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| **North of Tyne**  **UK Shared Prosperity Fund** | |
| **Communities and Place**  **Volunteering and Social Action Programme**  **June 2023 – March 2025**  **Programme Business Case** | |
| **Programme 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 programme profile to the [NTCA Standard Outputs Guidance](https://www.northoftyne-ca.gov.uk/support/business-guidance/) or [UK Shared Prosperity Fund Guidance](https://www.gov.uk/guidance/uk-shared-prosperity-fund-outputs-and-outcomes-definitions-2), depending on funding source.

The completed business case should demonstrate clearly how the programme will meet all the requirements set out in the relevant call specification.

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 programme.** 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**

The Strategic and Economic cases will, in most instances, be covered within the call specification and programmes will be deemed to have addressed the strategic and economic cases if they demonstrate clearly how they align with the requirements to the relevant call specification.

* 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:

* Confirm that you can legally receive the level of investment requested in regard to UK Subsidy Control regulations.
* Demonstrate that the proposed programme 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 programme 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:

* All required Annexes are completed
* **Annex B** has been signed.
* All supporting documents stated in **Annex E.**
* **Annex F** has been signed.

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

Once a business case has been approved and accepted onto the programme, the applicant will be required to upload programme documentation onto NTCA’s online platform [North East OPS (NE OPS).](https://neops.northoftyne-ca.gov.uk/)

### 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 submitted to NTCA in line with instructions in the call for programmes. \*\***

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

### Document Version Control

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| --- | --- | --- | --- |
| **Version Number** | **Purpose/Change** | **Author of Change** | **Date** |
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# Programme Information

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| --- | --- |
| **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 at lead organisation** |  |
| **Position within the Organisation** |  |
| **Contact Address** (if different from above) |  |
| **Telephone No.** |  |
| **Mobile No.** |  |
| **Email Address** |  |
| **Programme Location** | Choose an item. |
|  |
| **Location Type** | Choose an item. |
|  |
| **Programme Post Code** |  |
| **Start Date for the programme:** |  |
| **Financial completion date:** |  |
| **Date by which all outputs and outcomes will be achieved:** |  |
| **Programme Summary Description** (in two sentences) | | |
|  | | |
| **Delivery partners: Please list all organisations that will deliver activity as part of this programme, using the table below (see funding guidance for definition of delivery partner):** | | |
| |  |  | | --- | --- | | **Delivery partner** | **Type of organisation** | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | | | |

## Call Specific Eligibility Criteria

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| --- | --- |
| **Eligibility Criteria (copy and paste from call)** | **How does the programme meet this requirement?** |
| Applicants must have volunteering infrastructure in place in local communities to ensure rapid mobilisation, activity and spend. |  |
| All delivery must be within the North of Tyne Combined Authority area. |  |
| Applicants will be required to work alongside Community Partnerships and Employment Partnerships to add value to, and not duplicate, existing activity. |  |

## Programme Overview

|  |  |
| --- | --- |
| **Programme Name** |  |
| **Programme Description**  Your answer here will help us understand the nature of the programme.  Please provide a detailed description of what the programme 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:   * What the programme is, including specific activities undertaken and how these will be delivered * Where the programme will be delivered * Over what timescale * Who will be delivering the programme * Which key beneficiaries will the programme target and how. * What the benefits of the programme will be and where will they be delivered | |
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| **For programmes that involve vouchers, grants, loans, or equity, please set out the systems that will be put in place to assess the eligibility of:**   * **Beneficiaries; and** * **Activities and costs**   **Please also set out the systems that will be put in place to manage and monitor vouchers, grants, loans, or equity once approved.** |
|  |

# Programme Executive Summary

## Funding Summary

Please provide confirmation evidence for all match funding in support of this section. Please ensure the supporting finance tables includes details of all match funders.

|  |  |  |
| --- | --- | --- |
|  | **FINANCIAL VALUE** | **FUNDING SOURCE** |
| **NTCA Funding Applied for** | | |
| UKSPF Grant |  |  |
| **TOTAL NTCA FUNDING:** |  |
| **Match Funding:** |  |
| Public Funding (specify source/s) | | |
| Private Funding (specify source/s) |  |  |
| Other (specify source/s) |  |  |
| **TOTAL MATCH FUNDING:** |  |  |
| **TOTAL PROGRAMME COST:** |  |  |
| **Intervention Rate** (NTCA £ ÷ Total Programme £ = IR %) |  |  |
| Is there documentation confirming that all other match funding is in place? If yes, please provide in support of the application. If not, explain why and when this is expected to be confirmed and include in milestones. |  |  |
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## Impact of NTCA Funding (Additionality)

|  |  |  |  |
| --- | --- | --- | --- |
| **Please select which of the following statements applies to this programme** | | | |
| a) | Without NTCA funding the programme would not proceed. |  |
| b) | Without NTCA funding the programme would proceed but at a reduced scale and impact. |  |
| c) | Without NTCA funding the programme would proceed but with delayed timescales. |  |
| **Short Explanation:** | | | |
|  | | | |

## 2.3 Investment Objectives

|  |  |  |
| --- | --- | --- |
| **State clearly the aims and SMART (Specific, Measurable, Achievable, Realistic and Time bound) Investment Objectives of your programme. These should relate directly to the requirements of the call specification**  **SMART objectives should be linked to output achievement.**  All objectives should include metrics and a timescale. | | |
| **#** | **Investment Objective Heading** | **Investment Objective SMART description** |
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |

**2.4 NTCA Cross Cutting Themes**

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

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| **Please select all NTCA Cross Cutting Themes to which your programme will contribute.** | |
| Net Zero Transition |  |
| Innovation in Recovery |  |
| **Please provide a summary of how your programme will contribute to a Net Zero Transition or Innovation in Recovery if relevant.** | |
|  | |

# Outputs, Outcomes and Value for Money

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

## 3.1 Outputs

|  |  |
| --- | --- |
| **The Outputs tab in** the Finance and Outputs Tables has been completed based on the [UKSPF Outputs and Outcomes Guidance](https://www.gov.uk/guidance/uk-shared-prosperity-fund-outputs-and-outcomes-definitions-2).Any outputs outside of the standard guidance will be recognised as additional benefits or outcomes. | Choose an item. |

### 3.1.1 Basis for Calculation

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| --- |
| **Please outline the basis for your calculation for the forecast outputs including any available supporting evidence.** |
|  |

## 3.2 Benefits

### 3.2.1 Quantifiable Programme Benefits/Outcomes

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| **Set out quantifiable benefits or outcomes and describe the basis for your calculation and any assumptions made. Benefits should relate to but not duplicate the programme outputs.** |
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## 3.2.2 Value for Money

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| --- |
| **Please explain how your programme represents value for money**, including demonstrating how the volume and quality of outputs and outcomes the programme will deliver are commensurate with the funding requested. |
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### 3.2.3 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 programme presents social value for money, both during delivery and in the longer term.** How will your programme contribute to the North of Tyne beyond the activity described in the programme? | |
| Supporting local employment; |  |
| Enabling skills, training, and employment opportunities |  |
| Embedding fair employment practices |  |
| Supporting small, local, and third-sector supply chains |  |
| Encouraging equality and diversity |  |
| Promoting ethical sourcing practices |  |
| Reducing carbon emissions |  |
| Improving environmental sustainability |  |
|  | |

## 3.2.4 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.** |
|  |

# The Inclusive Economy Case

The purpose of this section of the business case is to assess the extent to which your programme 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 programme will contribute to an Inclusive Economy as defined in the NTCA Inclusive Economy Statement.**  Please specifically address NTCA Inclusive Economy aims relevant to your programme:   * 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. |
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## Inclusive Economy Target Groups

|  |  |
| --- | --- |
| **Set out how your programme will benefit people within the four Inclusive Economy target groups to outline the contribution your programme 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** |  |

## 4.3 Equalities & Diversity

|  |  |  |
| --- | --- | --- |
| **Please select all protected characteristics and equalities areas that you anticipate your programme 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 programme 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 programme?** 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. |  | |
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## 4.4 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.

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| **NTCA require all organisations in receipt of funding to achieve the basic level of accreditation through the Good Work Pledge.**  **Successful applicants will also be required to encourage other organisations engaged in this programme to sign up to the Good Work Pledge. These will be conditions of the Grant Funding Agreement. Can you confirm your organisation will be able to comply with these conditions?** | 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

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| **Please demonstrate the programme’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 programme 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? |
|  |

## Procurement

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| **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 programme 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 programme as a whole is approved. |  |

## Asset Management (Capital Only)

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| **Does this programme include a single item over £10,000 with a lifespan of three years or more?** | | Choose an item. |
| **If the programme 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 programme who will own the asset(s)?** |  | |
| **How long do you plan to retain the asset(s) following completion of the programme?** |  | |

# The Financial Case

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

## Budget and Expenditure

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| --- | --- | --- |
| **Please confirm the following** | | |
| a) | The Finance and Output Tables has been completed and submitted as part of the application |  |
| b) | A detailed description and granular breakdown of all programme costs behind the expenditure summary has been provided in support of the financial profile. |  |
| c) | Where applicable, capital infrastructure/ building specifications and designs relating to the programme have been provided in support of the application |  |

### 6.1.1 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 programme costs.** Please provide evidence of costing assumptions where available, e.g. quotations or previous budget costs | |
|  | |
| **Where the programme includes salary costs, can you confirm that these will be delivered in line with the NTCA Funding Guidance** | Choose an item. |

### 6.1.2 Contingency & Affordability

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| **Have contingency sums been built into the cost and delivery plans and how do these relate to the identified programme risks?**  Please note contingency budgets can only be claimed if actual costs are incurred. |
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## Financial Risks

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| --- | --- |
| **Please confirm the following** | |
| Financial risks have been included in the Risk Register in Annex C |  |

## Sustainability

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| **For capital programmes, please provide an operational financial plan for the 5-year period following the NTCA Investment Fund funding period that sets out the future sustainability of the proposal.** |
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| **For Revenue programmes please provide an outline of the exit strategy. Will the programme be sustainable for beyond the programme timeframe?** |
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## VAT

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| **Does the programme include non-recoverable VAT?**  **If yes, please provide a VAT declaration from your head of finance (or equivalent) setting out the reasons VAT cannot be recovered from HMRC.** | Choose an item. |
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# The Management Case

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

## 7.1 Governance & Management Structures

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| **Set out below the governance and management structures in place to deliver the programme.** Please include a programme specific organisation diagram showing the programme structure (including delivery partners where applicable). |
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## 7.2 Delivery Approach

### 7.2.1 Programme Delivery Team & Organisational Track Record

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| **Please describe the experience of your organisation and programme team in delivering similar activities.**  **Please demonstrate that the delivery team has the competency, capability, and capacity to deliver the programme, setting out key roles and responsibilities within this programme.** Please include Job Descriptions where relevant |
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### 7.2.2 Delivery Partners

|  |  |  |
| --- | --- | --- |
| **Please confirm the following:** | | |
| a) | If the programme involves delivery partners, describe how they have been identified, their role and if they are making a financial contribution. | |
|  | |
| b) | Confirm that a formal agreement between lead applicant and delivery partners will be put in place before submission of the first financial claim. | Choose an item. |

### 7.2.3 Delivery / Implementation Plan

|  |  |  |  |
| --- | --- | --- | --- |
| **Please confirm the following:** | | | |
| a) | The Milestones Table Annex D has been fully completed with estimated timescales for delivery |  |
| b) | A GANTT chart or implementation planning document has been included in support of the application. This document should set out key milestones and the activity/actions that need to be completed to ensure successful delivery. | Choose an item. |

## 7.3 Risk

### 7.3.1 Risk Management

|  |  |  |  |
| --- | --- | --- | --- |
| **Please confirm the following:** | | | |
| a) | A programme specific Risk Register is provided in **Annex C** in support of the application | Choose an item. |
| **Explain your programme risk management arrangements and who overall is responsible for managing risks.** | | | |
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### 7.3.2 Dependencies

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| **Highlight any dependencies identified on the Risks Register in Annex C and the mitigation measures in place to ensure programme will be able to deliver.** |
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### 7.3.3 Statutory Regulations

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| --- | --- |
| **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. |
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### 7.3.4 Payment in Arrears

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| **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 programme on these terms. |  |
| b) | Annex A – Latest Audited Financial Statement has been provided. |  |
| c) | Annex B – Statement of Financial Standing has been completed. |  |

## 7.4 Performance Management

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| **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 programme 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. |
|  |

## 7.5 Evaluation

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

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| **Please confirm the following:** | | |
| a) | Will your organisation be undertaking and **internal** evaluation of programme delivery and impact. If yes, please summarise below. | Choose an item. |
|  | |
| b) | Will your organisation be undertaking an **external** evaluation of programme delivery and impact. If yes, please summarise below and include in the programme expenditure | Choose an item. |
|  | |
| c) | This programme will be part of wider programme level, regional, or national evaluation. If yes, please specify. | Choose an item. |
|  | |
| **Please summarise your overall approach to programme 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.** | | |
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## 7.6 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. Programmes seeking UKSPF should also follow [national branding guidelines.](https://www.gov.uk/guidance/uk-shared-prosperity-fund-branding-and-publicity-6)

### 7.6.1 Stakeholder Engagement

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| **Please outline your approach to engagement in the development and delivery of the programme. This should include how stakeholders and relevant communities will be kept informed and consulted during the programme.**  Please provide any evidence of stakeholder and resident engagement and support. |
|  |

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

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| --- | --- |
| **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 programme. Please highlight key events/milestones for comms coverage.** | |
|  | |
| Please confirm you are happy to share comms and publicity material with NTCA. |  |

## 

## 7.7 UK Subsidy Control (formerly State Aid)

Applicants are not required to complete this section (7.7) as part of their initial application. Completion of this section will only be required if the applicant is deemed by NTCA to be a preferred provider subject to certain conditions being met.

In awarding grant funding, NTCA is required as a public authority to comply with the UK’s subsidy control rules. The Subsidy Control Act 2022, which takes effect from 4th January 2023, can be found here:

<https://www.legislation.gov.uk/ukpga/2022/23/enacted>

and the statutory guidance to accompany the Act can be accessed via this link: <https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1117122/uk-subsidy-control-statutory-guidance.pdf>

The statutory guidance recognises that:

*“in many cases, public authorities will need to work together with beneficiaries to establish details about the beneficiaries’ plans, incentives, and previous subsidies received in order to fulfil the subsidy control requirements”.*

As such, please set out, **by answering each of the questions below**, your organisation’s views on whether your programme would involve the award of a subsidy or not. NTCA will then, as the body responsible for designing financial assistance measures and assessing them against the subsidy control principles (where necessary), consider your views when deciding how the programme should be structured in a subsidy compliant manner.Your answers must provide full and accurate information, including all information required for NTCA to make an assessment of whether the subsidy control rules apply (and, if so, whether the award of a subsidy would be compliant with those rules)

*(You may wish to take internal or external legal advice to assist your organisation in completing this section. Please note that where NTCA, working with the applicant as necessary, cannot establish a compliant subsidy position then we would be unable to progress your application)*

### *7.7.1 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). |
| Please list all potential beneficiaries in the space below: |

### *7.7.2 Compliance*

|  |
| --- |
| **Which organisations are regarded not to be in receipt of a 'subsidy'?**  *Subsidy is defined at s2(1) of the Subsidy Control Act 2022 as meaning financial assistance which:*  *(a)is given, directly or indirectly, from public resources by a public authority,*  *(b)confers an economic advantage on one or more enterprises,*  *(c)is specific, that is, is such that it benefits one or more enterprises over one or more other enterprises with respect to the production of goods or the provision of services, and*  *(d)has, or is capable of having, an effect on—*  *(i)competition or investment within the United Kingdom,*  *(ii)trade between the United Kingdom and a country or territory outside the United Kingdom, or*  *(iii)investment as between the United Kingdom and a country or territory outside the United Kingdom.* |
| Please list all beneficiaries regarded not to receive a subsidy in the space below. For each beneficiary, please explain *why* they are considered not to be in receipt of a subsidy. You may find it helpful to refer to the definition above, and the guidance notes below. Again you may also wish to seek legal advice on completing this section.  ***Guidance notes:***  *Section (b) of the above test is generally the most relevant in determining whether an organisation is receiving a subsidy or not. You will note a subsidy requires an “economic advantage“ and for that advantage to be given to one or more “enterprises“.*  *So, for example, you might assert that any contractors will not receive a subsidy as they will not be receiving an “economic advantage” because their payment will be at market rates only. You would need to explain how this market rate payment will be demonstrated, for example (i) that their appointment will be via a procurement process or (ii) by benchmarking the rates payable.*  *Likewise, no subsidy is present where the recipient is not an “enterprise“. This term is used to describe an organisation offering goods and services. So, for example, it may be possible to assert that a local authority or public body receiving a benefit is not an “economic actor” (so long as they are acting within their capacity as a public authority exercising public powers, rather than offering any goods or services).*  ***Flow through***  *Depending on the structure of the project, it may also be possible to assert that an organisation acts as an intermediary, with any benefit from the subsidy flowing through to third parties, and thus the intermediary is not itself in receipt of subsidy. For this model to be applied you would need to confirm that:*   * *The totality of any benefit under the project is passed on to those third parties;* * *No residual benefit is retained by the intermediary; and* * *The intermediary is reimbursed on a cost recovery basis only, with no profit element*   *Please note the “flow through” example above is not exhaustive and there may be other available routes as to why the proposed funding does not involve a subsidy.* |
| **For those organisations that are regarded as being in receipt of a subsidy, please set out how you propose that the funding might comply with the Subsidy Control Act 2022.  If you consider your programme does not involve any subsidy, this section can be left blank.**  **Options for subsidy awards include:**   1. ***Minimal Financial Assistance (“MFA“)***   *The 'Minimal Financial Assistance‘ (MFA) provision allows an enterprise to receive up to and including* ***£315,000*** *of subsidy over a time period covering:*  *- the elapsed part of the current financial year, and*  *- the two previous financial years.*  *Please see sections 36 and 37 of the Subsidy Control Act 2022 for further details. Please note cumulation rules apply to MFA, as such the following should all be taken into account during the current and previous two financial years when assessing your eligibility:*   * *MFA;* * *SPEI assistance;* * *aid given under the EU State aid de minimis regulations either before the end of the implementation period of 31 December 2020 or after this date, if by virtue of the Northern Ireland Protocol; and* * *subsidies given as small amounts of financial assistance (SAFA) under Articles 364(4) or 365(3) of the UK-EU Trade and Cooperation Agreement*  1. ***The Subsidy Control Principles***   *Before giving a subsidy via this route, NTCA must consider the 7 principles\* below and must not give the subsidy unless we are of the view the subsidy is consistent with those principles:*  ***Common interest***  *A. Subsidies should pursue a specific policy objective in order to—*  *(a)remedy an identified market failure, or*  *(b)address an equity rationale (such as local or regional disadvantage, social difficulties or distributional concerns).*  ***Proportionate and necessary***  *B. Subsidies should be proportionate to their specific policy objective and limited to what is necessary to achieve it.*  ***Design to change economic behaviour of beneficiary***  *C. (1)Subsidies should be designed to bring about a change of economic behaviour of the beneficiary.*  *(2)That change, in relation to a subsidy, should be—*  *(a)conducive to achieving its specific policy objective, and*  *(b)something that would not happen without the subsidy****.***  ***Costs that would be funded anyway***  *D. Subsidies should not normally compensate for the costs the beneficiary would have funded in the absence of any subsidy.*  ***Least distortive means of achieving policy objective***  *E. Subsidies should be an appropriate policy instrument for achieving their specific policy objective and that objective cannot be achieved through other, less distortive, means.*  ***Competition and investment within the United Kingdom***  *F. Subsidies should be designed to achieve their specific policy objective while minimising any negative effects on competition or investment within the United Kingdom.*  ***Beneficial effects to outweigh negative effects***  *G. Subsidies’ beneficial effects (in terms of achieving their specific policy objective) should outweigh any negative effects, including in particular negative effects on—*  *(a)competition or investment within the United Kingdom;*  *(b)international trade or investment*  *(\*****Note:*** *For any subsidies in relation to energy and environment, please also set out your views on how and whether you consider that these respect the additional principles at Schedule 2 of the Subsidy Control Act 2022, along with the above principles)* |
| If selecting option (a) “Minimal Financial Assistance”, please confirm that you have read and understood the rules and procedural requirements set out sections 36 and 37 of the Subsidy Control Act 2022 and that your eligibility includes any other relevant awards that must be cumulated as set out above. Where your project involves you awarding such MFA assistance to third parties, please also confirm that you will follow the above rules and procedural requirements in administering those awards.  If selecting option (b) “The Subsidy Control Principles” please describe, for *each* principle, your organisation’s views on how your project respects that principle. This will assist NTCA, as ultimate decision maker, in making the necessary assessment.  Please note that, as above, this section only needs to be completed in respect of those awards which are subsidies in the first place. |

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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. |
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## 7.8 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. |
| The applicant organisation has a Safeguarding Policy | Choose an item. |
| **Please provide links below for all relevant policies.** | |
|  | |

# Other Supporting Information

This section of the business case allows applicants to provide additional supporting information that is specific to a given funding call or has not been covered in the previous sections that might strengthen the overall business case.

## 8.1 Specific Additional Questions for the Call

|  |
| --- |
| **Where applicable, the call document may include specific additional questions that are separate to the main body of this document. Please respond to each of these questions in the box below, setting out the question and answer.** |
| **n/a** |

## 8.2 Additional Information

|  |
| --- |
| **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

|  |  |
| --- | --- |
| **Your organisation’s latest audited financial statement has been provided in support of the application** | 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 C – Risk Register

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Date Last Updated** | | |  | | | | | | | | | |
| **Completed by** | | |  | | | | | | | | | |
| **Risk Identification** | | | **Likelihood of Occurrence & Impact** | | | | | **Response** | | | | |
| **Risk ID** | **Category** | **Risk Description** | **Consequence** | **Estimated Cost Impact** | **Status** | **Probability (%)** | **Risk Impact Level** | **Risk Owner** | **Strategy** | **Action(s) to Avoid or Reduce Risk** | **Predicted Risk Expiry Date** | **Further Comments** |
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*See example below – delete this before submission.*

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| e.g. | Construction | Concrete fails the crush test | Columns need to be rebuilt | £ 25,000 | Active | 40% | Low | J Bloggs | Mitigate | Ensure that pouring procedures are adhered to on site | Completion |  |

## Annex D – Key Programme Milestones Table

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| --- | --- |
| **Milestone** | **Forecast Date** |
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## Annex E(a) – Available Programme Supporting Information

Please confirm which of the following are provided in support of your business case.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Business Case Section** | **Document** | **Yes / No/ Not Applicable** | **Notes** | **Applicant comments** |
| 2.1 | Confirmation of match funding from each funder |  | Confirmation required prior to Grant Funding Agreement. |  |
| 3.1.1 | Supporting Evidence for Basis for Calculation Section |  |  |  |
| 4.3 | Equalities Impact Assessment |  |  |  |
| 5.2 | Applicant’s procurement policy |  |  |  |
| 5.3 | T&Cs for Acquisition of for land or assets |  |  |  |
| 6.1 | Finance Tables |  |  |  |
| 6.1 | Granular Breakdown of Costs |  | All costs must be itemised, eligible, appropriate for the programme and profiled across the programme period |  |
| 6.4 | Supporting Evidence of Non-Recoverable VAT |  |  |  |
| 7.1 | Organisation Diagram for the Programme |  |  |  |
| 7.2.1 | Job Descriptions |  |  |  |
| 7.2.3 | Detailed Programme Delivery Plan |  | GANTT Chart or similar |  |
| 7.3.1 | Programme Specific Risk Assessment |  | Annex C |  |
| 7.6.1 | Evidence of Stakeholder and Resident Support & Engagement |  |  |  |
| 7.7 | UK Subsidy Control Legal Advice |  |  |  |

## Annex E(b) – Capital Programme Checklist

|  |  |  |  |
| --- | --- | --- | --- |
| **Information / Document** | **Appended?** | | |
| **Yes/No** | **Reference** | **N/A** |
| Programme site boundary |  |  |  |
| Market analysis |  |  |  |
| Proof of match funding (Bank loans, Board approval, grant funding letters etc.) |  |  |  |
| Development Appraisal (essential for all property development programmes) |  |  |  |
| Independent Subsidy Control legal advice (strongly encouraged for all capital programmes) |  |  |  |
| Planning Permission (106 agreements, Highways agreements etc.) |  |  |  |
| Site Investigation Reports |  |  |  |
| Cash flows |  |  |  |
| Plan, architects drawings and visualisations |  |  |  |
| Independent Valuation for land or assets |  |  |  |
| Evidence of land ownership title |  |  |  |
| Evidence of public consultations |  |  |  |
| Board approval for the programme |  |  |  |
| Net Present Value calculation |  |  |  |
| Benefit Cost Ratio calculation |  |  |  |
| Any other supporting documents.  If yes, please list |  |  |  |
|  | | | |

## 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 programme.  I understand that should the programme 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** |  |