

EXPRESSION OF INTEREST FORM GUIDANCE FOR APPLICANTS

Application and Appraisal Process

East Midlands Development Agency (*emda*) and Lincolnshire Enterprise (LE) have adopted a two-stage project appraisal process for considering any project seeking financial support from the Agency.

The first stage of this process is where the Expression of Interest form is appraised to consider whether it is to be invited to proceed to the full appraisal stage. At this stage, *emda* will consider how well the project will contribute to its strategic priorities and whether it appears to offer good value for money. Applicants are asked to complete the Expression of Interest form as fully as possible, *emda* will then consider the project, and may ask the applicant for further information to support their initial application.

If the Expression of Interest is approved at the initial assessment stage, then the project will be passed for full appraisal. Further information and supporting documentation will then be sought through the completion of a full application form to enable a full appraisal to take place. Should the project be approved, the applicant will be informed and a contract will be put in place.

Clarity

The Expression of Interest form should explain clearly for the project: who will do what, when, where, how and why, for how much and who will pay. Please be clear and succinct – use simple English, avoiding clichés.

Legal Position

East Midlands Development Agency has no legal or moral commitment to support a project until an Offer Letter has been issued and accepted. An Offer Letter is issued only to successful applicants after a full appraisal and approval process has taken place. A successful initial assessment does not mean that formal approval will follow.

Expression of Interest Form

- The following guidance should be read and adhered to when completing the Expression of Interest form.
- Please fill in all sections of the Expression of Interest form.
- Write “not applicable” if a section does not apply.
- Further advice on the completion of this form can be obtained from the Project Manager responsible for your application.

1. Project Characteristics

Project Name

The name used to describe the project. It is helpful to avoid long and over complicated names.

Applicant's Name

The name of the organisation/company requesting financial assistance who, if the project is approved, will be accountable for the project funding. If the project is a partnership between organisations this section should be the lead partner, who will also hold the financial responsibility as Accounting Body.

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

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

Contact Address

Please provide full postal address of the organisation applying for funding, including full postcode.

What is the applicant's legal status?

What is the legal status of the organisation? e.g. Local Authority, Limited Company, Partnership, Voluntary, Charity, Sole Trader etc. Give VAT registration number if registered.

Project Location

- State the location with full postal address where applicable.
- State which Local Authority area(s) and Ward(s) the project resides within.
- Please state which Sub-regional Strategic Partnership area the project resides in. *emda*'s Sub-regional Strategic Partnerships are: Alliance (North Derbyshire/North Notts), Derbyshire, Greater Nottingham, Leicestershire, Lincolnshire, Northamptonshire and Welland.

Outline Project Description

- Describe all the key elements/aspects of the project and when it will be delivered.
- Please use plain English.

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 as SMART (specific, measurable, achievable, realistic, time-bound) as possible.

2. Timescales

Project Start Date (indicative)

Please provide the indicative start date of the project.

Project End Date (indicative)

Please provide the indicative financial end date of the project. i.e. expected date of final claim.

Length of Project (in years)

Give the length of the project in years. For continuation of existing projects this should be the total lifetime of the project.

3. Need and Demand

What are the target beneficiaries? How are the beneficiaries involved in the project's development?

- Who or what are the target beneficiaries and where are they based?
- 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 the project needed?

- Explain what the nature of the issue is and the rationale for the project.
- Evidence must be specific and sourced.
- Describe the supply and demand positions of relevant markets and explain how these support the need for the project.
- Include evidence of the demand for the project.

Why is Public Sector, and specifically *emda* funding required? Give details of other funders approached and their responses and explain why *emda*'s investment is the minimum required for the project to go ahead

- Is there a funding gap? If so, why? How is it proposed to fund this gap?
- Have you approached other funders about supporting the project? If so, what was their reaction. If they are not financially supporting the project, why not?

Have any initial research, works or feasibility studies taken place?

Give details of any initial research, feasibility studies or work that has taken place. Include results of any research or studies and costs (with funding sources) to date

4. Rationale and Strategic Fit

Indicate the strategic fit with:

- *emda*'s 3 Key Themes and 10 strategic priorities.
- *emda*'s Corporate Plan
- The Regional Economic Strategy
- Any other relevant Regional/Sub-regional Strategies

All these plans and strategies can be found on *emda*'s website at www.emda.org.uk. Further information or copies of these documents can be obtained by contacting *emda* or Lincolnshire Enterprise.

For each of the above explain how the project will add value and contribute to these strategic objectives.

5. Indicative Costs

Project Costs and Profile

- Please complete the date boxes at the top of the grid to indicate which financial years the project costs relate to.
- Breakdown the project costs between capital, investment and current expenditure, with a financial profile over the financial year.
- Capital costs are defined as items that can be capitalised onto the project balance sheet and included on its asset register e.g. land, buildings, plant and machinery, including associated professional fees. If the asset is owned by an

organisation which is not a government department or local authority then this type of expenditure should be classed as investment.

- Show the costs split between total costs and those paid for by *emda*'s contribution.
- All costs should be shown exclusive of recoverable VAT.

Other Funding

- Please indicate the source and status of all other funding sources including European funding where applicable.

6. Indicative Outputs

- Please complete the date boxes at the top of the grid to indicate which financial years the project outputs relate to.
- Provide indicative outputs and Key Performance Indicators (KPIs) directly attributable to *emda*'s investment in the project.
- Full descriptions of the Outputs and KPIs and how they are calculated can be found in *emda*'s New Targetry Framework definitions document. Copies are available from the Project Manager within *emda* responsible for your application.
- For projects with more than one public sector funder outputs should be divided on a basis equal to the proportion of public sector investment. For projects where *emda* is the only public sector funder all outputs can be attributed to *emda*.

6b. Indicative Outcomes

- Give details of other outcomes of the project giving details of when they are likely to be achieved.

7. Sustainability

Please set out in a clear and objective manner how you think the project will impact upon the environment, including both the short and long term. Indicate how, during the development of the project plan, potential positive and negative impacts are to be identified and actions to be developed to ensure that the negative impacts are minimised or avoided. There may also be opportunities for the project to have a beneficial impact on the environment, which would be welcomed. Please reference any supporting information to help present the rationale and identification of impacts, together with what actions are proposed to minimise impacts or afford opportunities for the environment. For more information, please see the East Midlands Regional Assembly Integrated Appraisal Toolkit website, www.emtoolkit.org.uk.

8. Initial Options Assessment

Briefly describe the other options which have been considered during the project's development

As a minimum this should be the 'do nothing' and 'less funding' options. For each option give details of the effect of that option on the project's outputs and outcomes.

For each option, explain why they have been discounted

Give reasons why the proposed option is the best solution to delivering the project.

9. Initial Risk Assessment

Are there any risks which could seriously affect or prevent the project from going ahead as planned?

Identify the key risks – what might go wrong with the project - 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.
- Resources and funding.
- Statutory consents (e.g. planning permission).
- Mandatory guidance (e.g. Health and Safety).

If so, how have these been addressed?

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

Does the project have any State Aid implications? If so, why?

Please provide details of any State Aid implications the project may have. Further information and advice on State Aid can be found on the Department for Business, Enterprise & Regulatory Reform (BERR) website at:

<http://www.berr.gov.uk/whatwedo/businesslaw/state-aid/rules/index.html>

10. Proposed Forward Strategy

Briefly Detail the projects proposed forward strategy

- How will the projects impacts and/or the project be maintained post *emda* funding?
- If the project finishes 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?

Declaration

All Expressions of Interest must be signed by an individual within the project organisation with the delegation 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.