

# Westmorland and Furness Council (W&F) UK Shared Prosperity Fund (UKSPF) & Rural England Prosperity Fund (REPF)

## APPLICATION FORM GUIDANCE

### ELIGIBILITY

This application guidance should be read in conjunction with the additional guidance that will be made available on the W&F UKSPF website ([www.westmorlandandfurness.gov.uk/ukspf](http://www.westmorlandandfurness.gov.uk/ukspf)).

For inclusion in the W&F UKSPF or REPF projects must fulfil the following assessment criteria:

- Projects must **demonstrate strategic fit** with the UKSPF Investment Priorities, the Intervention Area and the appropriate Funding Call.
- Projects must demonstrate their **ability to deliver eligible outputs and outcomes** relevant to the intervention area. Further information on outputs and outcomes is available on the [W&F UKSPF website](#).
- The outputs and outcomes created (i.e. jobs, number of people receiving support to gain employment, number of local events or activities supported) **must show additional benefit**. The outputs or outcomes are not substitutions, duplication, leakage or displacement from elsewhere.
- UKSPF projects can include **capital and/or revenue expenditure**, as identified within the project call.
- **REPF can be used for capital purposes only**. The Funding Calls for REPF activity include an element of UKSPF revenue funding. The levels are set out in the Funding Call.
- Projects must demonstrate how they will consider **sustainability and green growth**.
- Projects must demonstrate **compliance with the Public Equality Duty**.

- **Projects must be viable, deliverable and demonstrate they will be financially completed (all expenditure cleared your bank account) by 31 January 2025.** Applicants must demonstrate that the project is investment ready and a clear plan for achieving any outstanding consents or permissions.
- Projects must be compliant with **public procurement regulations.**
- Projects must be compliant with the **UK subsidiary control obligations.**

## MINIMUM GRANT REQUEST

- The funding calls identify the total available funding available within the intervention area and the minimum grant request for that call. **Projects are asked to demonstrate scalability of deliverability where possible as due to competitive nature of the process, projects may not be offered all the funding requested.**

## APPLICATION FORM – STEP BY STEP

### Applicant Details

- This section should include the key details regarding the organisation submitting the application and some of the key personnel involved.
  - The Senior Responsible Owner should be a senior member of the organisation who has the delegated responsibility for the successful delivery of the project.
  - The Contact Name should be the person who queries relating to the project application should be directed.
- **Please ensure that contact details are provided for a person who is able to receive and answer queries in a timely manner during the assessment process. Failure to address queries in full may impact on the approval recommendation.**
- It is important to include the applicant organisation's Company registration number or equivalent, and VAT status, as this will form part of the due diligence checks.

- If the project involves any delivery outside of the Westmorland and Furness Area, provide details of where activities will take place. Please also provide details of any other Local Authorities that have been or will be approached for UKSPF or REPF funding.
- Details of the Funding Call, Reference and Lot are available within the relevant Project Call document.

### Summary Information

- This section asks, at a high level, for key information relating to the project. The Project Description should be no longer than 300 words and should provide details of what is being delivered and what UKSPF or REPF money will be spent on.
- The UKSPF or REPF Grant should be the amount of grant required to deliver the project.
- The total project costs should be the total identified cost to deliver the project.
- The Practical Completion date should be the date that delivery of project activity is complete, and all project outputs have been delivered.
- The Financial Completion date should be the date that all project expenditure is complete. (i.e. all payments have cleared your bank account). This must be no later than 31<sup>st</sup> January 2025.
- The Completion of Outcomes date should be the date by when project outcomes will be achieved.
- All successful projects will be subject to Freedom of Information Requests therefore, any information that is commercially confident, should be identified and the relevant section within which it falls should be ticked.

### UKSPF Interventions and Priorities

- The primary goal of the UKSPF is to build pride in place and increase life chances across the UK. It aims to do this by addressing three investment priorities: Community and Place, Supporting Local Business, and People

and Skills. **The REPF objectives sit within the UKSPF investment priorities for 'Supporting Local Business' and 'Community and Place'.**

- These will be delivered through a range of intervention areas which are represented in the Project Calls.
- For this section the Primary Intervention and the Intervention Area (as identified within the Funding Call that the application is responding to) should be ticked.

## 1. STRATEGIC CASE

This section provides the opportunity to demonstrate what the aims and objectives of the project are, why it is needed and what the demand for the project is.

- **1.1 Project Aims** – Please describe the overall aims or desired outcomes that the project hopes to achieve. The answer should be no longer than 300 words.
- **1.2 Project Objectives** – A set of Specific, Measurable, Achievable, Realistic and Time-bound (SMART) objectives should be identified, that show how the project aims will be achieved. It is recommended that no more than 5 objectives are identified, and the answer should be no longer than 300 words.
- **1.3 Strategic Fit to the Funding Call** – Set out how the proposed project will meet the specific aims and objectives of the relevant Funding Call.
- **1.4 Need for the project** – Please identify the problem or issue that the project will help to address. Please also set out why public funding is needed to deliver the project. The answer should be no longer than 500 words.
- **1.5 Demand for the project** – Please identify the demand for the project. Has any market testing/consultation been done to determine that the project will address the identified need? The answer should be no longer than 250 words.
- **1.6 Strategic Fit to the Investment Plan and Priorities** – Please identify how the project fits with the priorities of the Investment Plan. The

investment plan is available on the W&F UKSPF webpage. The answer should be no longer than 250 words.

- **1.7 Sustainability and Low Carbon** – Key to the principles of UKSPF/REPF is the embedding of sustainable and inclusive growth. Please set out how sustainability and low carbon have been built into the project design and project delivery.
- **1.8 Inclusivity and Equality** - Inclusivity and equality are key principles of the UKSPF/REPF programme. Please set out how the principles of inclusivity and equality have been built into the project design and project delivery.
- **1.9 Previous UKSPF funding** - As the applicant organisation, if you have previously received UKSPF funding this needs to be identified here, including details of the awarding local authority.
- **1.10 Duplication of Other Activity** – To ensure added value is delivered through UKSPF/REPF funding, the project should not duplicate activity that is currently being delivered in the area. This section should provide details of how duplication of activity will be avoided. The answer should be no more than 250 words.
- **1.11 Replacing ESIF funding** – UKSPF/REPF funding has been provided as a means of replacing funding previously awarded through the European Structural and Investment Funds (ESIF). If your organisation has previously received ESIF or Leader funding please provide details, including the ESIF project title and reference number.

## 2. ECONOMIC CASE

- **2.1 Scalability** - It is important that your project is scalable, as due to the competitive nature of the Fund, the grant offered may not be the same as that requested. Please set out the minimum and maximum amount of UKSPF/REPF funding required to deliver the project. Answers to this question should align with the options identified in the Options Analysis at question 2.4.
- **2.2 Minimum Funding Required** – Please identify the minimum amount of UKSPF/REPF funding required to deliver the project. Please outline how it

would be scaled down and delivered? What objectives, outputs and outcomes wouldn't be delivered? (300 words maximum).

- **2.3 Maximum Funding Required** – Please identify the maximum amount of UKSPF/REPF funding required to deliver the project. Please outline how it would be scaled up and delivered? What additional activity would be delivered? (300 words maximum).
- **2.4 Options Analysis** - Please set out the options that have been considered to achieve the Project Aims. When selecting options, please give consideration to the “Critical Success Factors”. These are the absolute essential elements that the project needs to include for it to be a success. The “Business as Usual” option (Option 1) must always be completed, to understand what would happen should no action take place. This will help ascertain the impact that the preferred option will have (the additionality).
- **2.5 Requirement for Grant** – Please set out the alternative options for funding considered and the impact on the project if UKSPF/REPF is not awarded. For example, would the project take place at all without UKSPF/REPF funding, or would activities take place on a reduced scale, or over a longer period.
- **2.6 Project Outputs and Outcomes** – Please set out the UKSPF/REPF outputs and outcomes that will be delivered through the project, and the existing baselines against which achievement will be measured. The list of UKSPF/REPF outputs and outcomes can be found on the UK SPF W&F webpage. **All identified outputs must be delivered by 31 March 2025. It is recognised that outcomes may be delivered beyond March 2025.**

### 3. COMMERCIAL CASE

The Commercial Case provides the opportunity to demonstrate that the project and its delivery methodologies will seek value for money, and are delivered in a transparent manner, consistent with UK procurement and subsidy control legislation. The questions within this section, provide the opportunity to identify the method of delivery that will be used, the stage of delivery that a project is at and the procurement route that will be undertaken.

- **3.1 Delivery Method** – Please set out how the project will be delivered. For example, some projects will have suitably qualified staff within the

organisation who can be mobilised to deliver the identified activity. Other projects may be more complex and require externally procured professional support. For many capital schemes this will be the case.

- **3.2 Delivery Stage** – Please identify the stage of delivery the project is at. For example, is the project ready to start (all staff in place, all procurements undertaken, or is the project at design stage staff still to be recruited, procurements to be undertaken etc).
- **3.3 Procurement** -Public Sector bodies shall ensure compliance with Public Contracts Regulations (PCR) 2015 or Public Contracts (Scotland) Regulations 2015 including any amendments or any subsequent legislation that replaces the Act. For other organisations involved in UKSPF project delivery, they should adopt such policies and procedures to ensure that value for money has been obtained in the procurement of goods or services funded by the Grant. The following minimum procedures shall be followed:

Estimate Total Contract Value	Minimum Process	Method of invitation
Up to £2,000	Responsible Officer must use a process which obtains best value for money	One oral quotation (confirmed in writing where the quotation exceeds £500)
£2,001 - £50,000	2 written quotations	Invitation to submit a quotation in writing to at least 2 candidates
£50,001 - £100,000	3 written quotations	Invitation to submit a quotation in writing to at least 3 candidates
Exceeding £100,000 but below relevant Procurement Threshold	Written Tender	Open advertisement of contract appropriate to the relevant market
Procurement Threshold and above	Written Tender	Open advertisement of the contract in accordance with the Regulations

Grant recipients should also consider and implement the following wherever possible:

- Sustainability and green measures in procurement plans, aligned with the government's net zero strategy.
- Innovative procurement, including the factoring in of social value and community wealth building into procurement.

If the project involves any subcontractors, you must demonstrate how they will also demonstrate compliance with the above measures. The overall answer should be no longer than 300 words.

- **3.4 Displacement** - This question should identify whether there is any existing provision for the activity identified within the application. The outputs created must show additional benefit and that the outputs are not substitutions, duplication, leakage or displacement from elsewhere.
- **3.5 Subsidy Control** - The UK subsidy control regime began on 4 January 2023. It enables public authorities, including devolved administrations and local authorities, to give subsidies that are tailored to their local needs, and that drive economic growth while minimising distortion to UK competition and protecting our international obligations.

All applications must take consideration of how the activity outlined will deliver in line with subsidy control requirements as outlined in the UKSPF guidance: [UK Shared Prosperity Fund: subsidy control \(7\)](#).

#### 4. FINANCIAL CASE

The Financial Case provides the opportunity to identify what the costs for the project are, what the funding package for the project is and how the project will be cash flowed if required. It helps to provide certainty that the project is deliverable from a financial perspective.

- **4.1 & 4.2 Project Costs** – The questions within the Financial Case allow for the identification of the project costs and funding package that are required to successfully deliver the project. The overall project spend, split by capital and revenue expenditure, should be detailed across financial years 2023/24 (1 September 2023 to 31 March 2024) and 2024/25 (1 April 2024 to 31 January 2025).

Project expenditure should be broken down by a maximum of 5 individual budget headings. The project costs should be consistent with the



expenditure profile (Appendix B). Please can this Appendix be completed as a profile based upon expenditure leaving your bank account.

All project costs must be eligible for UKSPF support. The following costs should not be included in a UKSPF intervention:

- Paid for lobbying, entertaining, petitioning or challenging decisions, which means using the Fund to lobby (via an external firm or in-house staff) in order to undertake activities intended to influence or attempt to influence Parliament, government or political activity including the receipt of UKSPF funding; or attempting to influence legislative or regulatory action.
- Payments for activities of a party political or exclusively religious nature.
- VAT reclaimable from HMRC. If there are any VAT exemptions, then evidence of these will need to be provided.
- Gifts, or payments for gifts or donations.
- Statutory fines, criminal fines or penalties.
- Payments for works or activities which the lead local authority, project deliverer, end beneficiary, or any member of their partnership has a statutory duty to undertake, or that are fully funded by other sources.
- Contingencies and contingent liabilities.
- Dividends.
- Bad debts, costs resulting from the deferral of payments to creditors, or winding up a company.
- Expenses in respect of litigation, unfair dismissal or other compensation.
- Costs incurred by individuals in setting up and contributing towards private pension schemes.

Please set out the basis upon which the project costs have been identified. This allows the level of confidence and risk of costs escalation to be assessed. Examples could include previous experience, QS costs, or quotes already obtained.

- **4.3 Funding Package-** There are no requirements for match funding, however, those projects that can demonstrate an element of match/aligned funding will be prioritised. Projects are required to identify and report during the delivery period whether the source of match funding is from “Central Government, “Local Government” or “third party”. Please also identify the status of the match funding (Not yet applied for, pending

or confirmed). Evidence of match funding will be required before grant expenditure can be drawn down.

- **4.4 Cashflow** - Grant payments are unlikely to be in advance of need, therefore there will be periods of time where cash flow arrangements may be required. Please provide details of how cash flow will be managed and provide evidence of any arrangements that have been put in place.

## 5. MANAGEMENT CASE

The Management Case for the project provides the opportunity to demonstrate that there are appropriate project management systems in place to ensure the project is effectively managed and governed.

- **5.1 Project Management** - Key to successful project delivery is establishing appropriate and proportionate project management systems. Please provide details of the personnel involved in running the project and their roles and responsibilities. The answer should be no longer than 500 words.
- **5.2 Track Record** – Please provide examples of previous projects that your organisation has delivered that are similar in nature.
- **5.3 Stakeholder Engagement** - To help establish the community buy in for the project please set out the stakeholder engagement that has taken place, and/or will be undertaken. This should not only include community buy in but from other organisations or groups that may be affected by the project. The answer should be no longer than 300 words.
- **5.4 Risk** - This section should identify key risks (five) that may impact upon the delivery of the project. A capital project should for example consider risk of cost inflation relating to materials. For all risks identified appropriate mitigation should also be identified that help reduce the impact on project delivery should the risk occur. For any project over £100k a full risk and mitigation register needs to be submitted.

An example of this can be found at Appendix A, or the applicant can provide one in a format of their choice, so long as it provides as a minimum the information provide in Appendix A. The Accountable Body reserve the right to request further information if required.

- **5.5 Key Constraints and Dependencies** - All project applications must demonstrate that they are viable, deliverable and can be financially completed by 31<sup>st</sup> January 2025. Applications must provide details of any necessary permissions and consents required to allow the project to start. If these are not in place, please identify when they will be obtained. Any projects with significant deliverability concerns are unlikely to be recommended for approval.
- **5.6 Milestones** – Please set out the key milestones for the project. For capital projects Planning Permission being in place is an example, or for revenue projects recruitment of staff. More lines can be added depending on the milestones for the project.
- **5.7 Outputs and Outcomes Monitoring** – Key to a project’s success is the outputs and outcomes that will be delivered, and what evidence will be obtained to demonstrate their achievement. For each output and outcome, it is important that the following information is provided:
  - How will this data be recorded and evidenced?
  - Who will be responsible for recording the data?
  - When will evidence of the achievement be available?
- **5.8 Evaluation** – Evaluation of a project can help to identify what elements of the project were a success and what could be improved to help inform the delivery of future projects. Please set out what evaluation activity is planned or is being considered. The answer should be no longer than 250 words.
- **5.9 Deliverability** - Please identify what measures will be put in place to ensure the project is financially complete by the end of January 2025 and outputs successfully delivered by the end of March 2025. This should be no longer than 300 words.
- **5.10 Publicity** – Branding and publicity play a key role in ensuring effective promotion and acknowledgement of the wider Levelling Up agenda, and as part of that the UK Shared Prosperity Fund. Please identify what publicity will be undertaken throughout the delivery of the project and that the project will comply with the UKSPF publicity guidelines: [UK Shared Prosperity Fund: branding and publicity \(6\)](#).

## 6. DECLARATION AND SIGNATURE

- **6.1 Declaration** - This declaration provides confirmation by the applicant of compliance with the UKSPF regulations. This should be signed and dated by someone with appropriate authority within the organisation. This can be done through the use of an electronic signature.