



## **UK Shared Prosperity Fund (UKSPF)**

**Newark and Sherwood**

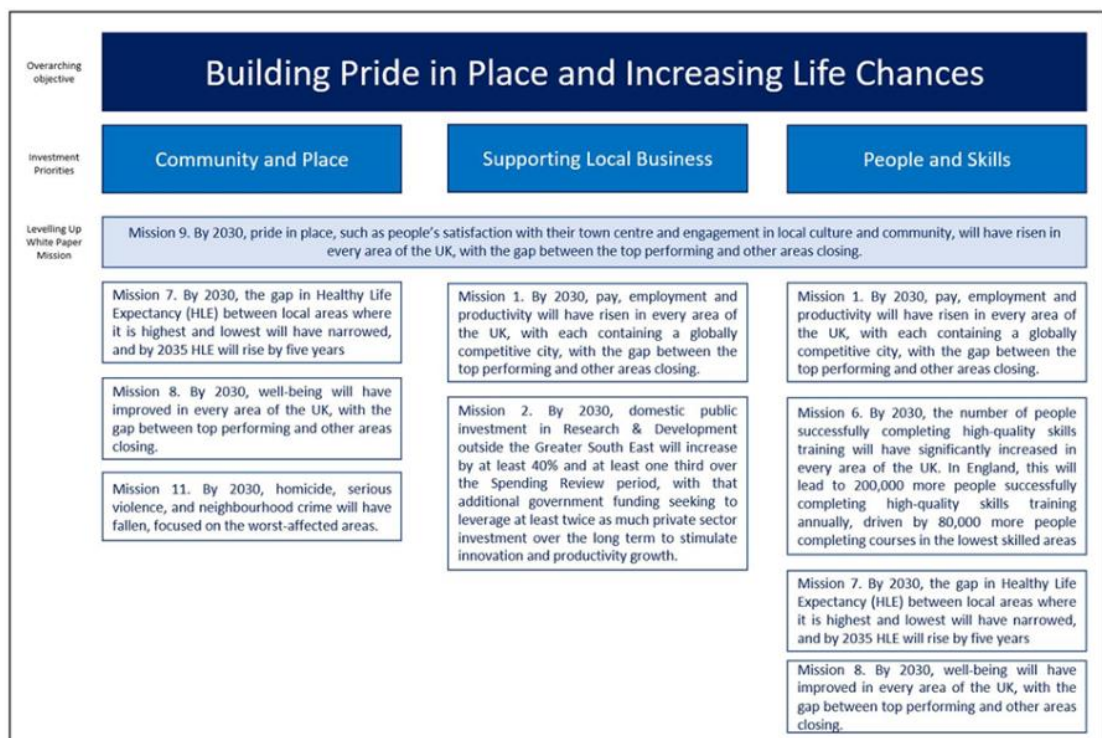
**Grant Funding Guidance Round 1**

**Year 2 (23-24) or Years 2 and 3 (23-25)**



## 1.0 Background

- 1.1 The UK Shared Prosperity Fund (UKSPF) seeks to replace the previous European Structural Investment Fund (ESIF), a programme that integrates five main funding streams that support economic prosperity.
- 1.2 A total of £2.6 billion of funding will be provided through the UKSPF for local investment by March 2025. The Fund aims to improve pride in place and increase life chances across the UK, investing in communities and place, supporting local business, and people and skills.
- 1.3 The UKSPF will support delivery of Government's Levelling Up's missions under these three investment priorities: Communities and Place; Supporting Local Business; and People and Skills.



- 1.4 For more information and to access the funding prospectus, please visit <https://www.gov.uk/government/publications/uk-shared-prosperity-fund-prospectus>

## 2.0 UKSPF in Newark and Sherwood

- 2.1 Lead local authorities were asked to set out their approach in an [Investment Plan](#) submitted to Government on 31<sup>st</sup> July 2022. Our planned UKSPF investment supports our established strategic frameworks including [Newark and Sherwood Community Plan](#) and [Newark and Sherwood Economic Growth Strategy](#).
- 2.2 We have engaged with a number of key stakeholders in developing our plans, ensuring our selected focus for investment is evidence based and demonstrates local needs, challenges and opportunities. Newark and Sherwood Community Partnership govern the delivery of the UKSPF plan, with representatives from local businesses, charities, community groups and public sector partners supporting to shape programme delivery.
- 2.3 Newark and Sherwood's total funding allocation for the UKSPF programme is as follows:

April 2022- March 2023 (Year 1)	April 2023-March 2024 (Year 2)	April 2024-March 2025 (Year 3)	TOTAL
£399,360	£798,720	£2,092,646	£3,290,726

### 3.0 Round 1 – Call for Projects

3.1 Round 1 welcomes funding applications for projects delivered in year 2 (23-24) *or* projects delivering in both years 2 and 3 (23-25). **Applications for funding in year 3 only (24-25) will not be accepted in Round 1.**

3.2 We aim to fund initiatives in Round 1 that align to one or more of the following interventions\*:

<u>UKSPF Investment Priority</u>	<u>Newark and Sherwood Core Interventions</u>
<u>Community and Place</u>	<p><b>E1:</b> Funding for improvements to town centres and high streets, including better accessibility for disabled people, including capital spend and running costs.</p> <p><b>E2:</b> Funding for new, or improvements to existing, community and neighbourhood infrastructure projects including those that increase communities’ resilience to natural hazards, such as flooding.</p> <p><b>E3:</b> Creation of and improvements to local green spaces, community gardens, watercourses and embankments, along with incorporating natural features into wider public spaces.</p> <p><b>E4:</b> Enhanced support for existing cultural, historic and heritage institutions that make up the local cultural heritage offer.</p> <p><b>E5:</b> Design and management of the built and landscaped environment to ‘design out crime’.</p> <p><b>E7:</b> Support for active travel enhancements in the local area.</p> <p><b>E8:</b> Funding for the development and promotion of wider campaigns which encourage people to visit and explore the local area.</p> <p><b>E9:</b> Funding for impactful volunteering and/or social action projects to develop social and human capital in local places.</p> <p><b>E14:</b> Funding to support relevant feasibility studies.</p>
<u>Supporting Local Businesses</u>	<p><b>E18:</b> Supporting Made Smarter Adoption: Providing tailored expert advice, matched grants and leadership training to enable manufacturing SMEs to adopt industrial digital technology solutions including artificial intelligence; robotics and autonomous systems; additive manufacturing; industrial internet of things; virtual reality; data analytics.</p>

	<p>The support is proven to leverage high levels of private investment into technologies that drive growth, productivity, efficiency and resilience in manufacturing. Match funded grants to enable firms to buy and implement new industrial digital technology solutions improvements to local retail, hospitality and leisure sector facilities.</p> <p><b>E19:</b> Increasing investment in research and development at the local level. Investment to support the diffusion of innovation knowledge and activities. Support the commercialisation of ideas, encouraging collaboration and accelerating the path to market so that more ideas translate into industrial and commercial practices.</p> <p><b>E21:</b> Funding for the development and support of appropriate innovation infrastructure at the local level.</p> <p><b>E22:</b> Investing in enterprise infrastructure and employment/innovation site development projects. This can help to unlock site development projects which will support growth in places.</p> <p><b>E23:</b> Strengthening local entrepreneurial ecosystems, and supporting businesses at all stages of their development to start, sustain, grow and innovate, including through local networks.</p> <p><b>E24:</b> Funding for new and improvements to existing training hubs, business support offers, ‘incubators’ and ‘accelerators’ for local enterprise (including social enterprise) which can support entrepreneurs and start-ups through the early stages of development and growth by offering a combination of services including account management, advice, resources, training, coaching, mentorship and access to workspace.</p>
<p><b><u>People and Skills</u></b></p>	<p><b>E33:</b> Employment support for economically inactive people: Intensive and wrap-around one-to one support to move people closer towards mainstream provision and employment, supplemented by additional and/or specialist life and basic skills (digital, English, maths* and ESOL) support where there are local provision gaps. This provision can include project promoting the importance of work to help people to live healthier and more independent lives, alongside building future financial resilience and wellbeing. Beyond that, this intervention will also contribute to building community cohesion and facilitate greater shared civil pride, leading to better integration for those benefitting from ESOL support. Expected cohorts include, but are not limited to people aged over 50, people with a disability and health condition, women, people from an ethnic minority, young people not in education, employment or training and people with multiple complex needs (homeless, care leavers, ex/offenders, people with substance abuse problems and victims of domestic violence). *via Multiply</p> <p><b>E34:</b> Courses including basic skills (digital, English, maths (via Multiply) and ESOL), and life skills and career skills** provision for people who are unable to access training through the adult</p>

	<p>education budget or wrap around support detailed above. Supplemented by financial support for learners to enrol onto courses and complete qualifications. Beyond that, this intervention will also contribute to building community cohesion and facilitate greater shared civil pride, leading to better integration for those benefitting from ESOL support. *where not being met through Department for Work and Pensions provision.</p>
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\* The decision to award will depend on the content of applications received, and/or arising opportunities including collaboration with neighbouring authorities. Successful applicants may be invited to negotiate their request.

3.3 The provisional allocations for Round 1 are as follows:

<u>Investment Priority</u>	<u>Capital/Revenue</u>	<u>Year 2</u>	<u>Year 3</u>
Communities and Place	Revenue	£247,505	£277,505
Supporting Local Businesses	Revenue	£162,732	£212,732
People and Skills *See 5.3	Revenue	£80,560	£180,560
Any of the above	Capital	£160,000	£200,000

3.4 The allocations above may change and the council reserves the right not to allocate some, or all of the funding through this call.

3.5 The values provided are based on the content of our Investment Plan submitted summer 2022. A proportion of our UKSPF total allocation is withheld from Round 1 as it is either committed to alternative activities, or will be available to apply for in the future.

#### **4.0 Who can apply for UKSPF?**

4.1 Any organisation with legal status can receive funding to deliver a UKSPF intervention, including arms-length bodies of government where appropriate. This may include local authorities, public sector organisations, higher and further education institutions, private sector companies, voluntary organisations and registered charities. Working with international partners may be appropriate where it represents a suitable way of meeting local needs

#### **5.0 What projects/programmes may be eligible?**

5.1 We will consider applications contributing towards any of the [UKSPF deliverables](#), however activity should align to our strategic focus therefore the selected core interventions (as set out in 3.2) are recognised as priority within our appraisal process.

5.2 Applicants may apply for funds for a project/programme that contributes to 1 or more the 3 Investment Priorities, and the same project/programme may align to several UKSPF interventions. You must be able to demonstrate planned achievement of outputs and outcomes for any investment priority you apply under through completion of the performance profile spreadsheet (see 8.0).

5.3 Funding must be used to support and deliver activity in Newark and Sherwood only.

5.4 People and Skills funding can only be allocated in the 2023-24 financial year (FY) to voluntary and community organisations who are delivering ESIF funded projects at the end of the 2022-23 FY and will be at risk following the completion of these projects in the 2023-24 FY.

Organisations who meet the criteria may include People and Skills Funding requests for 2023-2024 in their application must complete the People and Skills Year 2 Eligibility form (see 8.0).

Voluntary and Community Organisations are:

- Independent of government and constitutionally self-governing, usually with an unpaid voluntary management committee.
- Value-driven - they exist for the good of the community, to promote social, environmental or cultural objectives in order to benefit society as a whole, or particular groups within it.
- Not run for financial gain - they re-invest any surpluses to further the 'good' they create for the community.

This includes, charities (registered and unregistered), community groups, community interest companies, friendly societies, social clubs, sports clubs, churches and other faith groups, and voluntary organisations.

Only organisations who meet the criteria above should include People and Skills funding requests for 2023- 24 FY in their applications.

UKSPF People and Skills funding can only be used to support delivery which follows the end of an ESF project. Organisations should not plan to use People and Skills funds until their ESF funded delivery ends.

5.5 Applicants must ensure that any project/programme put forward is compliant with the [UK Subsidy Control regime](#) and will be asked to demonstrate this within the application form.

5.6 All projects must comply with UKSPF procurement procedures, this includes 3 quotes for the purchase of any goods or services between the value of £2,500 and £25,000 and once the value of Contract exceeds £25,000 opportunities should be advertised via a formal tender process. For more details, please visit: [UK Shared Prosperity Fund: procurement \(8\) - GOV.UK \(www.gov.uk\)](#). This will be monitored and checks undertaken before a grant agreement is issued.

## **6.0 What costs may be eligible?**

6.1 The UKSPF is a predominately revenue-based scheme with approximately 20% of funding supporting capital projects. As outlined in 3.3, we have set aside an allocation for Round 1 for capital expenditure. Applicants will be required to state clearly in their application if they are applying for revenue or capital funds, or both.

6.2 **Revenue funds** can be used to contribute to the costs of ongoing operational expenses required in the running of the project, including:

- Staff salary costs (including Employer NI and Pension contributions).
- Overheads related to employing staff involved in delivering activities funded through the grant.

- Cost of business travel.
- Marketing and publicity costs\*.
- Participant costs / hardship support.
- Small items of equipment.

*\* Successful applicants are required to work closely with Newark and Sherwood District Council to develop promotional resources and to ensure recognition of funding through the necessary UKSPF branding.*

6.3 **Capital funds** can be used to acquire, build or upgrade physical assets, including:

- A one-time purchase of a fixed asset.
- Acquisition of land and or buildings.
- Building and construction costs.
- Professional fees associated with building and construction.
- Plant, machinery and equipment.

6.4 The following costs are considered ineligible and must not be included in applications:

- paid for lobbying, entertaining, petitioning or challenging decisions, which means using the Fund to lobby (via an external firm or in-house staff) in order to undertake activities intended to influence or attempt to influence Parliament, government or political activity including the receipt of UKSPF funding; or attempting to influence legislative or regulatory action.
- payments for activities of a party political or exclusively religious nature.
- VAT reclaimable from HMRC
- gifts, or payments for gifts or donations.
- statutory fines, criminal fines or penalties.
- payments for works or activities which the lead local authority, project deliverer, end beneficiary, or any member of their partnership has a statutory duty to undertake, or that are fully funded by other sources.
- contingencies and contingent liabilities.
- dividends.
- bad debts, costs resulting from the deferral of payments to creditors, or winding up a company.
- expenses in respect of litigation, unfair dismissal or other compensation.
- costs incurred by individuals in setting up and contributing towards private pension schemes.

6.5 **The total maximum amount an applicant can apply for per year of delivery is £250,000 per application with a minimum request per year of £40,000 per application. Please note; if an organisation submits more than one application, the total amount awarded to an organisation will not exceed £250,000 per year.**

6.6 Applicants should take note of the provisional and indicative amounts available as well as considering how their request represents value for money in relation to the outputs and outcomes achieved.

## **7.0 How will applications be assessed?**

7.1 Newark and Sherwood District Council will assess all grant applications submitted before the deadline of **17:00 on Friday 17<sup>th</sup> February 2023**. Applications submitted after the deadline will not be considered.

7.2 Assessment will involve four stages; Gateway, Scoring, Moderation and further Moderation (if required), including the sign-off of shortlisted applications. Further details of the assessment process are available in Appendix A.

7.3 Following assessment, NSDC will inform all applicants of their outcome and successful applicants will enter into a grant agreement with NSDC.

## **8.0 How to apply**

8.1 To apply for grant funding, applicants must complete and submit the following documents to Newark and Sherwood District Council via email to [UKSPF@newark-sherwooddc.gov.uk](mailto:UKSPF@newark-sherwooddc.gov.uk) by no later than **17:00 on Friday 17<sup>th</sup> February 2023\***

- UKSPF NSDC Grant Application Form Round 1
- UKSPF NSDC Budget and Performance Profile Round 1
- Evidence of Financial Standing (see 2.1 of the application form)
- UKSPF NSDC People and Skills Year 2 Eligibility Form (required for People and Skills applications only)

**\*Applications submitted after the deadline or in any other format will not be accepted.**

8.2 Following the assessment process, successful applicants will be required to submit additional supporting documents including copies of insurance, policies and quotes where applicable.

## **9.0 UKSPF Round 1 Delivery Timeline**

<b><u>Activities</u></b>	<b><u>Date</u></b>
Application for Round 1 UKSPF funding opens	Friday 23 <sup>rd</sup> December 2022
Submission Deadline	Friday 17 <sup>th</sup> February 2023 5pm
Appraisal Process	From w/c 20 <sup>th</sup> February 2023
Applicants contacted regarding outcome of assessment	March 2023
Grant funding agreements issued	March 2023



## **10.0 Support**

10.1 For any queries, please email: [UKSPF@newark-sherwooddc.gov.uk](mailto:UKSPF@newark-sherwooddc.gov.uk).

## APPENDIX A: UKSPF NSDC ASSESSMENT CRITERIA

### Stage 1. GATEWAY CRITERIA

<u>Criteria</u>	<u>Pass</u>	<u>Fail</u>	<u>Partial</u>
<b>Criteria 1:</b> Application signed, fully completed and returned on time	<input type="checkbox"/>	<input type="checkbox"/>	-
<b>Criteria 2:</b> Applicant eligible for funding (1.0)	<input type="checkbox"/>	<input type="checkbox"/>	-
<b>Criteria 3:</b> Evidence of financial standing submitted (2.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Criteria 4:</b> Budget and performance profile submitted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Criteria 5:</b> Provision of Subsidies completed (2.6)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Criteria 6:</b> Confirmation of Polices (3.1 evidence provided later)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Criteria 7:</b> Confirmation of Liability Insurance (3.1 evidence provided later)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Criteria 8:</b> Funding request in line with eligible amounts (Budget and Performance Profile)	<input type="checkbox"/>	<input type="checkbox"/>	-
<b>Criteria 9:</b> Funding request does not duplicate other sources of funding (2.4)	<input type="checkbox"/>	<input type="checkbox"/>	-
<b><u>People and Skills Only</u></b>			
<b>Criteria 10:</b> Confirmed as Voluntary and Community Organisation (1.0)	<input type="checkbox"/>	<input type="checkbox"/>	-
<b>Criteria 11:</b> Previous people and skills performance since April 2019 (1.0)	<input type="checkbox"/>	<input type="checkbox"/>	-
<b>Criteria 12:</b> Loss of ESF funding in 2023 places organisation at risk (2.0)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Applications that fail any element of Stage 1 cannot progress to Stage 2. Applications that have been assessed as partial may progress to Stage 2 however scoring will be allowed with justification from the Assessor.

## STAGE 2. SCORING

The maximum score for each question is 5, based on the scoring framework below.

<b>Score</b>	<b>Assessment</b>	<b>Description</b>
<b>0</b>	<i>Unacceptable</i>	<i>Response to the question is unacceptable or no response received. Does not give the Fund confidence in the ability of the bidder to deliver the contract.</i>
<b>1</b>	<i>Poor/Weak Response</i>	<i>Inadequate detail provided or some of the answer not directly relevant to the question. Is supported by none or a weak standard of evidence in several areas giving rise to concern about the ability of the bidder to deliver the contract.</i>
<b>2</b>	<i>Below Expectations</i>	<i>Limited information provided, and/or a response that is inadequate or only partially addresses the question giving rise to concern about the ability of the bidder to deliver the contract.</i>
<b>3</b>	<i>Satisfactory Response</i>	<i>Acceptable response in terms of the level of detail, accuracy and relevance. Is supported by a satisfactory standard of evidence in most areas but a few areas lacking detail/evidence giving rise to some concerns about the ability of the bidder to deliver the contract.</i>
<b>4</b>	<i>Good Response</i>	<i>Comprehensive response in terms of detail and relevance to the question and supported by good standard of evidence. Gives the Fund confidence in the ability of the bidder to deliver the contract. Meets the Fund's requirements.</i>
<b>5</b>	<i>Very Good Response</i>	<i>As Good, but to a better degree in terms of precision and relevance. Is comprehensive and supported by a high standard of evidence. Gives the Fund a high level of confidence in the ability of the bidder to deliver the contract.  <i>May exceed the Fund's requirements in some respects, for example, added value such as integration/synergy with other projects.</i></i>

The table below will be completed by the panel of assessors using the information provided in the returned application form and supporting documents.

<u>Question</u>	<u>Score (0-5)</u>	<u>Comments</u>
<b>Applicant Details</b>		
(1.1) Description of the main activities of the organisation.		
(1.2) Description of the groups the organisation supports.		
<b>Financial</b>		
(2.1 and 2.2) Explanation and evidence to demonstrate why the project/programme cannot be funded privately.		
Funding request demonstrates value for money in relation to performance profile.		
(2.3) Reassurance the delivery of the project/programme is unlikely to be negatively effected through changes to organisational funding.		
(2.5) Reassurance the risk of clawback and under-performance is low based on previous organisational performance.		
(2.7) Match funding to support delivery. 0- no match funding 3- funding <50%/ in kind contributions. 5- funding 50% or above		
(2.8) Financial sustainability of programme/project and ability to deliver benefits beyond the funding period.		
<b>Project/Programme Details</b>		
(4.2) N&S priority UKSPF intervention(s) selected. 0- No		

5- Yes		
(4.4) Explanation of use of funding and objectives of the proposed activity.		
(4.4) Explanation of how alignment to N&S strategies.		
(4.5) Priority wards for UKSPF investment selected (based on focus areas for LUF).  5 Ollerton & Boughton, Clisptone & Edwinstowe, Bilsthorpe, Rainworth, Blidworth, Newark Town  3 All  1 Other		
(4.6 a/b) A range of service users or beneficiaries identified.		
(4.7) Recognition and demonstration of contribution to environmental sustainability.		
<b>Performance and Delivery</b>		
(5.1) Justification of defined outputs and outcomes.		
(5.2) Explanation of how outputs and outcomes will be captured, measured and evaluated.		
(5.3) Explanation of how the project will be promoted and the service-users engaged.		
<b>Delivery Timelines and Responsibilities</b>		
(6.1) Project milestones and timelines appear achievable with risk management in place.		
(6.2) Sufficient resource allocated to deliver project/programme effectively.		
<b><u>Total:</u></b>	/100	

Scores will be awarded low to high based on the framework above with a maximum score of 100

### **STAGE 3. MODERATION**

Funding from each Investment Priority will be awarded generally to those with the highest scores but with consideration of potential duplication of awarded programmes and the availability of funds in relation to the request. Where applications tie on scores, further moderation criteria will be applied as detailed in Stage 4, or applicants may be invited to discuss/negotiate their total project values.

In selecting projects, overall caps will be applied in line with the maximum total funding available for each Investment Priority in each financial year. This may result in applicants being invited to discuss/negotiate their total project values, their planned profiles of expenditure and outputs and outcomes, or the proportions of revenue and capital funding.

### **STAGE 4. FURTHER MODERATION (IF REQUIRED) AND SIGN OFF OF SUCCESSFUL APPLICATIONS**

Based on the degree of moderation required to end up with a range of Grants which doesn't exceed the maximum funding available in each Investment Priority in each Financial Year, Newark and Sherwood District Council, at its discretion, will agree an additional ranking or scoring framework.

### **NOTIFICATION OF APPLICATION OUTCOME**

Once the outcome of the assessment process has been notified to all applicants, organisations can request feedback on their applications and scoring.