



## **Appendix**

# **Local Improvement Scheme (Capital Fund)**

## **Information for Applicants**

**Please read this document before  
completing your application form**

**Please submit your application by 28<sup>th</sup> February 2020**



## **Local Improvement Scheme: Capital Fund**

### **Information for applicants**

<b>Contents</b>	<b>Page</b>
<b>Introduction: The Local Improvement Scheme Strategy (Capital Fund)</b>	<b>1</b>
<b>How much money can organisations apply for?</b>	<b>1</b>
<b>Can my organisation / group apply? Who can't apply</b>	<b>2</b>
<b>What can organisations use the funding for?</b>	<b>3</b>
<b>What can't organisations use the funding for?</b>	<b>4</b>
<b>Match Funding</b>	<b>5</b>
<b>Elected Member (County Councillor) role</b>	<b>5</b>
<b>Governance</b>	<b>5</b>
<b>Acknowledging funding and publicity</b>	<b>6</b>
<b>How to apply and supporting information / documents required</b>	<b>6</b>
<b>APPENDIX 1: Good Governance Checklist</b>	<b>8</b>
<b>APPENDIX 2: Assessment Considerations and Process</b>	<b>9</b>

## Introduction

### The Local Improvement Scheme Strategy (Capital Fund)

Nottinghamshire County Council has a strong record in supporting voluntary and community groups across the County and continues to be committed to supporting local people and communities to help themselves.

The **Local Improvement Scheme** is a **discretionary financial contribution** awarded by Nottinghamshire County Council to support the delivery of non-statutory capital projects that help to achieve the Council's priorities, as set out in the [Council Plan 2017-21](#).

Applications for capital funding should also show how the proposed project / asset contributes to the Local Improvement Scheme strategic aims, these being:

- To encourage and support local communities to be strong, vibrant and resilient;
- To encourage and support volunteering; and,
- To seek wider funding opportunities.

The year 2020 sees the 400<sup>th</sup> anniversary of the sailing of the Mayflower to the United States. Nottinghamshire has a very close association to this historic event. Therefore, applications for capital projects that commemorate this significant anniversary and help to promote community engagement in it are particularly welcome.

This document aims to assist organisations who are interested in applying for **capital** funding from the Local Improvement Scheme and includes information about:

- How much money organisations can apply for;
- Organisations that are eligible to apply;
- What the capital funding can and can't be used for;
- Match funding;
- Governance; and,
- The role of Nottinghamshire County Council Elected Members.

After carefully reading this document, interested organisations that meet the eligibility criteria and can also demonstrate how their project will contribute to the [Council Plan 2017-21](#) and the Local Improvement Scheme strategic aims are welcome to apply, by following the instructions outlined in this document.

### How much money can organisations apply for?

Eligible organisations can apply for one-off **capital grants**, ranging from a minimum of £1,000 up to a maximum of £30,000 in any funding year. Recipients of capital funding will have **up to 12 months** to spend the money. A list of eligible organisation types is provided in the 'Can my organisation / group apply?' section below.

## Can my organisation / group apply?

The Council encourages applications from **eligible** organisations. Those that are eligible include:

- ✓ A charity registered with the Charity Commission\* (this could be a Charitable Incorporated Organisation (CIO), an unincorporated association, a trust or charitable / not-for-profit company limited by guarantee).
- ✓ A voluntary / community group that is not registered as a charity (this group could be set up as an 'unincorporated association' or an 'excepted' charity as defined by the Charity Commission\*).
- ✓ A Friendly Society or an Industrial and Provident (Community Benefit) Society with charitable purposes and registered with an appropriate regulator.
- ✓ A Community Benefit or Cooperative Society.
- ✓ A community interest company (CIC) with charitable aims, a community purpose and limited by guarantee.
- ✓ A social enterprise that is set up using a recognised legal form.
- ✓ A sports club - sports clubs that have achieved or that are working towards Clubmark are particularly welcome.
- ✓ A Parish or Town Council.

*\*Please refer to the [Charity Commission](#) for further information.*

## Who Can't Apply

- ✗ National Organisations - a national charity (or local branch thereof) that cannot adequately evidence that funding is being solely spent in Nottinghamshire or for the benefit of the residents of Nottinghamshire.
- ✗ Borough and District Councils.
- ✗ Anyone / any organisation who is applying on behalf of another organisation.
- ✗ A District Council acting as an accountable body for a local voluntary / community group.
- ✗ Companies that can pay profits to directors, shareholders or members (including companies limited by shares).
- ✗ Sole traders.
- ✗ Individuals.

## What can organisations use the capital funding for?

It is important to us that you actively get your community involved in the design, development and delivery of the project you are planning.

Examples of how Local Improvement Scheme capital funding could be used include:

- ✓ Building new play areas, including skate parks.
- ✓ New play equipment.
- ✓ Facilities that support community access, particularly for people with disabilities.
- ✓ Sporting facilities which help to improve wellbeing and access for all.
- ✓ Gateway signs.
- ✓ Green / horticultural improvements to open spaces.
- ✓ Memorial and heritage improvements.
- ✓ Signposts and information boards.
- ✓ Pilgrim Roots 2020 celebrations.

### Additional examples:

- ✓ New teenage and junior play equipment to provide an exciting and safe play area for local children and families, offering opportunities for physical activity and vibrant community interaction in an open, public space.
- ✓ Signage to direct visitors to a country park, and signposts and information boards within the park that include points of interest to improve the visitor experience.
- ✓ Development of an 'all year round' community garden for the benefit of all members of the community.
- ✓ Construction of a permanent and accessible paved foundation for a memorial dedicated to RAF aircrew who were killed in flying incidents during WWII.
- ✓ Developments of community facilities and spaces to improve access and/or to improve health and well-being (e.g. wheelchair accessible outdoor play equipment, such as a swing).

#### **Please note:**

#### **Village gateway signs**

- If you wish to apply for funding to help towards the cost of village gateway signs, example costs of these assets are available on the Council's webpage: [www.nottinghamshire.gov.uk/capital](http://www.nottinghamshire.gov.uk/capital), which you may find helpful when completing your application.
- Organisations wishing to install village gateway signs must follow the relevant Nottinghamshire County Council and VIA Highways (or other regulatory) process as appropriate to the project / asset.

### **Public Use**

- The asset that the capital funding contributes to will need to **remain in public use and/or leave a legacy for at least three years** after the asset has been purchased and installed / launched / is in use.

### **Maintenance**

- Capital funding can be used to help with the initial cost of the project / asset, however, it **cannot** be used for ongoing maintenance. Therefore, **organisations must ensure that they have plans and funds in place to maintain the project.**

### **Ownership**

- Applicant must be able to evidence **title to the land / property or evidence of permission to use the land / property** that the project is being delivered on.

## **What can't organisations use the capital funding for?**

**The Local Improvement Scheme capital funding cannot be used as a full or partial contribution to the following:**

- × Assets / purchases / projects not recognised or not in line with the organisation's governing document (i.e. the set of 'rules' or 'agreement' for your organisation).
- × Costs that are incurred before the application is approved by the Communities and Place Committee. Therefore, if the application is successful, applicants are advised to wait until their funding agreement has been signed by both parties before commencing the project / purchasing the asset.
- × Projects that are not delivered within the Nottinghamshire County geographical boundary.
- × Projects that do not primarily benefit Nottinghamshire County residents. It is recognised that some capital projects may also benefit some people beyond the Nottinghamshire boundary, however, residents outside Nottinghamshire should not be the primary / majority target group.
- × Costs associated with pre-schools or children's nurseries.
- × Costs considered to be revenue items or overheads and maintenance costs (e.g. rent, salaries, gas, electricity, consumable goods and general building maintenance).
- × Projects that are for the sole purpose of promoting political or religious views.
- × Unspecified expenditure (note that applicants are asked to list the itemised capital costs associated with the proposed capital project / asset on the application form).
- × Funds to specifically build up a reserve or surplus.
- × For general appeals or endowment funds.
- × Office / IT equipment, including PCs, laptops and associated periphery equipment such as keyboards, printers, laminators, etc. (note that the Local Improvement Scheme aims to support capital assets that are open and accessible to the wider Nottinghamshire community).

## Match Funding

Local Improvement Scheme funding is a *contribution* to the delivery of a project. This means that it is not intended to cover the full project costs and therefore match funding will be required. There is a high demand for Local Improvement Scheme funding and as such, match-funded projects enable the Council to award funding to a broader range of projects.

### Please note:

- Applications should aim to secure at least 50% of confirmed match funding, although projects with less than 50% of confirmed match funding may also be considered.
- Match funding / income can include grants and donations from other organisations, member subscription fees, fundraising, and contributions 'in-kind' where appropriate (such as donated assets).
- Local Improvement Scheme capital funding is a contribution towards the purchase of an asset and as such, the organisation is likely to need a higher proportion of 'cash' compared to 'in-kind' match funding.
- Any grant awarded must not be used to pay for the same items covered by match funding (and vice-versa).

## Elected Member (County Councillor) Role

In line with the principle of involving Elected Members in their communities, **all applications must be signed by an elected Nottinghamshire County Councillor for the District in which the project / asset will be delivered / installed.** However, please note that:

- County Councillor support is not a guarantee of application success – all applications will go through the Council's formal assessment process.
- It is the applicant's responsibility to contact the relevant County Councillor to discuss the proposed project / asset and seek their support.
- Only the signature of an elected **Nottinghamshire County Councillor** will be accepted on the application form.
- Contact details for all elected Nottinghamshire County Councillors are available on the Council's website: [nottscc.gov.uk/council-and-democracy/councillors/contact-a-councillor](https://nottscc.gov.uk/council-and-democracy/councillors/contact-a-councillor)

## Governance

Governance is about the way your organisation is set up and run. The Council is accountable for public funds and therefore reviewing the governance arrangements that organisations have in place helps to reassure the Council that an organisation is:

- Operating in line with the law AND in line with relevant regulation;
- Operating in line with its own governing document; and,
- Able to effectively manage public funds and fulfil the monitoring requirements.

Good governance is essential for your organisation, service users and other stakeholders, as it underpins the delivery of quality projects in a safe and efficient way, and can help to reassure other potential funders and partners.

**To receive Local Improvement Scheme funding, applicants must demonstrate that they have satisfactory governance arrangements in place. After being approved for LIS funding, successful applicants (except for Parish and Town Councils) must send the County Council's Communities Team an appropriate, up-to-date and satisfactory governing document.**

A Good Governance checklist is available in [APPENDIX 1](#) to this document, which applicants may find useful as a starting point when reviewing the governance arrangements for your organisation.

## **Acknowledging funding and publicity**

**Successful applicants will be required to agree with the County Council's Communications & Marketing Team a timeline for any publicity events or media releases from the start to the end of the project, and to also ensure that the relevant Council Members receive at least 8 weeks' notice of any major publicity events that they may wish to attend.** The extent of publicity required will depend on the scale and nature of the project, with Communications & Marketing officers advising the organisation accordingly.

## **How to apply and supporting information / documents required**

- 1. It is strongly recommended that you carefully read all the information provided in this document and consider whether:**
  - a) The project / asset that you have in mind contributes to the Council Plan and the Local Improvement Scheme strategic aims (as outlined on [page 1 of this document](#)).
  - b) Your organisation is an eligible organisation type (see page 2: '[Can my organisation / group apply?](#)')
  - c) The project / asset that you have in mind is eligible for funding (see pages 3 and 4 of this document: '[What can / can't my organisation use the capital funding for?](#)').
  - d) Your organisation can raise the match funding (see page 5 of this document regarding '[Match Funding](#)').
  - e) Your organisation has in place appropriate governance (see [page 5](#) and [APPENDIX 1](#) to this document).
  - f) Your organisation is fully aware of and would be prepared to accept the terms and conditions of, the LIS funding agreement – including the requirement to publicise the project if their application is successful. An example LIS Agreement template is available to download from: [www.nottinghamshire.gov.uk/capital](http://www.nottinghamshire.gov.uk/capital)
- 2. Download the application form from: [www.nottinghamshire.gov.uk/capital](http://www.nottinghamshire.gov.uk/capital)**
- 3. Discuss your proposed application with your local Nottinghamshire County Councillor to seek their support** (see page 6: '[Elected Member \(County Councillor\) Role](#)')



4. **If you decide to apply, and you have the support of your local County Councillor, complete the application form.** Remember to save your application as you work through it. **Tip:** Use the 'Assessment Considerations' as outlined in [APPENDIX 2](#) to help you review your application.
5. **Ask your local Nottinghamshire County Councillor to sign the completed application form.** The County Councillor should return the application to the applicant / organisation.
6. **Email your completed application to:** [LIS@nottscc.gov.uk](mailto:LIS@nottscc.gov.uk).

**Please note:**

**Privacy Notice**

The information provided in your application will be subject to **the Local Improvement Scheme Privacy Notice** which is available on the Council's webpage: [www.nottinghamshire.gov.uk/lis](http://www.nottinghamshire.gov.uk/lis)

**Applications approved 'in principle'**

**Successful applications are approved by the Communities and Place Committee for funding 'in principle'. Organisations will need to follow the process as advised by the Council and provide further information / documents / assurances as requested, before the funding is released.** For example, projects / assets that involve the use of the highway / land / buildings not owned by the organisation applying for the grant must obtain and provide written permission from the appropriate organisation to use / develop the highway / land or building for the proposed funded project / asset.

**Applications for more than one project / asset**

If your organisation would like to apply for funding for more than one project / asset, you should complete a separate application form for each project.

**Supplementary information**

Applicants are strongly encouraged to read the supplementary document which contains information about what to expect if your application for capital funding is successful and frequently asked questions (FAQs); this document is available on the Council's webpage: [www.nottinghamshire.gov.uk/capital](http://www.nottinghamshire.gov.uk/capital)

**If you have a question**

If you cannot find the answer to your question from the information / documents provided on the Council's webpage ([www.nottinghamshire.gov.uk/capital](http://www.nottinghamshire.gov.uk/capital)), please email the Communities Team at: [LIS@nottscc.gov.uk](mailto:LIS@nottscc.gov.uk)

## APPENDIX 1: Good Governance Checklist

### What do we mean by governance?

Governance is about the way your organisation is set up and run. You can use the checklist below as a starting point to help review the governance arrangements for your organisation:

Item	Question	Yes / No
<b>Governing documents</b> <i>A governing document is a set of rules or agreement for your organisation / group.</i>	<b>Is the governing document the correct type for your organisation? e.g.</b> <ul style="list-style-type: none"> <li>• A Constitution (or 'Rules') for unincorporated associations.</li> <li>• A Small Charity Constitution (for organisations that do not meet the financial threshold for registering with the Charity Commission).</li> <li>• A CIO Foundation or Association Constitution for CIOs.</li> <li>• Articles of Association (for charitable companies).</li> <li>• Trust Deed for Trusts.</li> </ul>	
	<b>Does your governing document include appropriate information? For example, does it include:</b> <ul style="list-style-type: none"> <li>• What the organisation is set up to do? (objects)</li> <li>• How the organisation will do those things? (powers)</li> <li>• Who will run it? (trustees)</li> <li>• What happens if changes to the administrative arrangements need to be made? (amendment provision)</li> <li>• What happens if the organisation wishes to wind up? (dissolution provision)</li> <li>• How the trustees will run the organisation.</li> <li>• Initial arrangements for meetings, voting and financial procedures etc.</li> </ul>	
	Is your governing document up-to-date - including trustee details?	
	Is your governing document signed and dated by the trustees?	
<b>Trustees &amp; management teams</b>	<b>Is the information that you have provided about your trustees and management team correct and consistent with the information that you supplied to the Charity Commission, Companies House and/or any other regulatory body?</b>	
<b>Policies and procedures</b> <i>E.g. policies and procedures regarding safeguarding children &amp; young people, vulnerable adults, health and safety, equality and diversity, recruitment and selection and volunteering.</i>	<b>Do you have relevant policies and procedures in place?</b> You may find it helpful to list the policies and procedures that you do have and identify any gaps to address.	
	<ul style="list-style-type: none"> <li>• Are all your policies and procedures up-to-date and in-line with good practice?</li> <li>• Are all your policies and procedures used in practice?</li> </ul>	
<b>Accreditation of professionals employed (e.g. contractors, manufacturers, accountants, architects)</b>	Do all the professionals that you employ have the correct and up-to-date accreditation, qualifications and registration for the work that they will be carrying out? Do they have appropriate policies, procedures and insurance in place?	

If your group would like further information / guidance about good governance arrangements, please have a look at the Councils' **'Support, advice and networking for voluntary and community groups'** webpage: <http://www.nottinghamshire.gov.uk/council-and-democracy/get-involved/supporting-voluntary-sector/support-advice-networking>

This Good Governance checklist is intended to provide introductory, general guidance and contains information based on research at the time of publication. This checklist is not a substitute for specific governance / legal / financial or other professional advice.

## APPENDIX 2: Assessment Considerations and Process

Considerations during the assessment process include:

- Is the organisation type eligible?
- Is the application supported AND signed by a Nottinghamshire County Councillor?
- Is the amount requested within the minimum and maximum levels of funding?
- Will the majority of the beneficiaries (e.g. at least 75%), be Nottinghamshire County residents?
- Proportion of confirmed match funding and proportion of 'cash' and eligible 'in-kind' match funding.
- The information provided to show that there is a need for the proposed project / asset and the community benefit from the capital project / asset.
- The extent to which the application demonstrates that the project will contribute to The Council Plan and the Local Improvement Scheme strategic aims as stated in this document.
- Has the applicant provided itemised costs?
- Has the organisation confirmed that the project will be maintained for at least 3 years after installation?
- Has the applicant provided sufficient, clear and relevant information in response to the questions?
- Does the organisation have relevant, recognised approval / standards in place (where appropriate)?
- Has the organisation confirmed all the declaration statements in the application?

Please note that:

- On completion of the assessment process, the Council's Communities and Place Committee will make the final decision regarding funding awards.
- The Local Improvement Scheme funding is limited, and competition is likely to be strong, therefore the Council may also take into consideration previous funding awards, and priority may be given to organisations that did not receive an award in the previous Local Improvement Scheme capital funding year / round.
- Local Improvement Scheme funding is discretionary and therefore subject to the availability of finances as determined in the Council's annual budget review and the availability of funds after previous Local Improvement Scheme capital funding awards.
- Submitting an application does not guarantee funding. If your application is successful, the Council may not necessarily award the full amount requested – for example, where there is information to suggest that the project could be delivered at a lower cost than the amount of funding requested.
- The Council will aim to notify all applicants about the outcome of their application as soon as possible after the applications and awards have been approved by the Communities and Place Committee.