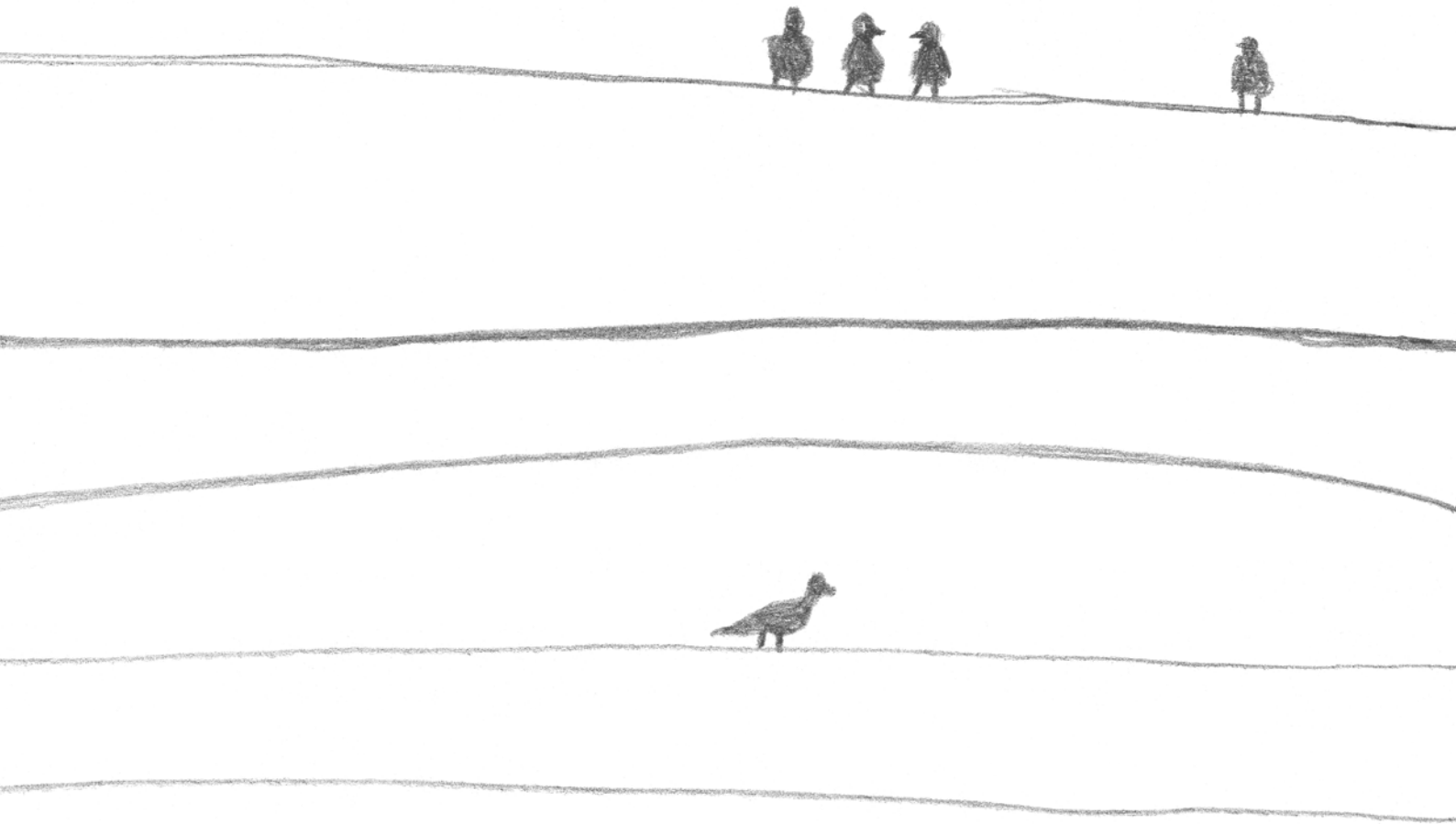


June 2008

Guidance for Applicants

Who we are. What we do. And how your organisation could apply for a grant



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Esmée
Fairbairn
FOUNDATION

The Esmée Fairbairn Foundation aims to improve the quality of life throughout the UK. We do this by funding the charitable activities of organisations that have the ideas and ability to achieve change for the better. We take pride in supporting work that might otherwise be considered difficult to fund. Last year we committed approximately £30 million towards a wide range of work.

We now channel our funding through two routes.

Main Fund

Our Main Fund distributes about two-thirds of our funding. Responsive to shifts in demand, it supports work that focuses on the UK's cultural life, education, the natural environment and enabling people who are disadvantaged to participate more fully in society.

Strands

We will also allocate funds to specific strands of work. These will change over time, but overall they express our desire to make a contribution in particular areas of interest. *There is a separate application process for strands.* You can find brief details on page 8 and full information about all our current strands is on our website.

Applying for a grant from the Main Fund

Please follow these three steps:

Step 1 – Read through the guidance notes, paying careful attention to the sort of work we support – and what we do not.

Step 2 – If you think your organisation's activities could attract Esmée Fairbairn funding, go through the self-assessment checklist for eligibility.

Step 3 – If you can answer 'yes' to each of the self-assessment checklist questions, submit a first stage application.

What happens next

We will then get back to you, aiming to acknowledge your first stage application within a week of receiving it. Within a month we will either suggest taking it to the second stage or decline to support it.

If you are invited to proceed to the second stage, we will ask you for some additional information that will depend on what you have already told us and the size and complexity of the work you would like us to support.

Step 1

Guidance notes

What areas do we support?

Our primary interests are in the UK's cultural life, education, the natural environment and enabling people who are disadvantaged to participate more fully in society.

We welcome your suggestions about how we can help your organisation. We are particularly interested in hearing about how the work you are proposing:

- Addresses a significant gap in provision
- Develops or strengthens good practice
- Challenges convention or takes a risk in order to address a difficult issue
- Tests out new ideas or practices
- Takes an enterprising approach to achieving your aims
- Sets out to influence policy or change behaviour more widely

We can only fund work that is legally charitable. You do not have to be a registered charity to apply, but your constitution must allow you to carry out the work you propose.

What type of funding do we offer?

At Esmée Fairbairn we are happy to consider requests to fund core costs or project costs. These may include running costs such as staff salaries and overheads but generally not equipment costs.

New and emerging organisations may apply and we are willing to help finance the early stages of developing a convincing new idea in order to test its feasibility and give it the best possible chance of success.

We occasionally fund research where we consider it is likely to have a practical impact.

If you ask for our assistance, you should tell us how much you need. The average Esmée Fairbairn grant is worth about £50,000, but we are happy to consider requests for less or more money.

Step 1

Guidance notes continued

How will we evaluate your application?

We receive many more applications than we can support. Therefore, we have to be selective.

As part of our selection process, we look to support work that has the best chance of achieving its objectives or will leave behind knowledge and experience that could benefit others.

Every application for support is different and we examine each according to the likelihood of it making a difference in the applicant organisation's area of work. Depending on the nature of your application, these are some of the criteria we will apply:

- How strong are your ideas and how well equipped are your people to carry them out?
- How well do you understand the issues you are addressing and what is your track record?
- Do you have a clear plan or idea and the capacity to deliver it?
- What difference would help from us make to your work?
- Does your work have the potential to be applied more widely or can it influence the work of others?
- Would receiving our support make you more likely to attract help and engagement from others?
- How would your organisation be stronger by the end of the grant and how developed are your long-term plans for sustainability?

Exclusions: what we will not fund

These are types of work or organisations that the Foundation does not support. This section expands on the advice in our printed Guidance for Applicants document.

Since we only fund organisations, we do not make grants to individuals or to causes that will benefit only one person, including student grants or bursaries.

Also outside the remit of the Main Fund – no matter how worthwhile – are:

- Support for a general appeal or circular.
Please note: Organisations using general appeals or circulars should read our funding guidance, and if eligible make a specific application using the outlined process.
- Work that does not have a direct benefit in the UK, including expeditions and overseas travel.
- The promotion of religion.
Please note: We will not make grants which promote a particular religious belief but will consider applications from faith-based organisations where the work is not for religious purposes and clearly fits our funding guidelines.
- Capital costs – meaning the construction or refurbishment costs or items of equipment (other than those essential to a project we are supporting).
Please note: This exclusion also covers capital for heritage projects.

continued overleaf

Step 1

Guidance notes continued

Exclusions: what we will not fund

- Work that is routine or well-proven elsewhere or with a low impact. Examples of the kind of things we will exclude under this heading include:
 - Mainstream activities of organisations which are part of a wider network of others (e.g. Age Concern, CABx, MIND).
 - Similar work which is provided across locations e.g. refuges, contact centres, playgroups, play schemes, out of school clubs, and supplementary schools, playgroups, youth clubs.
 - Information and advice work including money advice.
 - Outward bound courses, adventure experiences.
Please note that we are only likely to fund exceptional work which falls into any of these categories.
- Healthcare or related work such as medical research, complementary medicine, counselling and therapy, education and treatment for substance misuse.
Please note: We do not support treatment, rehabilitation or education projects related to drug and alcohol misuse, direct health services, or hospices.
- Work that is primarily the responsibility of central or local government, health trusts or health authorities, or which are substantially funded by them. This includes residential and day care, housing and homelessness services, individual schools, nurseries and colleges, supplementary schools and vocational training. In this context please note that:
 - Our general preference is to fund independent voluntary organisations and not to replace or subsidise statutory funding.
 - We are unlikely to make grants for vocational training (meaning training that may result in specific employment) unless there are exceptional benefits (e.g. a new approach, or a specific additional social benefit to the training).
- Projects that primarily benefit the independent education sector.
- Environmental projects related to animal welfare, zoos, captive breeding and animal rescue centres.
- Individual energy efficiency or waste reduction schemes, such as recycling, composting, scrapstores, white goods projects or renewable energy schemes. We will only consider this work if the social benefits are exceptionally strong or there is something groundbreaking about what is proposed.
- Retrospective funding, meaning support for work that has already taken place.

For a better idea of the work we are most likely to support, visit our website: www.esmeefairbairn.org.uk which lists our recent grants and has a copy of our annual report.

Step 2

Self-assessment checklist

If, having read through the guidance notes, you think that your organisation might qualify for funding from Esmée Fairbairn, please complete this checklist for your own benefit. Only if you can put a tick in each of the boxes should you go on to Step 3.

- I have read and understood the information about Esmée Fairbairn's Main Fund.
- I represent a registered charity or a not-for-profit organisation.
- The organisation has a constitution that allows it to carry out the work I am going to propose for Main Fund support.
- The purpose of the work I am proposing is legally charitable.
- The work I would like supported does *not* appear on the list of exclusions – see page 3.
- The work I am proposing would benefit the UK's cultural life, education, the natural environment or enable people who are disadvantaged to participate more fully in society.
- The work I am proposing is in line with what Esmée Fairbairn is interested in (*see page 2*) and does *one or more* of the following:
 - Addresses a significant gap in provision
 - Develops or strengthens good practice
 - Challenges convention or takes a risk in order to address a difficult issue
 - Tests out new ideas or practices
 - Takes an enterprising approach to achieve its aims
 - Sets out to influence policy and change behaviour more widely

Step 3

First stage application

If you ticked all the boxes in the self-assessment checklist, the next step is to let us have a first stage application. This should consist of:

(a) a form (*see next page*)

(b) a short statement summarising what you would like to do and why on no more than two sides of A4, using a font no smaller than 12-point. Please use the following headings:

- A brief description of your organisation and its track record
- What you would like us to fund
- Why you want to do this work and why your organisation is best equipped to carry it out
- What difference the work you would like us to support will make to your organisation and life in the UK (either locally, regionally or nationally)
- How much would the project cost and how much money are you asking Esmée Fairbairn for?
- Additional information that could advance your application

(c) a copy of your organisation's most recent accounts (or a budget for the current year if your organisation is new)

(d) Your organisation's constitution (if you are not a registered charity)

We will accept applications by post or email, but please make sure that you send (*or attach*) all the information we ask for at the same time.

By post to
Grant Applications
Esmée Fairbairn Foundation
11 Park Place
London
SW1A 1LP

By email to: applications@esmeefairbairn.org.uk

Step 3

First stage application continued

To complete the outline proposal, please also complete this form
(also available on our website):

Organisation name

Organisation address

Telephone number

Organisation contact name and position in organisation

Please confirm you have the authority to make this application by ticking this box:

Email address (required, since this will be our main way of contacting you, preferably for your organisation rather than a home email address)

Organisation website address

Registered charity number (if applicable)

Date organisation was established

Project proposal summary (in no more than 25 words)

Amount requested £

Local authority area where your organisation is based

Local authority area(s) that will benefit from the work (if different)

Contact signature – *not required if you are emailing your application*

Frequently asked questions about the Main Fund

Who can apply?

Esmée Fairbairn supports registered charities and not-for-profit organisations. We make grants for legally charitable work that an organisation's constitution allows it to do.

For what purposes are grants available?

We fund core costs and project costs. These may include running costs such as staff salaries and overheads. We will fund items of equipment only if they are essential to the work we are supporting.

Please see our website www.esmeefairbairn.org.uk for examples of the types of work that we have supported in the past.

What won't Esmée Fairbairn fund?

Please see the list of exclusions on page 3.

May I call you to discuss my organisation's application?

To ensure the most fruitful conversation, initially we will need to receive a first stage application form as outlined on page 5-6. We will call you if we need to know more.

If you are currently a grantholder, please get in touch with your usual contact at Esmée Fairbairn.

How much can my organisation apply for?

Whatever you feel you need for the work you want us to support. Last year there was a range of grant sizes, with an average grant of around £50,000.

Do you make grants for more than one year?

Grants may be for one year or longer, but generally not for more than three years.

When can my organisation apply for a grant?

You are welcome to submit an application at any time, since we make funding decisions throughout the year. However, we will only deal with one application per organisation at a time through the Main Fund.

If your organisation currently holds a grant and you would like to continue or develop the work, you should telephone the contact person for your grant six months before the end of the current grant.

How long will I have to wait for a decision?

We will aim to acknowledge your first stage application within a week of receiving it – preferably by email. We would generally expect to make a preliminary decision about whether to take it further within a month. If we express an interest, a final decision could take a further four months, so it would be best to factor a total of five months into your planning – particularly if you are requesting a grant of more than £75,000.

If my application is refused at either the outline or final stages, may I apply again?

You may come back to us with a revised proposal or a new idea.

Can my organisation have more than one grant at a time?

In most cases we only expect to make one grant at any one time.

What happens if my application is successful?

You will be expected to comply with our standard terms and conditions, which you can find on our website. Occasionally, the nature of a grant can involve special terms and conditions as well.

You will also need to report to us on your progress with the work we are supporting. We will provide you with advice on what we like to see in a progress report. This advice is also available on our website.

Strands

At the time of writing we have identified the following three topics for more detailed attention. These will develop over time, and allow us to make a more focused contribution in an area of interest. Others may come on stream in the course of the year, so please check our website for details.

There is a different application process for our funding strands. To learn more about the strands and how to apply, visit www.esmeefairbairn.org.uk

Biodiversity – supporting practical conservation action and the science which underpins it. The strand will focus on species and habitats that are uncharismatic or hard to fund and aims to support the development of effective conservation approaches. Linking science and practical action, it will prioritise partnership applications involving research organisations, practical conservation charities and voluntary nature societies.

Museum & Heritage Collections – This strand will focus on time-limited collections work including research, documentation and conservation that is outside the scope of an organisation's core resources. We will prioritise proposals that are at an early stage of development where it may be difficult to guarantee tangible outcomes. We will also prioritise proposals that have the potential to share knowledge with other organisations through partnership working or dissemination.

New approaches to learning – Devising, testing and disseminating new approaches to teaching and learning that address current and future challenges in state schools and pre-schools.

A brief history

In 1961 Ian Fairbairn, a leading City figure, decided to endow a charitable foundation with the bulk of his holdings in the company he had joined some 30 years before, M&G.

His purpose was two-fold. In the interests of more widespread prosperity, he aimed to promote a greater understanding of economic and financial issues through education. He also wanted to establish a memorial to his wife, Esmée, who had played a prominent role in developing the Women's Royal Voluntary Service and the Citizens Advice Bureaux. She was killed in an air raid during the Second World War.

Esmée Fairbairn's sons, Paul and Oliver Stobart, also contributed generously to the Foundation established in their mother's memory.

The Foundation sold its holding in M&G in 1999 when the company was taken over by Prudential Corporation PLC. As a result of this sale, the Foundation's endowment grew significantly in value. So did the size and scope of the grants it was able to make.

Today, the Esmée Fairbairn Foundation is one of the largest independent grant-making organisations in the UK.

Our trustees

Tom Chandos (Chairman)

Ashley G Down

Felicity Fairbairn

John S Fairbairn

Jeremy Hardie

James Hughes-Hallett

Kate Lampard

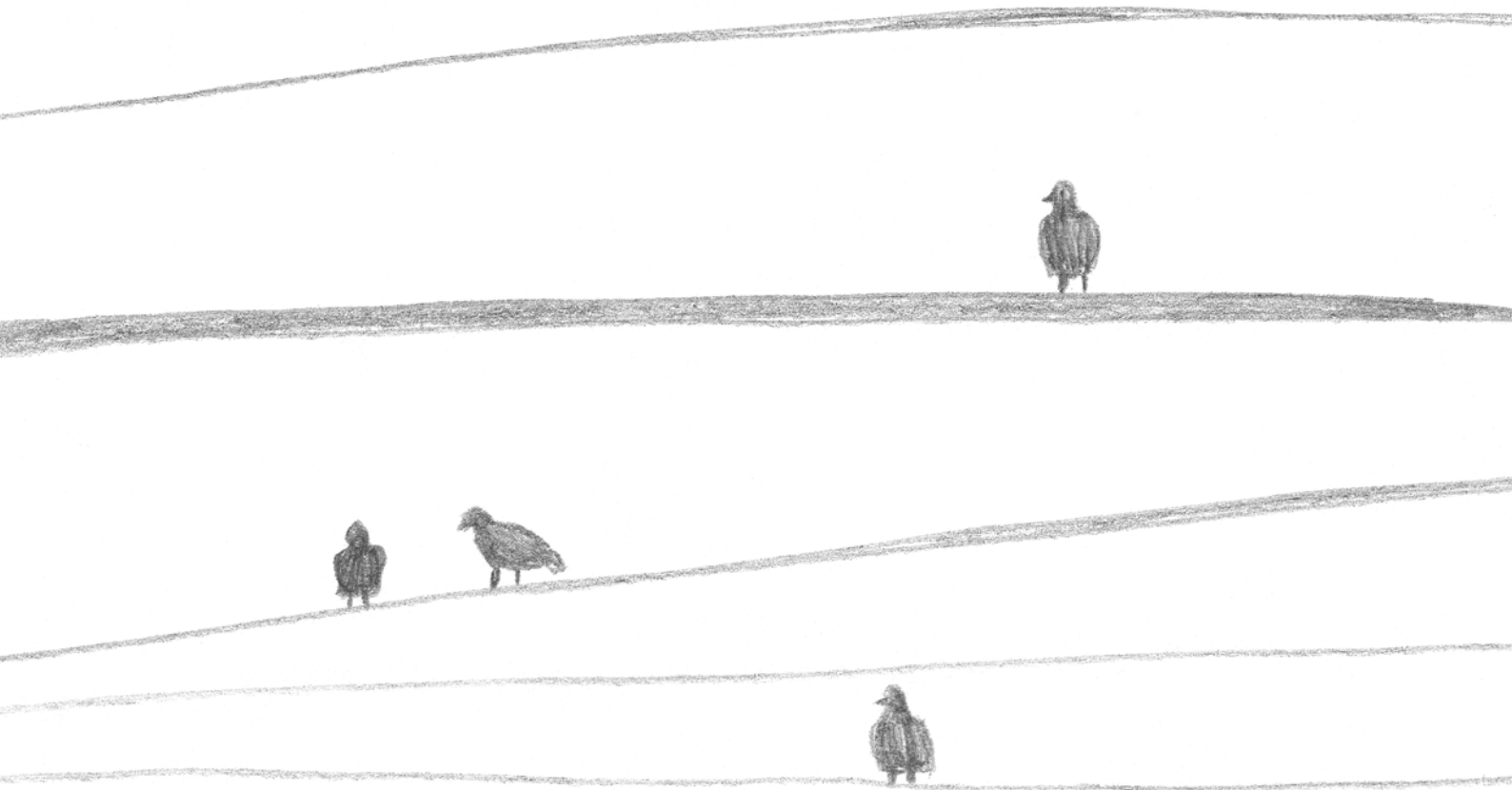
Martin Lane Fox

Baroness Linklater

William Sieghart

Chief Executive: Dawn Austwick

This document is
also available in large
print format and in
an audio version



Latest information

The approach outlined in this document will be a new way of working for us and we will reflect on the experience in the course of the year. This is likely to result in updated guidance, so please check our website www.esmeefairbairn.org.uk to ensure you have the latest information.

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