

**GRANT AGREEMENT**

**between**

**THE SECRETARY OF STATE FOR THE HOME DEPARTMENT**

**and**

**POLICE, FIRE AND CRIME COMMISSIONER FOR ESSEX**

**ASB HOTSPOT RESPONSE PILOTS**

**FOR THE PERIOD 01 APRIL 2023 TO 31 MARCH 2024**

**HOME OFFICE  
NEIGHBOURHOOD CRIME UNIT  
2 Marsham Street  
London SW1P 4DF**

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## **GLOSSARY OF TERMS**

ASB	Anti - Social Behaviour
ASBAP	ASB Action Plan
ASBHR	ASB Hotspot Response
DLUHC	Department for Levelling Up, Housing and Communities
HO	Home Office
IJ	Immediate Justice
PCC	Police and Crime Commissioner
PFA	Police Force Areas

# HOME OFFICE GRANT TERMS AND CONDITIONS

This **Grant Agreement** is made on **18/07/2023**

## **Between:**

- (1) The Secretary of State for the Home Department acting on behalf of the Crown through the Home Office's Neighbourhood Crime Unit whose principal address is at 2 Marsham Street, London SW1P 4DF (the "**Authority**")

## **AND**

- (2) Police, Fire and Crime Commissioner for Essex whose principal address is at Kelvedon Park, London Road, Essex, CM8 3HB (the "**Recipient**").

## **IN RELATION TO THE PURPOSE:**

**Scheme Name:** Anti-Social Behaviour (ASB) Hotspot Response Pilots

**Scheme Reference:** 691

**Scheme Description:** The ASB Action Plan was published on 27th March 2023, a key part of HMG's Levelling Up agenda, specifically the missions to improve pride of place and to reduce crime. As part of the Action Plan, the Government announced a suite of initiatives to tackle ASB locally. This includes the ASB hotspot response which initially involves 10 police force areas in 2023/24 piloting ASB hotspot approaches ahead of wider rollout.

Funding for FY23/24 is aimed at testing the delivery of new ASB Hotspot Response pilots, prior to rollout across England and Wales in FY24/25. The funding will pay to guarantee additional patrols or other presence in a specific area at specific times when ASB is most prevalent, as fully detailed in Schedule 1 and (the "**Purpose**") Annex D

## **Introduction**

- 1.1. The Authority is exercising the power conferred to it by the Criminal Justice and Public Order Act 1994 (Section 169) to make awards of grant funding.
- 1.2. This agreement (the "**Grant Agreement**") sets out the legally binding terms and conditions which apply to the Authority providing the Grant and to the Recipient receiving the Grant. It consists of twenty-five (25) Clauses, six (6) Schedules and nine (9) Annexes.
- 1.3. It is supplementary to the Grant Funding Letter (as defined below) and replaces any previously agreed grant terms and conditions for between the Authority and the Recipient to deliver ASB Hotspot Response pilots.

- 1.4. The Fund will reduce ASB in prevalent areas in both England and Wales. Resultantly, the Recipient and its Delivery Partners must be cognisant of, and act in accordance with, any devolved policy bulletins, enactments, orders, statutes, regulations or other similar instruments as appropriate. For example, where the Purpose is delivered in Wales, whether wholly or partially, it must be provided in such a way as to not treat the Welsh language less favourably than English, in accordance with the Welsh Language (Wales) Measure 2011.

## Definitions and Interpretations

2.1. In this Grant Agreement:

“**Advance of Need**” means a payment made ahead of the relevant expenditure being identified;

“**Annex**” means the annexes attached to this Grant Agreement;

“**Asset**” means any Tangible Asset or Intangible Asset which cost more than Capitalisation Threshold;

“**Authorised Representatives**” means the duly authorised officers, directors, employees etc of either Party as recorded in Annex C;

“**Background IPRs**” means any pre-existing Intellectual Property Rights (IPRs) vested in or licensed to either Party prior to the award of this Grant Agreement and/or created by either Party independently of the Purpose and/or without the Grant;

A “**Beneficiary**” means relevant areas within police force areas (PFAs) identified by PCCs as requiring hotspot response

“**Branding Manual**” means the HM Government of the United Kingdom of Great Britain and Northern Ireland’s Branding Manual ‘Funded by UK Government’<sup>1</sup> first published by the Cabinet Office in November 2022, including any subsequent updates from time-to-time;

“**Bribery Act**” means the Bribery Act 2010 and any subordinate legislation made under that Act from time to time together with any guidance or codes of practice issued by the relevant government department concerning this legislation;

A “**Calendar Day**” means any calendar day, Sunday through Saturday inclusive;

“**Capitalisation Threshold**” means the minimum value for expenditure inclusive of irrecoverable VAT which meets the criteria of an Asset for expenditure to be capitalised in accordance with the Recipient’s financial policy;

“**Change of Control**” means the sale of all or substantially all the assets of a Party; any change to a Recipient’s constitution, legal form or membership structure; any merger, consolidation or acquisition of a Party with, by or into another corporation, entity or person, or any

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<sup>1</sup> <https://gcs.civilservice.gov.uk/guidance/marketing/branding-guidelines/>

change in the ownership of more than fifty percent (50%) of the voting capital stock of a Party in one or more related transaction;

**“Civil Society”** (as defined in the Civil Society Strategy) means individuals and organisations when they act with the primary purpose of creating social value, independent of state control. By social value we mean enriched lives and a fairer society for all;

**“Civil Society Strategy”** means the strategy that sets out how government will work with and support civil society in the years to come, so that together we can build a country that works for everyone;

**“Clause”** means the clauses in these Terms and Conditions which form part of this Grant Agreement;

**“Commencement Date”** means the date on which the Grant Agreement comes into effect and from which Eligible Expenditure may be claimed, being the 01 April 2023;

**“Commercially Sensitive Information”** means information of a commercially sensitive nature that may cause the Recipient significant commercial disadvantage or material financial loss relating to the (a) pricing of the Grant Agreement, (b) Recipient’s IPRs, and (c) Recipient’s own business and investment plans;

A **“Critical Incident”** means any incident where the outcome or consequence of that incident is likely to result in serious harm to any individual; or significant community impact; or significant impact on public confidence in the Authority, including the provision of the Purpose;

**“Crown Body”** (or **“Crown”**) means the governments of the United Kingdom (including the Northern Ireland Assembly and Executive Committee, the Scottish Executive and the National Assembly for Wales), including, but not limited to, ministers and departments and particular bodies, persons, commissions, or agencies from time-to-time carrying out functions on its behalf;

**“Data Incident”** means any circumstance which results in the loss, theft or inappropriate disclosure of information obtained as a result of pursuing the Purpose to a Third Party whether by accident or intention;

**“Data Protection Legislation”** means (i) the UK GDPR, (ii) the Data Protection Act 2018 (‘DPA 2018’) to the extent that it relates to the processing of Personal Data and privacy, (iii) all applicable Law about the processing of Personal Data and privacy, and (iv) (to the extent that it applies) the EU GDPR;

**“Delivery Partner”** means any Third Party, who is not a Beneficiary, whether an organisation or an individual, working with the Recipient, and remunerated by the Recipient from the Grant, to deliver the Purpose;

**“Delivery Proposal”** means the Recipient’s proposal at Annex D for achieving the Authority’s objectives as described in Schedule 1;



**“Disposal”** means the disposal, sale, or transfer of an Asset or any interest in any Asset and includes any contract for disposal;

**“Domestic Successor”** means, as the context requires, either:

- (a) a body that takes over the functions of the European Commission in the United Kingdom following its withdrawal from the European Union; or
- (b) the relevant court in England which takes over the functions of the Court of Justice of the European Union in England following its withdrawal from the European Union;

**“Duplicate Funding”** means funding received by the Recipient from a Third Party (including a Crown Body) which is intended to be used to deliver the Purpose, and which has not been declared to the Authority. Alternate sources of funding where declared and accepted as Supplementary Funding will not be considered Duplicate Funding but instead Match Funding so long as the Recipient can demonstrate what additionality (sustainability; volumes; scope; geography etc) this enables the Purpose to achieve;

**“Eligible Expenditure”** means all costs, expenses, liabilities and obligations that are related to, incurred by or arise out of the delivery, activities and operations of the Purpose by the Recipient from the Commencement Date, and which comply in all respects with the eligibility rules set out in this Grant Agreement as determined by the Authority at its sole discretion;

**“EU General Data Protection Regulation”** (‘EU GDPR’) means Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of Personal Data and on the free movement of such data as it has effect in EU law;

A **“Finance Officer”** means a treasurer, finance officer or other officer of equivalent standing of the Recipient, and a Senior Finance Officer shall hold suitable position and authority;

The **“Funding Period”** means the period for which the Grant is provided from the Commencement Date to 31 March 2024;

The **“Grant”** means the grant payable by the Authority to the Recipient under the terms of this Grant Agreement, the amount of which (the **“Grant Amount”**) payable in [GBP (£) Sterling)] shall not be more than one million and fifty thousand pound (£1,050,000)

**“Grant Claim”** means a payment request submitted on the form found at Annex A by the Recipient to the Authority detailing its claim for Eligible Expenditure;

**“Grant Fraud”** means deliberately obtaining grant funding that a person or organisation, whether the Recipient, its Staff, Delivery Partners or Third Party would not be entitled to by making a false declaration or failing to report material changes;

The “**Grant Funding Letter**” means the letter dated 27 March 2023 from the Authority to the Recipient which sets out supplementary information in relation to the Grant, a copy of which is set out in Annex G;

“**Grant Sponsor**” means the individual who has been nominated by the Authority to be the principal point of contact for the Recipient in relation to the Grant Agreement and whose name is recorded in Annex C;

A “**Grant Variation Notice**” means the official communication notifying the Parties and specifying the changes that have been made to the Grant Agreement and recorded at Annex F;

“**In Writing**” means modes of representing or reproducing words in visible form including but not limited to paper correspondence, email, display on screen and electronic transmission;

“**Ineligible Expenditure**” means expenditure which has not been used for purposes compliant with the terms of the Grant Agreement and is not accepted as Eligible Expenditure. Specific exclusions are further detailed in Annex E;

“**Information Acts**” means the Data Protection Legislation, Freedom of Information Act 2000 (‘FOIA’), the Environmental Information Regulations 2004 (‘EIR’) and any subordinate or amended legislation made under these Acts from time to time together with any guidance or codes of practice issued by the relevant government department(s) concerning the legislation;

“**Intangible Asset**” means any asset (either as a single or as a batch) without physical substance but which is identifiable and controlled through custody or legal rights, for example, most commonly (but not limited to) software licences, quotas, patents, copyrights, franchises and trademarks purchased, donated or developed together, which cost more than the Capitalisation Threshold; and has an economic life of twelve (12) Months or more; and is purchased, developed or maintained wholly or partially using the Grant;

“**Intellectual Property Rights**” or “**IPRs**” means copyright, rights related to or affording protection similar to copyright, rights in databases, patents and rights in inventions, semi-conductor topography rights, trade marks, branding, rights in Internet domain names and website addresses and other rights in trade names, designs, know-how, trade secrets, and any modifications, amendments, updates and new releases of the same and all similar or equivalent rights or forms of protection which subsist or will subsist now or in the future in any part of the world and any other rights in Commercially Sensitive Information;

“**Law**” means any applicable law, statute, bye-law, regulation, order, regulatory policy, guidance or industry code, judgment of a relevant court of law, or directives or requirements of any regulatory body, delegated or subordinate legislation;

**“Losses”** means all losses, liabilities, damages, costs, expenses (including legal fees), disbursements, costs of investigation, litigation, settlement, judgment, interest and penalties whether arising in contract, tort (including negligence), breach of statutory duty, misrepresentation or otherwise and **Loss** will be interpreted accordingly;

**“Match Funding”** means any contribution whether cash or in kind offered by, or required of, the Recipient and agreed prior to the signature of the Agreement towards the cost of achieving the Purpose;

A **“Mediator”** means any independent person/body appointed by both Parties to mediate upon any dispute;

A **“Month”** means any calendar month;

An **“Outturn Statement”** means the detailed end of year monitoring report template found at Annex B to be submitted by the Recipient to the Authority containing a full breakdown of expenditure and income for the entire Funding Period;

A **“Party”** means a signatory to this Grant Agreement;

**“Personal Data”** has the meaning given to it in the Data Protection Legislation;

**“Remedial Action Plan”** means the plan of action submitted by the Recipient to the Authority pursuant to the process set out in Clauses 17.3 to 17.9.

**“Schedule”** means the Schedules attached to this Grant Agreement;

**“Scheme Manager”** means the individual who has been nominated by the Recipient to be the principal point of contact for the Authority in relation to the Grant Agreement and whose name is recorded in Annex C;

**“Social Value”** means the Authority’s commitments to delivering Value for Money, environmental and social benefits, Net Zero by 2050, efficient use of resources, greater social inclusion, support for innovation, better risk management and improved supplier relationships. These principles are underpinned by the obligations laid down in in the [Social Value Act 2012](#), the [Modern Slavery Act 2015](#) and the [Equality Act 2010](#);

**“Staff”** means any person employed or engaged by the Recipient and acting in connection with the operation of this Grant Agreement including the Recipient’s owners, directors, members, trustees, employees, agents, suppliers, volunteers and Delivery Partners (and their respective employees, agents, suppliers and Delivery Partners)

**“State Aid Law”** means the law embodied in Articles 107- 109 of the Treaty on European Union and the Treaty for the Functioning of the European Union and any related legislation adopted by the Council, European Parliament and/or the Commission (including implementing legislation) decisions and communications to the extent it applied or continues to apply at any time in the United Kingdom;

**“Supplementary Funding”** means any contribution not identified at the point of signature that is subsequently offered by the Recipient, or by a Third Party to the Recipient, towards fulfilment of the Purpose intended to meet the balance of any expenditure not supported by the Grant and notified to the Authority in accordance with Clause 10.10;

**“Tangible Asset”** means any physical item or group of items, including (but not limited to) land, buildings, plant and equipment, that is purchased, donated or developed together, which cost more than the Capitalisation Threshold; and has an economic life of twelve (12) Months or more; and is purchased, developed or maintained wholly or partially using the Grant;

**“Third Party”** means any party whether person or organisation other than the Authority or the Recipient;

**“UK General Data Protection Regulations”** (‘UK GDPR’) means Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (UK GDPR), as it forms part of the law of England and Wales, Scotland and Northern Ireland by virtue of section 3 of the European Union (Withdrawal) Act 2018, together with the Data Protection, Privacy and Electronic Communications (Amendments etc.) (EU Exit) Regulations 2019;

**“UK Subsidy Control Regime”** means the United Kingdom’s international commitments and obligations in relation to the award of subsidies;

**“Unspent Monies”** means any of the Grant which remains unspent and uncommitted at the end of a Funding Period or because of termination or breach of these Conditions; for avoidance of doubt Supplementary Funding will neither be considered as Grant or Unspent Monies;

**“Value for Money”** means securing the optimum combination of cost, quality and effectiveness, including relevant Social Value criteria over the whole period of use; it does not mean minimising upfront prices i.e. the lowest or cheapest option; and

A **“Working Day”** means any day from Monday to Friday (inclusive) which is not specified or proclaimed as a bank holiday in England and Wales pursuant to section 1 of the Banking and Financial Dealings Act 1971 including Christmas Day and Good Friday.

- 2.2. In this Grant Agreement, unless the context otherwise requires:
- a. References to the singular include the plural, and vice versa;
  - b. References to a gender include the other gender and the neuter;
  - c. References to a person include an individual, company, body corporate, corporation, unincorporated association, firm partnership or other legal entity or Crown Body;

- d. References in this Grant Agreement to Clauses, Appendices, Annexes and the Schedule are references to the clauses, sub-clauses, appendices annexes and schedule to this Grant Agreement;
  - e. The headings in this Grant Agreement are for ease of reference only and shall not affect the interpretation or construction of this Grant Agreement;
  - f. References to an Act of Parliament or any Law shall be deemed to include any subordinate legislation of any sort made, or as amended, extended, consolidated or re-enacted from time to time under that Act;
  - g. Any references to policy bulletins, enactments, orders, statutes, regulations or other similar instruments shall be construed as a reference to the policy bulletin, enactment, order, statute, regulation or instrument as amended or replaced by any subsequent policy bulletin, statute, enactment, order, regulation, or instrument;
  - h. the words "including", "other", "in particular", "for example" and similar words will not limit the generality of the preceding words and will be construed as if they were immediately followed by the words "without limitation";
  - i. Nothing in this Grant Agreement shall be deemed to constitute a partnership or agency relationship between the Parties at any time.
- 2.3. Where there is any conflict between the documents that make up this Grant Agreement the conflict shall be resolved in accordance with the following order of precedence:
- 2.3.1. the Terms and Conditions within this Grant Agreement;
  - 2.3.2. the Grant Funding Letter (Annex G);
  - 2.3.3. the Schedules;
  - 2.3.4. the Annexes (excl. Annex G).

## **Grant Offer**

- 3.1. Subject to the Recipient complying with this Grant Agreement, the Authority offers to reimburse the Recipient as a contribution towards its Eligible Expenditure incurred from the Commencement Date. The Grant must be paid into a bank located in the UK.
- 3.2. The Recipient acknowledges that the Authority agrees to fund it only for the Grant Amount, the Funding Period and for the Purpose specified in this Grant Agreement and the Grant Funding Letter.

## **Grant Amount**

- 4.1. The Authority has agreed funding of up to the Grant Amount; the Grant Amount will not be increased in the event of any overspend by the Recipient in its delivery of the Purpose.
- 4.2. It is the Recipient's responsibility to ensure that its receipt, management and expenditure of the Grant complies with all tax requirements in force at the time and for the duration of the Grant Agreement.
- 4.3. The Recipient acknowledges that the Grant and any Eligible Expenditure claimed are not paid as a consideration for any taxable supply for VAT purposes. The Grant Amount and any Eligible Expenditure claimed are therefore deemed to be inclusive of all VAT chargeable, and the Parties agree that the Authority's obligation does not extend to paying any additional amounts in respect of VAT.
- 4.4. The Recipient acknowledges that unless explicitly agreed by the Authority In Writing and in advance, the Grant will not be used to meet the cost of any import, customs duties or any other taxes or similar charges applied by local governments or by non-UK governments or by any non-UK local public authority.

## **Timing of the Grant**

- 5.1. Grant Claims will be paid in accordance with the payment profile detailed in Schedule 2, within thirty (30) Calendar Days of the receipt and agreement of a correctly submitted Annex A and all supporting monitoring information as set out in Schedule 3.
- 5.2. The Authority shall have no liability to the Recipient for any Losses caused by a delay in the approval of, or amendment to, Eligible Expenditure howsoever arising.
- 5.3. In order for the Grant to be released, the Authority will require the Recipient to:
  - a. have signed and returned a copy of this Grant Agreement to the Authority, and
  - b. have provided the appropriate bank details, and
  - c. be in compliance with the Grant Agreement throughout the period for which Eligible Expenditure is being claimed.
- 5.4. Payment will be made by BACS using account details that the Recipient must supply to the Authority. The Recipient is responsible for ensuring that the Authority has been notified of its correct bank account details and any subsequent changes.
- 5.5. Original notification of, and all subsequent amendments to, the Recipient's bank details must be provided on its own headed notepaper duly signed by a Senior Finance Officer (see Annex I).

- 5.6. The Authority is not permitted to pay the Grant in Advance of Need. If the Authority reasonably believes that payment is being made in Advance of Need, it may change the timing and/or the amount of any outstanding Grant payments.
- 5.7. Nothing in this Grant Agreement shall oblige the Authority to reimburse claims against the Grant beyond the Funding Period.
- 5.8. Any request for payment relating to activities undertaken after the Funding Period shall be subject to the specific written approval of the Authority.

## **Managing the Grant**

- 6.1. Each Party shall record the contact details of their Authorised Representatives at Annex C. At a minimum these must be the Grant Sponsor and Scheme Manager.
- 6.2. The Recipient shall:
  - a. have a sound administration and audit process, including financial safeguards against fraud, theft, money laundering, counter-terrorist financing or any other impropriety or mismanagement in connection with the administration of the Grant,
  - b. ensure that the adequacy of the systems in place are subject to independent audit, the results of which must be shared with the Authority, and
  - c. ensure that appropriate professional arrangements are put in place for the management of the Grant and the reporting of expenditure.
- 6.3. The Recipient should take all necessary steps to ensure that the Grant is accounted for and monitored separately from the Recipient's other funding streams.
- 6.4. Monies and income derived from Third Parties as Supplementary Funding shall not constitute the Grant and will be accounted for, identified and reported on separately.
- 6.5. The Recipient may not vire (move) funds between this Grant and other grants made to it.
- 6.6. The Recipient shall account for the Grant on an accruals basis. This requires the cost of goods or services to be recognised when the goods or services are received, rather than when they are paid for.
- 6.7. In support of Grant Claims, and in accordance with the monitoring and reporting requirements detailed in Schedule 3, using the template at Annex A the Recipient shall provide the Authority with narrative reports detailing progress against Key Performance Indicators ('KPIs'); these should also include headline financial reconciliations highlighting spend and any significant financial variances, underspend or overspend.

- 6.8. Where an underspend is identified by the Recipient, the Authority may require that (i) a revised budget toolkit is submitted, and (ii) subsequent payment values noted in Schedule 2 are adjusted accordingly.
- 6.9. At the end of the Funding Period, the Recipient shall submit an Outturn Statement to the Authority. This Outturn Statement must:
  - a. be in the format set out in Annex B, and
  - b. be signed by a Senior Finance Officer.
- 6.10. The Authority may ask the Recipient to clarify any information provided to it. If so, the Recipient shall comply with any such request.
- 6.11. The Authority may at its discretion provide the Recipient with feedback on the adequacy of any report or claim and may also require the Recipient to re-submit a report or claim, having taken into account any issues raised in the Authority's feedback.
- 6.12. The Recipient shall promptly notify and repay to the Authority any overpayment or monies incorrectly paid to it. This includes (without limitation) situations where either an incorrect sum of money has been paid or where Grant has been paid in error before the Recipient has complied with all conditions attaching to the Grant. Any sum, which falls due under this clause 6.12, shall fall due immediately. If the Recipient fails to repay the due sum immediately, or within such timeframe as is otherwise agreed to by the Authority, the sum will be recoverable summarily as a civil debt.
- 6.13. At the end of each Funding Period, or upon termination howsoever caused, the Recipient shall ensure that all Unspent Monies are returned to the Authority, unless otherwise agreed In Writing by the Authority and at its sole discretion.
- 6.14. For the purposes of accounting, reconciliation and the repatriation of Unspent Monies at termination or at any other point provided for within this Grant Agreement, the Grant shall consist of:
  - a. all Grant monies paid to the Recipient,
  - b. all interest and returns generated from the investment of the Grant; and
  - c. the proceeds of the sale or Disposal of any Assets.
- 6.15. The Recipient shall have appropriate and proportionate contingency plans in place to ensure continuity of delivery of the Purpose, and the Authority shall have sight of these contingency plans and shall have the right to request assurance from the Recipient as to their implementation, where necessary, to ensure continuity of delivery of the Purpose.
- 6.16. The Recipient must ensure it has in place suitable measures for the orderly management of its business operations following the expiry or termination of this Grant Agreement howsoever caused. It shall prepare (and make available to the Authority) a plan which sets out the



provisions required to achieve a controlled closure of the programme in accordance with Schedule 4.

## **Records to be kept**

- 7.1. The Recipient shall maintain and operate effective monitoring and financial management systems, and keep a record of all:
  - a. Eligible Expenditure and retain all accounting records relating to the Eligible Expenditure for a period of at least seven (7) years after the end of the Funding Period. Accounting records should include: original invoices, receipts, minutes from meetings, accounts, deeds, interest accrued, returns on investments, income generated, Supplementary Funding received and any other relevant documentation, whether In Writing or electronic form, and
  - b. gifts, both given and received, in connection with the Purpose.
- 7.2. Where the Recipient is paying Grant monies to Delivery Partners, and any Delivery Partner(s) wish to retain such original documentation, the Recipient should obtain from the Delivery Partner(s):
  - a. certified copies of the accounting documents justifying income and expenditure incurred by the Delivery Partner(s) in relation to the Purpose,
  - b. an annual, written statement, signed by the Delivery Partner's treasurer or equivalent senior finance officer, of how the money was spent, and
  - c. a signed undertaking that the Delivery Partner will retain such documents for the period prescribed above.
- 7.3. Prior to purchasing capital assets the Recipient must contact the Home Office. Where the Grant is spent on Assets, the Recipient must:
  - a. maintain a register of such items. This register shall record as a minimum,
    - (i) the date the item was purchased,
    - (ii) description of the Asset,
    - (iii) location of the Asset,
    - (iv) the price paid,
    - (v) the date of Disposal,
    - (vi) proceeds of any Disposal net of VAT, and
  - b. provide proof of insurance coverage for the useful life of the relevant Asset, and
  - c. make the Assets available for inspection.
- 7.4. Assets will be the property of the Recipient for the duration of the Funding Period and must only be used in furtherance of the Purpose.

- 7.5. The Recipient shall undertake all necessary maintenance and upkeep activities including but not limited to the proper insurance, routine inspection, testing, maintenance, repair and refurbishment of such Assets.
- 7.6. The Recipient shall maintain records in relation to Assets which require active maintenance and will make them available to the Authority upon reasonable request.
- 7.7. On the expiry or termination of this Grant Agreement (howsoever caused), title in Assets acquired using the Grant shall remain with the Recipient, unless otherwise expressly agreed In Writing between the Parties.
- 7.8. Following an event as described in Clause 7.7, the Authority may offer to purchase the Asset(s) at a fair market value agreed In Writing by the Parties.
- 7.9. At any time after purchase, should the Recipient propose to sell, Dispose of, change the use of or donate to a Third Party an Asset then the Recipient must first consult the Authority to determine what should happen.
- 7.10. The Authority may require the Recipient to:
  - a. return proceeds from sale of any Assets to the Authority, or
  - b. re-invest proceeds from the sale of any Assets.
- 7.11. The provisions of Clause 7.9 and 7.10 shall survive the termination of this Grant Agreement, howsoever that occurs.

## **Eligible Expenditure and Limitations of Funding Use**

### Eligible Expenditure

- 8.1. Eligible Expenditure is expenditure incurred by the Recipient in managing, administering and delivering the Purpose. The Recipient may not use the Grant for any activities other than those required to achieve the Purpose and as more fully described in Schedule 1 and Annex D, or as approved In Writing by the Authority.
- 8.2. The following costs/payments will be classified as Eligible Expenditure if incurred in delivering the Purpose:
  - a. salary costs, in whole or as a portion, comprising basic salary, employer pension contribution, employer National Insurance contributions, recruitment & retention allowances and statutory sick pay; and, training and travel expenses incurred where required for delivery of the Purpose,
  - b. fees charged or to be charged to the Recipient by the external auditors/accountants for reporting/certifying that the Grant paid was applied for its intended purposes, for example an Independent Assurance Statement,

- c. giving evidence to Parliamentary Select Committees in connection with the Purpose or this Grant Agreement,
- d. attending meetings with government ministers or civil servants to discuss the progress of the Purpose or this Grant Agreement,
- e. responding to public consultations, where the topic is relevant to the Purpose. Eligible Expenditure does not include the Recipient spending the Grant on lobbying, or engaging, other people to respond to any such consultation (unless explicitly permitted in the Grant Agreement),
- f. providing independent, evidence-based policy recommendations to local government, departments or government ministers, where that is the objective of the Grant, for example, 'What Works Centres', and
- g. providing independent evidence-based advice to local or national government as part of the general policy debate, where that is in line with the objectives of the Grant.

#### Limitations of Funding Use

- 8.3. The Recipient shall not use the Grant to engage as a Delivery Partner, or member of Staff nor otherwise engage with Third Parties, known to demonstrate vocal or active opposition to fundamental British values<sup>2</sup>, including democracy, the rule of law, individual liberty and mutual respect and tolerance of different faiths and beliefs. This includes those who make extremist calls for the death of members of our armed forces, whether in this country or overseas. The Authority shall inform the Recipient immediately if it becomes aware of any such activities or statements of any of the Recipient's Delivery Partners contrary to the values mentioned above and the Recipient shall cease its cooperation without delay.
- 8.4. The Grant may not be used to
- a. pay for lobbying (via an external firm or in-house staff) in order to undertake activity that intends or attempts to influence Parliament or Crown Bodies or political parties, for example, attempting to influence legislative or regulatory action; or, the awarding or renewal of contracts and grants; or attempting to influence legislative or regulatory action, or
  - b. enable one part of government to challenge another on topics unrelated to the Purpose, or
  - c. petition the Authority or other Third Parties for additional funding, or

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<sup>2</sup> An opposition to fundamental British Values is to go against universal human rights, gender equality, equality of opportunity, democracy, the rule of law, respect for the rights of different religions and beliefs, freedom of speech.

- d. pay expenses, such as entertaining, specifically aimed at exerting undue influence to change government policy, or
  - e. pay input VAT reclaimable by the Recipient from HMRC, or
  - f. fund activity that may be party-political in intention, use, or presentation, or
  - g. support or promote activities of an exclusively religious nature. This will not include activity designed to improve inter-faith relationships or working.
- 8.5. In accordance with the UK Government's commitments made in The Compact<sup>3</sup> the limitations stated in clause 8.4 do not preclude the Recipient, or any Delivery Partner, from utilising any other source(s) of funding (i.e. not this Grant) to undertake these activities.
- 8.6. Annex E describes in more detail further Ineligible Expenditure items.

## **Audit and Inspection**

- 9.1. The Recipient shall comply with the international accounting standards.
- 9.2. The Recipient shall ensure that the Grant falls within the scope of audit as part of the Recipient's annual internal and external audit programme.
- 9.3. The value and purpose of the Grant shall be identified separately in the Recipient's audited accounts (or the notes thereto). Should the Recipient's annual turnover fall below the threshold that is the minimum legal requirement for formal external audit then an Independent Assurance Statement must be signed off by either an external auditor or an independent qualified accountant.
- 9.4. On request, the Recipient will send the Authority a copy of its, and/or its Delivery Partners, latest audited accounts, or a cashflow statement and forecast. This should be either:
- a. a hard copy sent by traditional post, or
  - b. an electronic copy sent by email (e.g. a hyperlink to a public facing website, or PDFs of the document(s)).
- 9.5. The Recipient shall, without charge, permit any officer or officers of the Authority, agents, external auditing bodies (e.g. European Court of Auditors or any Domestic Successor, National Audit Office or Public Sector Audit Appointments) or their nominees, access to its Staff, premises, facilities and records and shall, if so required, provide appropriate oral or written explanations from them, for the purpose of examining, discussing, monitoring and evaluating the Recipient's fulfilment of the conditions of this Grant Agreement and the economy, efficiency and effectiveness with which the Grant has been used.

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<sup>3</sup> The national agreement between the UK Government and Civil Society Organisations which aims to ensure the parties work effectively in partnership to achieve common goals and outcomes for the benefit of communities and citizens ([http://www.compactvoice.org.uk/sites/default/files/the\\_compact.pdf](http://www.compactvoice.org.uk/sites/default/files/the_compact.pdf))

- 9.6. Further to Clause 9.5, any officer or officers of the Authority, external auditing bodies (e.g. European Court of Auditors or any Domestic Successor, National Audit Office or Public Sector Audit Appointments) or their nominees, may also examine and take copies of the Recipient's books of account and such other documents or records as in such officers' view may relate to the use of Grant.
- 9.7. The Authority shall endeavour, but is not obliged, to provide due notice of its intent to undertake the activities described in Clauses 9.5 and 9.6.
- 9.8. The Recipient agrees to make available immediately to the Authority, free of charge, and whenever requested, copies of audit reports obtained by the Recipient in relation to the Purpose or other aspect of the Grant Agreement.
- 9.9. In all cases, the Recipient shall supply the Authority with all such financial information, as is reasonably requested from time-to-time, on an open book basis.

### **Lawful conduct, equal opportunities, use of volunteers and activities funded by the Grant**

- 10.1. The Recipient must notify the Authority in a timely manner of any Change of Control or of any complaint or investigation by any Crown Body, regulatory body or the police into its activities or those of its Staff or Delivery Partners.
- 10.2. The Recipient shall ensure that all reasonable steps have been taken to ensure that it, its Staff and any Delivery Partner acting on its behalf complies with all applicable Laws and shall possess all the necessary qualifications, licences, permits, skills and experience to discharge their responsibilities effectively, safely and in conformance with any applicable Law for the time being in force (so far as binding on the Recipient and/or the Delivery Partner).
- 10.3. Where the Grant will be disbursed outside the United Kingdom the Recipient shall use its best endeavours to ensure that such funding:
  - a. does not contravene the Laws of any other country; and
  - b. is not used to support activities which could bring the Authority's name into disrepute.
- 10.4. The Recipient shall ensure that it, and any Delivery Partner, has relevant organisational policies in place to deliver the Purpose. These should cover, but not be limited to: whistleblowing; safeguarding; diversity and equality; environmental; data protection; and information security which shall remain current for the duration of the Grant Agreement and be reviewed regularly by appropriately senior Staff and confirmed by the board or Trustee(s). All Staff must be aware of these policies and of how to raise any concerns.
- 10.5. On request from the Authority, the Recipient will provide the Authority with all such relevant documents and information relating to the

Recipient's organisational policies and procedures as the Authority may reasonably require.

- 10.6. The Recipient shall take all reasonable steps to ensure that it and anyone acting on its behalf do not bring the Authority or the Purpose into disrepute for instance by reason of prejudicing the Purpose and/or being contrary to the interests of the Authority.
- 10.7. In particular, the Authority has a zero-tolerance approach towards sexual exploitation, abuse and all forms of bullying, harassment and discrimination, especially for those who have a protected characteristic under the Equality Act 2010 (sexual orientation, race, religion, age, disability, sex, gender reassignment, marriage/civil partnerships and maternity / pregnancy) as well as gender identity. The Recipient will immediately contact the Grant Sponsor to report any credible suspicions, or actual incidents, of sexual exploitation, abuse, bullying, harassment or discrimination related to this Grant Agreement or which would be of significant impact to the Authority or other Crown Body. For example, any event that affects the governance or culture of the Recipient, such as those related to senior management, must be reported.
- 10.8. Any event notified to the Authority under Clauses 10.1, 10.6 and/or 10.7 may be investigated by the Authority or a duly nominated representative or agent. The Recipient will fully co-operate with any investigation.
- 10.9. The Recipient shall take account of the Code of Conduct for Recipients of Government General Grants (the 'Code of Conduct')<sup>4</sup> when delivering the Purpose. It will ensure that Staff and, to the extent to which it is practical, its Delivery Partners are made aware and undertake their duties when delivering the Purpose in a manner consistent with the principles outlined in the Code of Conduct.
- 10.10. Before entering into any agreement with a Third Party offering Supplementary Funding towards delivery of the Purpose, the Recipient must:
  - a. ensure that robust due diligence processes (similar to that set out in Clause 12.2), regarding both the prospective donor and the source of the monies, have been undertaken, and
  - b. inform the Authority of these details including, but not necessarily limited to, the source, value, scope, nature and any conditions of the Supplementary Funding.
- 10.11. Following receipt of information in accordance with Clause 10.10, the Authority shall, at its sole discretion, confirm In Writing whether the use of the Supplementary Funding for the Purpose is acceptable to it. In instances where the Authority does not agree that the Supplementary Funding can be used, for example by reason of prejudicing or conflicting with the Purpose and/or being contrary to the interests of the Authority, the Recipient must confirm In Writing (i) what it intends to do

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<sup>4</sup> <https://www.gov.uk/government/publications/supplier-code-of-conduct>

with the Supplementary Funding, and (ii) that it will not use the Supplementary Funding to deliver the Purpose.

- 10.12. The Recipient agrees and accepts that it may become ineligible for grant support and be required to repay all or part of the Grant – not limited to any Unspent Monies – if it engages in tax evasion or aggressive tax avoidance in the opinion of HMRC.

### **Conflict of interest and fraud, financial or other irregularities**

- 11.1. The Recipient and its Staff shall take all reasonable steps to avoid any actual or perceived bias or conflicts of interest in respect of the Grant or the Purpose.
- 11.2. Neither the Recipient nor its Delivery Partners shall engage in any personal, business or professional activity which conflicts or could conflict with any obligations in relation to the Grant Agreement.
- 11.3. The Recipient must set up formal procedures to require all Staff to avoid any potential conflict of interest and to declare any personal or financial interest in any matter concerning the Recipient's activities and to be excluded from any discussion or decision-making relating to the matter concerned.
- 11.4. If the Recipient has any grounds for suspecting financial irregularity in the use of any Grant paid under this Grant Agreement, it must notify the Grant Sponsor immediately, explain what steps are being taken to investigate the suspicion, and keep the Grant Sponsor informed about the progress of the investigation.
- 11.5. In the event that a notification is received in accordance with clause 11.4, the Grant Sponsor will ensure that the Authority's Counter-Fraud Team (<mailto:CounterFraudFinance@homeoffice.gov.uk>) are made aware as soon as practical.
- 11.6. For the purposes of Clause 11.4, "financial irregularity" includes (but is not limited to) potential fraud or other impropriety, mismanagement, offences under the Bribery Act, corruption and the use of the Grant for purposes other than those stipulated by the Authority in this Grant Agreement.
- 11.7. The Recipient must pro-actively identify, itemise and assess how it and the use of the Grant might be vulnerable to fraud<sup>5</sup>. Fraud should always be considered as a risk and reported on as required in Schedule 3 (Risk Management or Ad-hoc reporting).
- 11.8. The Recipient agrees that it will not apply for or obtain, and will assure that any Beneficiary, or Delivery Partner, is not in receipt of or does not apply for or themselves obtain, Duplicate Funding. The Authority may refer the Recipient, Beneficiary or a Delivery Partner to the police should it dishonestly and intentionally obtain Duplicate Funding to deliver the Purpose.

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<sup>5</sup> Support can be found, for example, from <https://www.fraudadvisorypanel.org/>

- 11.9. The Recipient shall not offer or give, or agree to give, to the Authority or any other public body or any person employed by or on behalf of the Authority or any other public body any gift or consideration of any kind as an inducement or reward for doing, refraining from doing, or for having done or refrained from doing, any act in relation to the obtaining or execution of the Grant Agreement or any other contract with the Authority or any other public body, or for showing or refraining from showing favour or disfavour to any person in relation to the Grant Agreement or any such contract.

## **Procurement procedures**

- 12.1. In procuring any works, goods or services or otherwise disbursing the Grant, the Recipient shall follow its own procurement guidelines to secure Value for Money and shall apply the principles of non-discrimination and equal treatment, transparency, mutual recognition and proportionality. For example, some degree of advertising appropriate to the scale of the proposed expenditure is likely to be necessary to demonstrate transparency. This is in line with the UK objective of achieving Value for Money for the taxpayer.
- 12.2. Prior to the award of onward funding or a contract or other legal form of agreement to a Delivery Partner, the Recipient shall ensure that it carries out a thorough and proportionate documented due diligence process to understand an organisation's financial status, viability and capability; technical skills and capacity; operational and commercial processes and procedures; background and history (fraud risk, money laundering, terrorism, modern slavery etc); and ensure the payment does not represent Duplicate Funding or Grant Fraud.
- 12.3. When procuring or entering into an arrangement with a Delivery Partner, the Recipient shall be mindful of the intent, and apply the spirit, of the:
- a. Government Functional Standard for General Grants (GOVS 015)<sup>6</sup>, and
  - b. Civil Society Strategy<sup>7</sup> in all its dealings with Civil Society organisations.
- 12.4. Where the Recipient enters into a contract (or any other form of agreement) with a Delivery Partner for the provision of any part of the Purpose, the Recipient shall ensure that such terms are included in the agreement which:
- a. requires the Recipient to pay all sums due within a specified period not exceeding thirty (30) Calendar Days from the date of receipt of

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<sup>6</sup> <https://www.gov.uk/government/publications/grants-standards>

<sup>7</sup> The strategy to help government strengthen the organisations, large and small, which hold society together (<https://www.gov.uk/government/publications/civil-society-strategy-building-a-future-that-works-for-everyone>)



- a validated invoice or claim request as defined by the terms of the agreement,
- b. enable the Recipient to recover unspent or misused funds in accordance with this Grant Agreement,
  - c. ensure that all funded activities are fully reported on,
  - d. comply with all the Authority's positions and policies referred to in this Grant Agreement, and
  - e. provide the Authority with an up-to-date, unredacted, signed copy of any agreement, including any amendments, entered into upon request.
- 12.5. Onward payment of the Grant to Beneficiaries and the use of Delivery Partners shall not relieve the Recipient of any of its obligations under this Grant Agreement, including any obligations to repay the Grant.
- 12.6. The Recipient shall remain responsible at all times for paying the Delivery Partner. The Authority shall have no responsibility for paying any Delivery Partner's invoice or claim request.
- 12.7. If the Authority becomes aware that the Recipient has failed to pay a Delivery Partner's undisputed invoice or Beneficiary's claim request within thirty (30) Calendar Days of receipt, the Authority shall be entitled to publish the details of the late or non-payment (including on government websites and in the press).
- 12.8. Prior to Commencement, the Recipient shall provide the Authority with a list of all identified Delivery Partners and must thereafter provide written notification in advance of any planned changes to this list whether additions, removals or replacements of Delivery Partners.
- 12.9. In accordance with Clause 12.1, where the Recipient follows a sole source, single tender or other uncompetes award procedure above its own policy threshold it must provide and document a full justification that can be robustly defended and maintain the relevant documentation on file. Such justification may apply in exceptional circumstances for example where:
- a. the requirement can demonstrably be met only by proprietary or specialist equipment,
  - b. the requirement can demonstrably be met only by a single available entity with extremely niche skills, or
  - c. there are simply no alternative sources of supply.
- 12.10. The Recipient shall ensure that in delivering the Purpose it does not put the Authority in breach of the United Kingdom's Subsidy Control obligations<sup>8</sup>. The Recipient will maintain appropriate records of its compliance with the subsidy control requirements and will take all reasonable steps to assist the Authority to comply with the same and

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<sup>8</sup> <https://www.gov.uk/government/publications/complying-with-the-uks-international-obligations-on-subsidy-control-guidance-for-public-authorities>

respond to any proceedings or investigation(s) into the Purpose by any relevant court or tribunal of relevant jurisdiction or regulatory body.

- 12.11. The Recipient acknowledges and represents that the Grant is being awarded on the basis that the Purpose does not affect trade in goods and wholesale electricity between Northern Ireland and the European Union and shall ensure that the Grant is not used in way that affects any such trade.

### **Insurance coverage**

- 13.1. The Recipient shall ensure that it, and any Delivery Partner(s), have appropriate and adequate insurance arrangements (including but not limited to public liability insurance or an equivalent policy) in place to deliver the Purpose and shall provide evidence of such insurance to the Authority on request. This includes the Loss or personal injury to persons undertaking activities in furtherance of the Purpose.

### **Indemnity**

- 14.1. The Authority accepts no liability to the Recipient or to any Third Party for any costs, claims, damage or Losses, howsoever they are incurred, except to the extent that they arise from personal injury or death which is caused by the Authority's negligence.
- 14.2. The Recipient agrees to indemnify the Authority for any costs, claims, damages or Losses which arise as a result of negligence by the Recipient or out of any breach by the Recipient of any terms of this Grant Agreement.
- 14.3. Neither Party shall be liable for any delays in performing or failure to perform any of its obligations under this Grant Agreement if such delay or failure is caused by a force majeure event, such as acts of God, civil disorder, military action, acts of terrorism, natural disaster and other circumstances which are beyond the reasonable control of either Party, but excluding any industrial dispute. In such event, either Party will give immediate notice In Writing to the other Party of the existence of such cause or event and of the likelihood of delay.
- 14.4. Nothing in this Grant Agreement limits any liability which cannot legally be limited, including (but not limited to) liability for:
- a. death or personal injury caused by negligence; and
  - b. fraud or fraudulent misrepresentation.

### **Intellectual Property Rights and Branding**

- 15.1. The Parties shall retain exclusivity in their own Background IPRs.
- 15.2. Unless otherwise agreed In Writing, the Recipient shall own all IPR created using the Grant. However, the Recipient shall grant to the Authority at no cost a non-exclusive irrevocable, royalty-free perpetual

worldwide license to use and to sub-license the use of any material or IPR created by the Recipient whether partially or wholly funded from the Grant for such purposes as the Authority shall deem appropriate.

- 15.3. Ownership of Third Party software or other IPR necessary to deliver the Purpose will remain with the Recipient or the relevant Third Party.
- 15.4. Neither Party shall have the right to use any of the other Party's names, logos, branding or trademarks on any of its products or services without the other Party's prior written consent.
- 15.5. The Recipient shall at all times during and following the end of the Funding Period:
  - a. comply with requirements of the Branding Manual in relation to the Purpose; and
  - b. cease use of the *Funded by UK Government* logo on demand if directed to do so by the Authority
- 15.6. The Recipient shall seek approval from the Authority prior to using the Authority's logo when acknowledging the Authority's financial support of its work. Such acknowledgements (where appropriate or as requested by the Authority) shall include the Authority's name and logo (or any future name or logo adopted by the Authority) using the templates provided by the Authority from time to time.
- 15.7. When using the Authority's name and logo, the Recipient will comply with all reasonable branding guidelines as issued by the Authority from time-to-time.
- 15.8. The Authority may freely share any information, branding, know-how, system or process developed using the Grant during the Funding Period and beyond to support similar or subsequent schemes.

## **Social Value Requirements**

- 16.1. The Recipient shall be mindful of and take reasonable measures to ensure that all its activities in delivering the Purpose support the UK Government's commitment to Social Value by:
  - a. fighting climate change in compliance with the UK Government's "Greening Government Commitments"<sup>9</sup> including the need to avoid adverse impacts on the environment and contributing to the Net Zero by 2050 ambition
    - conserving energy, water, wood, paper and other resources,
    - reducing waste,
    - reducing fuel emissions wherever possible,
    - phasing out the use of ozone depleting substances and minimise the release of greenhouse gases, volatile organic

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<sup>9</sup> <https://www.gov.uk/government/publications/greening-government-commitments-2021-to-2025/greening-government-commitments-2021-to-2025>

compounds and other substances damaging to health and the environment, and

- having due regard to the use of recycled products, so long as they are not detrimental to the provision of the Purpose or the environment, to include the use of all packaging, which should be capable of recovery for re-use or recycling.
- b. tackling economic inequality through the creation of new businesses, new jobs and new skills, increasing supply chain resilience and capacity, quality apprenticeship schemes, ending the gender pay imbalance, prompt payment throughout its commercial arrangements, and ensuring opportunities for SMEs and Civil Society and those owned or led by protected characteristics, and
- c. supporting equal opportunity and wellbeing by reducing the disability employment gap, tackling workforce inequality, improving health and wellbeing, and improving community integration, and
- d. safe and secure supply chains free from modern slavery and human trafficking through inspection and audit, use of the Modern Slavery Assessment Tool, assessing and recording risks, and supply-chain mapping.

## **Breach of Grant Conditions**

- 17.1. If the Recipient fails to comply (or to procure the compliance by any Delivery Partner, Beneficiary or Third Party, as applicable) with any of the conditions set out in this Grant Agreement, or if any of the events mentioned in Clause 17.2 occur, then, subject to the provisions made in Clauses 17.3 to 17.5, the Authority may:
- a. withhold, suspend or terminate the payment of the Grant for such a period as the Authority shall determine, and/or
  - b. reduce the Grant Amount in which case the payment of the Grant shall thereafter be made in accordance with the reduction and notified to the Recipient, and/or
  - c. require the Recipient to repay all or any part of the Grant previously paid and/or
  - d. terminate this Grant Agreement with immediate effect.

The Recipient must repay any amount required under this Clause 17 within thirty (30) Calendar Days of receiving any such demand for repayment. Such sums may be recovered as a civil debt.

17.2. The events referred to in Clause 17.1 are as follows:

- a. the Recipient purports to transfer, novate, assign or otherwise dispose of the whole or any part of its rights, interests or obligations arising under this Grant Agreement without the written agreement in advance of the Authority, or

- b. the Recipient has not submitted reports, information, or other documentation within the required timescales when reasonably requested by the Authority, or
  - c. any information provided in the application for the Grant (or in a claim for payment) or in any subsequent supporting correspondence is found to be incorrect or incomplete to an extent which the Authority considers to be material, or
  - d. the Recipient takes inadequate measures to investigate and resolve any reported irregularity, Data Incident, or Critical Incident, or
  - e. the Recipient ceases to operate and/or changes the nature of its operations to an extent which the Authority considers to be significant or prejudicial, or
  - f. the Recipient is subject to
    - a proposal for a voluntary arrangement,
    - has a petition for an administration order, or a winding-up order brought against it,
    - passes a resolution to wind up,
    - makes any composition, arrangement, conveyance or assignment for the benefit of its creditors, or purports to do so,
    - the appointment of a receiver, administrator or liquidator,
    - a relevant judicial institution requiring any Grant paid to be recovered by reason of a breach of the UK's Subsidy Control Regime or State Aid Law through its application under Article 10 of the Northern Ireland Protocol,
 or
  - g. the Recipient fails to comply with any other the provisions regarding State Aid Law or the UK Subsidy Control Regime, or
  - h. the Authority considers that the Recipient has not made satisfactory progress with its delivery of the Purpose, or
  - i. payment to the Recipient (or a Beneficiary or a Delivery Partner) represents Duplicate Funding and/or Grant Fraud, or
  - j. the Recipient receives Supplementary Funding and fails to comply with its obligations set out Clauses 10.10 and 10.11, or
  - k. the Recipient breaches the Code of Conduct and/or fails to report an actual or suspected breach of the Code of Conduct by the Recipient, its Staff, Delivery Partner(s), Beneficiary or other Third-Party involved in achieving the Purpose.
- 17.3. It is hoped that most difficulties encountered by the Recipient can be overcome with the advice and support of the Authority. Where the Authority reasonably believes that the Recipient may be in breach of this Grant Agreement, the Authority will write to the Recipient giving

particulars of its concern or of such breach and details of any action that the Authority intends to take and any timetable for seeking remedy.

- 17.4. The Recipient must act within the timeframe set by the Authority to address the concern or remedy the breach and shall submit a draft Remedial Action Plan to the Authority for approval.
- 17.5. On receipt of the draft Remedial Action Plan and as soon as reasonably practicable, the Authority will submit its comments on the draft Remedial Action Plan to the Recipient.
- 17.6. The Authority shall have the right to accept or reject the draft Remedial Action Plan. If the Authority rejects the draft Remedial Action Plan, the Authority shall confirm, In Writing, the reasons why they have rejected the draft Remedial Action Plan and will confirm whether the Recipient is required to submit an amended Remedial Action Plan to the Authority.
- 17.7. If the Authority directs the Recipient to submit an amended draft Remedial Action Plan, the Parties shall agree a timescale for the Recipient to amend the draft Remedial Action Plan to take into account the Authority's comments.
- 17.8. If the Authority is not satisfied with the steps taken by the Recipient to address its concern or remedy the breach, the Authority may exercise all or any of its rights under this Grant Agreement.
- 17.9. The Authority will act reasonably and proportionately (taking account of all of the circumstances) when exercising its rights under this Grant Agreement.

### **Funding Period and Termination including Consequences**

- 18.1. The Authority does not commit to renew or continue financial support to the Recipient beyond the final Funding Period.
- 18.2. Subject to Clauses 17.3 to 17.9, the Authority may terminate this Grant Agreement forthwith by serving a written notice on the Recipient if the Recipient is in material breach of its obligations arising from the Grant Agreement by:
  - a. using any part of the Grant for a purpose other than the Purpose,
  - b. making any false, incorrect or misleading statement in order to obtain this Grant or has been involved in any illegal activity or improper act in its administration,
  - c. failing to comply with any obligation arising from the Grant Agreement, or
  - d. failing to remedy any breach of this Grant Agreement.
- 18.3. The Recipient may terminate this Grant Agreement forthwith by serving a notice on the Authority In Writing if it has made a written request for payment of a sum properly due (i.e. undisputed and validated) to it

under this Grant Agreement and the Authority has failed to make payment of that sum within thirty (30) Calendar Days of receiving the request.

- 18.4. Notwithstanding Clauses 18.2 and 18.3, this Grant Agreement may be terminated by either Party giving the other at least three (3) Months (or other agreed time period) notice In Writing.
- 18.5. With reference to Clause 18.3, and in the event that the Authority exercises its right to give notice of termination under Clause 18.4, and with regard to the Programme Closure Plan (Schedule 4), the Authority shall reimburse the Recipient for any commitments, liabilities or Eligible Expenditure which represent an unavoidable direct Loss to the Recipient by reason of the termination of the Grant Agreement, provided that the Recipient takes all reasonable steps to mitigate such Loss.
- 18.6. In such an event, the Recipient shall submit a fully itemised and costed list of unavoidable direct Losses which it would seek to recover from the Authority, with supporting evidence, of such Losses reasonably and actually incurred by the Recipient as a result of a termination by the Authority in accordance with Clause 18.5.
- 18.7. Any payment due under Clauses 18.5 and 18.6 will be made within thirty (30) Calendar Days from receipt of a correctly submitted and validated invoice(s) but in any case upon completion to the Authority's satisfaction, and at the Recipient's sole cost, of any reasonable investigation required by the Authority of the costs detailed within the invoice(s). The Authority agrees that any such investigation shall be carried out as soon as reasonably practicable.
- 18.8. The right to reimbursement shall be excluded if termination of the Grant Agreement is enacted under the provisions set out in Clause 18.2 above or where the Recipient has exercised its right to give notice of termination under Clause 18.4.
- 18.9. On termination of this Grant Agreement howsoever caused, the Recipient (as soon as reasonably practicably) shall return to the Authority any Assets or property or Unspent Monies (unless the Authority gives its written consent to their retention) then in its possession in connection with this Grant Agreement.
- 18.10. The Authority may at any time serve notice upon the Recipient requiring it to cease using a particular Delivery Partner, the Authority will only do so where it has reasonable grounds to object to the continued use of such a Delivery Partner. Any such notice will be cognisant of the terms of a legally binding agreement and, where appropriate, the need for an alternative to be provided.
- 18.11. Although the Authority does not seek to exercise detailed control of the Recipient's activities, it must ensure that public money is protected and Value for Money achieved. Consequently, the Recipient shall, in accordance with this Grant Agreement, promptly provide such assistance and comply with such timetable as the Authority may reasonably require for the purpose of ensuring a smooth transfer of

responsibility upon the expiry or other termination of the Grant Agreement. The Authority will look to the Recipient to provide such assistance as appropriate prior to the expiry or other termination of the Purpose.

- 18.12. Such assistance may include the delivery of documents and data in the possession or control of the Recipient which relate to the activities funded by the Grant.
- 18.13. Within one (1) month prior to expiry of the Grant Agreement or within one (1) Month of serving a notice of termination, the Recipient shall if requested deliver to the Authority a final Programme Closure Plan (Schedule 4) detailing when and how any Grant-funded work in progress will be wound-down, continued or transferred from the Recipient to either the Authority or a successor body. The Authority's agreement to this plan shall not be unreasonably withheld or delayed.
- 18.14. The Recipient undertakes that it shall not knowingly do or omit to do anything which may adversely affect the ability of the Authority to ensure a smooth transfer of responsibility for the grant funded activities
- 18.15. Any termination of this Grant Agreement will be without prejudice to any other rights or remedies of the Parties under this Grant Agreement or at law and will not affect any accrued rights or liabilities of the Parties at the date of termination.

## **Amendments to the Grant Agreement**

- 19.1. The Authority shall have the right to amend Schedule 1 and/or Schedule 3 at any time provided that such amendment as required is related in nature to the Purpose and does not impose an additional cost or other material burden upon the Recipient. The Authority will endeavour to provide thirty (30) Calendar Days' written notice of any such amendment so required.
- 19.2. The Authority may also on not less than thirty (30) Calendar Days' notice to the Recipient amend this Grant Agreement to ensure that it complies with any guidance issued by the Information Commissioner's Office.
- 19.3. Additionally, either Party may request In Writing changes to the Grant Agreement during the Funding Period.
- 19.4. If the Parties cannot agree on the content of a change initiated under Clause 18.3 then the proposed change(s) will be withdrawn. In all events the Authority shall hold the final right of rejection.
- 19.5. Any amendments to this Grant Agreement and/or the Grant Funding Letter shall:
  - a. only be valid if they are documented using a Grant Variation Notice form duly signed by an Authorised Representative of both Parties, and
  - b. be recorded in Annex F.



- 19.6. The Grant Agreement itself shall be updated and re-issued bearing the next sequential version control reference.

## **Confidentiality**

- 20.1. Nothing in this Clause 20 (Confidentiality) applies to information which is already in the public domain or the possession of the Recipient other than by reason of breach of this Clause 20.
- 20.2. The Recipient undertakes to keep confidential and not to disclose and to procure that its Staff keep confidential and do not disclose any information of a sensitive nature which it has obtained by reason of this Grant Agreement.
- 20.3. The Recipient, its Staff and Delivery Partner(s) shall not use any information which has been obtained as a result of delivering the Purpose (including, without limitation, any information relating to any Beneficiary) in any way which is inaccurate or misleading.
- 20.4. The Recipient shall ensure that when required any information of a sensitive nature, howsoever held, is securely disposed of in accordance with the Authority's directions. If additional budget is required, the Recipient will liaise with the Authority to agree costs In Writing in advance of committing expenditure.
- 20.5. The provisions of this Clause 20 (Confidentiality) shall survive the termination of this Grant Agreement, however that occurs.

## **Data Protection, Data Sharing, Information Acts, Publicity and Transparency**

- 21.1. The Recipient acknowledges that grant agreements issued by Crown Bodies may be published on a public facing website and that the Authority shall disclose payments made against this Grant Agreement in accordance with the UK Government's commitment to efficiency, transparency and accountability<sup>10</sup>.
- 21.2. Where applicable, the Recipient and the Authority are required to comply at all times with its respective obligations under the Information Acts, any subordinate legislation made and any guidance issued by the Information Commissioner.
- 21.3. Where appropriate, the Recipient shall ensure that it has adequate provisions and effective controls in place to manage:
- a. data and prevent Data Incidents,
  - b. the processing of data shared between itself and any Delivery Partner and/or Beneficiary (and vice versa), and
  - c. compliance with its obligations arising from the Data Protection

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<sup>10</sup> For example, the Government's commitment in the *UK Open Government, National Action Plan*, to publish data on government grants each year, to 360Giving standards.

Legislation.

- 21.4. It is not envisaged that either Party will process any Personal Data for or on behalf of the other Party, under or in connection with this Grant Agreement or the Purpose. Where and to the extent that in undertaking the obligations set out in this Grant Agreement or performing activities in delivering the Purpose, this should change and either Party then anticipates that the other will process any Personal Data for and on behalf of the other Party it shall notify the other Party and the Parties shall agree a variation to this Grant Agreement to incorporate appropriate provisions at Schedule 5 in accordance with Article 28 of the UK GDPR, or as otherwise required by the Data Protection Legislation.
- 21.5. Nothing in Clause 20 (Confidentiality) shall prevent the Authority from sharing information obtained in relation to the Recipient with any Crown Body or Third Party that has a legitimate interest, provided that in disclosing information the Authority discloses only the information which is necessary for the purpose concerned and requests that the information is treated in confidence and that a confidentiality undertaking is given In Writing where appropriate.
- 21.6. The Recipient hereby acknowledges that a Crown Body receiving such information may further disclose the information to other Crown Bodies on the basis that the information is confidential and is not to be disclosed to a Third Party which is not a Crown Body.
- 21.7. The Authority may also disclose any information obtained from and about the Recipient for the purpose of the examination and certification of the Authority's accounts; or pursuant to section 6(1) of National Audit Act 1983 of the economy, efficiency and effectiveness with which the Authority has used its resources.
- 21.8. The Recipient agrees to assist and cooperate with the Authority to enable the Authority to comply with its obligations under the Information Acts whenever a request is made for information which relates to or arises out of this Grant Agreement.
- 21.9. The Authority will take reasonable steps to notify the Recipient of a request for information to the extent that it is permissible and reasonably practical to do so. The Authority may also, but is not required to, consult with the Recipient regarding any requests for information and take account of any comments made by the Recipient to determine any matters which either Party may consider as Commercially Sensitive Information or be otherwise exempt. This will inform the Authority's decision regarding any redactions or exemptions for which the Authority shall, at its absolute discretion and based on its own legal obligations, retain the final decision.
- 21.10. The Parties agree and acknowledge that, except for any information which is exempt from disclosure in accordance with the provisions of the Information Acts, the content of the Agreement and the Purpose is not confidential.

21.11. The Recipient will comply with all reasonable requests from the Authority to facilitate visits, provide reports, statistics, photographs and case studies or any other such material that will assist the Authority in publicising the Purpose.

21.12. The Recipient shall afford appropriate publicity to the Grant and its Purpose.

The Recipient shall:

- a. avoid expressing views which are inconsistent with the Programme Objective when speaking to Third Parties in order to deliver the Scheme;
- b. make clear that it does not represent or speak for the Authority or the Government of the United Kingdom of Great Britain and Northern Ireland in any situation where it expresses views; and
- c) seek the consent of the Authority first before making any statements which might be contrary to the requirements of Clauses 21.12 (a) or (b).

## **Notices**

22.1. All notices, invoices and other communications relating to this Grant Agreement shall be In Writing and in English and shall be served by a Party on the other Party at its address shown at the head of this Grant Agreement.

22.2. Notices delivered hereunder shall be deemed to be delivered if:

- a. delivered by hand, upon receipt,
- b. sent by pre-paid registered first-class post (providing it is not returned as undelivered to the sender), two (2) Working Days after posting,
- c. sent by electronic mail, on the date of delivery except when an electronic mail is sent on a day which is not a Working Day or after 3:00pm on a Working Day, the electronic mail shall be deemed to have been received on the next Working Day,
- d. sent by facsimile transmission, on the date of transmission, provided that the transmission does not take place on a day which is not a Working Day or after 3:00pm on a Working Day, in which case, the transmission is deemed to have taken place on the following Working Day, and provided in any event that a confirming copy is sent to the other Party either by hand, or by first class post.

## **Contract (Rights of Third Parties) Act 1999**

23.1. No person who is not a Party to this Grant Agreement shall have the right to enforce any its terms.

## **Dispute Resolution**

- 24.1. The Parties shall attempt in good faith to negotiate an amicable settlement to any dispute between them arising out of or in connection with this Grant Agreement and such efforts shall involve the escalation of the dispute from the Grant Sponsor and Scheme Manager to an appropriately senior representative of each Party.
- 24.2. All disputes and complaints (except for those which relate to the Authority's right to withhold funds or terminate this Grant Agreement) shall, in the first instance be referred to the Scheme Manager and the Grant Sponsor.
- 24.3. Should the dispute or complaint remain unresolved within fifteen (15) Working Days of the matter first being referred to the individuals named in Clause 24.2, either Party may refer the matter to the Parties' nominated senior representatives with an instruction to attempt to resolve the matter by agreement within twenty (20) Working Days, or such other period as may be mutually agreed by the Authority and the Recipient.
- 24.4. If the dispute cannot be resolved by the Parties within the period agreed in accordance with Clause 24.3, the dispute may by agreement between the Parties be referred to a neutral adviser or mediator (the "Mediator") chosen by agreement between the Parties. All negotiations connected with the dispute shall be conducted in confidence and without prejudice to the rights of the Parties in any further proceedings.
- 24.5. If the Parties fail to appoint a Mediator within one (1) Month, or fail to enter into a written agreement resolving the dispute within one (1) Month of the Mediator being appointed, then either Party may exercise any remedy it has under applicable Law.

## **Governing Law**

- 25.1. This Grant Agreement shall be subject to and construed in accordance with English Law and subject to the exclusive jurisdiction of the courts of England and Wales. This does not limit the Authority's right to commence legal proceedings in any other court of competent jurisdiction, including concurrent proceedings.

**Home Office**

**Neighbourhood Crime Unit**


**June 2023**

## ACCEPTANCE OF GRANT


Police, Fire and Crime Commissioner for Essex, the Recipient, accepts the offer of the Grant contained in this Grant Agreement and agrees to comply with the terms and conditions of the Grant on which the offer is made.

### On behalf of the Recipient:

#### Scheme Manager

Signature:	
Name:	P. Brent-Isherwood
Date:	27 July 2023
Position:	Chief Executive and Monitoring Officer

#### Senior Finance Officer (if different to above)

Signature:	
Name:	Janet Perry
Date:	28 July 2023
Position:	Chief Financial Officer and Strategic Head of Performance & Resources

### Bank details for Grant payment

Bank name:	Lloyds Bank Plc
Branch name:	City Office
Sort code:	30 00 02
Account name:	Police and Crime Commissioner for Essex Revenue a/c
Account number:	00508301
Address:	City Office, Gillingham, Kent
Post code:	ME8 0LS

### Signed on behalf of the Authority:

Signature:	
Name:	
Date:	
Position:	

**HOME OFFICE USE:**

Payment instructions per Grant Holding Unit:

<b>Metis codes:</b>	<b>Entity Code</b>	<b>Cost centre(s)</b>	<b>Account code(s)</b>	<b>Objective Code</b>	<b>Analysis Code</b>	<b>Project Code</b>

# **SCHEDULE 1 – THE PURPOSE**

## **The Scheme**

- 1.1 This Schedule 1 describes the outcomes and impacts the Authority is seeking to achieve through this Grant funding. The Authority is providing the Grant to enable the Recipient to deliver one of ten ASB Hotspot Response Pilots trailblazers during 2023/24 in advance of rollout across England and Wales in 2024/25. The trailblazers will scale up hotspot enforcement reducing anti – social behaviour across all police forces in England and Wales.

## **Background**

- 1.2 The first duty of the government is to keep citizens safe and the country secure. The Home Office has been at the front line of this endeavour since 1782. As such, the Home Office plays a fundamental role in the security and economic prosperity of the United Kingdom.
- 1.3 The Home Office is the lead government department for immigration and passports, drugs policy, crime, fire, counter-terrorism and police.
- 1.4 The ASB Hotspot Response was announced as part of the Anti-Social Behaviour Action Plan launched on 27 March 2023. The action plan announced that as part of changing the system to stamp out anti-social behaviour, we provide tools and funding to tackle ASB within specific areas identified to have the greatest need. Ten police force areas have been selected to deliver trailblazers for the new function ahead of rollout in 2024/25 across England and Wales. The Anti-Social Behaviour Action Plan ASB Hotspot Response Pilot areas will contribute towards achieving objective one of the Home Office Outcome Delivery Plan: to reduce crime.
- 1.5 This Grant is paid to the Recipient in exercise of the power conferred upon the Secretary of State for the Home Department under Criminal Justice and Public Order Act 1994 (Section 169 to provide financial support to Police and Crime Commissioners).
- 1.6 The Purpose provides a broad well defined framework describing the outcomes and impacts that the Funding is intended to achieve whilst allowing the Recipient to exercise independent discretion in delivering the inputs and outputs detailed in its Delivery Proposal (Annex D).

## Key Deliverables

- 1.7 The purpose is to fund an increased police and other uniformed presence to reduce anti-social behaviour, targeting hotspots. Police and Crime Commissioners will lead the approach, working with their police forces and local authorities to identify parts of their community during 2023/24. For 2024/25 the funding will support hotspot approach across every police force area in England and Wales, supporting the introduction of thousands of additional patrols in areas with the greatest need. This is part of a multi-faceted approach to tackle various aspects of anti-social behaviour set out in the Anti-Social Behaviour Action Plan. It is not anticipated that this programme will create downstream cost for the criminal justice system but the Recipient is expected to take any necessary mitigation using the funding provided. **The delivery plans should adhere to the guidance previously shared.**

## Key Roles and Responsibilities

- 1.8 The Authority will nominate a Grant Sponsor who will work with the Scheme Manager to monitor the delivery of the agreed Purpose and act as the principal point of contact. Their name and contact details are recorded in Annex C.
- 1.9 The Recipient will nominate a Scheme Manager who shall have responsibility for ensuring delivery of the Purpose to achieve the outcomes and impacts. They shall act as the Authority's principal point of contact, and their details shall be recorded in Annex C.

## Indicative Expenditure Breakdown

- 1.10 The maximum Grant Amount payable by the Authority to the Recipient under the terms of this Grant Agreement shall not be more than one million and fifty thousand pounds (GBP£1, 050, 000) for the Funding Period.
- 1.11 The Grant will be paid in accordance with the profile described in Schedule 2 and are intended to reimburse Eligible Expenditure incurred paying for the activities required to achieve the outcomes described in this Schedule 1.
- 1.12 The Recipient has identified the following indicative expenditure:

REF	HEADINGS	EXPENSES (£)
A	Fund Admin & Mgt	
A1.	Mobilisations/Set-up costs	
A2.	Other Admin and Mgt costs	
A3.	Staff Costs	



<b>B</b>	<b>Fundraising Costs</b>	
<b>C</b>	<b>Invetsment Mgt Costs</b>	
<b>D</b>	<b>Independent Evaluation Costs</b>	
<b>E</b>	<b>Centre of Expertise</b>	
<b>E1.</b>	<b>Mobilisations/Set-up costs</b>	
<b>E2</b>	<b>Running Costs</b>	
<b>E3.</b>	<b>Staff Costs</b>	
<b>F</b>	<b>TOTAL ELIGIBLE EXPENDITURE (A1+A2+A3+B+C+D+E1+E2+E3)</b>	

## **SCHEDULE 2 – PAYMENT AND REPORTING SCHEDULE**

### Indicative Payment Schedule for delivering the Purpose

Grant Claims must be submitted in accordance with the schedule set out in the table below; payment will be subject to compliance with obligations arising from the Grant Agreement, in particular:

- fulfilment of the conditions set out in Clause 5, and
- receipt of satisfactory financial and monitoring reports.

Financial year	Payment reference	When	Payment Value	Information required
2023/24	1	Upon submission of Q1 spend (Apr-Jun)	Amount claimed from Grant	In accordance with Clause 5.1 of the terms and conditions, a: <ul style="list-style-type: none"> <li>- copy of the Agreement appropriately signed / authorised by the Parties, and</li> <li>- completed Annex A claim request form</li> <li>- Completed financial and performance reports as detailed in Schedule 3</li> </ul>
2023/224	2	Upon submission of Q2 spend (Jul-Sept)	Amount claimed from Grant	Completed financial and performance reports as detailed in Schedule 3. A completed claim request form (Annex A) Such payment will not be made unless and until the toolkit has been checked and samples of expenditure verified by the Authority
2023/24	3	Upon submission of Q3 spend (Oct-Dec)	Amount claimed from Grant	Completed financial and performance reports as detailed in Schedule 3. A completed claim request form (Annex A) Such payment will not be made unless and until the toolkit has been checked and samples of expenditure verified by the Authority
2023/24	4	Upon submission of Q4 spend (Jan-March)	Amount claimed from Grant	Completed financial and performance reports as detailed in Schedule 3. A completed claim request form (Annex A) Such payment will not be made unless and until the toolkit has been checked and samples of expenditure verified by the Authority

## SCHEDULE 3 – IN-YEAR MONITORING INFORMATION REQUIREMENTS

### Key Performance Indicators (KPIs)

- 3.1 The Recipient has submitted a Delivery Plan (Annex D) setting out how it will achieve the Purpose which the Authority has agreed to fund. At a minimum the Delivery Plan shall give particulars of the:
- a. agreed outcomes and impacts,
  - b. planned activities (inputs and outputs) required to achieve these outcomes,
  - c. measures of success in the form of Key Performance Indicators (KPIs),
  - d. Timescales and/or milestones, and
  - e. evidence to be presented to verify the extent to which the agreed outcomes have been achieved.

- 3.2 The KPIs to be monitored and reported on are:

**Hotspot activity** delivery metrics to be shared with the HO and external partners on a monthly basis:

- Date and time of each patrol
- Time in and out per patrol,
- Number of officers and partners involved in each patrol
- Specific area patrolled
- Data to assess compliance i.e. planned patrols for each month
- Where possible, number of different powers used during each patrol.
- Associated activities conducted alongside patrols (qualitative summary)

**ASB Incident data** to be shared with HO and external partners on a quarterly basis:

- ASB incidents in hotspots, both on patrol and non-patrol days
- ASB incidents in neighbouring areas (if possible)
- ASB incidents in comparison areas (if possible)

Home Office and external evaluation partners will aim to collect additional data to support evaluation of the programme, including:

- The evaluator will run surveys collecting **public perceptions** data in each pilot area, including measurement of baseline where possible. This survey will be repeated at key time points to measure change in public perceptions. It is possible that other existing or new sources of public perception might also be used to complement this data collection.
- **Stakeholder views** on implementation and delivery of the pilots, including best practice and any challenges identified. Pilot areas agree to provide data and undertake such additional activity as may reasonably be necessary for the purposes of this evaluation.
- **Crime data** for comparable crime types, data will be collected for each hotspot, a comparison area and neighbouring areas.

## Reporting

- 3.3 The Recipient must manage and administer the quality and level of delivery and its own performance and that of its Delivery Partners relating to the Delivery Plan.
- 3.4 The Recipient shall put in place procedures to monitor and track performance, benefits and progress and provide reports detailing:
- a. spending, including committed spend, against agreed budgets and notify the Authority of any variances, and
  - b. evidenced progress against the KPIs
- 3.5 Any reports should also detail the activities and achievements of Delivery Partners.
- 3.6 The Recipient must provide the Authority with all reasonable assistance and co-operation in relation to any ad-hoc information requests made by the Authority in relation to the Purpose.
- 3.7 The Recipient must provide the Authority with access to all Board and Corporate level meeting minutes related to the Purpose.
- 3.8 The Scheme Manager shall ensure that all reports are compiled and submitted to the Grant Sponsor in a timely manner and attend the monitoring and review meetings.

## Progress Reporting

- 3.9 In support of Annex A (Grant Claim) submissions the Recipient shall provide the following progress reports (the 'Progress Reports'):
- a. Data returns that contain KPIs, as well as an up-to-date list of Delivery Partners and any changes to monitoring processes or proposed changes to hotspots.
  - b. financial statements highlighting any significant financial variances, underspend or overspend, and any Supplementary Funding.

- 3.10 The Recipient must submit progress reports to the Grant Manager by 14 day of the month following the period under review. Initially these will be **Monthly** as follows:
- a. **Period 4** (July 2023) by 14 Aug 2023
  - b. Period 5 (August 2023) by 14 Sept 2023
  - c. Etc
  - d. Period 12 (Mar 2024) by 14 April 2024
- 3.11 The frequency of these Progress Reporting requirements will be reviewed with the Authority during the Funding Period and maybe be amended as time progresses.

### Strategic Reporting

- 3.12 In addition to the Progress Reports, the Recipient shall provide a strategic report (the 'Strategic Report') that will look back over the previous [three (3) Months] and forward at least [three (3) Months] providing details of activities, schemes, income forecasts, assessment of progress, and:
- a. a Value for Money assessment (e.g. benefits realisation, savings, efficiencies etc.),
  - b. an assessment of progress against the primary outcomes as described in Schedule 1,
  - c. Social Value progress,
  - d. Financial review of actuals against forecast, and
  - e. Forward-look plans and forecasts for all identified delivery and financial KPIs.
- 3.13 The Authority and the Recipient shall meet at least every [three (3) Months] during the Funding Period to monitor and review performance, discuss future proposals and give feedback. These meetings shall also include formal performance reviews after each report is published. The Authority shall consider:
- a. how the Recipient has performed and sought to resolve any major issues that impact on its ongoing success,
  - b. how the Recipient has secured good Value for Money in how the activities were carried out.

### Ad Hoc Reporting

- 3.14 The Recipient will comply with any requests for reports or other information that the Authority may from time-to-time reasonably request within any timeframe specified.
- 3.15 If requested by the Authority, the Recipient must provide information to demonstrate its approach to modern slavery and human trafficking.

This could include completion of the Modern Slavery Assessment Tool (MSAT).

- 3.16 Any Data incident or Critical Incident must be reported to the Authority within one (1) Calendar Day. The Recipient must provide a follow up report within three (3) Calendar Days to the Authority on how the matter has been resolved or whether the Authority will need to intervene.
- 3.17 The Recipient will notify the Authority as soon as reasonably practical of actual or potential variations to the budget proposal, forecast expenditure or any event which materially affects the continued accuracy of such financial information.
- 3.18 Additionally, the Recipient will notify the Authority within one (1) Calendar Day of:
- a. any actual or potential failure to comply with any of its obligations under the Grant Agreement, which includes those caused by any administrative, financial or managerial difficulties; or
  - b. any changes to its constitution, legal form, membership structure (if applicable) or ownership, and of any complaint or investigation by any regulatory body or the police into its activities or those of its Staff or Delivery Partners (Clause 10.1).

### Annual Review

- 3.19 In addition to any ongoing reporting, monitoring or evaluation, the Authority will review the Purpose of the Grant annually and will take into account the Recipient's achievements (during the Funding Period) as measured against the KPIs. As part of the annual review the Authority will have regard to the reports produced by the Recipient.
- 3.20 Each annual review will result in the Authority making a recommendation that the:
- a. Purpose and Agreement continue in line with existing plans; and/or
  - b. Eligible Expenditure payable for the subsequent Funding Period should be revised (up or down); and/or
  - c. KPIs should be re-defined and agreed; and/or
  - d. The Recipient shall provide the Authority with a Remedial Action Plan in accordance with Clauses 17.4 to 17.9 setting out the steps the Recipient will take to improve delivery of the Purpose; and/ or
  - e. Authority should recover Unspent Monies; and/ or
  - f. Agreement should be terminated.
- 3.21 The Recipient may make representations to the Authority regarding any recommendations made in accordance with this provision,

however, the Authority shall not be obliged to take such representations into account when making its recommendation and any recommendation will be final and at the Authority's absolute discretion.

### Risk, Controls and Assurance

- 3.22 The Recipient's due diligence undertakings of Delivery Partners must be an ongoing not a one-off activity. A proportionate approach should be applied to the frequency of subsequent due diligence based on the initial assessment (as required by Clause 12.2). Due diligence, including conflicts of interest and financial health checks, shall be reported on and monitored as part of the risk management approach.
- 3.23 Proportionate and regular checks should be undertaken by the Recipient to assure the Authority that expenditure represents neither Duplicate Funding or Grant Fraud.
- 3.24 Risk must be actively managed across the duration of the Grant Agreement, bearing in mind the principle of proportionality. The Parties shall work together to identify, manage and mitigate risks and issues impacting on achieving the Purpose. These shall be recorded in a joint risk & issue register. Where risks (or issues) are unresolved or unmitigated the Parties must record the possible effect on delivery or completion of the scheme. The Authority will assess the impact on the scheme to determine whether any changes are required, for example as described in paragraph 3.19 to this Schedule 3.
- ~~3.25~~ The risk and issue register should be regularly updated by the Recipient and reviewed with the Authority not less than four times per year.
- 3.26 Outside of this regular review cycle, the relevant Party shall inform the other as soon as they identify an imminent Risk (i.e. proximity < 3-months) or live Issue.
- 3.27 Where the Recipient is in receipt of General Grant funding from Crown Bodies exceeding more than 49.99% of the Recipient's total income, it will notify the Authority within five (5) Working Days providing a full financial report with details of all income derived from public funds and non-public funds. The Authority will review the situation and work with the Recipient to determine what, if any, action is required to diversify income streams and reduce the reliance on public funding.



## SCHEDULE 4 – PROGRAMME CLOSURE PLANNING

- 4.1 It is essential that the Scheme Manager prepare, and the Grant Sponsor agrees, a plan which sets out the provisions for a controlled closure of the scheme including the activities and timescales, not exceeding any no-fault termination period, required to do so (the 'Plan').
- 4.2 The Plan should also provide indicative direct costs that the Authority may reasonably be expected to contribute towards **and** demonstrate that due consideration is given for (including, but not limited to):
- a. any existing commitments (e.g. contracts, dilapidations, recurring cost commitments etc.)<sup>11</sup>, and/or
  - b. additional costs and activities
- directly resulting from an **early termination or withdrawal** of the Grant funding<sup>12</sup> (e.g. property lease breaks, notice periods and estimated costs for redundancy/severance etc.).
- 4.3 The initial Plan must be shared with the Authority no later than three (3) Months after the Grant Agreement commences.
- 4.4 It is expected that during the life of the Grant Agreement the Plan will be kept current by review, development and refinement as necessary by the Recipient and shared with the Authority.

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<sup>11</sup> The Authority will consider such information but does not commit in advance to pay such costs identified. These will be negotiated on a case-by-case basis, based upon the provision of auditable evidence.

<sup>12</sup> The Recipient should note that the Authority will only in exceptional circumstances consider claims for reasonable costs actually incurred as a result of a planned closure where the programme runs to the end of the stated Funding Period.

## **SCHEDULE 5 – DATA SHARING AND GDPR**

- 5.1 The Parties agree that they will not transfer or share with each other Personal Data, or otherwise sensitive information, arising from the delivery of the Purpose, or any other aspect of this Grant Agreement. Further, any data generated, shared or otherwise used in delivering the Purpose is outside the scope of the Data Protection Legislation.
  
- 5.2 Should the data requirements change throughout the course of the Grant, the Authority will work with the Recipient and make a formal agreement on the data sharing requirements.

## **SCHEDULE 6 – AID DIVERSION**

NOT USED

## ANNEX A

### Grant Claim Form

<b>Recipient:</b>	<b>Grant Stream (incl. Ref. no.):</b>	
<b>Period</b> From: To:	<b>Resource (£)</b>	<b>Capital (£)</b>
(1) Total funding received for this financial year		
(2a) Actual expenditure in this period (To be supported by a breakdown of expenditure against the cost breakdown detailed in Schedule 1).		
(2b) Forecast expenditure in the period (To be used for the final claim of the year in instances where Schedule 2 sets out that the final payment request must be received in advance of 31 March (end of the financial year).		
<b>(3) Funding request for this period</b>		
(4) Total funding received and requested (1+3)		

#### MONITORING INFORMATION REQUIREMENTS

Where monitoring information, as set out in Schedule 3, is a requirement for the period the payment is requested for, please confirm what has been attached to this payment request form.

The number of Scheme proposal applications received

The number of Schemes approved (value, timeline and abstract for each)

Summary of the Evaluation carried out for each activity including measures of impact and an ongoing assessment of which the Schemes proved to be most and least effective;

Details of those evaluating individual initiatives.

#### SENIOR FINANCE OFFICER CERTIFICATION

I certify to the best of my knowledge and belief that:

- a) The information provided is correct; it does not represent Grant Fraud, and no Duplicate Funding has been received in respect of this statement of Eligible Expenditure for the Grant Amount being claimed,
- b) The expenditure has been incurred only for the purposes set out in the Grant Agreement for the specified Grant stream.

<b>Signature:</b>			
<b>Name (printed):</b>		<b>Date:</b>	
<b>Position:</b>			

**SCHEME MANAGER CONFIRMATION**

I certify to the best of my knowledge and belief that:

- a) The information provided is correct, and all activities claimed have been completed as described, and
- b) The Eligible Expenditure has been incurred only for the purposes set out in the Grant Agreement for the specified Grant scheme.

<b>Signature:</b>			
<b>Name (printed):</b>		<b>Date:</b>	
<b>Position:</b>			

**Home Office sign off:**

<b>Signature:</b>			
<b>Name (printed):</b>		<b>Date:</b>	
<b>Position:</b>			

**Note 1:** For payments in arrears. If, over the Funding Period, the total Grant claimed exceeds the value of the Grant Amount, in accordance with Clause 4.1 the Authority may not liable for this excess expenditure.

**Note 2:** For payments in Advance of Expenditure. If, over the Funding Period, the total Grant received is greater than the Recipient’s expenditure, in accordance with Clauses 6.13 and 6.14, the Authority will offset the surplus against any future payment(s) due or recover the surplus as part of the Annual Review financial reconciliation process described in Schedule 3.

**Note 3:** In all instances, any expenditure deemed ineligible will be recoverable by the Authority.

## ANNEX B

### Outturn Statement (April 2023 to March 2024)

The Outturn Statement should be completed and certified by the Finance Officer and returned to the Authority in accordance with Clause 6.8.

**Grant Recipient:**

**Grant Stream:**

<b>Expenditure Category:</b>	<b>Actual Resource Expenditure (£)</b>	<b>Actual Capital Expenditure (£)</b>
<b>TOTAL EXPENDITURE:</b>		
<b>TOTAL GRANT PROVIDED:</b>		
<b>VARIANCE:</b> total Grant provided <b>minus</b> total resource expenditure		
<b>Reason for variance:</b>		

#### SENIOR FINANCE OFFICER CERTIFICATION

I certify to the best of my knowledge and belief that:

- The information provided is correct; it does not represent Grant Fraud, and no Duplicate Funding has been received in respect of this statement of Eligible Expenditure for the Grant Amount being claimed,
- The expenditure has been incurred only for the purposes set out in the Grant Agreement for the above Grant stream.

<b>Signature:</b>	
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<b>Name (printed):</b>		<b>Date:</b>	
<b>Position:</b>			

**SCHEME MANAGER CONFIRMATION**

I certify to the best of my knowledge and belief that:

- a) The information provided is correct, and all activities claimed have been completed as described, and
- b) The Eligible Expenditure has been incurred only for the purposes set out in the Grant Agreement for the specified Grant scheme.

<b>Signature:</b>			
<b>Name (printed):</b>		<b>Date:</b>	
<b>Position:</b>			

**Home Office sign off:**

<b>Signature:</b>			
<b>Name (printed):</b>		<b>Date:</b>	
<b>Position:</b>			

**Note 1:** If, at the end of the Funding Period, the total Grant claimed exceeds the value of the Grant Amount, in accordance with Clause 4.1 the Authority may not liable for this excess expenditure.

**Note 2:** If, at the end of the Funding Period, the total Grant claimed is greater than the Recipient’s Eligible Expenditure, in accordance with Clauses 6.13 and 6.14, the Authority may offset the surplus against any future payment(s) due or recover the surplus as part of the Annual Review financial reconciliation process described in Schedule 3.

**Note 3:** In all instances, any expenditure deemed ineligible will be recoverable by the Authority.

## **ANNEX C – Authorised Representatives**

The following are the current list of the Authority’s staff designated as authorised representatives:

<b>For the Authority</b>	<b>Position</b>	<b>Address</b>	<b>Telephone</b>	<b>E-mail</b>
	<b>Grant Sponsor</b>			

The following are the current list of the Recipient’s Staff designated as authorised representatives:

<b>For the Recipient</b>	<b>Position</b>	<b>Address</b>	<b>Telephone</b>	<b>E-mail</b>
P. Brent-Isherwood	Scheme Manager	Kelvedon Park, London Road, Rivenhall, Witham CM8 3HB	07973 880934	pipa.brent-isherwood@essex.police.uk
Claire Hanrahan	Lead Officer	Kelvedon Park, London Road, Rivenhall, Witham CM8 3HB	07815 000894	claire.hanrahan@essex.police.uk



Janet Perry	Senior Finance Officer	Kelvedon Park, London Road, Rivenhall, Witham CM8 3HB	07738 681621	<a href="mailto:janet.perry@essex.police.uk">janet.perry@essex.police.uk</a>

## **ANNEX D**

### **Delivery Plan**

Through the submission of its delivery plan, the Recipient has demonstrated that it has the organisational capability and capacity to deliver the outcomes and impacts described in Schedule 1 and 3 in accordance with the terms and conditions set out in the Grant Agreement.

In this Annex D the words “we” and “our” refer to the Recipient and its Delivery Partners.

[Attached separately]

## ANNEX E

### Limitations of Funding Use and Ineligible Expenditure

- 1.1 The Recipient shall not make a profit in its use of the Grant.
- 1.2 Further, the Recipient is not permitted to charge, or require payment for, or apply fees to, any activity provided in connection with this Agreement or otherwise use the Grant to undertake or engage in activities that result in commercial gain or profit.
- 1.3 For the avoidance of doubt, no profit, dividends, bonuses (incl. discretionary performance related bonuses) and/or any similar or equivalent benefit will be paid to Staff.
- 1.4 To comply with the Cabinet Office' spend control<sup>13</sup> requirements, the Recipient:
  - must seek permission from the Authority prior to any proposed expenditure on advertising, communications, consultancy or marketing either in connection with, or using the Grant; and
  - should provide evidence that any marketing, advertising, communications and consultancy expenditure carried out in connection with, or using the Grant will deliver measurable outcomes that meet government objective to secure Value for Money.
- 1.5 Other expenditure, which are prohibited, include the following:
  - discretionary Staff bonuses and rewards i.e. where a value is not contractually guaranteed, for example, it is described as 'the potential to earn up to'
  - contributions in kind;
  - interest payments or service charge payments for finance leases;
  - gifts;
  - statutory fines, criminal fines or penalties civil penalties, damages or any associated legal costs;
  - payments for works or activities which the grant recipient, or any member of their Partnership has a statutory duty to undertake, or that are fully funded by other sources;
  - bad debts to related parties;
  - payments for unfair dismissal or other compensation;
  - depreciation, amortisation or impairment of assets owned by the Recipient;
  - the acquisition or improvement of Assets by the Recipient (unless the Grant is explicitly for capital use – this will be stipulated in the Grant Funding Letter); and

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<sup>13</sup> <https://www.gov.uk/government/collections/cabinet-office-controls>

- liabilities incurred before the Commencement of the Grant Agreement unless agreed In Writing by the Authority.

1.6 The Recipient may not use the Grant to cover any direct costs required to establish a fundraising capability.

## ANNEX F

### Change Control Record

Grant Agreement Version	Variation Reference	Agreed	Dated
v1.0	Not applicable	DD MMM YYYY	DD MMM YYYY

## Grant Variation Notice (Template)

Agreement Title	Anti-Social Behaviour (ASB) Hotspot Response Pilots
Between	The Secretary of State for the Home Department, (hereinafter called "the Authority") & Police, Fire and Crime Commissioner for Essex ("the Recipient")
Variation Number	Insert unique reference number (e.g. 001-2018)
Variation	Means the amendments to the Grant Agreement contained in this form
Date Effective From	DD MMM YYYY (Insert date change is agreed to be effective from)

In accordance with the provisions of Article 18, the Parties hereby agree that the Grant Agreement be varied as follows:

No.	Heading	Location	Variation
1			
2			
3			

- Words and expressions in this Grant Variation Notice shall have the meanings given to them in the Grant Agreement.
- The Grant Agreement, including any previous Grant Variation Notices, shall remain effective and unaltered except as amended by this Grant Variation Notice.

Signed on behalf of the Authority

Signed on behalf of the Recipient

Signature

Signature

Name

Name

Title

Title

Date

Date

## ANNEX G



Home Secretary

2 Marsham Street  
London SW1P 4DF  
[www.gov.uk/home-office](http://www.gov.uk/home-office)

Essex Police and Crime Commissioner  
Chief Constable Essex Police

27 March 2023

Dear Colleague,

### ANTI-SOCIAL BEHAVIOUR ACTION PLAN

Tackling anti-social behaviour is an absolute priority for this Government. Everyone has the right to live without fear of facing anti-social behaviour, to leave their home without fearing intimidation, to shop in a vibrant high street free from disorder and disrepair, and to use and enjoy their parks and community spaces. For too long this issue has been overlooked. The public must trust that there will be action taken when they report the intimidation and harassment they face.

Today's publication of the Anti-social Behaviour Action Plan reinforces the Government's commitment to stamp out anti-social behaviour and restore the right of people to feel safe in, and proud of, their local area. The plan is an ambitious and wide-reaching new approach that will give Police and Crime Commissioners (PCC), local authorities, and other agencies the tools to tackle the blight of anti-social behaviour facing communities across England and Wales.

The plan sets out a radical new approach to tackling anti-social behaviour split across five key areas:

- **Stronger punishment for perpetrators**, cracking down on illegal drugs, evicting anti-social tenants and making perpetrators of anti-social behaviour repair the damage they inflicted on victims and communities. I have made the decision to ban nitrous oxide, a drug which is a persistent blight on our public spaces and a harmful substance to our young people. It is only right that we protect our people and our places from those who peddle to sell harmful drugs to turn a profit;
- **Making communities safer** by increasing police presence, harsher financial penalties, and our plans to replace the Vagrancy Act by helping

ensure those who are genuinely homeless and with complex needs are directed towards appropriate support and introducing new tools to enable police and local authorities to address begging that is causing a nuisance to others;

- **Building local pride** by tackling empty shops and properties and revitalising parks and green spaces;
- **Prevention and intervention** through funding one million more hours of provision for young people, expanding the eligibility criteria for the Turnaround Programme, focusing on targeted support for children most at risk and working with delivery partners on National Youth Guarantee; and
- **Improving data, reporting and accountability** by simplifying and improving existing reporting structures and increased accountability through better and more transparent data collection.

To support these measures, we are rolling out pilots in a number of areas. We know evidence shows that the ‘hotspot’ approach, where uniformed police spend time at problem areas on a regular basis, reduces levels of crime. I am pleased to confirm that we will be funding Essex to pilot an increased police presence to clamp down on anti-social behaviour in targeted hotspots where it is most prevalent.

We are also launching today a targeted consultation which marks the first phase of the Community Safety Partnership review. The consultation will seek views on strengthening the accountability model of Community Safety Partnerships to align their work more closely to Police and Crime Commissioners, making sure they work together effectively to cut crime. Through the consultation, we are also seeking views on changes to the anti-social behaviour powers and tools to strengthen and broaden their use. The consultation will be published on gov.uk and will run for 8 weeks.

Tackling anti-social behaviour requires a strong and effective partnership response from all agencies working together and the measures we have outlined in the Anti-social Behaviour Action Plan give the police, local authorities and other agencies a wide range of powers and tools to deal with every situation of anti-social behaviour that may arise.



**Rt Hon Suella Braverman KC MP**



## **ANNEX H**

### **Clarification Question Response Log**

NOT USED – DIRECT AWARD

## **ANNEX I**

### **New or Changing Bank Account Details**

- 1.1 Clauses 5.3 to 5.5 explain that Authority will make Grant payments by BACS transfer.
- 1.2 The responsibility for ensuring the Authority has the correct bank account details lies with the Recipient.
- 1.3 The information which the Recipient must supply to the Authority to allow BACS payments is as follows:

#### **Recipient Details**

Registered name of company

Trading name of company

Company registration number

Vat registration number

#### **Recipient Address Details**

Registered Address

Credit Control/Finance Address

#### **Contact Details**

Email address for purchase orders

Email address for remittance advice

Email address for invoice queries

Telephone Number for Accounts

Receivable/Credit Control

#### **Payment Details**

Bank Name

Branch name and address

Company Bank Account Name

Bank Account Number

Bank Account Sort Code