

Commissioning Better Outcomes and The Social Outcomes Fund

Expression of interest form



Cabinet Office

About this form

To use this form you need Adobe Reader version 10.0 or above installed on your computer.

- If you have an earlier version or use other software the form won't work properly.
- Follow this link to get the latest version of Adobe Reader, which is free to install and use.

Before you start

Make sure you've saved the form to your own computer before you start to fill it in.

Filling in the form

You must answer all of the questions in this form.

Sending us your form

Email a copy of this form to soutcomesfunds@biglotteryfund.org.uk or post it to:

Big Lottery Fund
2 St James Gate
Newcastle upon Tyne
NE1 4BE

Deadline

Your form must reach us before 30 June 2015. We won't accept any expressions of interest after this.

Awards will be made on an ongoing basis. You can expect to get a decision within four weeks of submitting your Expression of Interest.

Commissioning Better Outcomes and the Social Outcomes Fund

Further copies available from:

Email sioutcomes.funds@biglotteryfund.org.uk
Phone 0845 4 10 20 30
Our website www.biglotteryfund.org.uk/sioutcomesfunds

Accessibility

Please contact us to discuss any specific communication needs you may have.

About the Big Lottery Fund

The Big Lottery Fund's equality principles

Promoting accessibility; valuing cultural diversity; promoting participation; promoting equality of opportunity; promoting inclusive communities; reducing disadvantage and exclusion. Please visit our website for more information.

We care about the environment

The Big Lottery Fund is working towards sustainable development and the use of sustainable resources.

Our mission

The Big Lottery Fund is committed to bringing real improvements to communities and the lives of people most in need.

Our values

The Big Lottery Fund has identified three values that underpin our work: making best use of Lottery money, using knowledge and evidence and being supportive and helpful.

You can find out more about the Big Lottery Fund, our values and the funding programmes we run by visiting our website: www.biglotteryfund.org.uk

The Big Lottery Fund is committed to valuing diversity and promoting equality of opportunity, both as a grantmaker and employer. The Big Lottery Fund will aim to adopt an inclusive approach to ensure grant applicants and recipients, stakeholders, job applicants and employees are treated fairly.

About the Cabinet Office

The Cabinet Office exists to support the Prime Minister and Deputy Prime Minister, and ensures the effective running of government. We are also the corporate headquarters for government, in partnership with HM Treasury, and we take the lead in certain critical policy areas. Within the Cabinet Office the Social Investment and Finance team supports the UK social investment market to grow by:

- Increasing the supply of capital into the market – for example, through developing the potential for retail investment, and promoting London as a global hub for social investment
- Growing the demand for capital – for example, through increasing the capacity and capability of social enterprises to take on investment, as well as supporting the development of SIBs through our specialist Centre for Social Impact Bonds
- Creating an enabling environment for investment to occur – for example, through tackling the regulatory barriers to social investment in the UK and exploring new legal forms of investment structures to catalyse the market

You can find out more about the Cabinet Office and our social investment work here:

www.gov.uk/government/policies/growing-the-social-investment-market

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What makes a good expression of interest?

We strongly recommend you read through the guidance in our [About Commissioning Better Outcomes and the Social Outcomes Fund](#) document in full before starting to fill in the form. You can find a copy at www.biglotteryfund.org.uk/sioutcomesfunds

When we assess your expression of interest we'll be looking for:

- Part one: high-level information about what you want to do.
- Part two: the social issue you want to address.
- Part three: who will be commissioning the intervention.
- Part four: how you plan to measure the outcomes.
- Part five: the potential intervention and how it will work.
- Part six: any social investment involved.

What happens when?

We will assess expressions of interest based on the information contained within the form. You can expect to hear from us within four weeks. If we decide to approve your expression of interest you can work with our support contractor to identify any development needs and if required, you can apply for development funding to purchase technical support before submitting a full application. More information about the next stages of the process can be found in our programme guide [About Commissioning Better Outcomes and the Social Outcomes Fund](#).

Part one: Your project

1.1 What would you like to call your project?

Give your project a short title, something we can use in publicity.

You can write up to 40 characters (including spaces).

1.2 What does your project involve?

Summarise what you plan to do, using straightforward language.

You can write up to 3,300 characters (about 500 words).

1.3 When are you planning to start and finish the intervention?

Make sure the dates you put fit with the key dates in our guide About Commissioning Better Outcomes and the Social Outcomes Fund and your start date is after the date when we'll confirm our decision.

Start date (dd/mm/yyyy) Finish date (dd/mm/yyyy)

1.4 When do you expect to start and finish the outcomes payments?

Make sure the dates you put fit with the key dates in our guide About Commissioning Better Outcomes and the Social Outcomes Fund and your start date is after the date when we'll confirm our decision.

Start date (dd/mm/yyyy) Finish date (dd/mm/yyyy)

1.5 How much will your project cost and how much do you want from us?

Use this table to tell us the maximum possible outcomes payments and how much of this you are asking for from us.

	Year one (£)	Year two (£)	Year three (£)	Year four (£)	Year five (£)	Year six (£)	Total (£)
	maximum possible outcomes payments						
maximum possible outcomes payments							
maximum outcomes payments from us							

1.6 Where are the people or organisations who will benefit from your project based?

Give the main local authority areas where the people or organisations who will benefit live or are based.

- If the people or organisations are in one area only, complete one row and put 100 per cent.
 - If the people or organisations are in more than one area, add more rows and estimate a percentage for each one.
 - If your project covers a large area, give the country or countries (or if applicable the regions) instead.
- You can enter up to 20 areas in the table. If there are more than this select the top 20.

Local authority name	% per area
Total	

Part two: The social issue

Proposals must address a deep-rooted and complex social issue and aim to significantly improve outcomes in this area. It must be complex in that it must affect multiple parts of the public sector. Examples include offending, problem drug use or youth unemployment.

It must also be possible to target a particular group of people to intervene with – the ‘cohort’. This cohort does not have to be fully developed at this stage but you should give us an idea of how the group will be defined through, for example, clear criteria or a referral pathway.

You should reference existing interventions that support the cohort and explain why further services are needed.

2.1 What is the social issue you are seeking to address?

Tell us about:

- the social issue
- the target group to be worked with
- the current service need the intervention seeks to address and the services currently being provided.

You can write up to 3,300 characters (about 500 words).

Part three: The commissioner

The commissioner is critical in a SIB because they provide the majority of outcome payments. Typically, the commissioner is the organisation which bears a large proportion of the costs associated with the cohort and has the potential to make savings if an intervention is successful.

In complex policy areas costs fall across multiple commissioners. As a result, multiple commissioners may benefit from achieving better outcomes. Potential co-commissioners, who might also benefit from the outcomes, should be identified and approached to see if they would be interested in contributing to outcomes payments.

If an expression of interest is not submitted by a commissioner it should at least identify a potential commissioner.

3.1 Who will be commissioning the intervention?

Tell us which organisation will act as lead commissioner and if there are any co-commissioners. If there are no co-commissioners please tell us about any discussions you have had, or intend to have, with organisations who might be interested in co-commissioning.

You can write up to 2,000 characters (about 300 words).

Part four: Measuring the outcomes

A key part of constructing a SIB is how the target cohort and outcomes are measured, as this is the basis upon which payments are made. Identifying suitable metrics will determine whether a PbR or SIB mechanism is the right one for addressing the social issue.

You should explain how outcomes will be measured. Is there a national database which will automatically record outcomes? Or does it require a new data gathering mechanism? Is data produced frequently enough to make outcomes payments?

The measure should be robust enough for the commissioner to make payments based on it. It should also effectively capture the social outcomes. This means that the outcome measure should be as close as possible to the desired social outcome. For example, using one year reconvictions as a proxy for reducing longer term reoffending relates the outcome measure (one year reconvictions) to the social outcome (reducing reoffending).

In addition to robust measurement of the outcomes there should be some measure of what would have happened in the absence of an intervention. This can take various forms such as comparing outcomes against a similar group of people that didn't undergo the intervention (a counterfactual) or a comparison with historic data (a baseline). Measuring this allows the commissioner to pay only for the actual impact of the intervention rather than for outcomes that would have happened anyway.

You should also consider the risk that underlying service provision will change and affect your ability to measure the outcomes of any intervention (by making it unclear if the difference was caused by the intervention or other changes to services). Note that such changes may be relatively minor in the event of quite intense intervention and may be manageable through the use of a comparison group or methodology that takes such changes into account.

4.1 Can the suggested outcomes be measured?

Tell us:

- what the outcomes are and how they will be measured
- the robustness of the data source for outcome measurement
- what counterfactual or baseline the outcomes will be compared with and how robust this measure is.

You can write up to 4,400 characters (about 700 words).

A perverse incentive occurs when outcome payments could incentivise action which has a detrimental effect on the social outcomes. For example, if social workers are paid to reduce the flow of families into a family intervention programme they have an incentive not to refer families even if it is in the family's best interest. Examples of mitigating perverse incentives include ensuring that people involved with data or service level decisions are not paid according to the outcomes delivered, or ensuring that statutory obligations stay outside the SIB activities.

4.2 Are there any perverse incentives caused by the proposed outcome measures?

Tell us what they might be and how they will be managed or mitigated.

You can write up to 2,000 characters (about 300 words).

The target group is likely to have relatively poor outcomes and as a result create or be expected to create present and future costs for the public sector. These should be detailed below including where they fall. Savings that do not fall to the commissioner should be detailed to show the wider savings of the proposition and further demonstrate the need for a top up. Savings estimates should be as rigorous as possible although we recognise that some could be at a high level at this stage.

Savings are likely to fall into two categories: 'costs avoided' and 'cashable savings'. Costs avoided are savings brought about by a commissioner not having to pay for something in the future. For example, an intervention that reduces the number of children going into care avoids future costs being incurred but will not show up as a saving in the local authority's accounts (unless this future flow has been budgeted for). A cashable saving, on the other hand, can be identified in the local authority's accounts. For example, if an intervention leads to a child leaving care there is an identifiable saving that would not have existed otherwise. Proposals should demonstrate that some of the savings are cashable to the lead commissioner in the short term.

4.3 What are the potential savings to the public sector from achieving the outcomes?

Tell us:

- what the potential savings are
- what proportion are cashable?
- where the savings are likely to fall (both to the commissioner and wider)
- how savings can be realised
- what evidence you have based your estimated savings on.

You can write up to 3,300 characters (about 500 words).

4.4 What proportion of payments will be based on outcomes?

Tell us what proportion of payments will be based on the actual outcome sought as opposed to payments prior to the achievement of the outcome (e.g. fees for service).

You can write up to 3,300 characters (about 500 words).

Part five: The intervention

You should describe a possible intervention that is likely to be able to achieve the social outcomes and detail example delivery providers. An estimate of the cost of the intervention should be included as this will be a key factor in assessing value for money. It would be useful to detail any provider interest in the proposition but it is not necessary to have a provider in place at this stage as this will be subject to the normal procurement rules. It is possible for commissioners not to have a particular intervention in mind and allow organisations which think they can deliver the social outcomes to bid for the contract. If this is the approach that will be taken please discuss potential interventions in the questions below.

5.1 What is the proposed intervention that will be used to address the social issue and what is the evidence for its effectiveness?

Tell us what the potential intervention is, how it will work, where it will take place and how long it will last. Also explain how effective the intervention is likely to be, based on the available evidence.

You can write up to 2,000 characters (about 300 words).

5.2 Are there potential providers in the market and how much would the intervention cost over the suggested life of the project?

Provide some examples of potential providers that could deliver interventions, including estimated costs and how these relate to your answer to question 1.5.

You can write up to 2,000 characters (about 300 words).

Part six: Social investment

The service provider you ultimately procure may not have the financial resources to wait until outcomes are achieved before they are paid, particularly if they come from the voluntary, community and social enterprise (VCSE) sector. Social investment can fill this gap.

Under Commissioning Better Outcomes, the Big Lottery Fund will only fund SIBs that have a clear emphasis on social outcomes resulting in long term gains, and that do not replicate or replace services that a public body has a statutory duty to provide. Commissioning Better Outcomes will only fund applications that involve social investment.

The Cabinet Office's Social Outcomes Fund aims to fund SIBs that lead to new and innovative service provision and enable service redesign. While the Social Outcomes Fund encourages applications that involve social investment it will also consider applications which are on a PbR basis, with particular regard given to propositions that generate savings for the public sector

6.1 If social investment is needed, is the proposed opportunity attractive to the investor market and is there existing interest?

Tell us why the proposal will be attractive to the social investment market. For example, what are the risks of the proposal from an investor perspective, including those associated with the evidence for the intervention, amount of capital required and time frames for investment and payments? Tell us about any investors you've spoken to about your proposal.

You can write up to 3,300 characters (about 500 words).

Part seven: Your details

7.1 Organisation details

What is the full legal name of your organisation, as shown on your governing document?

7.2 Does your organisation use a different name in your day to day work?

Yes No

What other name do you use?

7.3 What is the main or registered address for your organisation?

Flat number

Building number

Building name

Street

Town or city

Postcode

Phone number one* (or textphone)

Phone number two* (or textphone)

*At least one of these must be a landline phone number

7.4 What is the main email address for your organisation?

This should be the email address people use to contact your organisation.

7.5 Does your organisation have a website?

Yes No

What is its address?

7.6 What sector does your organisation fit into?

- Public sector
- Private sector
- Voluntary and community sector
- Other – please describe your organisation in the space below

7.7 Give any reference or registration numbers you have.

Charity Commission for England and Wales

Companies House

Financial Conduct Authority

Health Authority number

School reference number

Other reference or registration number

Please give details

If your organisation is unincorporated and not registered as a charity, you'll need to send us a copy of your governing document with your application form.

7.7 What is your organisation's current financial position?

Select one option and fill in the amounts from your accounts or projection.

- Information from the latest accounts approved by your organisation.
- 12 month projection because you've been running less than 15 months.

Account year ending (dd/mm/yyyy)

Total income for the year

 £

Total expenditure for the year

 £

Surplus or deficit at the year end

 £

Total savings or reserves at the year end

 £

Where can we find your latest accounts?

- BIG already has our latest accounts.
- We're sending our accounts with this form, or a projection if we've been running less than 15 months.

Send your accounts with this form. You can send a summary if you are a statutory body, your accounts are more than 50 pages long, or the file size is more than 2MB.

Have your accounts been independently audited?

- Yes
- No

Give the name and address of your auditor

7.8 When was your organisation set up?

Give the date when your organisation adopted its current legal status (dd/mm/yyyy).

7.9 What is your VAT status?

- VAT registered
- Not VAT registered

If you are VAT registered, what is your registration number?

7.10 Is your organisation independent, or a branch or department of a larger organisation?

- Independent
 Branch or department

If you are a dependant branch, please provide the name and address of the larger organisation as they may have some legal responsibility if we award you a grant. You must also send us a letter of endorsement from your parent organisation.

Name

Address

7.11 How many people are on the committee that runs your organisation?

Primary contact details

7.13 Who should we contact if we have questions about your application?

They must be someone who runs or works for your organisation. We need their date of birth and home address for our standard fraud prevention checks.

Title	Forenames	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Date of birth

Job title or position

Home address

Flat number	<input type="text"/>
Building number	<input type="text"/>
Building name	<input type="text"/>
Street	<input type="text"/>
Town or city	<input type="text"/>
Postcode	<input type="text"/>

Phone number one* (or textphone)

Phone number two* (or textphone)

*At least one of these must be a landline phone number

Email address (if applicable) <input type="text"/>	Web address (if applicable) <input type="text"/>
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Address for correspondence, including postcode. Write 'as above' if this is the same as the organisation's registered address in question 7.3.

Flat number	<input type="text"/>
Building number	<input type="text"/>
Building name	<input type="text"/>
Street	<input type="text"/>
Town or city	<input type="text"/>
Postcode	<input type="text"/>

If the address for correspondence is different from the organisation's registered address in question 7.3, please tell us why.

Tell us about any particular communication needs your main contact has. This might include textphone, sign language, large print, audiotape, Braille or a community language.

We'd like to send you information about Big Lottery Fund and other Lottery good causes.

Tick this box if you don't want to receive this information.

We'd like you to help us improve our customer service by taking part in market research, surveys or product testing. This may involve passing your details to other organisations who do this work for us. Tick this box if you don't want to take part in these activities.

Legally Responsible Contact

7.14 Who in your organisation will be legally responsible for the funding?

- For companies they should be a director or the company secretary.
- For schools they should be your head teacher.
- For local authorities and health bodies they should be your chief executive or a director.
- For town, parish or community councils they should be the clerk to the council (or office bearer)
- For all other types of organisations they should be your chair, vice chair or treasurer.

They must be over 18 years old and can't be the same as the person we should contact if we have questions about your application. We need their date of birth and home address for our standard fraud prevention checks.

Title

Forenames

Surname

Date of birth

Job title or position

Home address

Flat number

Building number

Building name

Street

Town or city

Postcode

Phone number one* (or textphone)

Phone number two* (or textphone)

*At least one of these must be a landline phone number

Email address (if applicable)

Web address (if applicable)

Address for correspondence, including postcode. Write 'as above' if this is the same as the organisation's registered address in question 7.3.

Flat number

Building number

Building name

Street

Town or city

Postcode

If the address for correspondence is different from the organisation's registered address in question 7.3, please tell us why.

Tell us about any particular communication needs your main contact has. This might include textphone, sign language, large print, audiotape, Braille or a community language.

Declaration

Check the box to confirm that:

- the information you have given is accurate and true
- your application has been authorised by the governing body of your organisation
- your organisation has the legal power to deliver the project you have described in this form
- you understand that if you make misleading statements or withhold information at any point, your application will be invalid and you will be liable to repay any money you have received
- you agree we may use the information you have provided for the purposes described under Data Protection below
- you accept that if information about this application is requested under the Freedom of Information Act we will release it in line with our Freedom of Information Policies.

I agree

Name of legally responsible person

Data protection - Big Lottery Fund

We will use the information you give us during assessment and during the life of your grant (if awarded) to administer and analyse grants and for our own research purposes. We may give copies of all or some of this information to individuals and organisations we consult when assessing applications, administering the programme, monitoring grants and evaluating funding processes and impacts. These organisations may include accountants, external evaluators and other organisations or groups involved in delivering the project.

We may share information with organisations and individuals with a legitimate interest in Lottery applications and grants or specific funding programmes. We have a duty to protect public funds and for that reason we may also share information with other Lottery distributors, government departments, organisations providing matched funding or for the prevention and detection of crime.

Your information may be transferred to an IT service provider based outside the European Economic Area (EEA). If your information is transferred outside the EEA, we will ensure it is sufficiently protected.

We might use personal information provided by you in order to conduct appropriate identity checks. Personal information that you provide may be disclosed to a credit reference or fraud prevention agency, which may keep a record of that information.

If you provide false or inaccurate information in your application or at any point in the life of any funding we award you and fraud is identified, we will provide details to fraud prevention agencies, to prevent fraud and money laundering. You can obtain further details explaining how the information held by fraud prevention agencies may be used from our Customer Services, by emailing dataprotection@biglotteryfund.org.uk or by telephoning our advice line on 0845 4 10 20 30, or by writing to: Customer Services, Big Lottery Fund, 2 St James Gate, Newcastle upon Tyne, NE1 4BE.

We might use the data you provide for research purposes. We recognise the need to maintain the confidentiality of vulnerable groups and their details will not be made public in any way, except as required by law.

Data Protection - Cabinet Office

Your signatures on this form will be taken as a confirmation of your understanding of our obligations under the Data Protection Act 1998 and the Freedom of Information Act 2000 and your acceptance that (i) the Cabinet Office may use and share personal data supplied by you in accordance with paragraph 5.1 and (ii) the Cabinet Office will not be liable for any loss or damage to you pursuant to our fulfilment of our obligations under the relevant law.

As per standard Cabinet Office procedure, Cabinet Office will use the information provided to assess, administer and analyse propositions and for government research purposes. Cabinet Office may give copies of all or some of this information to individuals and organisations consulted when assessing applications, administering the programme, monitoring payments and evaluating funding processes and impacts. Cabinet Office will make some data from propositions awarded funding public. see our open data policy at

www.biglotteryfund.org.uk/sioutcomesfunds or contact us at sioutcomes.funds@biglotteryfund.org.uk

Cabinet Office might use personal information provided by bidders in order to conduct identity checks.

Your information may be transferred to an IT service provider based outside the European Economic Area (EEA). If your information is transferred outside the EEA, we will ensure it is sufficiently protected.

If you provide false or inaccurate information in your application or at any point in the life of any funding we award you and fraud is identified, we will provide details to fraud prevention agencies, to prevent fraud and money laundering. You can obtain further details explaining how the information held by fraud prevention agencies may be used from our Customer Services, by emailing dataprotection@biglotteryfund.org.uk or by telephoning The Big Lottery Fund's advice line on 0845 4 10 20 30, or by writing to:
Customer Services, Big Lottery Fund, 2 St James Gate, Newcastle upon Tyne, NE1 4BE.

Freedom of Information Act

The Freedom of Information Act 2000 gives members of the public the right to request any information that we hold. This includes information received from third parties, such as, although not limited to grant applicants, grant holders, contractors and people making a complaint. If information is requested under the Freedom of Information Act we will release it, subject to exemptions; although we may choose to consult with you first. If you think that information you are providing may be exempt from release if requested, you should let us know when you apply.