

Single Stage Business Case – Growing our Potential

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| Applicant Details | |
| **Project Name** |  |
| **Project Applicant** |  |
| **Organisation Type** |  |
| **Company Registration Number (or equivalent)** |  |
| **VAT Number** |  |
| **Senior Responsible Owner** |  |
| **Contact Name (if different to SRO)** |  |
| **Applicant Address** |  |
| **Applicant Postcode** |  |
| **Location of Project** |  |
| **Email** |  |
| **Telephone** |  |
| **Mobile** |  |

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| Guidance |
| **The aim of a Business Case is to support your thinking, writing and engagement with stakeholders and compliance with best practice. This single stage Business Case template provides a framework for scoping and planning spending proposals, to support evidence based decision-making.**  **This specific document provides a template for an application for CLEP’s Growing our Potential Grant Scheme, a £2 million funding programme to provide grant aid to Cumbria businesses deliver capital projects which will help them:**   * **Grow and create and / or safeguard sustainable private sector jobs, and** * **Improve productivity levels and rates of innovation**   **For further guidance regarding the Growing our Potential Grant Scheme, please see *link to scheme guidance.***  **Please submit completed applications to** [**liz.watson@thecumbrialep.co.uk**](mailto:liz.watson@thecumbrialep.co.uk) |

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| Appendix Checklist | | |
| **Appendix Document** | Appendix Number (if applicable) | Comments (e.g. if not included, why?) |
| Last 3 years Audited Accounts |  |  |
| Most recent Bank Statement (within last 3 months) |  |  |
| Evidence of Match Funding |  |  |
| Risk Register |  |  |
| Site Plans and Designs |  |  |
| Cash Flow forecast for duration of project |  |  |
| Cash Flow forecast for applicant for 12 months following completion of project |  |  |
| Insurances (Public, Professional, Employers) |  |  |
| Equality and Diversity and People Management Policies |  |  |
| Health and Safety Policy |  |  |
| Procurement Policy |  |  |
| Evidence of Land Ownership (or valuations, / agreed Heads of Terms etc. if relevant) |  |  |
| Statutory Permissions (Planning and other appropriate consents including discharge of any Planning Conditions |  |  |
| Independent Legal State Aid Opinion OR De Minimis Checklist |  |  |

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| Summary Information | | | | | | |
| **Project Description**  Please provide a summary description of your project in no more than 250 words | | | | | | |
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| **Total Project Cost £** |  | **Grant Request £** | | |  | |
| **Intervention Rate %** (Grant request as a percentage of the total project cost – this should be no more than 40%) | |  | | | | |
| **Proposed Start Date** | |  | | | | |
| **Proposed Practical Completion Date** | |  | | | | |
| **Proposed Date for Completion of Outputs** | |  | | | | |
| **Is any of the information contained in the application is of a commercial nature and should not be published?** If yes please provide details of relevant sections below. | | **Yes:** |  | **No:** | |  |
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| **Please note CLEP is required to publish all final investment decisions in line with its Local Assurance Framework.** | | | | | | |

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| Strategic Case |
| **1. Project Aims**  Please describe the overall aims or desired outcomes that the project hopes to achieve. |
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| **2. Project Objectives**  A small set of Specific, Measurable, Achievable, Realistic and Time-limited (SMART) objectives should be identified that show how the project aims will be achieved. |
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| **3. Need for the Project**  Why is the project needed? Has a problem, issue or opportunity been identified that the project aims will address? |
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| **4. Demand for the Project**  What evidence do you have of demand for the project? |
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| **5. Strategic Fit**  How does the project fit with the emerging priorities identified in Cumbria’s Local Industrial Strategy? |
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| **6. Sustainability Agenda**  How does the project contribute towards the sustainability agenda / clean growth agenda? |
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| Economic Case |
| **7. Options Analysis**  Describe what options have been considered to achieve the aims of the project. This should include as a minimum the ‘do minimum’ option, preferred option and ‘business as usual’. Detail the process, including any critical success factors, used to determine the preferred option. |
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| **8. Requirement for Grant**  Why is the CLEP grant needed? Detail reasons other sources of funding are not available, and what the impact would be if the project did not receive CLEP funding. |
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| **9. Risk**  What are considered to be the main risks to the project? Please detail the allocation of these risks and any mitigation measures. |
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| Commercial Case | | | | |
| **10. Procurement**  Please detail the procurement route and strategy that the project will use. If there are different elements to be procured within the project, please identify the procurement strategy for each element. Please append procurement policy if appropriate.  *It should be noted that if the applicant is a private sector organisation and the request for public sector funding forms more than 50% of the total project costs then procurement is required to be compliant with public procurement regulations. If the applicant is a private sector organisation requesting less than 50% from the public sector there remains the requirement for the process to be fair, transparent and competitive.* | | | | |
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| **11. Displacement**  Are you aware of any other similar activity in the area with which this project may compete? | | | | |
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| **12. State Aid** | | | | |
| **12.1** Has a de minimis checklist been completed and appended to the application? | Yes: |  | No: |  |
| **12.2** If no, please detail why, and with reference to the General Block Exemption Regulation and other State Aid frameworks explain why the proposed scheme is considered compatible with State Aid regulations. *Please note that if the application is not made under de minimis, an independent state aid opinion should be appended to the application.* | | | | |
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| Financial Case | | | | | | | | | | | | | | | | | | | | | |
| **13. Project Costs** | | | | | | | | | | | | | | | | | | | | | |
| **13.1** Please complete the table below, summarising the project costs using a maximum of 5-6 Budget Headings. Please ensure the total expenditure matches the total project cost identified in the Summary Information. | | | | | | | | | | | | | | | | | | | | | |
| **Cost Heading** | | | **2019/20** | | | | | **2020/21** | | | | | | | | | **Total** | | | | |
| *Insert Cost Heading* | | |  | | | | |  | | | | | | | | |  | | | | |
| *Insert Cost Heading* | | |  | | | | |  | | | | | | | | |  | | | | |
| *Insert Cost Heading* | | |  | | | | |  | | | | | | | | |  | | | | |
| *Insert Cost Heading* | | |  | | | | |  | | | | | | | | |  | | | | |
| **Total Expenditure** | | |  | | | | |  | | | | | | | | |  | | | | |
| **13.2** Please identify how the costs have been determined, i.e. indicative costs, full tendered costs etc. | | | | | | | | | | | | | | | | | | | | | |
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| **14 Funding Package** | | | | | | | | | | | | | | | | | | | | | |
| **14.1** Please complete the table below, profiling the funding package for the project. Please ensure that the total funding package matches the total expenditure, and that the total from Cumbria LEP matches the Grant Request in the Summary Information. | | | | | | | | | | | | | | | | | | | | | |
| **Match Funder** | | | **2019/20** | | | | | **2020/21** | | | | | | | | | **Total** | | | | |
| Cumbria LEP | | |  | | | | |  | | | | | | | | |  | | | | |
| *Insert Match Funder* | | |  | | | | |  | | | | | | | | |  | | | | |
| *Insert Match Funder* | | |  | | | | |  | | | | | | | | |  | | | | |
| *Insert Match Funder* | | |  | | | | |  | | | | | | | | |  | | | | |
| **Total Funding** | | |  | | | | |  | | | | | | | | |  | | | | |
| **14.2** Please identify the status of the match funding below. If not yet secured, a date should be given of when this is expected to be in place. Evidence of any confirmed match funding should be appended to the application. | | | | | | | | | | | | | | | | | | | | | |
| **Match Funder** | | | | | | | | **Status** (including relevant appendix reference / date expected etc.) | | | | | | | | | | | | | |
| Cumbria LEP | | | | | | | |  | | | | | | | | | | | | | |
| *Insert Match Funder* | | | | | | | |  | | | | | | | | | | | | | |
| *Insert Match Funder* | | | | | | | |  | | | | | | | | | | | | | |
| *Insert Match Funder* | | | | | | | |  | | | | | | | | | | | | | |
| **15. Milestones** | | | | | | | | | | | | | | | | | | | | | | |
| **5.2.2** Please identify the key milestones (e.g. securing planning; commencement of groundworks) which should demonstrate that the project is deliverable within the timescales identified. | | | | | | | | | | | | | | | | | | | | | | |
| **Milestone Description** | | | | | | | **Date** | | | | | | | | | | | | | | | |
| Project Start | | | | | | |  | | | | | | | | | | | | | | | |
| *Insert Key Milestone* | | | | | | |  | | | | | | | | | | | | | | | |
| *Insert Key Milestone* | | | | | | |  | | | | | | | | | | | | | | | |
| *Insert Key Milestone [add rows as necessary]* | | | | | | |  | | | | | | | | | | | | | | | |
| Practical Completion | | | | | | |  | | | | | | | | | | | | | | | |
| Project End Date (ensuring factors such as retention are taken into account) | | | | | | |  | | | | | | | | | | | | | | | |
| **16. Outputs** | | | | | | | | | | | | | | | | | | | | | | |
| **16.1** Please complete the table below, profiling the outputs to be delivered by the project. | | | | | | | | | | | | | | | | | | | | | | |
| **Output** | | **Baseline**  This should provide the current level of output in order to create a baseline against which to measure | | | **2019/20** | **2020/21** | | | | | **2021/22** | | | **Future Years up to and including 2024/25** | | | | **Total** (Do not include the Baseline figure) | | | | |
| Jobs Created (FTE) | |  | | |  |  | | | | |  | | |  | | | |  | | | | |
| Jobs Safeguarded (FTE) | |  | | |  |  | | | | |  | | |  | | | |  | | | | |
| Public / Private Investment £ | |  | | |  |  | | | | |  | | |  | | | |  | | | | |
| Premises created (m2) | |  | | |  |  | | | | |  | | |  | | | |  | | | | |
| Premises refurbished (m2) | |  | | |  |  | | | | |  | | |  | | | |  | | | | |
| Businesses Assisted | |  | | |  |  | | | | |  | | |  | | | |  | | | | |
| *Other e.g. increase in turnover [delete / insert rows as necessary]* | |  | | |  |  | | | | |  | | |  | | | |  | | | | |
| **16.2** Please complete the table below for each type of output identified to be delivered by the project. This should describe precisely what the indicator is and how it will be measured. The responsibility for reporting outputs to CLEP following the practical completion of the project should be taken into consideration. | | | | | | | | | | | | | | | | | | | | | | |
| **Output / Result** | **Definition** | | | **Data to be collected** | | | | **Tool / Method** | | | | | **Frequency** | | | | | | | **Responsible Owner** | | |
| *Insert rows as necessary. E.g. Jobs Created* | *E.g. New jobs created by the investment* | | | *E.g. Number of FTE staff employed minus the number of FTE staff employed at start date of project* | | | | *E.g. Payroll records* | | | | | *E.g. Quarterly until end date of project.*  *Annually following practical completion* | | | | | | | *E.g. Finance Manager* | | |
| **6. Project Management**  How will the project be managed? Who are the personnel that will be involved and what demonstrable track record of delivering similar activity is available? A Senior Responsible Owner (someone responsible for ensuring the project meets its objectives and delivers its benefits) should be identified. | | | | | | | | | | | | | | | | | | | | | |
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| **17. Evaluation**  How will you evaluate the success of your project? CLEP also has requirements with regard to ongoing reporting, and consideration should be given as to how this will be completed by the applicant following practical completion of the project. | | | | | | | | | | | | | | | | | | | | | | |
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| **18. Statutory Consents and Permissions** | | | | | | | | | | | | | | | | | | | | | | |
| **18.1** Do you (applicant) own the Freehold? If yes, please append evidence (e.g. certificate of title). | | | | | | | | Yes: | |  | | | No: | |  | | | | N/A: | |  | |
| **18.2** If not, do you have Freeholder permission? If yes, please append evidence. | | | | | | | | Yes: | |  | | | No: | |  | | | | N/A: | |  | |
| **18.3** If not owned yet, are you in the process of buying the freehold? If yes, please append any relevant documentation e.g. Heads of Terms | | | | | | | | Yes: | |  | | | No: | |  | | | | N/A: | |  | |
| **18.4** If leasehold, does the project comply with the lease agreement? If leasehold, please append lease. | | | | | | | | Yes: | |  | | | No: | |  | | | | N/A: | |  | |
| **18.5** Are there any additional issues in relation to land ownership that may be relevant to the delivery of the project of which we should be aware e.g. Rights of Access etc.? If so, please provide information below. | | | | | | | | | | | | | | | | | | | | | | |
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| **18.6** Is Planning Permission required for the project? | | | | | | | | | Yes: | | |  | | | | No: | | | |  | | |
| **18.7** If yes, has this been obtained? If yes, please append evidence. Evidence will also be required of the discharge of any conditions | | | | | | | | | Yes: | | |  | | | | No: | | | |  | | |
| **18.8** If no, what date is this expected? | | | | | | | | |  | | | | | | | | | | | | | |
| **18.9 Please identify below details of all other statutory powers or consents that are required for the project** | | | | | | | | | | | | | | | | | | | | | | |
| **Type** | | | | **Status (Obtained or Outstanding)** | | | | | | | | | **Comment** (include date to be achieved, conditions, any challenge period etc.). | | | | | | | | | |
| *Insert rows as necessary* | | | |  | | | | | | | | |  | | | | | | | | | |

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| **Declarations and Understanding** | | | | |
| Has any director / partner ever been disqualified from being a Company Director under the Company Directors Disqualification Act (1986) or ever been the proprietor, partner or director of a business that has been subject to an investigation (completed, current or pending) undertaken under the Companies, Financial Services or Banking Acts? | | | | Yes / No |
| Has any director / partner ever been bankrupt or subject to an arrangement with creditors or ever been the proprietor, partner or director of a business subject to any formal insolvency procedure such as receivership, liquidation, or administration, or subject to an arrangement with its creditors | | | | Yes / No |
| Has any director / partner ever been the proprietor, partner or director of a business that has been requested to repay a grant under any government scheme? | | | | Yes / No |
| **If your answer is “yes” to any of these questions**, please give details on a separate sheet of paper of the person(s) and business(es) and details of the circumstances. This does not necessarily affect your chances of being awarded grant. | | | | |
| **I am content for information supplied here to be stored electronically and shared in confidence with other public sector bodies who may be involved in considering the case.**  **I confirm as the applicant I have not committed, nor shall commit, and Prohibited Act.**  **I understand that if I give information that is incorrect or incomplete, grant may be withheld or reclaimed and action taken against me. I declare that the information I have given on this form is correct and complete.**  **I also declare that, except as otherwise stated on this form, I have not started the project which form the basis of this application and no expenditure has been committed or defrayed on it.**  **I confirm that I have full authority from the appropriate level within the applicant organisation to enter into this application and any subsequent Grant Funding Agreement.**  **I understand that any offer may be publicised by means of a press release giving brief details of the project and the grant amount.** | | | | |
|  | **Name** | **Signature** | **Date** | |
| **Prepared By:** |  |  |  | |
| **Reviewed By:** |  |  |  | |
| **Approved By:** |  |  |  | |