

# Programme period 2014 - 2020, Community Led Local Development, European Social and European Regional Development Fund

## CHART (Connecting Hastings and Rother Together) Programme

### Full Application Form Guidance

#### Do not use this sample form to apply

We have provided this sample form to help you prepare your Full Application. To apply you need to use Expression of Interest Form (EOI). Text shaded **ORANGE** is supporting guidance.

#### Introduction

This Full Application form should only be completed by applicants that have had a CHART EOI approved.

This Full Application must be completed by the lead applicant and returned to the CHART Programme Team by the agreed deadline.

The Full Application form will be used to assess whether your proposal reaches the relevant criteria for CHART funding. The Full Application captures information on the rationale, activities, cost and compliance of the proposed project. It is the key document of the appraisal process and is used as a tool to appraise and evaluate proposed delivery and for monitoring actual delivery.

Please ensure you have read the guidance before starting your application and address any questions to the CHART Programme Team. Applicants are also advised to read the initial CHART call document and the CHART Grant Recipient Handbook.

## General Guidance

For most applicants, your EOI will contain the basis of your Full Application. You should therefore refer to your EOI and in some cases it may be sufficient to repeat information within certain sections of the application.

Where a Full Application contains changes from EOI (as opposed to the providing more detail) the Applicant should note these changes in 2.7.

The content of the Full Application should be factual and informative and *focussed*, with minimal opinions and generalisations expressed. Bullet points, images and tables are effective ways to communicate rather than blocks of text. There should be evidence throughout the application to support statements made.

## Before you Start

Before completing the Full Application form, you should re-familiarise yourself with:

- Your EOI
- Any notes, conditions and recommendations in regard to your EOI
- The CHART Call document
- The CHART Grant Recipient Handbook
- The CHART Local Development Strategy

## Top Tips

Ensure you read this Guidance document thoroughly.

- Set aside plenty of time to familiarise yourself with the key documents
- When completing the Full Application form, put yourself in the position of the reader: *Explain things clearly, remembering that the reader may not be familiar with your proposed activity or organisation*
- Do not use acronyms
- Do not use 'buzz' words/ terminology that the reader may not understand
- Be focussed and realistic
- Remember to make your application concise, incorporating graphics and images where appropriate.

If you have questions, please get in touch with the CHART Programme Team.

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<b>1.0 Applicant Details</b>	
1.1 Applicant organisation	
1.2 Status of organisation	The legal status of your organisation. If you have more than one, please select the type of organisation applying for this particular project.
1.3 How many people does your organisation employ?	
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	Job title/ position of the person named in 1.12
1.14 Email	
1.15 Telephone Number	
1.16 Mobile Number (optional)	
<p>This information was provided at the EOI stage and should be repeated and/or updated. <i>Applicants should not write 'No Change' or 'As before'. The information must be re-entered.</i></p> <p>Changes to contact details etc. do not constitute a change within Section 2.7. However, a change to your organisation (size/status) should be noted in 2.7.</p>	
1.17 If your organisation is not located in the CHART LSOA areas, and has no previous delivery experience within these locations please describe your approach to reaching the organisations and/or potential beneficiaries (participants/ enterprises) within the specific locations CHART covers (200 words).	

This does not apply for your organisation, please move directly to 2.0.

<b>2.0 Project Details</b>		
2.1 Project Name		
Note at Full Application you can only apply for either ESF or ERDF. If you wish to apply for both funds, you must complete two separate application forms.		
ERDF	Work Package 1	<input type="checkbox"/>
	Work Package 2	<input type="checkbox"/>
ESF	Work Package 3	<input type="checkbox"/>
	Work Package 4	<input type="checkbox"/>
2.2 Project Description – Fully describe how the project will be delivered. Your response should cover: (400 words).		
<ul style="list-style-type: none"> <li>• What the project is, including the specific activities undertaken as part of the project</li> <li>• Where the project will be delivered</li> <li>• Over what timescale</li> <li>• Who will deliver it</li> <li>• Who will benefit from the project</li> <li>• What the benefits will be</li> </ul>		
In this section you should fully describe what the project is and how it will be delivered. You should clearly describe how it fits the objectives of the CHART Local Development Strategy and the relevant Priority Axis/ investment Priority:		
<ul style="list-style-type: none"> <li>• <b>European Regional Development Fund – Priority Axis 8: Promoting social inclusion and combating poverty and any discrimination</b> <ul style="list-style-type: none"> <li>- Investment Priority 9d1: Undertaking investment in the context of Community Led Local Development strategies</li> </ul> </li> <li>• <b>European Social Fund (ESF) – Priority Axis 1: Inclusive Labour Markets</b> <ul style="list-style-type: none"> <li>- Investment Priority 1.5: Community Led Local Development</li> </ul> </li> </ul>		
The project needs to demonstrate that it is focussed on specific activities which will lead to the Outputs that it intends to achieve.		
<p><b>Revenue Activity</b></p> <p>Provide a clear breakdown of the project's key stages include the participant's/ enterprises' journey, for example:</p> <ul style="list-style-type: none"> <li>• This could be a learner progressing from enrolment through to supporting the</li> </ul>		

learner to achieve and sustain positive outcomes.

- It could be the identification of an SME, how the SME engages with the project and benefits, as well as the exit strategy

Feel free to add a flow chart/ diagram to explain this process.

### **ESF**

Make sure you set out your engagement and recruitment plan for your target group(s), detailing referral routes and possibly partners. You'll need to identify the type of issues and barriers faced and how your project will aim to address these.

### **ERDF**

Ensure you set out your engagement and recruitment plan for enterprises, detailing referral routes and any possible issues you may face.

If your project plans to support 'potential entrepreneurs' to become 'enterprise ready' then detail the referral routes and possibly referral partners, identify the type of issues and barriers faced and how your project will aim to address these.

2.3 Will the project activity take place in the CHART locality – Please reference LSOA(s)

CHART Area	LSOA code	
Please use information from your EOI or update accordingly if the LSOAs have changed. If changes have been made then please ensure you state this within section 2.7.		
2.4 Will the project activity support participants/ enterprises in the CHART locality – Please reference each LSOA		
CHART Area	LSOA code	
Please use information from your EOI or update accordingly if the LSOAs have changed. If changes have been made then please ensure you state this within section 2.7.		
2.5 Is the project a partnership project? If <b>yes</b> complete 2.5.1	Yes <input type="checkbox"/>	No <input type="checkbox"/>
2.5.1 Partner name & address including postcode, and their Company / Charity registration number.	Role within project Role within project (eg, Lead Partner, Delivery Partner)	Is a partnership agreement in place and if not when it will be?
<p>Please provide details of other partners that you are working with. These may be Delivery Partners or Strategic Partners. Please see the Grant Recipient Handbooks for further details on partnerships.</p> <p>You must include the Lead Partner within this table, as well as other partners.</p> <p>Delivery partners may provide match funding, e.g. the balance between the amount they spend delivering part of the project and the amount of ESIF funding they receive.</p> <p>Please note that an organisation that contributes match funding and does not deliver any part of the project is <u>not a delivery partner</u>.</p> <p>Please note that an organisation that is contracted or sub-contracted to deliver any part of the project is <u>not a delivery partner</u> and ESIF procurement regulations must be followed.</p> <p>As the cost incurred by delivery partners are included in grant claims they must follow all European Structural Investment Funds eligibility, audit and compliance requirements. The activities of delivery partners will be tested as part of the monitoring, verification and audit regime.</p> <p>Delivery Partners receive European Structural Investment Funds funding via the lead partner (i.e. the applicant). If the project is approved the lead partner who will sign the</p>		

Funding Agreement with the Accountable Body will be responsible for the project and liable for any funding that has to be repaid, including funding related to the activity of delivery partners.

At the Full Application stage it is recommended that a partnership agreement is established between the lead partner and delivery partner(s), such as a service level agreement.

For more information on partnerships, please see the Grant Recipient Handbook.

## **2.6 Expression of Interest (EOI) - Recommendations**

Please state how you have met any recommendations made at EOI stage. *Add additional rows if necessary*

Only complete if your EOI approval was subject to recommendations.

In the first row you should list the recommendations provided by the CHART Programme Team when you were invited to submit a Full Application.

In the row below explain how you have met the recommendations, where appropriate indicate the relevant section within the Full Application where this has been addressed.

*Please add rows as necessary.*

a)

How has this been addressed?

b)

How has this been addressed?

c)

How has this been addressed?

## **2.7 Any changes since Expression of Interest (EOI)**

What changes, if any, to your proposal have there been since the submission of your EOI? *Add additional rows if necessary.*

### **Change & Justification for the change**

In the first row you should detail the change since EOI and in the row directly below, explain **why** this change has occurred and what the **impact** of that change is.

Ensure you list all changes , these could be:

- changes to the nature of the project
- changes which impact on the value for money
- changes which impact increases / decreases in cost
- changes which affect the strategic fit.
- any changes to partners or procurement

*Please add rows as necessary.*

a)

Justification:

b)
Justification:
c)
Justification:

### **Evidence to Support the Proposed Project**

#### **2.8 European Regional Development Fund only- Work Package 1 & 2**

Need for the project within the market– please describe the market failure(s) that your project will address.

**This question should only be answered if you're applying for ERDF funding.**

The CHART programme as a whole will set out to address the following local market failures as identified by [SELEP ESIF Strategy p73](#):

- Lack of local/mainstream delivery infrastructure and content to both *engage and retain* beneficiaries;
- Lack of communication/audience appropriate information targeted on the difficult to reach;
- Mainstream provision difficulty in adequately identifying and responding to some very local economic, social and geographic barriers to the labour market;
- Insufficient private sector investment in commercial/public sites & buildings and entrepreneurs due to perceived/actual lack of required investment return/uplift value, lack of security against loans, inappropriate/poor business & investment plans by those seeking private sector backing/support.

Please explain which market failures your project will address in context to those identified at the programme level above and at more localised level within the CHART area itself.

**2.9 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?

**This question should only be answered if you're applying for ERDF funding.**

Consider the demand for your project within the CHART area, highlight past projects/activities that you may have delivered, which show a demand for this type of project/method of delivery.

You may want to revisit the CHART Local Development Strategy, which highlights the demand for certain activities within the CHART area.

Explain how you have forecast the demand projections for your project, you can use data and evidence to support your case.

**2.10 European Social Fund only- Work Package 3 & 4.** Proposed design: How does the proposed delivery model build on evidence of good practice, and what works most

effectively for the CHART target group?

**This question should only be answered if you're applying for ESF funding.**

Within your answer give example of past projects/ activities which highlight good practice and why this method of delivery is most suited to the proposed target group.

You can use models of good practice from national or EU funded programme, you may want to include links to data/ reports to support your case.

2.12 Explain the impact for the project for each of the following (300 words):

- If the project did not receive CHART funding
- If the level of CHART funding was reduced by 75%

### **3.0 Strategic Fit**

You will have provided basic information on strategic fit within your EOI. If there are any changes from the EOI then this should be reflected here and again in 2.7.

You should explain why your delivery method is the best way of delivering the CHART objectives, it may be easier to do this by explaining what other options have been dismissed and why.

3.3 and 3.4 ask for information not provided at EOI.

Within 3.3 please summarise the key impacts/ results your seeking to deliver, these could include:

- increased productivity
- Increased employment in supported business
- increasing the skills levels and employment rate of participants
- providing infrastructure that will facilitate future investment and growth.

At 3.4 Identify any similar projects (local / national) within CHART, evidencing your research undertaken. Where such activities do exist, please demonstrate how your project adds value and does not duplicate this provision. A table format is acceptable.

Your proposal should show how your project 'adds value' to and does not duplicate other national or local provision. CHART funding cannot be used to fund any activity which could be delivered through the main European Regional Development Fund or European Social Fund programmes or using any other funding mechanism.

3.1 How does the project address the needs identified within the CHART Local Development Strategy?

3.2 How does the project deliver the objectives of the relevant priority axes as per the

CHART call document?
3.3 Describe the medium to long-term results/impacts that the project will deliver.
3.4 Have you identified any other organisations offering the same or similar activity within the CHART area? Explain how the proposed project adds value to and doesn't duplicate this.

<b>4.0 Project timetable</b>		
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). <b>This cannot be later than March 2022.</b>		
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
4.6 Please provide any further information on the milestones above.		

You will have provided this information within your EOI but you should now have a better idea on timescales and milestones so please update accordingly and provide further detail/ expand from the EOI.
Examples for milestones may include (but not limited to):
<ul style="list-style-type: none"> <li>• Start/end of procurement/recruitment</li> <li>• Planning permission approved</li> <li>• Launch of first activities</li> <li>• End of final activities</li> <li>• Final Claim</li> <li>• Project Close</li> </ul>

*Add rows if needed.*

At 4.6, you should include dependencies and the implications / likelihood of milestones being missed or slipping. Please be realistic, as the appraiser is looking to be assured that this is a deliverable project within the timescale.

## **5.0 Risks**

Please explain the issues and risks identified for the project and how these will be managed and mitigated.

<b>Risk Description</b>	<b>Owner</b>	<b>Probability</b>	<b>Impact</b>	<b>Mitigation</b>

'Risks' refer to events that are, or could be, foreseeable. The 'owner' is the person responsible for managing the issue or risk. Please rank the probability and impact of each risk as high, medium or low, and describe what steps have been taken to mitigate the impact and likelihood of the risk materialising.

Insert rows as necessary.

For more guidance on this section, please see grant recipient handbook.

## **6.0 Costs and Funding**

This section is an overview; you will need to submit supporting documents associated with project costs.

		ESIF (a) (£)	Public Match (b) (£)	Total (d) (£)	ESIF Contribution rate (%) (a)/(d)x100
	ERDF capital				
	ERDF revenue				
<b>Sub Total</b>	ERDF				
<b>Sub Total</b>	ESF				
<b>Sub</b>	YEI				

<b>Total</b>					
<b>TOTAL</b>					

These figures should correspond with the figures provided in the Granular Budget and Financial Annex. ESIF must be matched at least 50:50 with eligible **public** match.

6.1 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.

<b>Name of match funder</b>	<b>Status (inc. date if not yet secured)</b>	<b>Type cash or in-kind</b>

Match funding is a prerequisite for receiving CHART funding. This section asks you to confirm that match funding is in place. You will have provided an idea of match funding at EOI. You should reflect your updated position here.

Any match indicated in 5.1 should be supported by evidence of match (See Annex 1 Supporting Documents Check list.) This could be a letter or contract signed by someone in a position of authority. There is no prescribed template for this. If you're using your own funds as match, we may ask you for additional evidence.

If you have any queries regarding match eligibility then you should discuss this with the CHART Programme Team before submitting your applicant. You should also read the guidance on match within the Grant Recipient Handbook.

**Remember:** There are restrictions on when 'in-kind' match can be used in the Programme, please see the Grant Recipient Handbook for full details and consult the CHART programme team in all cases where this may occur.

6.2: Please confirm that you have submitted a detailed granular budget breakdown and financial annex with your application.	Yes <input type="checkbox"/>
<p>Please ensure you create a full granular budget breakdown, which should be for the whole of the project period. The Granular Budget and Financial Annex are separate Excel spreadsheets available at <a href="http://www.hastings.gov.uk/chart/apply/">www.hastings.gov.uk/chart/apply/</a></p> <p>Further guidance on this can be found in the Grant Recipient Handbook and within the Granular Budget and Financial Annex templates.</p>	

**Bear in mind:**

- CHART funding operates by calendar years (January-December)
- Be as realistic as possible about when expenditure will occur and be defrayed—CHART funds operates on the basis of ‘defrayed expenditure’ i.e. when a payment leaves the projects bank account, not when an invoice or cheque has been written/sent.
- Consider carefully the time requirement to get the project started – will it be necessary to factor in time for recruitment/procurement/formalising the partnership? Most projects spend very little in their first couple of quarters.
- CHART funding is reimbursed upon submission of a claim, so you’ll need to ensure you have sufficient cash flow to manage your project.
- Make sure you include sufficient resources to administer and manage the CHART project.

Retention (normally 10%) will be held back at the end of the project, whilst the final claim and final verifications are carried out.

6.2 For each line item within your budget, please provide the justification for its inclusion (i.e. relevance to the project and the assumptions / research undertaken to come to the figures.) For staff costs, please indicate any individual not 100% funded by the project and provide evidence of the hourly rate using the ESIF simplified cost methodology (*further details of on eligible costs can be found in the Grant Recipient Handbook*).

The narrative should also include a statement covering the level of certainty in the costs e.g. the extent that costs are verified by benchmarking, previous experience and or third party review. For salaries, you will need to confirm how you have graded the salaries and/ or arrived at the salary (if applicable relevant market rate benchmarks which have been applied).

6.4 Please indicate which simplified cost option you are proposing to use for indirect costs (*further details of on eligible costs can be found in the Grant Recipient Handbook*).

15% WP1 & WP2 only (ERDF) <input type="checkbox"/>	None (Any WP) <input type="checkbox"/>
40% WP3 & WP4 only (ESF) <input type="checkbox"/>	

Guidance on simplified cost options can be found in the Grant Recipient Handbook.

6.5 Does your project budget includes any VAT you cannot recover from HMRC (recoverable VAT).

*Please note we may request confirmation of this by way of a letter from HMRC (or equivalent e.g. accountants)*

6.6 If you do plan to claim for irrecoverable VAT please describe your claims process, which will ensure that it is not being claimed as part of the normal VAT return.

6.7 WP1 & WP2- <u>European Regional Development Fund only</u> - Will your project generate any income?  If yes, you may be requested to provide further information.	Yes	No	
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<b>7.0 Outputs and Results ( Please note results are for WP 3 &amp; 4- ESF only)</b>			
7.1 Please confirm that you have submitted a detailed Outputs and Results Annex with your application.	Yes <input type="checkbox"/>		
You should fully complete the Indicators Annex Table ( for either ESF or ERDF), which is a separate Excel spreadsheet available <a href="http://www.hastings.gov.uk/chart/apply">www.hastings.gov.uk/chart/apply</a>			
Further guidance on each output and result for ERDF and ESF can be found in the Grant Recipient Handbook.			
7.2 In around 300 words, please describe the rationale and assumptions you have made to establish the outputs/ results.	<ul style="list-style-type: none"> <li>• Ensure that this links to the proposed project's activity and objectives.</li> </ul>		
You should provide a clear explanation of the rationale behind the selection of outputs and results* and how the deliverables have been calculated.			
Ensure the calculation is realistic and achievable. If the deliverables have increased or decreased since then ensure you explain this within Section 2.7.			
You should refer to the programme wide output targets, within the original call document.			
Top tips:			
<ul style="list-style-type: none"> <li>• For ERDF projects, results are not required as they are included within the outputs</li> <li>• For ESF projects, outputs provide a record of an individual's status when they <i>start</i> project activity. Results provide a record of their status when they <i>complete</i> the project activity.</li> </ul>			
7.3 Please explain your approach for forecasting each deliverable; this should include setting out the baseline data upon which the deliverables were calculated.			
Please explain how you know there is a need for the project and why it is the best approach to tackling this local need.			
You should be able to explain here why the chosen delivery method is the best solution, for example by explaining what other options have been rejected and why.			
The project should be based on a clear rationale or intervention logic. This means that there should be a clear link between the needs and opportunities set out in the Call for Projects, the activities the project will undertake, the outputs of the project and its longer term impacts.			
This section should also clearly state who the project will support or work with, how it will identify relevant target groups, how it will complement other provision that may be available, and how it will build on good practice.			

Appropriate evidence and examples should be used to support the response.

## **8.0 Project Management and Governance**

8.1 Describe the project management and control systems that will be established for the project, demonstrating that the project (including any partners) has the appropriate capacity to meet the requirements of European Structural & Investment Funds (as managed by the Accountable Body) and any other public sector match for the project.

Use this section to explain how your organisation will manage the project, you can use examples of past experience in delivering grant funded projects.

Explain what tools / controls you will use to manage your project and highlight the capacity of your organisation to manage CHART funding requirements.

Further guidance on Management & Control requirements of CHART funding can be found within the Grant Recipients Handbook.

8.2 Please describe the individual posts within the project 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 Partners (if relevant).

Please submit a structure chart (organogram) and job descriptions for project delivery staff: See the 'Supporting Documents checklist' at the end of this application.

8.3 If applicable, how will you, as lead partner ensure that Partner(s) comply with the Management & Control requirements of CHART funding?

- How do you plan to monitor and manage the performance of Partner(s)?

Further guidance on Management & Control requirements of CHART funding can be found within the Grant Recipients Handbook.

8.4 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

Explain the systems you have in place to accurately monitor projects and how you plan to use these within your project compliance and monitoring.

8.5 How will you ensure that your project beneficiaries (businesses/ participants) are eligible for CHART funding and are from the CHART locality?

Explain your process for checking eligible businesses/ participants. You may include processes you currently use within your organisation.

You may also want to refer to the Grant Recipient Handbook which sets out 'best practice' for ensuring eligibility of project beneficiaries.

## **9.0 Financial Management and Control** (In all responses reference partners where appropriate).

9.1 Describe the financial management and control procedures for the project.

Include:

- Ensuring only eligible and defrayed expenditure is included
- Process for compiling, authorising payment on project expenditure
- Outline your document management system, including how your audit trail will be maintained and accessible for the required period (this includes retrieving original invoices and ensuring evidence of costs incurred is available).

Delivering an ESIF funded project requires strong management and reporting controls to ensure the European Commission and national requirements of the Funds can be met.

Failure to meet the standards can result in the repayment or claw back of European Structural & Investment funding.

Please refer to the Financial Management and Control section within the Grant Recipient Handbook.

9.2 If applicable, how will you ensure that Partners/financial beneficiaries engaged in the delivery of the project will comply with the requirements relating to defrayment of expenditure?

9.3 Please explain how (through your accounting software) you will be able to maintain separate records for the project and producing detailed reports to demonstrate where the CHART funding is being spent. (If applicable, please describe how your partner's software will also manage project finances).

9.4 As CHART funding is paid quarterly in arrears, please explain how you are able to cash flow the project.

The following sections are technical and have historically (with ESIF funded projects) been the cause of financial irregularity. As a result you may wish to seek independent advice. Please feel free to contact the CHART Programme Team in the first instance to further discuss Procurement and State Aid.

## **10.0 Procurement Requirements**

10.1 Confirm that you have read and understood the European Structural & Investment Funds requirements for procurement, as set out in ESIF Compliance Guidance Note ESIF-GN-1-001 – Procurement Law ("the ESIF Procurement Requirements")

Yes

No

and that you/your Delivery Partner(s) can meet the relevant requirements		
10.2 Is your organisation a “Contracting Authority” as defined in the Public Contracts Regulations 2015?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
There are different procurement regulations for “Contracting Authority” and “Non-Contracting Authority” so it is important to define which authority your organisation is.		
A “Contracting Authority” is defined by the <a href="#">Public Contracts Regulations 2015</a> as  “the State, regional or local authorities, bodies governed by public law or associations formed by one or more such authorities or one or more such bodies governed by public law, and includes central government authorities, but does not include Her Majesty in her private capacity”		
A “Non-Contracting Authority” is any organisation/ body/ enterprise that does not sit within the definition of a “Contracting Authority”.		
Further guidance on procurement can be found within the Grant Recipient Handbook.		
10.3 Confirm that you have completed Annex 4, 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.  <i>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.</i>		
Yes or No comment		
10.4 Describe the system that will be put in place to plan the tender processes listed at Annex 4a to ensure that they comply with ESIF Procurement Requirements.		
Further guidance on procurement can be found within the Grant Recipient Handbook.		

11.0 State Aid Law
At Full Application stage, you should have now established whether State Aid applies to your project. If you believe that there are no State Aid implications, then this should be clearly stated and justified within the section below. However, if you think that your proposed project constitutes State Aid then you should explain how you intend to deliver this through a lawful mechanism (i.e. a nominated scheme or exemption).
You should apply the State Aid testing to your proposal and outline in the section below, further guidance on State Aid tests can be found within the Grant Recipient Handbook.
General guidance on State Aid can also be found within the Grant Recipient Handbook.
Please note that aid to individuals is not considered to be State Aid.
11.1 Please list all the organisations (if known) which may benefit from the funding of

<p>the project. If they are not known, list the types of organisations that might benefit from the funding. Table format is acceptable.</p>																				
<p>11.2 For each organisation or type of organisation that may benefit from your project, (including the applicant and any 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. A State Aid checklist is available in the Grant Recipient Handbooks.</p>																				
<p>11.3 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, and the justification for this exemption.</p>																				
<table border="1"> <thead> <tr> <th>Name of beneficiary or type of beneficiaries</th> <th>Name of Exemption and justification for use.</th> <th>Scheme reference number</th> </tr> </thead> <tbody> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> </tbody> </table>			Name of beneficiary or type of beneficiaries	Name of Exemption and justification for use.	Scheme reference number															
Name of beneficiary or type of beneficiaries	Name of Exemption and justification for use.	Scheme reference number																		
<p>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:</p> <ul style="list-style-type: none"> <li>(a) the applicant undertaking's name and size</li> <li>(b) a brief description of the project, including start and end dates</li> <li>(c) the location of the project</li> <li>(d) a full list of the project costs used to determine the allowable level of funding</li> <li>(e) the form of the aid</li> <li>(f) the amount of public money needed for the project.</li> <li>(g) How you will ensure compliance with the regulation</li> </ul>																				
<p>11.4 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? How will you ensure you are compliant?</p>																				
<p>Yes or No Compliant?</p>																				
<p>11.5 If you intend to use De Minimis, please outline what work has been undertaken to ensure that this is the most appropriate mechanism.</p>																				
<p>11.6 Are you subject to an outstanding recovery order in respect of State Aid? If yes, please provide details.</p>																				

Yes or No comment

11.7 Describe the system in place for collecting and recording the required information for audits and returns?

## 12.0 Publicity

12.1 Please explain how the project will meet the European Structural & Investment Funds Publicity Requirements. Please refer to the Grant Recipient Handbook for full guidance.

Within your answer you must demonstrate an understanding of the publicity guidelines, as it will be your responsibility to ensure these guidelines are followed at all times.

You'll need to explain how your organisation and any partner organisations will comply with the publicity rules.

Note that the consequences of non-compliance are serious and could lead to repayment to the accountable body of some or even all of the funding paid to your project.

Moreover, audit and verification checks of your communication activities will be carried out within the CHART Programme Team, the managing authority (MHCLG/DWP) and the European Commission.

Further guidance can be found within the Grant Recipient Handbook.

## 13.0 Cross Cutting Themes

Cross Cutting themes are an important element within the CHART project selection criteria. Guidance on what is meant by Sustainable Development and Equality and Diversity within the context of ESIF funding can be found within the Grant Recipient Handbook.

### 13.1 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?

ERDF and ESF have slightly different requirements for applicants:

#### ERDF Only

ERDF projects must comply with European environmental legislation, which seeks to ensure that projects do not have adverse effects on the environment. European environmental legislation also requires that projects that are likely to have significant effects on the environment shall be subject to further assessment.

The principles of sustainable development should be embedded in the project and have informed its development and delivery. Within your answer you should:

- set out both what you do as an organisation in terms of sustainable development
- how you will deliver sustainability to the end beneficiaries ( enterprises/ entrepreneurs)

You should also consider within your answer:

- Will it use the environment as a resource to help motivate disadvantaged people? ( for example by providing non-classroom / non-traditional learning environment)
- Will it support recycling?

### **ERDF - Revenue Projects**

For revenue projects, the sustainable development theme should be relative to the scale and scope of the project, try to focus on what the greatest benefits will be to your end beneficiaries.

Where appropriate, you should show how resource efficiency is embedded within your business support offer.

### **ERDF- Capital Projects**

The sustainable development requirements for capital projects are more complex and may require separate assessments depending on the scope of the project. You are advised to contact the CHART Programme Team for further guidance.

The guidance below provides a short summary on some of the assessments which may be required, which have been taken from the ERDF Operational Programme, Section 11:

Proposals for buildings and infrastructure will be subjected to environmental safeguards in the planning system and assessed using recognised standards, such as the Building Research Establishment Environmental Assessment Method (BREEAM) and The Civil Engineering Environmental Quality Assessment and Award Scheme (CEEQUAL) or equivalent – to ensure that environmental sustainability is considered throughout the whole lifecycle of a project. Capital investments will normally be expected to achieve the following:

- New build projects - BREEAM Excellent as the default requirement with scope to agree Very Good where circumstances make this the highest feasible standard
- Refurbishment projects – BREEAM Very Good
- Infrastructure Projects – CEEQUAL Very Good

For BREEAM, an initial design stage assessment is completed at RIBA Stage D providing an overview of what the building could achieve. It is expected that this will be available at Full Application stage.

For CEEQUAL, it would be expected that a “Whole Team Award” is used and that applicants will be in a position to confirm that they will achieve Very Good, which will be evidenced by an externally verified CEEQUAL Assessor on completion of the project.

“Green Infrastructure” covers a range of green spaces and can also include water bodies (blue infrastructure) can provide multiple benefits from supporting climate change adaptation and mitigation, through to supporting biodiversity and setting the scene for investment. Capital projects should demonstrate how they are contributing to the development of Green Infrastructure locally or strategically. Green Infrastructure based projects will need to demonstrate that they have a costed management plan and ring-fenced budget in place that will support the ongoing development and maintenance of the project.

#### **ESF Only**

ESF projects are also required to submit a separate sustainable development policy and action plan with your application. Once you have created your policy and plan you can then use this within your answer to the question above.

Further guidance on creating your policy and plan can be found in the Grant Recipient Handbook, where you will find templates to assist you. These should be submitted as supporting documents along with your application form (See Annex 1 Supporting Document Checklist).

#### **13.2 Support for the Equality and Diversity theme**

*(for ERDF this is defined as ‘Equality and Anti-Discrimination’; for ESF 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).*

- a) How will you ensure that equality between men and women, are taken into account and promoted throughout the preparation and implementation of the project?
- b) What steps will you take to ensure accessibility for persons with disabilities are taken into account throughout the preparation and implementation of the project?
- c) 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.

ERDF and ESF have slightly different requirements for applicants:

#### **ERDF Only**

All ERDF projects must promote equality in accordance with European Union and national requirements. The 2010 Equality Act provides a framework to effectively tackle disadvantage and discrimination. The Act protects nine characteristics – age, disability, gender reassignment, marital or civil partnership status, pregnancy and maternity, race, religion and belief, sex and sexual orientation. All project applicants should abide by the

Public Sector Equality Duty, within their organisation and within the delivery of CHART projects.

Within your answer you should demonstrate how Equality has been integrated into all aspects of project planning, development, implementation, monitoring and evaluation. Equality must be embedded within the services the project provides and within the way the project is delivered.

**ERDF Capital Projects:**

In addition to the above, ERDF grant applicants applying for capital grant funding will need to ensure that their project (new buildings/upgrading existing premises) meet the minimum accessibility requirements (Equality Act, Part M of Building Regulations and recommended British Standards for accessibility).

**ESF Only**

ESF projects are also required to submit a separate Gender Equality and Equal Opportunities policy and action plan. These should be submitted as supporting documents along with your application form (See Annex 1 Supporting Document Checklist).

Further guidance on creating your policy and plan can be found in the Grant Recipient Handbook, where you will find templates to assist you.

For ESF Projects, you must clearly explain and provide examples of specific actions you will undertake to:-

- Encourage women to take part in the programme, (and, where relevant, encourage employers to enable female staff, including part-time workers to have equal access to support).
- Promote female engagement through recruitment processes – including any innovative recruitment processes.
- Provide funds to contribute to childcare support where it is an obstacle to accessing support.
- Ensure that the structure and content of activities provided are gender-sensitive.
- Ensure that provision is flexible (time / location etc.).
- Promote access for disabled people.
- Encourage disclosure of disability when recruiting.
- Encourage flexible employment / work placements for disabled people (where appropriate).
- Offer assistance with transport support where appropriate (especially disabled).
- Tailor support to meet the needs of the individual (as far as possible).

Data Protection Act 2018, Freedom of Information Act 2000 and Environmental Information regulations 2004

The Accountable Body is a public body and may have to disclose contents of this application on request. This Full Application will be shared with the Investment Panel,

the Connecting Hastings and Rother Together (CHART) Community Led Local Development (CLLD) Programme Team, Assessors and potentially CLLD Local Action Groups within the South East Local Enterprise Partnership region in the case of conflicted interest.

For the CHART CLLD programme

Hastings Borough Council is the data controller for the purpose of the Data Protection Act 2018.

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 which can be found at [www.hastings.gov.uk/privacy](http://www.hastings.gov.uk/privacy).

### 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 CHART Funding support or that CHART 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 accountable body:

- **[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 accountable body:

- 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 accountable body if, prior to any CHART funding being legally committed to **[name of organisation]**, I become aware of any further information which might reasonably be considered as material to the Accountable body in deciding whether to fund the application.
- Match funding will be in place prior to any award of CHART funding
- I am aware that if the information given in this application turns out to be false or misleading Hastings Borough Council, as accountable body for the CHART programme, 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 an Hastings Borough Council CHART 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 Procurements forward look
- Annex 5 a Cross Cutting Themes Guidance for European Social Fund
- Annex 5 b Gender Equality and Equal Opportunities Policy and Implementation Plan for European Social Fund Applications

### Annex 1 Supporting documents checklist

Document	Notes	Applicant comments
Confirmation of match funding from each funder	Confirmation must be in place prior to the Grant Funding Agreement.	
Granular Budget Financial Annex	All costs must be itemised, eligible, appropriate for the project and profiled across the project period	
<b>ESF ONLY</b> Equality and Diversity Policy and Sustainability Policy	Please use the guidance and templates within the Grant Recipient Handbook	
Independent state aid advice.	If applicable	
Job Descriptions	Will set out the responsibilities of project delivery staff. For new posts, the JDs should include acknowledgement that European Structural & Investment Funds is part-funding the post.	
Organogram	An up-to-date organisation chart, including the proposed project staff.	
SLA with Partners	Not applicable if there are no delivery partners. If not available, comment when it will be available.	
Capital project requirements	See additional checklist for capital projects at the end of Annex 3, ensure you have completed all supporting documents as noted in Annex 3.	
Safeguarding policy	Applicants will need to submit a safeguarding policy if the project proposes to work with vulnerable adults, this will normally be the case	

	<p>with ESF applications and some ERDF business support applications.</p> <p>Safeguarding policies should comply with all safeguarding legislation including the Care Act 2014 and the Mental Capacity Act 2005. Policies and procedures should reflect Sussex-wide multi-agency policies and procedures.</p> <p>The policy must cover as a minimum for both staff and volunteers:</p> <ul style="list-style-type: none"> <li>• Safe recruitment (including DBS clearance)</li> <li>• Initial and ongoing appropriate training</li> <li>• Information sharing</li> </ul>	
3 Years audited Accounts	You are responsible for conducting your own due diligence on partners.	
Balance sheet	Balance sheet/ statement of accounts at previous year end	
Evidence of Organisation Bank Account	Evidence that the applicant organisation has its own bank account, which requires 2 unrelated people to authorise cheques and make withdrawals.	
Public liability insurance certificate (£10m)	You are responsible for ensuring any partners holds the same level of insurance.	
Evidence of freehold or lease agreement (if relevant to Application)		
Organisations' Equalities & Inclusion Policy	<p>(separate from ESF requirements)</p> <p>As a minimum, a statement which acts as a public commitment to promoting equality in-line with the Public Sector</p>	

	Equality Duty (Equality Act 2010) You are responsible for ensuring any partners hold a policy.	
Organisations' Health & Safety Policy	You are responsible for ensuring any partners hold a policy.	

## Annex 2

*Before completing this Annex please contact the CHART Programme Team for further guidance.*

<b>Article 61 - Revenue Generating Projects</b>
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

### ERDF Only:

*Before completing this Annex please contact the CHART Programme Team for further guidance.*

#### **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 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.

The following accompanying documents should be provided for all Capital funding applications:

<b>Accompanying documents for Capital Projects applying for European Regional Development Fund</b>	<b>Specification of document or acceptable alternative</b>	<b>Comment including name of document and explanatory description. Please advise whether a document is not applicable for the project.</b>
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.	

State Aid Report	<p>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).</p> <p>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.</p>	
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	<p>Independent valuation report produced by a suitably qualified expert body listing:</p> <ul style="list-style-type: none"> <li>• the land/buildings, to be used as match-funding;</li> <li>• their current condition/use;</li> <li>• the date purchased and consideration paid, where applicable;</li> <li>• the open market value at the date of the Application taking into account legal, planning or physical constraints to development; and</li> <li>• the open market value at the date of the Application if all legal, planning and physical constraints to development were not present.</li> </ul>	

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. The CHART Programme Team should have advised you of the additional information required to support your application.

<b>Additional information for Capital Projects operating under notified State Aid</b>	<b>Specification of document or acceptable alternative</b>	<b>Comment including name of document and explanatory description.</b>
Development appraisal for the project	<p>This will include:</p> <ul style="list-style-type: none"> <li>○ 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.</li> <li>○ 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;</li> <li>○ Cash flow for projected income and expenditure.</li> </ul>	
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: <ul style="list-style-type: none"> <li>○ Revenue stream based on projected occupancy levels, rents, service charges and any other income;</li> <li>○ Operating costs including maintenance, marketing, estate management and salary costs.</li> </ul>	
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 4

### 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	£					