Evolve funding in the past</li> <li>• Organisations which have received Catalyst funding for ‘Capacity building and match’ or ‘Building fundraising capacity’ in the past</li> </ul>
<b>What activity can be supported?</b>	<p>Examples of the type of activity that can be supported include:</p> <ul style="list-style-type: none"> <li>• Investment in training for staff and/or boards and associated follow up activity</li> <li>• Reviewing existing contacts and committing time to develop new networks realising opportunities such as with the business community or board contacts</li> <li>• Provision of short-term cover to release existing staff to spend time delivering against fundraising plans</li> </ul>

- Investment in data-compliant Customer Relationship Management systems, fundraising databases or development of new technologies to realise digital giving and embed required learning across the organisation
- Data-compliant donor segmentation of existing databases and capacity to realise opportunities as a result of the findings
- Consultation on the development of a stronger strategic plan which would include knowledge of alternative funding opportunities and the resulting capacity needed to develop and deliver against plans
- Investing in raising the profile of your organisation, development of a case for support resulting in increased opportunities for support.

This is not an exhaustive list and organisations will need to make the case for the capacity building solution that best suits their business model and fundraising strategies.

**We expect all proposed activities to be fully compliant with the Data Protection Act and for organisations to demonstrate best practice in fundraising wherever possible. We have recently published detailed guidance on data compliance in fundraising within the arts and culture sector which you will be able to download from our website.**

You will need to provide a clear case for support and a detailed budget. We will expect you to have undertaken an initial feasibility and costing exercise if your request includes investment in capital items such as new systems and technology.

<b>What activity cannot be funded?</b>	<ul style="list-style-type: none"> <li>Organisations delivering arts activities that do not benefit or engage people in England (in the short or long term) or that do not help artists and arts organisations in England to carry out their work</li> <li>Activities (including buying goods or services) that have started, been bought, ordered or contracted before we make a decision about your application. This is because we cannot fund activity retrospectively</li> <li>Costs that are already paid for by other income including your own funds or any other funding</li> <li>Salary costs for fundraising employees where their responsibilities will be primarily concerned with raising funds rather than building the capacity of existing staff within an organisation. We wish to support changes in fundraising behaviour which will be sustained and embedded throughout an organisation.</li> </ul>
<b>How much can be applied for per application?</b>	Between £10,000- £30,000
<b>How much match funding from sources other than ACE is required?</b>	10 per cent of the total cost of the activity to come from sources other than the Arts Council. This can include no more than 25 per cent support in kind and no less than 75 per cent cash.
<b>Delivery timetable</b>	<ul style="list-style-type: none"> <li>Activities must start no earlier than 12 February 2018</li> <li>Projects must be complete within 18 months of the project start date</li> <li>All projects must be completed by 14 December 2019 at the latest</li> </ul>

## **Consortia and partnership agreements**

We will accept applications from organisations working as a consortium providing the consortium meets our eligibility criteria set out below and the application shows the benefits and rationale of working as a consortium.

- Each consortium member must be one of the following:
  - a National Portfolio Organisation receiving Arts Council investment of £250,000 a year or below
  - an accredited museum receiving Arts Council investment of £250,000 a year or below
  - a not-for-profit arts organisation
  - a Local authority library service in England (including organisations that have been commissioned to deliver the whole library service on behalf of local authorities, such as trusts, staff-led public service mutuals, community mutuals, and Community Interest Companies)
- Each consortium member must have an annual turnover of between £100,000 and £750,000
- Each consortium member must evidence a track record of a previous funding history with Arts Council England (i.e. have been awarded a grant) in the two years prior to the application
- One consortium member must act as the lead organisation and submit the application

If we decide to fund your project, we will enter into a legally binding grant agreement with the lead organisation. This organisation must accept our terms and conditions of grant and will be solely accountable to us for all monitoring information, how all the money is spent and for the full and successful delivery of the project.

One of our standard terms and conditions of grant is that the organisation we enter into a grant agreement with cannot subcontract any of the project to other organisations without our prior agreement in writing. So if we award a grant, before the project can start, *we must approve a partnership agreement between the lead organisation and the other consortium members involved in the project.*

There is further guidance about [Partnership agreements](#) on our website.

Partnerships that are led by a London-based organisation will form part of the calculation of investment in and outside London for this fund.

Partnerships which include, but are not led by, London-based organisations will not form part of the calculation of spend in and outside London. However, the substantive benefit and activity must apply outside London.

## **Section four – what you will be expected to deliver**

We welcome applications that will make a contribution to achieving the aims and outcomes outlined in [Section two](#) above.

If successful, you will be expected to:

- Invest in skills, capacity and initiatives to help support your organisation to raise funds from private giving and diversify income streams resulting in increased resilience
- Deliver against your proposed activity plan within the timescale of the fund
- Ensure the project has the support of the Board members or appropriate governance structure for your organisation
- Demonstrate a step change in your ability to raise private giving
- Provide a final grant report on progress against activities and expenditure has been accounted for as outlined in your application
- Contribute to learning by actively participating in the evaluation of the Catalyst programme

If you currently receive Arts Council funding you will need to demonstrate that your proposal is for work that is clearly in addition to your currently funded core work. You will also need to demonstrate that you have the capacity to take on a new project or the delivery of new outcomes without putting at risk the delivery of your current funding agreement commitments.

## **Section five – how to apply**

### **When to apply**

The online application form will open on Grantium at **12pm (midday) on Thursday 13 July 2017**. Applications must be submitted by **12pm (midday) on Thursday 10 August 2017**. Applications submitted after this time will not be considered.

### **Making an application**

1. Read this guidance carefully and contact us

This guidance gives you information on how to apply and answers some common questions. If you have any further questions you can contact our Customer Services team at [enquiries@artscouncil.org.uk](mailto:enquiries@artscouncil.org.uk)

2. Prepare and submit your proposal

You must apply through [Grantium](#)

**PLEASE NOTE** – When you get to the ‘Create a project’ screen, please enter *Catalyst Small Grants* in the ‘Applicant Project Name’ box.

### **Proposal**

The proposal can be a maximum of 2,000 words, divided into three sections: ‘Meeting the Brief’ (up to 1,000 words), ‘Management of the activity’ (up to 500 words) and ‘Financial viability’ (up to 500 words). You do not need to use the full character count if you do not feel it is necessary. Use the criteria/prompts in section six of this guidance to help you structure your proposal.

**Please ignore the character limit provided within the ‘Response to the brief’ section in the online application system and refer only to the guidance about the maximum word count provided in this guidance document.**

### **Attachments**

***All applicants (lead member if a consortium) must upload the following mandatory attachments on the ‘Attachments’ screen:***

- A detailed budget for the activity showing proposed income and expenditure (as an Excel sheet or similar)
- A work plan for the proposed project, including milestones and key review dates
- A cashflow for the project activity

***All applicants (lead member if a consortium) except for National Portfolio Organisations must attach the following mandatory documents on the ‘Attachments’ screen:***

- Financial statements for your previous financial year, prepared to the relevant legal standard for an organisation of your size and status
- Your latest management accounts
- Your governance documents

***Consortium applicants only must attach the following mandatory documents on the ‘Attachments’ screen:***

- List of consortium member organisations with contact details for each organisation including organisation name, address and main contact person name and email.

Allowable formats: jpg, xls,xlsx,jpeg, pdf, doc, docx, pptx, and ppt

The combined limit on file size for all the attachments taken together is **10 megabytes**.

We will use the information you give us in your application form and any attachments to decide whether we will offer you a grant. If your application does not contain the information we need in the format we ask for it to be in, we might not be able to consider your application. After you have read this guidance, if you have any further questions please contact us.

### **Assistance with your application**

We are committed to being open and accessible, and want to make the Catalyst Small Grants programme application process accessible to everyone.

If you experience any barriers within the application process or require help to make an application, our enquiries team can be contacted by:

- Telephone on: 0845 300 6200
- Text phone: +44(0) 161 934 4428
- Email: [enquiries@artscouncil.org.uk](mailto:enquiries@artscouncil.org.uk)

### **After you submit your application**

You will receive an acknowledgement email confirming that we have received your application. This will be sent to the email address which you used to log into the portal.

We will conduct an eligibility check within ten working days of the deadline for applications. If your application is not eligible, this means that we cannot process it any further and it will not be considered for funding. If your application is not eligible we will write to you to let you know, and will explain our decision.

## **Section six – how we will make our decision**

We will aim to notify applicants of our decision no later than **12 January 2018**.

We will check your application to ensure that you have provided all the information we have requested.

We will make our decision based on the information you provide in your application, any further information that we request and, where relevant, data and information from the Charity Commission and Companies House websites relating to your constitution and audited accounts from the past two years.

Each criterion ('Meeting the brief', 'Governance and management of the activity', and 'Financial viability') will be assessed using a five-point word scoring:

- **Not met**  
*The application does not meet the criteria*
- **Potential**  
*The application does not meet the criteria but shows potential to do so*
- **Met**  
*The application meets the criteria*
- **Met (strong)**  
*The application meets the criteria and shows strong qualities*
- **Met (outstanding)**  
*The application meets the criteria and shows outstanding qualities*

On the basis of these ratings we will recommend whether an application is suitable for funding. Applications that do not achieve at least 'met' under all three criteria will not be recommended for funding.

We will assess each application against the following criteria, using the assessment prompts below:

<b>Criteria</b>
<b>Meeting the brief</b>
Word count: up to 1,000 words

- Provide a clear and convincing plan to deliver on the fund's [aims and outcomes](#) and all the elements of [what you will be expected to deliver](#), as described in this brief
- Provide any research data which supports the need for your project
- Tell us about your current funding sources and how you see this changing over time as a result of this investment
- Identify appropriate partners with clear roles and responsibilities if appropriate to consortia application or seeking external support from third parties
- Tell us how you plan to resource the activity effectively
- You need to explain how this activity builds on and does not duplicate activity funded by other Arts Council grants

### **Management of the activity**

Word count: up to 500 words

- Feasibility of workplan – tell us about what fundraising options you have considered, any consultation you have sought and what led you to choose this focus
- Demonstration of skill and capacity to deliver the proposed programme – tell us why you are best placed to undertake this work and who will be focused on the delivery?
- Strong strategic fit with the applicant's other activity – tell us why now is the most appropriate time for your organisation to build its fundraising capacity?
- Appropriate governance and management arrangements in place and/or planned, including how partners are engaged (if appropriate to consortia application).

### **Financial viability**

Word count: up to 500 words

- Financial viability of the applicant and of the project
- Demonstration of appropriateness of proposed budget
- Evidence of organisational buy-in by applicant and project partners, as cash investment and/or in-kind support to provide the minimum matched funding required
- Clear case for any proposed capital expenditure – tell us what initial feasibility and costing exercises you have undertaken if appropriate.

As part of our decision-making process we will decide how well each applicant would fit into a balanced portfolio of grants. In doing this, we have to look at a range of balancing criteria to consider if we are achieving the right spread of investment. The balancing criteria we will consider are as follows:

1. **Diversity**: overall, we want our investment in organisations to create the conditions where the portfolio of grants reflects the diversity of contemporary England and our commitment to advance members from the protected characteristics<sup>1</sup>. We will use information taken from your organisation's Grantium applicant profile about the diversity of your organisation's leadership to help us in this process.
2. **Range of artforms/disciplines**: we want to support a range of cultural organisations undertaking activity and practice. Organisations often work across and between different artforms or disciplines. However, we group the organisations we fund into eight cultural areas in order to help us consider how we are investing in different parts of the sector. These are: combined arts (multiple artform, cross artform or hybrid artforms); dance; libraries, literature; museums; music; theatre; and visual arts.
3. **Geographical spread**: we will take into account the need to support work across the whole of England. However, we will consider how some organisations work intensively within their home region and some have a reach and impact far beyond their home region.

These balancing criteria provide a framework against which we will make an informed but discretionary judgment about how each organisation might contribute to a portfolio of funded grants.

These balancing criteria will be used in addition to the main criteria to ensure a good spread of funded projects and to differentiate between a number of proposals that are considered strong.

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<sup>1</sup> Protected characteristics as defined by the Equality Act 2010, as well as the Equality Duty 2011, comprise: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion and belief; sex; sexual orientation. In addition to this list the Arts Council also observes class/socio-economic status

## **Decision making**

Once we have scored your application and a recommendation has been made whether to fund it, we will make our decision. To do this we will consider how strongly your activity scored against our criteria, any balancing criteria we have outlined above, and will also consider your activity alongside other applications to the fund.

## **Complaints procedure**

If you are not happy with the way we have dealt with your application, please contact us and we will discuss this with you. If you are still unhappy, you can ask us for a copy of our complaints procedure.

Details can be found in [Making a complaint](#), which is available on our website, [www.artscouncil.org.uk](http://www.artscouncil.org.uk), or by contacting our enquiries team by email to [enquiries@artscouncil.org.uk](mailto:enquiries@artscouncil.org.uk) or by phoning 0845 300 6200.

Please note that you can only complain if you believe we have not followed our published procedures when assessing your application. You cannot appeal against the decision.

## **Section seven – Freedom of Information Act**

The Arts Council is committed to being as open as possible. We believe that the public has a right to know how we spend public funds and how we make our funding decisions.

We are also listed as a public authority under the Freedom of Information Act 2000. By law, we may have to provide your application documents and information about our assessment to any member of the public who asks for them under the Freedom of Information Act 2000.

We may not release those parts of the documents which are covered by one or more of the exemptions under the Act. Please see the Freedom of Information website at [www.ico.gov.uk](http://www.ico.gov.uk) for information about freedom of information generally and the exemptions.

We will not release any information about applications during the assessment period, as this may interfere with the decision-making process.

## **Contact us**

Arts Council England  
The Hive  
49 Lever Street  
Manchester  
M1 1FN

**Website:** [www.artscouncil.org.uk](http://www.artscouncil.org.uk)  
**Phone:** 0845 300 6200  
**Email:** [enquiries@artscouncil.org.uk](mailto:enquiries@artscouncil.org.uk)  
**Textphone:** +44(0) 161 934 4428