ERDF Full Application Form

EUROPEAN STRUCTURAL & INVESTMENT FUNDS

ESIF-Form-2-028

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| **For completion by the Managing Authority** |
| **E-Claims Reference** |  |
| **Version number** |  |

Applicants should refer to the ERDF Full Application Guidance ESIF-GN-2-015

In order to submit a full application you must first have received an invitation to do so from the managing authority. Unsolicited applications will not be accepted.

Use the checklist at the end of this form to ensure the application is complete. The managing authority reserves the right to reject incomplete applications or to withdraw the invitation to submit a full application.

Applications must be submitted by the deadline agreed with the managing authority. The managing authority reserves the right to reject late applications or withdraw the invitation to submit a full application.

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| **1.0 Applicant Details**  |
| 1.1 Legal name of the applicant organisation  |  |
| 1.2 Company/charity registration number (where applicable) |   |
| 1.3 VAT number (where applicable) |  |
| 1.4 Applicant address  |  |
| Postcode |  |
| 1.5 Main contact |  |
| 1.6 Position in the Organisation |  |
| 1.7 Email |  |
| 1.8 Telephone Number |  |
| 1.9 Mobile Number (optional) |  |

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| **2.0 Project Details**  |
| 2.1 Project Name |  |
| 2.2 Local Enterprise Partnership area(s) covered |  |
| 2.3 Name of European Structural & Investment Funds Investment Priority(s)  |  |
| 2.4 Project Start Date (date from which eligible expenditure will be incurred) |  |
| 2.5 Activity end date (date by which all the activities described in the project proposal will be completed) |  |
| 2.6 Financial completion date (date by which eligible costs will have been defrayed) |  |
| 2.7 Practical completion date (date by which all outputs will be achieved and evidenced) |  |

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| **3. Project Description**  |
| You will have provided basic information at the outlie stage. At this stage you must provide more detailed information.  |
| 3.1 **Provide a clear and concise description** of:* the **specific activities** that will be undertaken as part of the project
* who will deliver the activities (clearly identify the role of delivery partners) and
* how these will be delivered.
* When they will be delivered
* where the project activity will take place and if appropriate where project participants will come from
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| 3.2 Will the project provide a service to people or businesses? | Yes ☐ | No ☐ |
| If Yes. 3.2 (a) Describe, in detail the customer journey. Including who the clients will be, the engagement activities, specific project activities and post activity follow up. Attach a flow chart as an appendix to your application. |
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| 3.2 (b) For projects providing support to business: explain how you have taken account of the findings of the [Business Productivity Review](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/844506/business-productivity-review.pdf).  |
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| 3.2 (c) For projects providing support to business how will you:* assess the impact on them? and
* how will you measure if the project has enabled the businesses to increase productivity?
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| 3.3 Does the project involve the construction of premises and or the development of land?  | Yes ☐ | No ☐ |
| If Yes you must complete Annex 1, and provide a plan that clearly shows the boundaries of the site.  |

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| 3.4 Project Objectives. Please briefly describe **what the project will achieve, what impact will it have?** Describe:* the short, medium and long-term results/impacts that the project will deliver and how this will be measured
* the projects objectives using the SMART (specific, measurable, achievable and time-constrained) model

**N.B** These should reflect the summative assessment logic model, which you must attach to this application (see section 14). Briefly describe how the project addresses the priorities set out in the call for projects the project responded to.  |
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| 3.5 Will the project involve Delivery Partners? If yes complete Annex 4 | Yes ☐ | No ☐ |

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| **3.6 Outline Application Conditions**The letter inviting submission of a full application set a number of conditions – these should be listed below referencing the section(s) in this form where the conditions have been addressed. **Do not repeat your answers or give a detailed response below** where the detail is included in this form. If a condition **has not** yet been fully met, set out clearly why not and when it will be satisfied. Add additional rows if necessary. |
| Outline Application Stage Condition | Section within application form |
| 1. |  |
| 2. |  |
| 3. |  |
| 4. |  |

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| **3.7 Changes since Outline Application** |
| Have you made any significant changes to the project since the submission of your Outline Application? Add additional rows if necessary. | Yes ☐ | No ☐ |
| **If Yes: summarise the change and the reason for the change**  |
| a) |
| Reason:  |
| b) |
| Reason: |
| c)  |
| Reason: |
| d)  |
|  Reason: |
| e) |
| Justification Reason: |

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| **4. Evidence to Support the Proposal** |
| 4.1 Demand for the project:* What research has been undertaken to establish demand/need for the project/intervention and/or the market failure it will address?
* What were the findings ?
* How has the research been used to design the project ?
* How will the project respond if demand is lower, or higher than expected?
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| 4.2 What has been and will be done to ensure the project does not duplicate the activities provided by of other organisations?  |
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| **5. Project timetable**  |
| 5.1 Milestones - complete the table below with detailed project delivery dates as relevant for the implementation and delivery of the project. Do not include milestones relating to the submission and approval of the application or the submission of ERDF grant claims. Attach a copy of your project plan as an appendix to this application. Add rows if necessary.  |
| Confirm you have attached a copy of the latest project plan  | Yes ☐ | No ☐ |
| Milestone  | Start date | Completion date |
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| 5.2 Provide any necessary commentary on the status of the milestones and identify any key dependencies.  |
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| **6.0 Costs and Funding** **6.1 Summary.** This is an overview of the overall project. Costs by LEP area are required within the financial annex, if applicable.**Figures must match those in the financial annex**. The [annex](https://www.gov.uk/government/publications/european-regional-development-fund-full-application) can be found on GOV.UK |
|  | **ERDF (£)** | **Public Match Funding (£)** | **Private Match Funding (£)**  | **Total (£)** |
| **Capital**  |  |  |  |  |
| **Revenue**  |  |  |  |  |
| **Total** |  |  |  |  |
| **ERDF Contribution rate (%)** |  |  |

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| 6.2 Please provide a breakdown of the sources of match funding.  |
| Name of match funder | Amount (£) | Is the funding Secured? If not when will it be secured  | Type cash or in-kind (in kind is confined to land or buildings).  |
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| 6.3 What would be the impact if any of the match funding in 6.2 is not secured? |
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| Confirm that you have submitted evidence of the match funding that has been secured.  | Yes ☐ | No ☐ |

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| 6.4 Confirm that you have submitted a detailed budget breakdown. | Yes ☐ | No ☐ |
| 6.5 For each line item in the detailed budget (not cost category) provide the justification for its inclusion and why it is a direct cost to the project.  |
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| 6.6 How have the costs been estimated?  |
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| 6.7 Cost Control* How will the project manage the risk of costs increasing above the estimates?
* How will any actual cost increases be met?
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| 6.8 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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| 6.9 Will the project purchase or create any assets that will be owned by the applicant or a delivery partner?  | Yes ☐ | No ☐ |
| If Yes Complete Annex 2.  |
| 6.10 Indicate which simplified cost option you are proposing to use for indirect costs. |
| 15% | Yes ☐ | No ☐ |  |  |  |  |  |
| 25% | Yes ☐ | No ☐ |  |  |  |  |  |
| None | Yes ☐ | No ☐ |  |  |  |  |  |
| 6.10.1 If you have ticked 25% Explain which cost headings the 25% rate has been applied to how and how these costs are eligible to attract the 25% rate in line with the ERDF eligibility rules.  |
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| 6.11 Does the project budget include staff costs for staff that do not work 100% of their working on the project? If Yes. Show how the hourly rate for each member of staff has been estimated. | Yes ☐ | No ☐ |
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| 6.12 Does the project budget, include any irrecoverable VAT?  | Yes ☐ | No ☐ |
| If Yes explain in section 9 how this will be managed  |
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| 6.13 Have or will any costs project be incurred before formal approval? | Yes ☐ | No ☐ |
| If Yes. * How much has been spent and on what?
* What steps have you taken to ensure costs are eligible for ERDF support – particularly costs that have been incurred through procurements.
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| 6.14 Will the project generate any income? If yes, provide details of how and complete Annex 5.  | Yes ☐ | No ☐ |
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| **7.0 Outputs**  |
| Complete the ERDF Indicator Annex Tables for Full Applications. The annex can be found [here](https://gbr01.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.gov.uk%2Fgovernment%2Fpublications%2Feuropean-regional-development-fund-full-application&data=02%7C01%7CVikki.Courts%40communities.gov.uk%7C06133645c4a84ed6095708d7a58c17c5%7Cbf3468109c7d43dea87224a2ef3995a8%7C0%7C0%7C637159893415374762&sdata=PmH%2BnuV2KA0a%2FT5Jx9iUkid2AcZSn%2B0mxyvFc9XQTSU%3D&reserved=0) on GOV.UK.Explain how you have estimated each of the outputs.  |
| Output | Explanation |
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| 7.1 If the project covers more than one category of region explain how the outputs have been shared between areas. |
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| **8.0 Project Management and Governance** |
| 8.1 Fully describe the project management and control systems that are in place or will be established for the project. |
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| Are these systems in place? | Yes ☐ | No ☐ |  |
| If No, When will they be in place?  |
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| 8.2 Describe the individual posts within the team that will be delivering the project.Attach a structure chart (organogram) and job descriptions for project delivery staff: See the ‘Supporting Documents checklist’.  |
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| 8.3 Risk Management. Describe the systems and process in place to manage project risk. **Attach the project risk register as an appendix to this application.**  |
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| 8.4 Stakeholder Management . How have/will stakeholders have been/will be engaged. How will potential blockages to delivery be managed? e.g. lack of support for planning, collaboration with other projects. Will a formal MOU or SLA be entered into with any relevant stakeholders or collaborators (e.g. the local Growth Hub)? |
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| 8.5 If applicable, how will you ensure that Delivery Partner(s) comply with the requirements of ERDF funding? How will you monitor and manage the performance of Delivery Partner(s) and or sub-contractor(s)? |
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| 8.6 Please describe how you will calculate and verify outputs and how output evidence will be managed to ensure a clear audit trail is retained. |
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| 8.7 If applicable, what checks will be carried out to ensure the end beneficiaries, businesses or people benefitting from the proposal, are eligible for support and belong to the target group? |
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| 8.8 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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| **9.0 Financial Management and Control** **In all responses reference delivery partners where appropriate.** |
| 9.1 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. |
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| 9.2 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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| 9.3 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 how ERDF funding is being spent.  |
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| 9.4 As ERDF claims are paid quarterly in arrears it could be up to 5 months from spending money to receiving payment. Can the organisation cash flow the project on this basis. | Yes ☐ | No ☐ |
| 9.5 Will you be relying on support from another organisation to cash flow the project | Yes ☐ | No ☐ |
| If Yes. Provide further details |
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| 9.6 Describe how the project will prevent fraud. What anti-fraud measures will the project have in place and how will any conflicts of interest will be managed? |
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| **10. Procurement Requirements** |
| 10.1 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 ☐ |
| 10.2 Is the applicant organisation a “Contracting Authority” as defined in the Public Contracts Regulations 2015? | Yes ☐ | No ☐ |
| 10.3 Explain the reason for your conclusion in 10.2. |
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| 10.4 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.  | Yes ☐ | No ☐ |
| 10.5 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 | Yes ☐ | No ☐ |
| 10.6 Please outline your organisational procurement policy and how this will apply to the project and 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.

If project delivery is through a procured service/build please describe the approach to procurement to ensure an effective service and successful delivery of the project. For example, where the risks/liabilities sit, any key contractual milestones, cost mechanisms, penalties. 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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| 10.7 Confirm that you have attached a copy of the procurement policy to this application.  | Yes ☐ | No ☐ |

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| **11 State Aid Law** |
| 11.1 For private sector applicants, what is the size of the enterprise applying for funding?Refer to the official EU [SME definition.](https://ec.europa.eu/regional_policy/sources/conferences/state-aid/sme/smedefinitionguide_en.pdf)  | **Micro** |  |
| **Small** |  |
| **Medium**  |  |
| **Large** |  |
| 11.2 Please 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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| 11.3 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>.  |
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| 11.4 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[[1]](#footnote-2).  |
| Name of beneficiary or type of beneficiaries | Name of Exemption  | Scheme reference number |
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| 11.5 Where a project is funded under an exemption based on the General Block Exemption Regulations (651/2014), the Applicant is required to either1. confirm that the project falls within the scope of Regulation 6(5) or
2. submit a separate document to demonstrate incentive effect in line with Regulation 6(2) containing the following information:
3. the applicant undertaking’s name and size
4. a brief description of the project, including start and end dates
5. the location of the project
6. a full list of the project costs used to determine the allowable level of funding
7. the form of the aid
8. the amount of public money needed for the project.
 |
| Do you confirm that the project falls within the scope of Regulation 6(5) | Yes ☐ | No ☐ |
| If no confirm that you have attached document containing the required information. | Yes ☐ | No ☐ |
| If you intend to use an exemption(s) under GBER to deliver the Project, please confirm you have read the terms of the scheme and meet all the relevant terms.  | Yes ☐ | No ☐ |
| Describe how you and delivery partners meet all the relevant terms of the exemption.  |
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| 11.6 If you intend to use de minimis aid, describe* why you have decided that this is the most appropriate mechanism
* how you will ensure de minimis aid is managed in a compliant way
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| 11.7 Is the applicant organisation subject to an outstanding recovery order in respect of State Aid? If ‘Yes’, provide brief details. | Yes ☐ | No ☐ |
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| 11.8 For projects which involve vouchers / grants, what system will be put in place to assess the eligibility of beneficiaries including testing SME status, eligibility in respect of ‘undertakings in difficulty’, activities, costs, and compliance with aid intensity levels prior to the intervention? |
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| 11.9 Describe the system in place for collecting and recording the required information for state aid audits and returns. |
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| **12. Publicity** |
| 12.1 Have you read and understood the Branding and Publicity Requirements? The ESIF Branding and Publicity Requirements are available at:<https://www.gov.uk/government/publications/european-structural-and-investment-funds-programme-guidance>Please note that domestic branding requirements now also apply to ERDF projects. | Yes ☐ | No ☐ |
| 12.2 Does the applicant organisation and any delivery partners have systems in place to comply with these requirements; or if not does it have the capacity to establish systems that will meet these requirements. | Yes ☐ | No ☐ |
| 12.3 If you have already incurred costs, provide confirmation and evidence to show how you have complied with these publicity requirements**.** |
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| **13. Cross Cutting Themes** |
| 13.1 Support for the Sustainable Development theme How does the project respect the principle of sustainable development?  |
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| 13.2 Support for the Equality and Diversity theme (for European Regional Development Fund this is defined as ‘Equality and Anti-Discrimination’)  |
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| **14. Summative Assessment** |
| 14.1 Have you read and understood the Project Summative Assessment Guidance? | Yes ☐ | No ☐ |
| 14.2 Have you provided a logic model using the Summative Assessment Logic Model form? | Yes ☐ | No ☐ |
| 14.3 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? | Yes ☐ | No ☐ |

**Supporting Documents Checklist**

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| **Document** | **Notes** | **Applicant comments** |
| **All Projects**  |
| ERDF Financial Annex |  |  |
| ERDF Outputs Annex |  |  |
| Project plan (e.g. Gantt chart) | Must provide a clear timetable for the implementation and delivery of the project.  |  |
| Project risk register  | This should cover areas such as financial risk, delivery risks, performance (output) risk. The register should include how these risks are and will be managed and mitigated. |  |
| Confirmation of match funding from each funder  | Confirmation must be in place prior to the Grant Funding Agreement. |  |
| Detailed budget breakdown | All costs must be itemised, eligible, appropriate for the project and profiled across the project period |  |
| Independent state aid or procurement advice.  | If applicable  |  |
| Organogram showing staffing and management structures |  |  |
| Summative Assessment Logic Model | Using form ESIF-Form-1-011 ERDF Summative Assessment Logic Model. |  |
| **As appropriate** |
| Job Descriptions  | Please note where a post is less than 100% employed in project activities please provide a description of the specific role, tasks and accountabilities in relation to the project activitiesIf posts are to work a fixed percentage of the time on the project provide evidence e.g. job description and or notification to the post holder.  |  |
| Applicants procurement policy  |  |  |
| SLA with Delivery Partners  | Not applicable if there are no delivery partners. If not available, provide a draft and comment on when it will be available.  |  |
| Examples of publicity activity | Only where costs have already been incurred or will be incurred prior to formal approval.  |  |
| **All Relevant Annexes have been completed.**  |
| **Annex 1** Capital Project requirements  |  |
| **Annex 2** Summary of assets |  |
| **Annex 3a** Procurement to date  |  |
| **Annex 3b** Procurement forward look |  |
| **Annex 4** Delivery Partners |  |
| **Annex 5** Article 61 Calculations for Revenue Generating Projects  |  |

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| **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. |

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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 ERDF funding has been approved towards it. I understand that if project costs have been or are incurred prior to formal approval these are incurred at risk and the managing authority is under no obligation to reimburse them.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.
* That the information provided in this application is accurate.
* Match funding will not include funds provided from any European Union funding instrument.
* 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 ERDF 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 payment of ERDF funding.
* I am aware that if the information given in this application turns out to be false or misleading the Department 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.I confirm that I am aware that if *[name of organisation]* commences project activity, or enters in to any legal contracts, including the ordering or purchasing of any equipment or services before the formal approval of the project. Any expenditure before the approval date is incurred at *[name of organisation]* own risk and may, under certain state aid schemes render the project ineligible for support.  |
| SignedFor and on behalf of the Applicant Organisation | **Electronic signature to be inserted** |
| Name (Print) |  |
| Position  |  | Date |  |

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| **Capital Projects (land and property)** |
| For each site where capital project activities will be undertaken, please provide the following information:

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| Site name | Land Registry Number | Applicant’s legal interest on the site |
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| If any site has been purchased for the project, please identify the site, the purchase price and the date on which the site transferred. . |
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| Please list all approvals needed for the project to proceed as envisaged:a) which have already been obtainedb) 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 MHCLG’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.  |
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The following accompanying documents should be provided for all Capital Projects involving the development of land or property.

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| **Accompanying documents for Capital Projects applying for European Regional Development Fund** | **Specification of document or acceptable alternative** | **Attached** | **Comment** 1. **(i) name of document and explanatory description.**
2. **(ii) If NA state why.**

**(iii) If the document cannot be provided with the full application please state why and when it will be available..** |
| 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.  | Yes ☐ | No ☐ |  NA ☐ |  |
| 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.  | Yes ☐ | No ☐ | NA ☐ |  |
| Evidence of match-funding | Documents establishing the amount of match funding provided and any conditions attached.  | Yes ☐ | No ☐ | NA ☐ |  |
| 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.
 | Yes ☐ | No ☐ | NA ☐ |  |
|  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.  | Yes ☐ | No ☐ | NA ☐ |  |
| 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.  | Yes ☐ | No ☐ | NA ☐ |  |
| Supporting design information  | Architect drawings and plans, specification, schedule of accommodation, pre-project photographs and post-project Computer Generated Images (CGI).  | Yes ☐ | No ☐ | NA ☐ |  |
| BREEAM pre-assessment | Completed by a suitably qualified BREEAM Assessor and specific to the project | Yes ☐ | No ☐ | NA ☐ |  |
| Environmental Impact Assessment where applicable  |  | Yes ☐ | No ☐ | NA ☐ |  |

**The following accompanying documents are also be required for Capital Projects involving the development of land of property.**

|  |  |  |  |
| --- | --- | --- | --- |
| **Additional information for Capital Projects operating under notified State Aid schemes** | **Specification of document or acceptable alternative** | **Attached** | **Comment** **(i) name of document and explanatory description.** **(ii) If NA state why.** **(iii) If the document cannot be provided with the full application please state why and when it will be available.** |
| 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.
 | Yes ☐ | No ☐ | NA ☐ |  |
| 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.  | Yes ☐ | No ☐ | NA ☐ |  |
| 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.  | Yes ☐ | No ☐ | NA ☐ |  |
| Funding Calculations | Three separate calculations showing |  |
| 1. the State Aid eligible costs, subject to the relevant maximum aid intensity
 | Yes ☐ | No ☐ | NA ☐ |
| 1. the gap-funding calculation
 | Yes ☐ | No ☐ | NA ☐ |
| 1. the European Regional Development Fund eligible costs.
 | Yes ☐ | No ☐ | NA ☐ |
| 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.  | Yes ☐ | No ☐ | NA ☐ |  |
| 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.
 | Yes ☐ | No ☐ | NA ☐ |  |
| 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 * the current open market value of land/buildings and
* the projected open market value of land/buildings following European Structural & Investment Funds investment.

Cost consultancy report must undertake assessment on the suitability of the proposed remediation strategy (in comparison to other options) and certify the estimate remediation costs.  | Yes ☐ | No ☐ | NA ☐ |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Description of Fixed Asset**  | **Owner** | **Estimated Value** | **Use** | **Useful Economic Life (Years)** | **Planned Disposal** |
|  |  |  |  |  | **Yes ☐** | **Estimated date of disposal** | **No ☐** |
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| --- | --- | --- | --- | --- | --- |
| **Description of Major Asset (over £5,000)** | **Owner** | **Estimated Value** | **Use** | **Useful Economic Life (years)** | **Planned Disposal** |
|  |  |  |  |  | **Yes ☐** | **Estimated date of disposal** | **No ☐** |
|  |  |  |  |  |  |  |  |
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**Annex 3a**

| **Contracts that have been procured**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. Include all existing contracts, including those not specific to the project that will be used by the applicant and/or its delivery partner(s) to provide goods, works or services to the project. |
| --- |
|  | Value of the contract[[2]](#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[[3]](#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 procurement.

Applicants should note that procurements will be tested in detail.  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. 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.

**Annex 3b**

| **Contracts to be procured**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 | £ |  |  |  |  |  |

Applicants should note that procurements will be tested in detail.  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.

**Summary of Delivery Partners**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name and address of delivery partner** | **Company / Charity registration number** | **Is an SLA in place and if not when it will be?** | **Role in the project** | **Will this delivery partner** |
| **(a)defray expenditure** | **(b) provide match funding**  | **(c) claim irrecoverable VAT.** |
|  |  |  |  | Yes ☐ | No ☐ | Yes ☐ | No ☐ | Yes ☐ | No ☐ |
|  |  |  |  | Yes ☐ | No ☐ | Yes ☐ | No ☐ | Yes ☐ | No ☐ |
|  |  |  |  | Yes ☐ | No ☐ | Yes ☐ | No ☐ | Yes ☐ | No ☐ |
|  |  |  |  | Yes ☐ | No ☐ | Yes ☐ | No ☐ | Yes ☐ | No ☐ |
|  |  |  |  | Yes ☐ | No ☐ | Yes ☐ | No ☐ | Yes ☐ | No ☐ |
|  |  |  |  | Yes ☐ | No ☐ | Yes ☐ | No ☐ | Yes ☐ | No ☐ |
|  |  |  |  | Yes ☐ | No ☐ | Yes ☐ | No ☐ | Yes ☐ | No ☐ |
|  |  |  |  | Yes ☐ | No ☐ | Yes ☐ | No ☐ | Yes ☐ | No ☐ |
|  |  |  |  | Yes ☐ | No ☐ | Yes ☐ | No ☐ | Yes ☐ | No ☐ |

|  |
| --- |
| **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 ERDF 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. |
|  |

1. For notified schemes the answer should include the full name of the scheme and the Commission reference number. [↑](#footnote-ref-2)
2. If the contract relates to recruitment managed by an agency, this will be the cumulative value of annual salaries [↑](#footnote-ref-3)
3. Estimated if procurement is underway [↑](#footnote-ref-4)