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| --- | --- |
| **North of Tyne Investment Fund** | |
| **Project Business Case** | |
| **Project Name** |  |

# Introduction

Applicant organisations are asked to carefully consider the accompanying guidelines and adhere to any deadline date for return that may have been communicated by the North of Tyne Combined Authority (NTCA). Please align your project profile to the [NTCA standard Outputs Guidance](https://www.northoftyne-ca.gov.uk/support/business-guidance/).

This business case form is designed to comply with the [HM Treasury Green Book](https://www.gov.uk/government/publications/the-green-book-appraisal-and-evaluation-in-central-governent). It is a generic form for use by a wide variety of projects. **The amount of detail required should be proportionate to the scale and complexity of your project.** You can include additional, clearly referenced, supporting information where this helps explain your case.

The business case is largely structured around the **HM Treasury Five Case model** to help us ensure that the public funding you are requesting:

* is supported by a compelling case for change – the **Strategic Case**
* optimises value for money inclusive of social value – the **Economic Case**
* is commercially viable – the **Commercial Case**
* is financially affordable – the **Financial Case**, and
* is realistic and achievable – the **Management Case**.

In dealing with these five cases you will be required to:

* Build upon the outline stage project proposal (where applicable) and address any issues that may have been fed back.
* Establish the option which optimises value for money inclusive of social value
* Confirm that you can legally receive the level of investment requested in regard to UK Subsidy Control regulations.
* Demonstrate that the proposed project is deliverable within the time frames required by the NTCA.

The NTCA also assesses business cases against a sixth **Inclusive Economy Case** as a key corporate priority for investment.

The NTCA reserves the right to reject business cases where they do not meet the project selection criteria including value for money.

If approved, the final and agreed version of this form will form the basis of a grant funding agreement between NTCA and the grant recipient.

### \*\* IMPORTANT \*\*

Please note the business case submission process is only complete when all the following have been achieved:

* The project has been created on [North East OPS](https://neops.northoftyne-ca.gov.uk/#/home) (NE OPS) and all blocks are completed in line with [guidance](https://www.northoftyne-ca.gov.uk/support/business-guidance/).
* All required Annexes are completed
* **Annex B** has been signed.
* All supporting documents stated in **Annex F** are uploaded to NEOPS.
* **Annex F** has been signed.
* This business case is uploaded to NE OPS

Business case submissions will be returned to the applicant if not completed in full.

### Freedom of Information

Under the Freedom of Information Act 2000, the NTCA is required to make publicly available information that we hold, including on investments. There are some exemptions in relation personal and commercial information; however, applicants should be aware that information supplied on this form may be disclosed to third parties. Accordingly, we offer no assurance that the information contained in this document will be maintained in confidence.

**\*\* Completed forms and all supporting information should be uploaded to NE OPS in word format. \*\***

For any queries in relation to your business case submission please contact your named NTCA officer.

### Document Version Control

|  |  |  |  |
| --- | --- | --- | --- |
| **Version Number** | **Purpose/Change** | **Author of Change** | **Date** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

# Project Information

|  |  |
| --- | --- |
| **Applicant Organisation** |  |
| **Registered Address** |  |
| **Type of Organisation** | Choose an item. |
|  |
| **VAT No.** |  |
| **Company Registration No.** |  |
| **Charity Registration No.** |  |
| **Company Size if Private** (see Funding Guidance) | Choose an item. |
| **Contact Person** |  |
| **Position within the Organisation** |  |
| **Contact Address** (if different from above) |  |
| **Telephone No.** |  |
| **Mobile No.** |  |
| **Email Address** |  |
| **Project Location** | Choose an item. |
|  |
| **Location Type** | Choose an item. |
|  |
| **Project Post Code** |  |

## Project Overview (please refer to call document attached)

|  |  |
| --- | --- |
| **Project/Event Name** |  |
| **Start and End Date(s) of the event(s)** |  |
| **Event Venue *(where the activity will take place)*** |  |
| **Project Description**  Your answer here will help us understand the nature of the project.  Please provide a detailed description of what the project will do, how it will be delivered, and how it addresses the requirements of the call.  Specifically, provide a response that covers each of the following headings:   * Is the project scale-up to an anchor/signature/major event? * What the project is, including specific activities undertaken * Where the project will be delivered * Over what timescale * Who will be delivering the project? * Who will benefit from the project? * What the benefits of the project will be | |
|  | |

# Project Executive Summary

## Funding Summary

Please provide confirmation evidence for all match funding in support of this section. **Please ensure the Funding Block on NE OPS** includes details of all match funders *(guidance attached).*

|  |  |  |
| --- | --- | --- |
|  | **FINANCIAL VALUE** | **FUNDING SOURCE** |
| **NTCA Funding Applied for:** | | |
| Loan |  |  |
| Grant |  |
| **TOTAL NTCA FUNDING:** |  |
| **Match Funding:** | | |
| Public Funding (specify source/s) |  |  |
| Private Funding (specify source/s) |  |  |
| Other (specify source/s) |  |  |
| **TOTAL MATCH FUNDING:** |  |  |
| **TOTAL PROJECT COST:** |  |  |
| **Intervention Rate** (NTCA £ ÷ Total Project £ = IR %) |  |  |

## Project Summary

|  |  |
| --- | --- |
| **Project Summary Description** (in one paragraph) | |
|  | |
| **Anticipated Start Date** |  |
| **Financial Completion Date** |  |
| **Anticipated Project Completion Date** *(when all outputs will be achieved)* |  |

## Impact of NTCA Funding

|  |  |  |  |
| --- | --- | --- | --- |
| **Please select which of the following statements applies to this project** | | | |
| a) | With NTCA funding the event would move from small scale to an Anchor event |  |
| b) | With NTCA funding the event would move from Anchor to a Signature event |  |
| c) | With NTCA funding the event would move from Signature to a Major event |  |
| **Short Explanation to explain your statement:** | | | |
|  | | | |

# The Strategic Case

The purpose of this section of the business case is to establish the project’s strategic fit, case for change and underpinning rationale for the intervention.

## 3.1 The Strategic Economic Context

|  |
| --- |
| **How does the project address the strategic priorities, needs, and opportunities set out in the call document?** |
|  |

## NTCA & Wider Economic Priorities

### 3.2.1 NTCA Delivery Themes

In the [NTCA Corporate Plan](https://www.northoftyne-ca.gov.uk/news/our-corporate-plan/), seven Delivery Themes are identified.

|  |  |
| --- | --- |
| **NTCA Delivery Themes to which your project will contribute.** | |
| Culture, Creative & Rural |  |
| **Please provide a summary of how your project will contribute to the selected Delivery Theme.** | |
|  | |

### NTCA Cross Cutting Themes

In the [NTCA Corporate Plan](https://www.northoftyne-ca.gov.uk/news/our-corporate-plan/), three Cross Cutting Themes are identified.

|  |  |
| --- | --- |
| **Please select all NTCA Cross Cutting Themes to which your project will contribute.** | |
| Net Zero Transition |  |
| Inclusive Economy |  |
| Innovation in Recovery |  |
| **Please provide a summary of how your project will contribute to a Net Zero Transition or Innovation in Recovery if relevant.** (Inclusive Economy contributions will be considered in Section 4 – The Inclusive Economy Case) | |
|  | |

### 3.2.3 Regional & National Economic Priorities

|  |
| --- |
| **How does your project address the wider North of Tyne, North East, and National Economic Priorities?** Please provide references, evidence, and links to support the priorities you are aligning to. |
|  |

## Applicant Organisations Strategic Priorities (Business Needs)

|  |
| --- |
| **How does your project contribute to your organisations strategic priorities, needs, and opportunities?** Please provide references, links and attachments to any specific strategies or documents to support this section where applicable. |
|  |

## The Case for Change (Supporting Rationale)

|  |
| --- |
| **Describe the rationale for the project by evidencing:**   * **The need for the intervention and / or;** * **The market failure that the intervention is designed to address; and** * **The demand for the proposed activity to address need and market failure.**   **Please also explain the background context and existing circumstances, problems, and opportunities for investment / intervention.**  **Refer to any supporting market evidence appended and listed in *Annex D*** |
|  |

## Investment Objectives

|  |  |
| --- | --- |
| **State clearly the aims and SMART (Specific, Measurable, Achievable, Realistic and Time bound) Investment Objectives of your project.**  **SMART objectives should be linked to output achievement.**  All objectives should include metrics and a timescale and aligned to the [NTCA standard Outputs Guidance](https://www.northoftyne-ca.gov.uk/support/business-guidance/) | |
|  | **Investment SMART Objective** |
| 1 |  |
| 2 |  |
| 3 |  |

## Overview of Beneficiaries

|  |
| --- |
| **Set out who will benefit from the investment in your project.**  Please detail specific people, places, and/or businesses that will be positively impacted by your project. |
|  |

# The Economic Case

The purpose of this section of the business case is to establish whether your project presents good value for money, inclusive of social value considerations, e.g. environmental impact.

## Outputs

### The outputs profile for project must be provided on the [North East OPS system](https://neops.northoftyne-ca.gov.uk/#/home), showing the breakdown of outputs by delivery quarter. Where applicable, priority outputs will be set out in the call document.4.2.1 NE OPS Output Block

|  |  |
| --- | --- |
| **The Outputs Block on NE OPS has been fully completed with quarterly output forecasts for the duration of project delivery and aligned to the** [**NTCA standard Outputs Guidance**](https://www.northoftyne-ca.gov.uk/support/business-guidance/)**.** Any outputs outside of the standard guidance will be recognised as additional benefits or outcomes. | Choose an item. |

### 4.2.1 Basis for Calculation

|  |
| --- |
| **Please outline the basis for your calculation for each of the forecast outputs listed on NE-OPS including supporting evidence.** Please detail previous output numbers against forecast numbers to evidence scale-up. |
|  |

## Benefits & Additionality

### Quantifiable Project Benefits/Outcomes

|  |
| --- |
| **Set out any additional benefits or outcomes, in addition to those on NE-OPS, that can be evidenced and describe the basis for calculation and any assumptions made.** |
|  |

### Non-Quantifiable Project Benefits/Outcomes

|  |
| --- |
| **In addition, please outline any benefits/outcomes that cannot be easily evidenced, resulting from your project and the basis on which these assumptions are made.** |
|  |

## Displacement & Complementarity – Avoiding Duplication

|  |
| --- |
| **Identify similar facilities and / or services available or operating in the area and explain how the proposal set out in this application is distinct from the existing provision or will meet a demand that is not currently being satisfied.** |
|  |

## Value for Money

### 4.4.1 Value for Money

|  |
| --- |
| **Set out how the project provides value for money. Please include clear reference to what evidence and resources have you based your assessment on. This should be based on both direct delivery impact and longer-term strategic value?** As appropriate include comparable evidence against previous or similar events. |
|  |

### 4.4.2 Social Value

Please refer to the [NTCA Social Value Policy](https://www.northoftyne-ca.gov.uk/documents/social-value-policy/) when completing this section

|  |
| --- |
| **Please outline how your project presents social value for money, both during delivery and in the longer term.** How will your project contribute to the North of Tyne beyond the activity described in the project? |
|  |

# The Inclusive Economy Case

The purpose of this section of the business case is to assess the extent to which your project contributes to our key corporate priority of promoting and developing a ‘dynamic and more inclusive economy… [that narrows] inequalities.’

## Alignment to an Inclusive Economy

Please refer to the [NTCA Inclusive Economy Statement](https://www.northoftyne-ca.gov.uk/documents/ie-policy-statement-june-2021/) when completing this section.

|  |
| --- |
| **Please explain how your project will contribute to an Inclusive Economy as defined in the NTCA Inclusive Economy Statement.**  Please specifically address NTCA Inclusive Economy aims relevant to your project:   * Creating a more social and inclusive economy - one which promotes wellbeing across all communities by ensuring wealth is retained locally and distributed more equitably. * Addressing inequality and poverty, enabling our residents to access opportunities at every stage of their lives. * Driving better coordination of education, skills, employment and health activities to help more people move into good work, and progress in work. |
|  |

## Inclusive Economy Target Groups

|  |  |
| --- | --- |
| **Set out how your project will benefit people within the four Inclusive Economy target groups to outline the contribution your project will make to an Inclusive Economy** | |
|  | |
| **Target Group** | **Expected benefit** |
| **Residents who are out of work** |  |
| **In work, low income residents** |  |
| **Individuals with low skills** |  |
| **Young people not in education, employment, or training** |  |

## Inclusive Economy Evidence Base

|  |  |
| --- | --- |
| **Please outline the evidence base and statistics that support the Inclusive Economy impacts outlined above.** | |
|  | |
| **Have any co-design approaches been used in the development of this project?** This includes engagement with residents, stakeholders, partners or other relevant parties in the design and development of this project. | Choose an item. |
|  | |
| **Has any consultation with residents or Inclusive Economy target groups been undertaken in the development of this project?** | Choose an item. |
|  | |

## 5.4 Equalities & Diversity

|  |  |  |
| --- | --- | --- |
| **Please select all protected characteristics and equalities areas that you anticipate your project will engage with…** | | |
| Age (young and old) | |  |
| Disability and Deafness | |  |
| Gender Reassignment | |  |
| Marriage & Civil Partnerships | |  |
| Pregnancy, Menopause Maternity & Paternity | |  |
| Race | |  |
| Religion or Belief | |  |
| Sex | |  |
| Sexual Orientation | |  |
| Socio-Economic Inequality | |  |
| None of the Above | |  |
| **Please provide a summary of how your project will contribute to each of the selected protected characteristics and equalities themes in line with** [**NTCA’s Inclusive Economy Statement**](https://www.northoftyne-ca.gov.uk/documents/ie-policy-statement-june-2021/) **and, where relevant, specific Equalities Objectives.** | | |
|  | | |
| **Have you undertaken an Equalities Impact Assessment (EIA) for this project?** If yes, please include as a supporting document to your application and briefly summarise the approach taken. An EIA is required if the activity will have implications – positive or negative - for any one of the protected characteristics listed above.  If no, please set out reasons why it is not necessary. | Choose an item. | |
|  | | |

## 5.5 Good Work Pledge

NTCA is leading a [Good Work Pledge](https://www.northoftyne-ca.gov.uk/projects/good-work-pledge/) across the North of Tyne.

|  |  |
| --- | --- |
| 1. **Have you signed up to the Good Work Pledge?** | Choose an item. |
| **If yes, what date?** |  |
| **Will you encourage organisations engaged in this project to sign up to the Good Work Pledge?** |  |
| **If no:** |  |
| 1. **Would your organisation be interested in signing up to the Good Work Pledge?** | Choose an item. |

# The Commercial Case

The purpose of this section of the business case is to demonstrate the demand for your chosen intervention and the supply capacity to meet that demand.

## Supply Capacity & Demand

|  |
| --- |
| **Please demonstrate the project’s ability to meet the demand (set out in section 3.4) with available supply capacity or your plan to ensure this capacity is in place by the onset of project delivery, specifically:**   * Has a market assessment been undertaken to establish if there is the resource, either through procured suppliers or internal staffing expertise, to deliver the activities set out in the business case? * Has the scale of the activity been developed to meet the demand?   Please support this section with evidence to verify supply capacity. |
|  |

## Procurement

|  |  |
| --- | --- |
| **Set out your procurement plan covering all works, service contracts, and equipment, including proposed procurement methods, scoring and selection criteria. Confirm how these adhere to organisational and national procurement regulations.** | |
|  | |
| **If any procurement processes for costs associated with this project have already started, can you confirm the following:** | |
| Procurement regulations were followed as set out above |  |
| The costs associated with this procurement(s) will only be incurred if the project as a whole is approved. |  |

## Asset Management (Capital Only)

|  |  |  |
| --- | --- | --- |
| **Does this project include a single item over £10,000 with a lifespan of three years or more?** | | Choose an item. |
| **If the project involves the acquisition or entering into a lease for land or buildings, please provide details including terms and conditions and an independent valuation.** Please include relevant documents in support of this section | | |
|  | | |
| **On completion of the project who will own the asset(s)?** |  | |
| **How long do you plan to retain the asset(s) following completion of the project?** |  | |

# The Financial Case

The purpose of this section of the business case is to demonstrate the financial viability of the proposed project.

## Budget and Expenditure

|  |  |  |
| --- | --- | --- |
| **Please confirm the following** | | |
| a) | The Finance Tables (Form IF-F-003-A) has been completed and uploaded to NE OPS |  |
| b) | The Budget Block on NE OPS has been fully completed with quarterly expenditure forecasts for the duration of project delivery |  |
| c) | A detailed description and granular breakdown of the all project costs behind the expenditure summary has been provided in support of the financial profile and uploaded to NE OPS |  |
| d) | Where applicable, capital infrastructure/ building specifications and designs relating to the project have been uploaded to NE OPS. |  |

### 7.1.1 Basis for Expenditure Profile

|  |  |
| --- | --- |
| **On what basis / assumptions have the cost estimates been made including inflation/cost of living rise. Where applicable, compare costs with other similar current project costs.** Please provide evidence of costing assumptions where available, e.g. quotations or previous budget costs | |
|  | |
| **Where the project includes salary costs, can you confirm that these will be delivered in line with the NTCA Funding Guidance** | Choose an item. |

### 7.1.2 Contingency & Affordability

|  |
| --- |
| **Have contingency sums been built into the cost, if so what % has been applied, and how do these relate to the identified project risks?** |
|  |

## Funding

|  |  |  |
| --- | --- | --- |
| **Please confirm the following** | | |
| a) | The Funding Block on NE OPS has been fully completed with quarterly funding forecasts for the duration of project delivery |  |
| b) | Is there documentation confirming that all other match funding is in place? If yes, explain and append terms and conditions. If not, explain why and when this is expected to be confirmed and include in milestones. | Choose an item. |
|  | |
| c) | Has any other public funding previously been received, or in connection with the current project? If yes, please provide details. | Choose an item. |
|  | |

### Justification

|  |
| --- |
| **Funding from the NTCA should be the minimum required. Provide a justification for the amount of funding being requested and what will happen if this is not approved. This justification should include why other potential sources of funding have not been sought or achieved.** |
|  |

## Financial Risks

|  |  |
| --- | --- |
| **Please confirm the following** | |
| Financial risks have been included in the Risks & Issues Block on NE OPS |  |

## Sustainability

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| --- |
| **Please provide an outline of the exit strategy. Will the project be sustainable for beyond the project timeframe?** |
|  |

## VAT

|  |  |
| --- | --- |
| **Does the project include non-recoverable VAT?**  **If yes, please explain why VAT cannot be recovered and what actions have been taken to minimise VAT liability and provide supporting evidence.** | Choose an item. |
|  | |

# The Management Case

The purpose of this section of the business case is to establish whether the proposed project is realistic, achievable, and whether the lead organisation has the skills are capacity to deliver.

## 8.1 Governance & Management Structures

|  |
| --- |
| **Set out below the governance and management structures in place to deliver the project.** Please include a project specific organisation diagram showing the project structure. |
|  |

## 8.2 Delivery Approach

### 8.2.1 Project Delivery Team

|  |
| --- |
| **Provide details of the project delivery team, including roles, responsibilities, and previous experience of the team members in delivery of comparable projects. Please demonstrate that the delivery team has the competency, capability and capacity to deliver this project.** Please include Job Descriptions where relevant |
|  |

### 8.2.2 Delivery Partners

|  |  |  |
| --- | --- | --- |
| **Please confirm the following:** | | |
| a) | **Does the project involve other Delivery Partners? Delivery partners are defined in the NTCA Funding Guidance.**  If yes, describe how they have been identified, their role and if they are making a financial contribution. | Choose an item. |
|  | |
| b) | The Delivery Partner Block on NE OPS has been fully completed for all delivery partners. | Choose an item. |
| c) | Evidence confirming the agreement between the lead applicant and all delivery partners has been uploaded to NE OPS in support of this application | Choose an item. |

### 8.2.3 Delivery Plan

|  |  |  |  |
| --- | --- | --- | --- |
| **Please confirm the following:** | | | |
| a) | The Milestones Block on NE OPS has been fully completed with estimated timescales for delivery |  |
| b) | A GANTT chart or other project planning document has been included in support of the delivery plan. | Choose an item. |

### 8.2.4 Sign Off

|  |  |  |  |
| --- | --- | --- | --- |
| **Please confirm the following:** | | | |
| a) | The project has received appropriate sign off / approval from your Board, Cabinet or equivalent within your organisation to enable the project to proceed. If no, please include timescale for approval on milestones block on NE OPS. | Choose an item. |

## 8.3 Risk

### 8.3.1 Risk Management

|  |  |  |  |
| --- | --- | --- | --- |
| **Please confirm the following:** | | | |
| a) | The Risks & Issues Block on NE OPS has been fully completed covering all delivery and financial risk, including mitigation measures |  |
| b) | Additional risk management documentation has been provided.  If yes, please specify | Choose an item. |
|  | | |
| **Explain your project risk management arrangements at project level and who overall is responsible for managing risks.** | | | |
|  | | | |

### 8.3.2 Constraints, Risks, & Dependencies

|  |
| --- |
| **Highlight the main project constraints, risks, and dependencies identified on the Risks and Issues Block on NE OPS / the Risk Register in Annex C and the mitigation measures in place.** |
|  |

### 8.3.3 Statutory Regulations

|  |  |
| --- | --- |
| **Are there any statutory regulations e.g. highway orders, planning permission, building regulations, health and safety, DBS Clearances to be considered?** If yes, please provide a brief position update on each. | Choose an item. |
|  | |

### 8.3.4 Payment in Arrears

|  |  |  |
| --- | --- | --- |
| **NTCA funding will be paid quarterly in arrears based on eligible expenditure and at the agreed intervention rate outlined in Section 2.1.** Please confirm the following: | | |
| a) | Your organisation has the financial capacity to deliver the project on these terms. |  |
| b) | Annex A – Latest Audited Financial Statement has been provided. |  |
| c) | Annex B – Statement of Financial Standing has been completed. |  |

## 8.4 Performance Management

|  |
| --- |
| **Please summarise the systems you have in place to manage and report on performance (finance and outputs) internally and externally for NTCA purposes? Please include details of:**   * How project expenditure will be identifiable within the finance system. * The availability and accessibility of financial information for audit purposes. * How claims will be compiled and authorised. * How performance against spend or targets will be managed. * The organisation’s document retention processes. |
|  |

## 8.5 Evaluation

NTCA are committed to understand the impact of investment and learning from funded projects to continually improved how we steward devolved finances. In support of this we consider the evaluation coverage for all potential projects.

|  |  |  |
| --- | --- | --- |
| **Please confirm the following:** | | |
| a) | Will your organisation be undertaking and **internal** evaluation of project delivery and impact. If yes, please summarise below. | Choose an item. |
|  | |
| b) | Will your organisation be undertaking an **external** evaluation of project delivery and impact. If yes, please summarise below and include in the project expenditure | Choose an item. |
|  | |
| c) | This project will be part of wider programme level, regional, or national evaluation. If yes, please specify. **(This is not being evaluated at programme level)** | **No** |
|  | |
| **Please summarise your overall approach to project evaluation and capturing the impact of your intervention, including outputs, outcomes, objectives, and stories that show the impact and positive change achieved because of the support provided by NTCA funding.** | | |
|  | | |

## 8.6 Communications & Engagement

NTCA have a suite of [Branding and Communications Guidance](https://www.northoftyne-ca.gov.uk/support/business-guidance/) to support comms activities, press, PR, and the use of our branding.

### Promoting NTCA & Collaborating on Comms & Publicity Activities

|  |
| --- |
| **Please outline your overall planned approach to comms activities and how you will actively and positively promote the North of Tyne Combined Authority during your project. Please highlight key events/milestones for comms coverage.** |
|  |

### 8.6.2 Project Communications Plan

|  |  |
| --- | --- |
| **Please confirm which of the following will apply to your project:** | |
| Promoting job vacancies and opportunities created through the project |  |
| Promoting grant schemes funded through the project |  |
| Promoting open calls, procurement, or tender opportunities funded through the project |  |
| Creating a social media presence, please specify |  |
|  | |
| Creating a web presence, please specify |  |
|  | |
| Creating case studies or good news stories |  |
| Creating promotional or publicity materials |  |
| Creating newsletters or regular comms with stakeholders |  |
| Seeking coverage in the press and media regionally |  |
| Seeking coverage in the press and media nationally |  |
| Other intended comms activities, please specify |  |
|  | |
| **Please identify the lead point of contact for comms and publicity within your organisation for this project and their contact details.** | |
|  | |

## UK Subsidy Control (formerly State Aid)

The Subsidy Control rules are designed to ensure that awards of public funding comply with the UK's international commitments relating to subsidies.  The Government Guidance on Subsidy Control law compliance can be found [here](https://www.gov.uk/government/publications/complying-with-the-uks-international-obligations-on-subsidy-control-guidance-for-public-authorities/technical-guidance-on-the-uks-international-subsidy-control-commitments).

Please set out, **by answering each of the questions below, how your project would be compliant with the Subsidy Control rules.**

*(You may wish to take internal or external legal advice to assist your organisation in completing this section. Please note that failure to establish a compliant subsidy position will mean NTCA is unable to progress your application.)*

### 8.7.1 Beneficiaries

|  |
| --- |
| **Which organisations will benefit from the funding?**  Please list all the potential beneficiaries, including the applicant, any delivery organisations and contractors, and end beneficiaries (e.g. businesses, residents etc).  For ease, classes of beneficiary may be identified (for example, contractors could be treated as a single class of potential beneficiary). |
| *List of potential beneficiaries* |

### 8.7.2 Compliance

|  |
| --- |
| **Which organisations are regarded not to be in receipt of a 'subsidy'?**  *Subsidy is defined at Article 363 of the* [*TCA*](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv%3AOJ.L_.2021.149.01.0010.01.ENG&toc=OJ%3AL%3A2021%3A149%3ATOC) *as meaning financial assistance which:*   1. *Arises from the resources of the Parties, including: (A) a direct or contingent transfer of funds such as direct grants, loans, or loan guarantees; (B) the forgoing of revenue that is otherwise due; or (C) the provision of goods or services, or the purchase of goods or services;* 2. *Confers an economic advantage on one or more economic actors;* 3. *Is specific insofar as it benefits, as a matter of law or fact, certain economic actors over others in relation to the production of certain goods or services; and* 4. *Has, or could have, an effect on trade or investment between the Parties.* |
| *List of potential beneficiaries regarded not to receive a 'subsidy' with explanation why they are not in receipt of a subsidy* |
| **For those organisations that are regarded as being in receipt of a subsidy, please set out how the funding will comply with Subsidy Control law.**  **Options include:**   1. ***Minimal Financial Assistance***   *The 'Minimal Financial Assistance provision' allows a business to receive up to* [*325,000 Special Drawing Rights*](https://coinmill.com/GBP_SDR.html#:~:text=%20%20%20%20GBP%20%20%20,%20%201.95%20%2015%20more%20rows%20) *(approximately £334,000 as at 18/01/2022) of subsidy in a rolling three year period.*   1. ***The Common Principles***   *The measure must be demonstrated to respect the following principles:*   * *the subsidy pursues a specific public policy objective to remedy an identified market failure or to address an equity rationale such as social difficulties or distributional concerns;* * *the subsidy is proportionate and limited to what is necessary to achieve the objective;* * *the subsidy has been designed to bring about a change of economic behaviour of the beneficiary that is conducive to achieving the objective and that would not be achieved in the absence of subsidies being provided;* * *the subsidy should not normally compensate for the costs the beneficiary would have funded in the absence of any subsidy;* * *the subsidy is an appropriate policy instrument to achieve a public policy objective and that objective cannot be achieved through other less distortive means; and* * *the positive contribution(s) of the subsidy to achieving the objective outweigh any negative effects, in particular the negative effect(s) on trade or investment between the Parties.*   If this is your proposed compliant route then please set out, for each principle above, how your project respects that principle.  **Compliance with EU state aid rules (where applicable)**  *The vast majority of State Aid in the EU regime was awarded under block exemptions (e.g. GBER). No such exemptions are yet in place under the new UK Subsidy Control regime. As such, NTCA considers that the EU State Aid regime continues to serve as a useful reference point for determining whether a measure is permissible against the six principles above. Where applicable, please therefore also describe how your proposal is compliant with the relevant General Block Exemption Regulation (GBER) Articles.* |
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| **Please confirm the following:** | | |
| a) | UK Subsidy Control legal advice has been received.  Please provide any relevant supporting evidence. | Choose an item. |
|  | |

## 8.8 Corporate Policies

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| --- | --- |
| NTCA is looking to work with organisations who have thought through their corporate responsibilities – please see our website for our [corporate policies](https://www.northoftyne-ca.gov.uk/transparency/our-policies/). **Please confirm the following:** | |
| The applicant organisation has an Equalities and Diversity Policy | Choose an item. |
| The applicant organisation has a Social Value Policy | Choose an item. |
| The applicant organisation has an Environmental & Sustainability Policy | Choose an item. |
| The applicant organisation has a Health and Safety Policy | Choose an item. |
| The applicant organisation has a Modern Slavery Policy | Choose an item. |
| The applicant organisation has a Data Protection Policy | Choose an item. |
| **Please provide links below for all relevant policies.** | |
|  | |

# Other Supporting Information

## 9.1 Additional Information

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| **If there is any additional information not already set out that you feel is important to enable the full appraisal and determination of the business case, please set this out below.** |
|  |

## Annex A – Latest Audited Financial Statement

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| --- | --- |
| **Your organisation’s latest audited financial statement has been uploaded to NE OPS.** | Choose an item. |
|  | |

## Annex B – Financial Standing Statement

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| **STATEMENT OF GOOD STANDING** | |
| **The applicant and any other partner organisation are required to complete the following statement of Good Standing, signed by a Financial Director, Partner or equivalent.**  Where the applicant or partner organisation is unable to provide such confirmation, they may supply a qualified confirmation together with an explanation of any mitigating circumstances. Business Cases submitted along with any such qualification confirmations may be accepted or rejected at the discretion of the NTCA.  We confirm that:   * We have full power and authority to enter into an Agreement with the North of Tyne Combined Authority; and (require confirmation as to who the organisation will be entering into an agreement with if successful) * Neither the organisation nor its directors are in, or in expectation of, a state of bankruptcy, insolvency, compulsory winding up, administration, receivership, composition with creditors or any analogous state or subject to relevant proceedings or, (if the respondent organisation is a registered Provider of Social Housing), placed in supervision by the Regulator; and * Neither the organisation nor its directors have been convicted of a criminal offence relating to business or professional conduct, or are being investigated for, or subject to proceedings that are underway regarding the same, nor have the above committed an act grave misconduct in the course of business; and * We have fulfilled our obligations relating to the payment of social security contributions and taxes; and * In the last three (3) years, in aggregate, we have not paid, or been required to pay, liquidated damages or general damages under contract or tort, exceeding an amount equal to % of the turnover shown in our most recent audited consolidated accounts; and * Our accounts have not been qualified by auditors in the last three (3) years or, if they have, details are attached, and that there have been no material post balance sheet events. This statement applies to the accounts for the years (please confirm the dates of the accounts to which this statement applies). | |
| **Signed** |  |
| **Date** |  |
| **Name** |  |
| **Position** |  |

## Annex F – Sign Off

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| **Please ensure the appropriate signatures are completed on the Business Case.**  **To be signed by the applicant prior to submission for appraisal.** | |
| Declaration I declare that to the best of my knowledge and belief, the information given within the Business Case and in the supporting material is correct.  I understand that acceptance of this Business Case does not in any way signify that the NTCA has agreed to invest in the project.  I understand that should the project be approved a copy of the final, signed Business Case will be returned.  I understand the requirements of the Freedom of Information Act 2000.  I understand the implications of the subsidy control rules and the potential implications to our organisation if any breach of those regulations occurs.  I am duly representative of the applicant organisation to sign off this business case and accept the offer letter. | |
| **Signed** |  |
| **Name** |  |
| **Position / Title** |  |
| **Company / Organisation** |  |
| **Date** |  |