



Version 1.0 Jan 2009

## **ACCESS ALLIANCE PROGRAMME PHASE 2 PROJECT APPLICATION AND APPRAISAL FORM GUIDANCE FOR APPLICANTS (AAP2/DGF/01)**

### **Application and Appraisal Process**

The combined form has been developed to improve efficiency and transparency in the processes the SSP uses when appraising a project for funding from the Single Programme. All project applications for the Access Alliance Delegated Fund are to be appraised by STAR who act as the Managing Agent for the programme. The form is based upon core elements of an application/appraisal standard form used by SSPs and *emda*.

### **Completing the Application Form**

- The following guidance should be read and adhered to when completing the SSP Combined Project Application and Appraisal Form (AAP2/DGF/01). It provides supporting guidance for some of the more technical aspects of the application process.
- Please fill in all relevant sections of the Application Form.
- The sections titled 'Managing Agent Use Only' and coloured orange are for completion by the Managing Agent as part of the appraisal of the project application and should not be completed by the applicant.
- If the project has a Business Plan please attach the plan to the Application Form.
- Further advice on the completion of this form can be obtained from STAR, who also provide a mentoring and advice service.

### **Clarity**

When completing the Application Form aim to be clear and succinct, using plain English, avoiding clichés, jargon and acronyms. The details provided should clearly explain, for example, who will do what, when, where, how and why, for how much and who will pay.

### **Legal Position**

The SSP has no legal or moral commitment to support a project until a Contract has been issued and accepted. A Contract is issued only to successful applicants after a full appraisal and approval process has taken place.

## 1. Project Characteristics

### Project Name

It is helpful to avoid long and overly complex names.

### Applicant's Name

The name of the organisation who will be acting as the accountable body. It is the responsibility of this organisation to complete, sign and submit the project application.

### Contact Person Details (Name, Telephone number and E-mail)

Provide details of the person nominated by the applicant as the primary contact.

### Contact Address

Please provide full postal address of the accountable body, including full postcode.

### What is the Applicant's Legal Status?

To allow us to process your application, and to assess such issues as procurement and state aid, it is essential that you inform us of the legal status of your organisation.

In addition please advise us of any links to STAR, Alliance SSP or emda, , such as previous employees or members of staff directly related to STAR or SSP employees. This will allow us to ensure no conflict of interest takes place when assigning the project to STAR and SSP responsible officers for appraisal and contracting.

### Project Location

Please advise us of the project's location. For capital build projects, this will be the physical location of the asset. For the delivery of training or business support services, this should be the location that these services will be delivered from. For projects delivered from more than one location, details of each location should be provided.

### Area of Impact

This is the area where you expect the beneficiaries of the project to reside.

### Project Description

- Fully describe clearly and succinctly all the key elements/aspects of the project.
- When will it be delivered?
- Detail the background to and rationale for the project
- Please note that the project description will be used as a basis for the drafting of any resulting contract and could be placed on the STAR, SSP or *emda* websites for publicity purposes.

### Detailed Project Objectives

- Clearly state the objectives of the project – what it will do, what it will achieve, the target area/beneficiaries.
- Make sure the objectives are **SMART** (i.e. **S**pecific, **M**easurable, **A**chievable, **R**ealistic and **T**ime-bound).
- For example instead of *'The project will deliver training to disadvantaged individuals'* a SMART objective would be *'The project will deliver training in using trip planning software to 100 disadvantaged individuals who are residents of North Nottinghamshire by 31<sup>st</sup> October 2010'*.

## Need and Demand

### Why is the project needed?

- Explain the access issue(s) the project aims to address and how they will be addressed within the project.
- Include evidence of the demand for the project.
- Include results of any research or studies and costs (with funding sources) to date and how they have influenced the development of the project.

### Who are the target beneficiaries and how are they involved in the project's development?

- Who are the target beneficiaries?
- How will they be expected to benefit from the project and how will you ensure they benefit?
- To what extent have target beneficiaries and/or local communities been involved in the development of the project?
- What involvement will they have in the management of the project?

### Why is SSP support required? Please identify the Market Failure being addressed

- Why is SSP funding required? What other sources of funding have you identified and attempted to access?
- What evidence of market failure is there that you are attempting to address through this proposal. It is a requirement of the *emda* Single Programme that evidence of market failure and the need for SSP funding is provided and evaluated before approval can be given.
- For further advice on Market Failure, please see the OffPAT Project Advice Note on Market Failure, available via their website – [www.offpat.info](http://www.offpat.info).

### Strategic Fit

Explain how the project contributes to the objectives of:

- The North Nottinghamshire Accessibility Strategy and / or
- The Derbyshire Accessibility Strategy

### Partner Roles and Responsibilities

List the names of partner organisations with an interest (financial or other) in the project. Describe their role in the project's development and proposed delivery.

### Estimated Project Start and End Dates

Give estimated dates, stating month and year should funding of a full project application be approved. The financial end date is the expected date of the final claim.

## 2. Options Analysis

### Explain what would happen if no funding or a reduced level of SSP funding were approved.

Describe the impact on the project and the effects on the outcomes for both options. Highlight the key risks with these options.

Explain why you have chosen your preferred option and why it is the most appropriate to meet the demand.

### 3. Outputs and Outcomes

All projects funded under the Access Alliance Programme Phase 2 are required to deliver some or all of the following economic outputs defined by emda:

- T1** Jobs created or safeguarded
- T2** People assisted to get a job
- T4** Businesses assisted to improve their performance
- T5** Other public sector infrastructure investment levered (£)
- T5a** Private sector infrastructure investment levered (£)
- T6** People assisted in their skills development

Details of these outputs and how to demonstrate evidence that those outputs have been achieved is available at: <http://www.emda.org.uk/src/main/coreoutput.asp?nav=src02>

Outputs should be shown split in direct proportion to the SSP's share of the public sector investment. So for example if the SSP provides 25 % of the total public sector funding, then attribute 25% of the outputs to the SSP. All outputs attributable to other public sector funders should be provided in the OPS column. This is known as Gross Attributable.

#### Output Assessment

For each output included in the previous table, please describe the exact project activity that will deliver the output and why you feel it meets the requirements of the project description. Particular attention should be given to the evidence requirements to ensure these can be met.

Applicants need to calculate the unit cost of each output attributable to AAP2 funding. Applicants should comment on these unit costs according to their knowledge of unit costs of similar service provision by their own organisation or others. In other words, if this project is delivering similar activity to projects you have been involved with in the past, please compare the cost per output with benchmarks from previous activity.

Outputs are defined as 'the goods and services produced by the project and delivered to an external party (for grant funded projects these are often for society either individually or collectively). They are the direct measurable results of project activity'. Further information can be found in the OffPAT Project Advice Note on the Project Logic Chain, available on their website [www.offpat.info](http://www.offpat.info)

Project managers are required to submit monthly claim forms to STAR, together with full evidence of the type and number of outputs delivered. Explain how you will monitor the performance of your project, and how you will collect the evidence relating to emda's core economic outputs.

Detail how you have considered Equality and Diversity issues when designing the project to reach the targeted beneficiaries. You should identify the targeted beneficiary group and analyse their make up based on sex, age, ethnicity, disability and location. You should consider the main issues related to the identified targeted groups, and highlight how you have designed the project to be as inclusive as possible.

## **Project Outcomes**

Outcomes are defined as ‘the impact on, or consequences for, the community of the project’s activity. They reflect the intended results from and provide the rationale for the public sector intervention and should reflect back to the project’s objectives’. Further information can be found in the OffPAT Project Advice Note on the Project Logic Chain, available on their website [www.offpat.info](http://www.offpat.info).

Give details of the expected outcomes of the project. These may be qualitative or quantitative but should show links between the project objectives and the expected and required outcomes of the project activities.

Detail how you will monitor and report on these outcomes.

## **4. Costs and Funding**

### **Project Costs and Profile**

- Breakdown the total project costs between capital and current (revenue), with a financial profile over time.
- Capital costs are defined as items that can be capitalised onto the project balance sheet and included on its asset register e.g. vehicles, land, buildings, plant and machinery including associated professional fees.
- All costs should be shown exclusive of recoverable VAT.
- Profile the receipts expected over each year and deduct from the Gross Total to arrive at the Net Total for each year.
- Ensure that adequate finance is set out for monitoring and evaluation & publicity and marketing activities

### **For ‘other costs’ please specify**

For any ‘other costs’, both capital and revenue, please provide details.

### **Financial Assessment**

To allow us to undertake a full technical appraisal, you should include a full breakdown of the project costs, and where costs have been estimated (for example if you are going out to tender) an explanation as to the source of this estimate must be provided. Please note that it is not sufficient to document that this is based on previous experience without giving details and costs you have used to base this on.

For capital build projects, it is important that you include the estimated end value of the asset, and from this calculate the cost-value gap. This is the difference between the costs of construction and/or development, and its estimated end value. Please include the sources of all cost and end value estimates.

### **Project Funding and Profile**

- Please complete the date boxes at the top of the grids to indicate which financial years the funding relates to. NB the SSP’s financial year runs from April 1<sup>st</sup> to March 31<sup>st</sup>.
- Show the SSP contribution, split between capital and current costs and profiled over the life of the project.
- Show the other sources of the project-funding split between public and private sector funding. Show the costs split between all funding sources. For each source of funding, please show whether the funding is committed to the project (approved) or not.

## **Funding Status**

It is important that this section is completed fully and accurately.

Give details of any conditions attached to the other funding for the project. For approved funding, please provide copies of offer letters or letters of intent to support.

Please provide details of any financial commitments, such as contracts, which have been entered into prior to this application for funding.

Explain the likelihood of cost over-runs and how you propose to manage these.

## **5. State Aid**

All *emda*/SSP Single Programme funding must comply with the European Community State Aid Guidelines. Please detail why you feel your proposal has / does not have State Aid implications, and if it has, how you propose to manage these. i.e. delivery under a block exemption. Please detail any advice sought.

Broadly, State Aid can be defined as a Member State's financial aid which favours selected undertakings and has the potential to distort competition and affect trade between EU Member States. A brief overview of what State Aid is and its implications can be found at <http://www.berr.gov.uk/whatwedo/businesslaw/state-aid/index.html>

## **6. Sustainability (Environmental Impact)**

Please set out, in a clear and objective manner how the project will impact upon the environment, including both short and long term impacts. Indicate how during the development of the project plan, potential positive and negative impacts are identified and actions are developed to ensure that the negative impacts are minimised or avoided.

## **7. Risk Assessment**

### **What are the main risks associated with the project?**

Identify the key risks – i.e. things which may hinder the expected results- and for each risk, estimate the probability of occurrence and the impact it might have. Consideration should be given to:

- Your/the partners experience of delivering similar projects.
- What impact will variations in timescale have on the project?
- Statutory consents (e.g. planning permission).
- Mandatory guidance (e.g. Health and Safety).

### **How do you propose to manage these risks and what contingency plans are in place?**

Describe the steps to be taken to reduce/minimise these risks and provide details of any contingency plans in place.

## **8. Delivery Arrangements**

### **Procurement Plan**

Outline the contractual arrangements for the procurement and delivery of the project. Please identify the tender procedures you intend to apply to the procurement of any activities; **for example, are you applying for a grant to deliver activity yourselves, or are you planning to tender for a delivery agent. If you are planning to tender for services or works, please include a copy of the tender specification.**

### **Project Plan**

Summarise the key tasks to be carried out in the lifetime of the project. For each task highlight the intermediate milestones and expected timescales for delivery.

### **Project Management**

Provide full details of the project management arrangements and give details of the financial management controls to be put in place. Identify who the contracting body for the project will be if this differs from the organisation applying for funding. Provide details of how the Project Manager will ensure that all project partners are kept up to date with project progress.

### **Monitoring & Evaluation Plan**

- Set out the project's Monitoring & Evaluation Plan. This is the method you intend to use to collect outputs and monitor and report the progress of the project.
- How, and by whom, will the project be evaluated?
- How will you measure the achievement of the Project outputs and outcomes (outlined in Section 3), and how will you report on these?
- How will good practice lessons be collated and disseminated?

### **Marketing and Publicity Plan**

How will the project market and publicise itself; what channels of communication and dissemination will it use? Give details of what element of the project's budget is assigned to marketing and communications activity.

## **9. Forward Strategy / Exit Strategy**

### **Provide a summary of the project's forward strategy**

- Does the Project have a continuation or exit strategy? If so, what is it?
- If the project is time limited, explain closure arrangements e.g. final reports.
- If the project is to continue explain how it will be funded and/or managed.
- What input would target beneficiaries/local communities have in the future management of the project?

### **Is any further funding likely to be sought from the SSP for this or related projects? If yes, please explain how much, what for and when.**

Give details with values and dates of any future funding likely to be applied for. Please note that any further application for funding will be subject to the same appraisal process and approval of this project does not in any way indicate that further funding will be available

### **Declaration**

All Project Applications must be signed by an individual within the project organisation with the authority to commit the organisation as the Accountable Body for the project. Ensure the applicant's name is printed and their position within the organisation clearly stated e.g. Chief Executive or Financial Director.