Full Application Form

EUROPEAN STRUCTURAL & INVESTMENT FUNDS

ESIF-Form-2-010

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| **For completion by the Managing Authority[[1]](#footnote-1)** | | | |
| **Project Number** |  | | |
| **Date received** |  | | |
| **Version number** |  | | |
| **1.0 Applicant Details** | | | |
| 1.1 Applicant organisation | |  | |
| 1.2 Status of organisation | |  | |
| 1.3 For private sector applicants, what is the size of the enterprise applying for funding? | | **Small** |  |
| **Medium** |  |
| **Large** |  |
| 1.4 Company/charity registration number (where applicable) | |  | |
| 1.5 VAT number (where applicable) | |  | |
| 1.6 Applicant address | |  | |
| 1.7 Applicant address (row 2) | |  | |
| 1.8 Applicant address (row 3) | |  | |
| 1.9 Town / City | |  | |
| 1.10 County | |  | |
| 1.11 Postcode | |  | |
| 1.12 Main contact | |  | |
| 1.13 Job Title / Position in the Organisation | |  | |
| 1.14 Email | |  | |
| 1.15 Telephone Number | |  | |
| 1.16 Mobile Number (optional) | |  | |

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| **2.0 Project Details** | | | | |
| 2.1 Project Name |  | | | |
| 2.2 Local Enterprise area(s) covered |  | | | |
| 2.3 Reference number of the call you responded to. |  | | | |
| 2.4 Name of European Structural & Investment Funds Investment Priority |  | | | |
| 2.5 Project Description – Fully describe how the project will be delivered. You should avoid overly technical terminology. Your response should be understood by a non-expert. In your response please cover There is no word limit but you are encouraged to keep this description focussed on the activity of the project:   * What the project is, including the specific activities undertaken as part of the project * Where the project will be delivered * Over what timescale * Who will deliver it * Who will benefit from the project * What the benefits will be   For capital funded activity, please complete Annex 2(c)  Please refer to organisation names (and job titles if necessary) rather than the actual names of individuals when describing project delivery arrangements and responsibilities.  Please ensure your response addresses each of the listed bullet points. You may use sub-headings in your response if this is helpful.  For ESF projects, please include a high level, end-to-end customer journey document e.g. flow chart as an annex to your application. | | | | |
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| 2.6 Will the project involve Delivery Partners? If yes complete 2.6.1 | Yes |  | No |  |
| 2.6.1 Delivery partner name & address including postcode, and their Company / Charity registration number.  (Please refer to organisation names rather than the actual names of individuals) | Role and confirmation that they will defray expenditure (will they provide match funding) | | Is an SLA in place and if not when it will be? | |
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| **2.7 Outline Application Conditions**  Explain how you have addressed each of the conditions made at the Outline Application endorsement stage. Add additional rows if necessary |
| **Outline Application Stage Conditions & how they have been met** |
| a) |
| How has it been met? |
| b) |
| How has it been met? |
| c) |
| How has it been met? |
| d) |
| How has it been met? |
| e) |
| How has it been met? |

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| **2.8 Any changes since Outline Application**  What changes, if any, to your proposal have there been since the submission of your Outline Application? Add additional rows if necessary. |
| **Change & Justification for the change** |
| a) |
| Justification: |
| b) |
| Justification: |
| c) |
| Justification: |
| d) |
| Justification: |
| e) |
| Justification: |

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| **Evidence to Support the Proposal** |
| 2.9 European Social Fund only. Proposed design: How does the proposed delivery model build on evidence of good practice, and what works most effectively for the target group? |
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| 2.10 European Regional Development Fund only. Need for the project within the market– please describe the market failure(s) that your project will address. Please provide relevant evidence and research to support your case. |
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| 2.11 European Regional Development Fund only. Demand for the project – please set out the demand for the project; what are the demand projections; how have these been identified? |
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| 2.12 Explain the impact for the project for each of the following:   * If the project did not receive European Structural & Investment Funds * If the level of European Structural & Investment Funds was reduced * If there was a delay in European Structural & Investment Funds |
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| **3.0 Strategic Fit** |
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| 3.2 How does the project deliver the objectives of the relevant priority axes set out in the Operational Programme? |
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| 3.3 Describe the medium to long-term results/impacts that the project will deliver. |
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| 3.4 Has the applicant identified any organisations offering the same or similar activity? Explain how the proposed project adds value to and doesn’t duplicate this, and does not conflict with national policy? |
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| **4.0 Project timetable** | | |
| 4.1 Start date (date from which eligible expenditure will be incurred) |  | |
| 4.2 Financial completion date (date by which eligible costs will have been defrayed (European Social Fund – contractual completion date) |  | |
| 4.3 Practical completion date (date by which all outputs will be achieved. European Regional Development Fund only) |  | |
| 4.4 Activity end date (date by which all the activities described in the funding agreement will be completed) |  | |
| 4.5 Other milestones - complete the schedule below with detailed project delivery dates as relevant for the implementation, on-going development and delivery of the project. | | |
| Milestone | Start date | Completion date |
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| 4.6 Please provide any necessary commentary on the milestones above including any dependencies. | | |
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| **5.0 Costs and Funding** This is an overview. Costs by LEP area are required within the financial annex, if applicable. | | | | | | |
|  |  | ESIF (a) **(£)** | Public Match (b)  **(£)** | Private Match (c)  **(£)** | Total (d)  **(£)** | ESIF Contribution rate **(%)** (a)/(d)x100 |
|  | ERDF capital |  |  |  |  |  |
|  | ERDF revenue |  |  |  |  |  |
| **Sub Total** | ERDF |  |  |  |  |  |
| **Sub Total** | ESF |  |  |  |  |  |
| **Sub Total** | YEI |  |  |  |  |  |
| **TOTAL** |  |  |  |  |  |  |

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| 5.1 Please provide a breakdown of the sources of funding and detail as to whether or not they are secured and if not when they will be. | | |
| **Name of match funder** | **Status (inc. date if not yet secured)** | **Type cash or in-kind** |
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| 5.2 Please confirm that you have submitted a very detailed, granular budget breakdown. | | | | | | | | | Yes | | |  | |
| 5.3 For each line item (not cost category) provide the justification for its inclusion i.e. relevance to the project and the assumptions / research undertaken to come to the figures. For salary costs, please indicate any job role not 100% funded by the project and provide evidence of the hourly rate using the simplified cost methodology. | | | | | | | | | | | | | |
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| 5.4 Please indicate which simplified cost option you are proposing to use for indirect costs. | | | | | | | | | | | | | |
| 15% |  | 25% ERDF only |  | 40% ESF only |  | | None | | | |  | | |
| 5.4.1 If you have ticked 25% (ERDF only) please provide a detailed justification in line with the eligibility rules. | | | | | | | | | | | | | |
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| 5.5 Please advise whether or not the project budget includes any VAT you cannot recover from HMRC (recoverable VAT). Note we may need confirmation of this by way of a letter from the applicant’s finance department. | | | | | | | | | | | | | |
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| 5.6 If irrecoverable VAT will be claimed, please describe how this is captured through the claims procedure and how your financial processes will ensure that it is not being claimed as part of the normal VAT return. | | | | | | | | | | | | | |
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| 5.7 If the project covers more than one Local Enterprise Partnership area or more than one Category of region, explain how the costs have been shared between areas. | | | | | | | | | | | | | |
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| 5.8 Have you or will you incur any at risk costs since your notification letter, which you intend to include in an ESF / ERDF grant claim? If yes, how much and on what? | | | | | | | | | | | | | |
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| 5.9 European Regional Development Fund only - Will you project generate any income? If yes, please provide details of how and complete annex 2b on revenue generating projects. | | | | | | Yes | |  | | No | | |  |
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| **6.0 Outputs and Results (Results are ESF only)** |
| 6.1 Please explain in detail how you have estimated each of the outputs and results for your project, demonstrating clearly how each of the proposed outputs and results directly links to your specific project activities and objectives.  The ERDF and ESF Indicator Annex Tables for Full Applications can both be found [here](https://www.gov.uk/government/publications/european-structural-and-investment-funds-full-application) on GOV.UK. |
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| 6.2 Please explain your approach for forecasting each deliverable; including the specific base-lining/research you have undertaken to ensure your projected profiles are realistic and achievable and any assumptions which impact on your forecasts. |
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| **7.0 Project Management and Governance** |
| 7.1 Fully describe the project management and control systems that will be established for the project, demonstrating that the project (including any delivery partners) has the appropriate capacity to meet the requirements of European Structural & Investment Funds.  **For ESF Only** – Please also include an explanation on how your project will deal with suspected fraud, in line with published [ESF Anti-Fraud guidance](https://www.gov.uk/government/publications/european-structural-and-investment-funds-counter-fraud-guidance). This includes providing a statement on how you will deal with suspected fraud in your organisation and if appropriate, with your sub-contractors. |
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| 7.2 Please describe the individual posts within the team that will be delivering the project:   * How is the team set up to manage and deliver the project? * Identify which posts are not 100% funded by the project. * What resources, expertise, skills, responsibilities and experience do they have? * Will existing staff be employed, or will new staff be recruited (if yes, how)? * What are the reporting lines and accountabilities of individual posts?   Please include details of Delivery Partners (if relevant).  Please attach a structure chart (organogram) and job descriptions for project delivery staff: See the ‘Supporting Documents checklist’.  Please refer to job titles rather than the actual names of individuals when describing project management and governance arrangements and responsibilities. |
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| 7.3 If this application form has been drafted by individuals who will not be involved in the delivery of the project, how will you ensure that the project delivery team understands the rationale and detail of the project? |
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| 7.4 If applicable, how will you ensure that Delivery Partner(s) comply with the requirements of European Structural & Investment funding? How will you monitor and manage the performance of Delivery Partner(s) and or sub-contractor(s)? |
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| 7.5 Please describe how you will collate, calculate and verify deliverables to ensure that interventions are recorded and an audit trail is retained to prove their validity |
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| 7.6 If applicable, what checks will be carried out to ensure the end beneficiaries (for example, businesses or learners) benefitting from the proposal or individuals engaged as part of the proposal is eligible and belongs to the target group? |
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| 7.7 Describe the controls put in place by the applicant to check that it is maintaining compliance with the eligibility rules during the delivery of the project. |
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| **8.0 Financial Management and Control (In all responses reference delivery partners where appropriate).** |
| 8.1 Describe the financial management and control procedures for the project; including the process for compiling, authorising and ensuring only eligible and defrayed expenditure is included in European Structural & Investment Funds claims for payment.  Please refer to job titles rather than the actual names of individuals when describing Financial Management and Control procedures and responsibilities. |
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| 8.2 Please describe the document management system for the project and how the audit trail will be maintained and accessible for the period required under the terms of the European Structural & Investment Funding Agreement, this includes retrieving original invoices and ensuring evidence of costs incurred is available. |
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| 8.3 Please set out your organisation’s financial policy which describes processes, roles and schemes of delegation. |
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| 8.4 If applicable, how will you ensure that Delivery Partners/financial beneficiaries engaged in the delivery of the project will comply with the requirements relating to defrayal of expenditure? |
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| 8.5 Please explain how the accounting software and systems used will be capable of maintaining separate records for the project and producing detailed reports to demonstrate where the European Structural & Investment Funds is being spent. If applicable, please describe how your partner’s software/systems will manage project finances. |
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| 8.6 As European Structural Investment Funds are paid quarterly in arrears it could be up to 5 months from spending money to receiving payment. Please explain how you are able to cash flow the project. |
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| The following sections are technical and have historically been the cause of financial irregularity. As a result some applicants chose to seek independent advice. If you do not take independent advice your responses should be consistent with the level of detail you would obtain from independent advice. |

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| **9. Procurement Requirements** | | |
| 9.1 Confirm that you have read and understood the European Structural & Investment Funds requirements for procurement, as set out in the published [European Structural and Investment Funds National Procurement Requirements](https://www.gov.uk/government/publications/european-structural-and-investment-funds-procurement-documents) and that you/your Delivery Partner(s) can meet the relevant requirements | Yes | No |
| 9.2 Is your organisation a “Contracting Authority” as defined in the Public Contracts Regulations 2015? | | |
| Yes, No or Don’t know | | |
| 9.3 If not, please set out the reason(s) | | |
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| 9.4 Confirm that you have completed Annex 4a, listing all contracts that will be used to provide goods, works or services to the project, which have already been procured and awarded/contracted prior to this application, or which are in the process of being procured at the date of this application.  *For the avoidance of doubt this includes all previously procured contracts that will be used by the applicant and/or its delivery partner(s) to provide goods, works or services to the project.*  **Do not complete Annex 4a if you are using the ESF 40% Simplified Cost Option.** | | |
| Yes or No, Comment | | |
| 9.5 Confirm that you have completed Annex 4b, listing all the contracts that will need to be awarded to deliver the Project but which have not yet been tendered/procured at the date of this application  *For the avoidance of doubt this includes all contracts that will need to be awarded by the applicant and/or its delivery partner(s) to provide goods, works or services to the project during its lifetime*.  **Do not complete Annex 4b if you are using the ESF 40% Simplified Cost Option.** | | |
| Yes or No comment | | |
| 9.6 Describe the system that will be put in place to:   * Test that the contracts listed at Annex 4a can demonstrate compliance with the ESIF Procurement Requirements   Plan the tender processes listed at Annex 4b to ensure that they comply with ESIF Procurement Requirements.   * Ensure that all relevant documents are retained with a view to providing relevant information in the event of an audit or other investigation.   Please provide further information on any contracts you have referred to in Annex 4a in which there has been a single tender action, the use of a framework or dynamic purchasing system (in particular if this has not been set up by the applicant) or where the contract has been extended. | | |
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| **10 State Aid Law** |
| 10.1Please list all the organisations (if known) which may benefit from the funding of the project. If they are not known, list the types of organisations that might benefit from the funding. |
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| 10.2 For each organisation or type of organisation that may benefit from the project, (including the applicant and any Delivery Partners) identify whether they meet the State Aid test. If you believe an organisation or type/ group of organisations is outside the scope of State Aid, please provide the reasons.  Applicants may wish to refer to the European Commission’s “Notion of State Aid” guidance and the Department for Communities and Local Government’s European Regional Development Fund guidance on State Aid law available at  <https://www.gov.uk/government/publications/european-structural-and-investment-funds-state-aid-documents>.  **For ESF** Applicants should refer to the published [European Social Fund 2014 to 2020 State Aid Guidance](https://www.gov.uk/government/publications/european-structural-and-investment-funds-state-aid-documents) on GOV.UK. |
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| 10.3 For each beneficiary and or type of beneficiary that the applicant regards as being in receipt of State Aid, identify which exemption(s) they will be using to provide the aid in accordance with State Aid law[[2]](#footnote-2).   |  |  |  | | --- | --- | --- | | Name of beneficiary or type of beneficiaries | Name of Exemption | Scheme reference number | |  |  |  | |  |  |  | |  |  |  | |  |  |  |   Where a project is funded under an exemption based on the General Block Exemption Regulations (651/2014), the Applicant is required to either (a) confirm that the project falls within the scope of Regulation 6(5) or (b) to submit a separate document to demonstrate incentive effect in line with Regulation 6(2) containing the following information:  (a) the applicant undertaking’s name and size  (b) a brief description of the project, including start and end dates  (c) the location of the project  (d) a full list of the project costs used to determine the allowable level of funding  (e) the form of the aid  (f) the amount of public money needed for the project. |
| 10.4 If you intend to use exemption(s) to deliver the Project, have you read the terms of the scheme and meet all the relevant terms. |
| Yes or No |
| 10.5 If you intend to use De Minimis, please outline what work has been undertaken to ensure that this is the most appropriate mechanism. |
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| 10.6 Are you subject to an outstanding recovery order in respect of State Aid? |
| Yes or No |
| 10.7 For projects which involve vouchers / grants, what system will be put in place to assess the eligibility of beneficiaries, activities, costs, and compliance with aid intensity levels prior to the intervention? |
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| 10.8 Describe the system in place for collecting and recording the required information for audits and returns? |
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| **11. Publicity** |
| 11.1 Please explain how the project will meet the European Structural & Investment Funds Publicity Requirements available at [www.gov.uk/government/publications/european-structural-and-investment-funds-programme-guidance](http://www.gov.uk/government/publications/european-structural-and-investment-funds-programme-guidance).  For ERDF, this also includes domestic branding requirements as set out in the European Structural & Investment Funds Publicity Requirements. |
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| 11.2 For projects who have already incurred costs which they intend to include within their first claim, please provide confirmation and evidence to show how you have complied with these publicity requirements on expenditure incurred to date**.** |
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| **12. Cross Cutting Themes** |
| 12.1 Support for the Sustainable Development theme  How does the project respect the principle of sustainable development? In particular how does the project maximise positive environmental impacts or mitigate potential negative impacts (with regard to the “polluter pays” principle where appropriate)?  For ESF only, applicants should refer to [Action Note 019/18](https://www.gov.uk/government/publications/esf-action-notes-2014-to-2020-programme) published on GOV.UK which sets out minimum expectations for this specific Selection Criteria, aligned to the ESF Scoring Framework.  Applicants must prepare and attach a Sustainable Development Policy and Implementation Plan along with their Full Application. Applicants should refer to the requirements regarding Sustainable Development Policy and Implementation Plans set out in the published [ESF Cross Cutting Themes Guidance](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/592338/ESF_cross_cutting_themes_guidance__sustainable_development-and-equality.pdf). |
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| 12.2 Support for the Equality and Diversity theme (for European Regional Development Fund this is defined as ‘Equality and Anti-Discrimination’; for European Social Fund this is defined as ‘Gender Equality and Equal Opportunities’) (Application of Article 7 of Regulation 1303/2013) and the Public Sector Equality Duty (s149 of the Equality Act 2010).  How will you ensure that equality between men and women as well as gender perspective are taken into account and promoted throughout the preparation and implementation of the project?  What steps will you take to ensure accessibility for persons with disabilities are taken into account throughout the preparation and implementation of the project?  In light of the Equality Act 2010 how does your proposed project further the following aims:-   * The need to eliminate unlawful discrimination, harassment, victimisation and other conduct prohibited by the Act. * The need to advance equality of opportunity between people who share a protected characteristic and people who don’t. * The need to foster good relations between people who share a protected characteristic and people who don’t.   For ESF only, applicants should refer to [Action Note 019/18](https://www.gov.uk/government/publications/esf-action-notes-2014-to-2020-programme) published on GOV.UK which sets out minimum expectations for this specific Selection Criteria, aligned to the ESF Scoring Framework.  Applicants must also prepare and attach an Equal Opportunities Policy and Implementation Plan along with their Full Application. Applicants should ensure their Equality & Diversity Policy & Implementation Plan adheres to the ESF specific requirements set out in the published [ESF Cross Cutting Themes Guidance](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/592338/ESF_cross_cutting_themes_guidance__sustainable_development-and-equality.pdf) |
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| **13. ERDF Only - Summative Assessment**  Please refer to Project Summative Assessment Guidance (ESIF-GN-1-033) available on GOV.UK ESIF page |
| 13.1 Have you read and understood the Project Summative Assessment Guidance and provided a logic model using the Summative Assessment Logic Model form? (A copy of the logic model should have been provided when you were invited to proceed to full application - if not please get in touch with your nominated contact) |
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| 13.2 Have you allocated a budget for the summative assessment, which does not exceed 1% of the project eligible expenditure **or** £100,000, whichever is the lower amount? |
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| **For ERDF**  **General Data Protection Regulation (GDPR) and Freedom of Information Act 2000**  The Ministry for Housing, Communities and Local Government is the `data controller’ for all ERDF-related personal data and controls and processes personal data (including sensitive special data) under the lawful bases of **Article 6 (1) (e) and Article 9(2)(b) GDPR respectively.**  As a data processer of ERDF personal data, your organisation must ensure that ERDF personal data is processed in a way which complies with requirements of the General Data Protection Regulation (GDPR) and **all applicable laws and regulations relating to processing of personal data and privacy**, including, where necessary, the guidance and codes of practice issued by the Information Commissioner and any other relevant data protection regulations.  You must also comply with the practices and requirements described in the ERDF programme guidance published by the Managing Authority.  By proceeding to complete and submit this form, you consent that we may process the personal data (including sensitive personal data) that we collect from you, and use the information you provide to us, in accordance with our Privacy Policy.  **For ESF**  The Department for Work and Pensions is the `data controller’ for all ESF-related personal data and it controls and processes personal and special category data under the lawful bases of **Article 6 (1) (e) and Article 9(2)(b) GDPR respectively.**  As a data processer of ESF personal data, your organisation must ensure that ESF personal and special category data is processed in a way which complies with requirements of the General Data Protection Regulation (GDPR) and **all applicable laws and regulations relating to processing of personal data and privacy**, including, where necessary, the guidance and codes of practice issued by the Information Commissioner and any other relevant data protection regulations.  You must also comply with the practices and requirements described in the ESF programme guidance published by the Managing Authority.  By signing and accepting this Full Application Form you are accepting and consenting to the practices described in the [Operating Policy in respect of ESF Online Applications](https://www.gov.uk/government/publications/european-structural-and-investment-funds-programme-guidance)  You can also find further information about the Department for Work and Pension Personal Information Charter [here](https://www.gov.uk/government/organisations/department-for-work-pensions/about/personal-information-charter). |

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| **Declaration & Signature** |
| I declare that I have the authority to represent [*insert name of organisation*] in making this application.  I understand that acceptance of this Full Application does not in any way signify that the project is eligible for ESI Funding support or that ESI funding has been approved towards it.  On behalf of [*insert name of organisation*] and having carried out full and proper inquiry, I confirm to the Department:   * [*insert name of organisation*] has the legal authority to carry out the project; and * That the information provided in this application is accurate. * I am not aware of any relevant information, which has not been included in the application, but which if included is likely to affect the decision of the Department whether to endorse the application.   I confirm to the Department:   * I have informed all persons in relation to whom I have provided personal information of the details of the personal information I have provided to you and of the purposes for which this information will be used and that I have the consent of the individuals concerned to pass this information to you for these purposes. * That I shall inform the Department if, prior to any ESI funding being legally committed to *[name of organisation],* I become aware of any further information which might reasonably be considered as material to the Department in deciding whether to fund the application. * Match funding will be in place prior to any award of ESI funding. * I am aware that if the information given in this application turns out to be false or misleading Department for Communities & Local Government (DCLG, for European Regional Development Fund) and the Department for Work and Pensions (DWP, for European Social Fund) may demand the repayment of funding and/or terminate a funding agreement pertaining to this Application.   I confirm that I am aware that checks can be made to the relevant authorities to verify this declaration and any person who knowingly or recklessly makes any false statement for the purpose of obtaining grant or for the purpose of assisting any person to obtain grant is liable to be prosecuted. A false or misleading statement will also mean that approval may be revoked and any grant may be withheld or recovered with interest.  **You should not commence project activity, or enter in to any legal contracts, including the ordering or purchasing of any equipment or services before the formal approval of your project and you have signed a European Regional Development Fund or European Social Fund Funding Agreement. Any expenditure before the approval date is incurred at your own risk and may render the project ineligible for support.**   |  |  |  |  | | --- | --- | --- | --- | | Signed  For and on behalf of the Applicant Organisation | **Electronic signature to be inserted** | | | | Name (Print) |  | | | | Position |  | Date |  | |

**Annexes**

Annex 1 Supporting documents checklist

Annex 2 Article 61 Revenue Generating Projects (ERDF only)

Annex 3 Capital Project requirements (ERDF Only)

Annex 4 a Procurement to date

Annex 4 b Procurements forward look

**Annex 1 Supporting documents checklist**

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| **Document** | **Notes** | **Applicant comments** |
| Confirmation of match funding from each funder | Confirmation must be in place prior to the Grant Funding Agreement. |  |
| Detailed Granular budget breakdown | All costs must be itemised, eligible, appropriate for the project and profiled across the project period |  |
| Equality and Diversity Policy and Sustainability Policy | Applicant is responsible for ensuring that Delivery partners also hold relevant policies |  |
| Independent state aid advice. | If applicable |  |
| Job Descriptions |  |  |
| Organogram |  |  |
| Applicants procurement policy |  |  |
| SLA with Delivery Partners | Not applicable if there are no delivery partners. If not available, comment when it will be available. |  |
| ERDF only - Summative Assessment Logic Model | Using form ESIF-Form-1-011 ERDF Summative Assessment Logic Model - provided by your nominated appraiser |  |
| Capital project requirements | See additional checklist for capital projects at the end of Annex 3 |  |
| *Project* *level* risk register | This should cover areas such as financial risk, output risks, delivery risks etc. please ensure that the register covers how these risks will be managed and mitigated. |  |
| **ESF Only** – High Level End-to-End Customer Journey | A visual, high level customer journey document e.g. flow chart |  |
| **ESF Only** – Anti-Fraud Statement | A statement on how you will deal with suspected fraud in your organisation and if appropriate, with your sub-contractors. |  |

**Annex 2**

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| --- |
| **Article 61 - Revenue Generating Projects** |
| Projects which generate net revenue must comply with Article 61 (1-8) of EU Regulation (EU) No. 1303/2013. |
| Is the project expected to generate any net revenue? |
|  |
| How will revenue and/or income be recorded and reported? |
|  |
| Explain how the audit trail for the revenue and/or income will be demonstrated. |
|  |
| For infrastructure projects, the economic lifetime of the fixed asset often exceeds the term of the European Structural & Investment Funds project. Will this be the case in your project? If so, describe how the net revenue will be monitored for the economic lifetime and what arrangements are in place to report on the final revenue position. |
|  |

**Annex 3**

**EUROPEAN REGIONAL DEVELOPMENT FUND Only:**

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| --- |
| **Capital Projects (land and property)** |
| For each site where capital project activities will be undertaken, please provide the following information:   |  |  |  | | --- | --- | --- | | Site name | Land Registry Number | Applicant’s legal interest on the site | |  |  |  | |  |  |  | |
| If any site has been purchased for the project, please identify the site, the purchase price and the date on which the site transferred. . |
|  |
| Please list all approvals needed for the project to proceed as envisaged:  a) which have already been obtained  b) which are to be obtained (include timescales) |
|  |
| Please list all existing restrictions registered against the title and all charges registered against the title to on the project site(s) at the date of the Application, supplying up to date office copy entries where possible.  Please provide details of any charges the Applicant expects to be removed or added to the site(s) in the 6 months following the submission of this application. Please list all options to purchase the project site(s) at the date of the Application or which are expected to be put in place within 6 months of the submission of this application. |
|  |
| Please provide a clear statement on the sources of match funding. This should detail the source, the contribution amount, its current status and any conditionality. |
|  |
| Please provide a clear statement on the intended use of the completed asset(s) and the sectors you are targeting for occupiers. Please provide details of any planned disposals. |
|  |
| If the project is awarded European Regional Development Fund you will be expected to enter into DCLG’s precedent legal documentation. This includes a Grant Funding Agreement, and a Deed of Covenant to protect the approved use backed by an appropriate restriction registered against the title, and may also include a Collateral Warranty (for the Quantity Surveyor) and/or a Legal Charge. |
|  |

The following accompanying documents should be provided for all Capital Projects applying for European Regional Development Fund.

|  |  |  |
| --- | --- | --- |
| **Accompanying documents for Capital Projects applying for European Regional Development Fund** | **Specification of document or acceptable alternative** | **Comment including name of document and explanatory description. Please advise whether a document is not applicable for the project.** |
| Evidence that the applicant has/will have control of the site to deliver the project. | Freehold or leasehold title for the project, or signed Heads of Terms between applicant and vendor for land/building acquisition. |  |
| Evidence of full planning permission and, where applicable, listed building consent. | Copy of full planning permission and evidence of obtaining any other consent required before the project activities can commence. |  |
| Evidence of match-funding | Documents establishing the amount of match funding provided and any conditions attached. |  |
| When using value of land/buildings as evidence of match | Independent valuation report produced by a suitably qualified expert body listing:   * the land/buildings, to be used as match-funding; * their current condition/use; * the date purchased and consideration paid, where applicable; * the open market value at the date of the Application taking into account legal, planning or physical constraints to development; and * the open market value at the date of the Application if all legal, planning and physical constraints to development were not present. |  |
| State Aid Report | A State Aid Report, addressed to the Applicant and produced by a suitably qualified professional organisation (e.g. a law firm or accountant) which (a) lists all the Project costs used to determine the State Aid intervention rate (b) gives an opinion as to whether each cost is eligible (c) analyses whether the proposed award to the Applicant meets all the requirements of the specified State Aid scheme and (d) sets out all the information required for Article 6 of Regulation 651/2014 (if applicable).  If the Applicant intends to use the value of any land or buildings in the match funding calculation, the report must provide an express explanation as to how this is State Aid compliant, if necessary using the information set out in the independent valuation report. |  |
| Detailed Cost Plan prepared by a suitably qualified Quantity Surveyor. | As a minimum designed to the equivalent of RIBA Plan of Work Stage ’3’ which prices the schedule of works with quantities and rates, cash-flows the works and provides a development programme for completion of the project activities. |  |
| Supporting design information | Architect drawings and plans, specification, schedule of accommodation, pre-project photographs and post-project Computer Generated Images (CGI). |  |
| BREEAM pre-assessment | Completed by a suitably qualified BREEAM Assessor and specific to the project |  |
| Environmental Impact Assessment where applicable |  |  |

**The following accompanying documents MAY also be required for Capital Projects which are applying for EUROPEAN REGIONAL DEVELOPMENT FUND. A member of the Managing Authority should have advised you of the additional information required to support your application.**

|  |  |  |
| --- | --- | --- |
| **Additional information for Capital Projects operating under notified State Aid schemes** | **Specification of document or acceptable alternative** | **Comment including name of document and explanatory description.** |
| Development appraisal for the project | This will include:   * An assessment of end value of the completed development based on market assumptions of rent, yields, void periods, rent-free periods and floor areas and specification. * Estimated project costs of undertaking the development which may include cost of buying land/building, construction, professional fees, disposal fees, finance charges and the developer fee; * Cash flow for projected income and expenditure. |  |
| Independent valuation report prepared by a suitably qualified Valuation Surveyor | To certify the valuation and end value assumptions in the development appraisal and provide a detailed view of market conditions including current property supplies, the development pipeline and demand. |  |
| Independent cost consultancy report prepared by a suitably qualified Quantity Surveyor | To certify the construction related assumptions in the development appraisal and comment of realism of cash flow and development programme. |  |
| Funding Calculations | Three separate calculations showing (1) the State Aid eligible costs, subject to the relevant maximum aid intensity (2) the gap-funding calculation and (3) the European Regional Development Fund eligible costs. The lower of the three calculations represents the maximum European Regional Development Fund grant available to the project |  |
| Market demand report prepared by an independent property consultant | This will provide an in-depth analysis of current property supply, the property development pipeline and likely market demand including likely sectors. |  |
| Business Plan prepared by a suitably qualified property or economic development consultant | To certify assumptions submitted by the applicant for the Article 61 calculation, including:   * Revenue stream based on projected occupancy levels, rents, service charges and any other income; * Operating costs including maintenance, marketing, estate management and salary costs. |  |
| Independent valuation report prepared by a suitably qualified Valuation Surveyor and cost consultancy report prepared by a suitably qualified Quantity Surveyor for Land Remediation projects | Valuation report will confirm (a) the current open market value of land/buildings and (b) the projected open market value of land/buildings following European Structural & Investment Funds investment. Cost consultancy report will undertake assessment on the suitability of the proposed remediation strategy (in comparison to other options) and certify the estimate remediation costs. |  |

**Annex 4a**

| **Contracts that have been procured**  Please provide details of all contracts that will be used to provide goods, works or services to the project and which have already been awarded prior to this application. | | | | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | Value of the contract[[3]](#footnote-3)  (Highest value first) | Anticipated value of works, supplies or services which will be provided to the Project under the contract | OJEU reference number (where applicable) | Name of supplier | Date of the contract[[4]](#footnote-4) | Description of works, supplies or services provided under the contract | Process used to select supplier e.g. OJEU | How was the contract advertised? | Core procurement documentation provided with the full application? \* | | |
| Y | N | Comment: |
| 1 | £ |  |  |  |  |  |  |  |  |  |  |
| 2 | £ |  |  |  |  |  |  |  |  |  |  |
| 3 | £ |  |  |  |  |  |  |  |  |  |  |
| 4 | £ |  |  |  |  |  |  |  |  |  |  |
| 5 | £ |  |  |  |  |  |  |  |  |  |  |

**\***Applicants should refer to the invitation to full application letter for details of any conditions relating to required procurement documentation to be submitted with the full application.

The Managing Authority reserves the right not to take forward the Full Application if any aspects of procurement are identified as non - compliant at the Full Application stage.

Applicants should note that procurements will be tested in detail in the lifetime of a project and by different independent bodies.  In the event of non - compliance/irregularity financial penalty will be imposed in line with EU guidance. This can be up to 100% of the procurement expenditure.

**Annex 4b**

| **Contracts to be procured**  Please provide details of all contracts that will need to be awarded to deliver the Project but which have not been awarded prior to this application. | | | | | | |
| --- | --- | --- | --- | --- | --- | --- |
|  | Anticipated value of the contract  (Highest value first) | Will the contract only be used to provide works, supplies or services to the Project? | Description of works, supplies or services that will be provided under the contract | What procurement process do you anticipate using to select the supplier? | Where will the contract opportunity be advertised? | What processes will be put in place to collect appropriate records to demonstrate compliance in the event of an audit or other investigation |
| 1 | £ |  |  |  |  |  |
| 2 | £ |  |  |  |  |  |
| 3 | £ |  |  |  |  |  |
| 4 | £ |  |  |  |  |  |
| 5 | £ |  |  |  |  |  |

1. Throughout this document, “Managing Authority” means the European Regional Development Fund Managing Authority (Ministry of Housing, Communities and Local Government), the London Intermediate Body (Greater London Authority) and the European Social Fund Managing Authority (Department for Work and Pensions) [↑](#footnote-ref-1)
2. For notified schemes the answer should include the full name of the scheme and the Commission reference number. [↑](#footnote-ref-2)
3. If the contract relates to recruitment managed by an agency, this will be the cumulative value of annual salaries [↑](#footnote-ref-3)
4. Estimated if procurement is underway [↑](#footnote-ref-4)