

Appendix 1

The Nottinghamshire Economic Development Capital Fund Assessment Framework Stage 1 Assessment

Gateway: **All** of the following must be met for further assessment to be undertaken. If applicants fail, they may be advised of the reasons and asked to resubmit their application at a future date, if they can address the issues identified.

Element	Yes / No
The applicant's organisation and / or the project is eligible to receive a grant; the Economic Development Committee report 12 th December 2013 refers. The Fund cannot support : <ul style="list-style-type: none">• projects submitted by individuals or sole traders;• public sector projects which do not support private sector growth;• investments below £20,000;• start-up businesses nor direct retail businesses (except where investment in physical infrastructure is linked to wider public realm improvements);• replacement capital kit and equipment. Investment in new equipment may apply depending on the company's job growth as a result;• generally speculative development schemes;• housing development schemes.	
The applicant's legal status is identified and defined, being an entity with which the Council can contract and which has the appropriate interests in the project.	
The activity is located in Nottinghamshire.	
The activity will result in private sector job growth and estimates of job outputs are given in the application.	
The costs and funding package tables support each other i.e. the funding package, including the ECDF contribution requested, is sufficient to meet the identified costs.	
The applicant has provided evidence that they have attempted to secure the required funding from other sources prior to applying to the ECDF.	
For public sector applicants, the maximum grant request is 50% of costs.	
The project / application appears State Aid compliant as reflected in the Guidance.	
The delivery timescales fit with the Programme requirements ie all work to be financially completed by 31 March 2017.	

Qualitative Evaluation at Stage 1:

Criterion	Score	Notes
The application is consistent with the overall aims of the NEDCF scheme as follows: <ul style="list-style-type: none">• The application details how it fits with the Fund's overall objectives and requirements;• The application provides justification for why the proposed activity will result in economic growth, including private sector job growth.	0-3 for each of the bullet points i.e Weighted x2, max score 12	The assessment of bullet point 1 should include consideration of the project's contribution to the Fund's targets and the ambitions and priorities set out within the Council's Strategic Plan, the Nottinghamshire Growth Plan and the LEP Growth Plans
The applicant organisation is from or the project makes a specific contribution towards the priority sectors referenced within the Nottinghamshire and the LEP Growth Plans in summary as follows: <ul style="list-style-type: none">• Low carbon	+3	Either the full 3 points or none are given

<ul style="list-style-type: none"> • Food & drink • Advanced manufacturing • Logistics • Transport equipment • Medical and bio-science • Construction • Visitor Economy 		
The applicant provides an explanation of how the activity will result in benefits for the wider community, specifically referencing action plans on recruitment and training; the potential for supply chain opportunities and potential environmental considerations.	+3	Either full 3 points or none
<p>The proposal appears to provide value for money.</p> <p>This criterion will be tested in more detail at Stage 2; Stage 1 is a comparison at a general level. For this criterion to be assessed, the applicant MUST provide estimates of both costs of the project and the no. of new jobs to be created.</p>	<p>0-3</p> <p>Weighted x2, max score 6</p>	<p>The benchmark costs per job is £26,000 of total public sector input per job</p> <p>Scoring: 0 – insufficient information 1 – below benchmark 2 – at / around the benchmark 3 – above the benchmark</p> <p>Final score weighted x2</p>
<p>The proposal is viable / deliverable based on analysis of the following:</p> <ul style="list-style-type: none"> • The timescales set out in the Stage 1 form are judged to be reasonable for the type of activity proposed; • Barriers to delivery have been identified and suitable mitigation has been proposed; • There are no perceived legal barriers to providing the grant at this stage (e.g projects that are too high a level to be funded within State Aid rules) 	<p>Up to 3 points per identified bullet point</p> <p>0-9</p>	<p>On the question of barriers to delivery, if the applicant states there are no barriers, this suggests the application is unrealistic and would result in a nil score</p>
The proposal offers leverage to support meeting the Fund's overall outputs	<p>0-3</p> <p>Weighted x2, max score 6</p>	<p>Scoring: 0 – insufficient information 1 - below benchmark of the overall programme 2 – at / around the leverage benchmark 3 – above the leverage benchmark</p> <p>Benchmark being the Fund's overall ambitions of 1:2 leverage</p>
Maximum score for Stage 1	39	A minimum score of at least 50% will generally be required to proceed though a ranked RAG (Red, Amber, Green) will be developed for consideration

For the RAG approach, the guidance is as follows:

- Any Gateway failures – automatically ranked as Red, potentially provisionally, subject to clarification questions
- Scoring 19 or below – ranked as Red (ie below 50%)
- Scoring 20 to 26 – ranked as Amber (ie between half and two-thirds)
- Scoring 27 and above – ranked as Green

Only Green and Amber projects are invited to make a Stage 2 application, with Amber ranked projects advised that they are reserve projects, pending the outcome of the Stage 2 assessment for the Green ranked projects. All projects but particularly those ranked as Amber will make Stage 2 applications at the applicant's risk.

Gateway: Subject to the outcome of the RAG approach, all applicants to be invited to effect a Stage 2 application will be required to meet the following:

Element	Yes / No
The applicant organisation has passed a credit check / initial financial testing review.	

Subject to above being satisfactory, the applicant is to be invited to submit Stage 2 application.

Stage 2 Assessment

Gateway: All of the following must be met for any further assessment to be undertaken; 3rd party appointed expertise will support this process as required:

Element	Yes / No
The applicant accepts the Council's draft terms and conditions applicable to a successful grant award	
The grant can be provided within the State Aid regulations	
The funding package is complete and in place, or all sources are identified with a reasonable timeframe for any remaining elements to be in place (grant award will be conditional, should there still be decisions awaited on elements of the funding package)	

Qualitative evaluation at Stage 2:

While not a scored requirement, the local County Council member(s) will be informed about applications relevant to their electoral division area at this stage of the process.

Criterion	Score	Notes
Business Case		
<p>The detailed business case provides sufficient justification for the project, including :</p> <ul style="list-style-type: none"> • A clear case for how the proposal will lead to economic growth and increased productivity • A clear case for the long term viability of the proposal • Evidence of need and/or demand 	<p>0-6 (max 2 points per bullet point)</p> <p>Weighted x2, max score 12</p>	<p>Credible / suitably referenced evidence to be offered.</p> <p>3rd party expertise sought in the assessment</p>
The project will support opportunities for training, apprenticeships and work experience and a detailed explanation is given in the application	+3	Either full 3 points or none

The project will support opportunities to develop local supply chains and a detailed explanation of how it will do this is given in the application	+3	Either full 3 points or none.
<i>Business case total score available</i>	<i>18</i>	
Outputs		
The proposal details the contribution it will make to the overall targets of the ECDF scheme, and the contribution to targets is proportionate given the amount of funding requested	0-3	
The applicant provides justification and evidence to support the proposed contribution to targets	0-3	
Output monitoring arrangements are described in detail and are sufficient.	0-3	
The job outputs described are of high quality and can be evidenced as sustaining and / or creating new jobs	Max 6	Scoring: 0 – neither sustained nor created jobs 2 – sustained jobs only 4 – a job mix 6 – creating new jobs
<i>Outputs total score available</i>	<i>15</i>	
Strategic Fit		
The proposal is consistent with other strategies including the following: <ul style="list-style-type: none"> • Nottinghamshire Growth Plan • D2N2 / SCR LEP Plan(s) as appropriate • NCC Strategic plan 	0-6	Two points per strategy justified
<i>Strategic Fit total score available</i>	<i>6</i>	
Deliverability / VFM		
The delivery timetable stated contains appropriate and reasonable milestones	0-3	3 rd party support sought
The applicant has a detailed and reasonable plan to address any risks	0-3	
The proposal gives detailed justification for why it will have positive equality and/or environmental impact	+3	Either full 3 points or none
An external assessment has supported the financial viability of the proposal	0-3	3 rd party support sought
A detailed assessment has supported the value for money of the proposal	0-3	3 rd party support sought
<i>Deliverability/VFM total score available</i>	<i>15</i>	
Total Maximum Score for Stage 2	54	Projects ranked