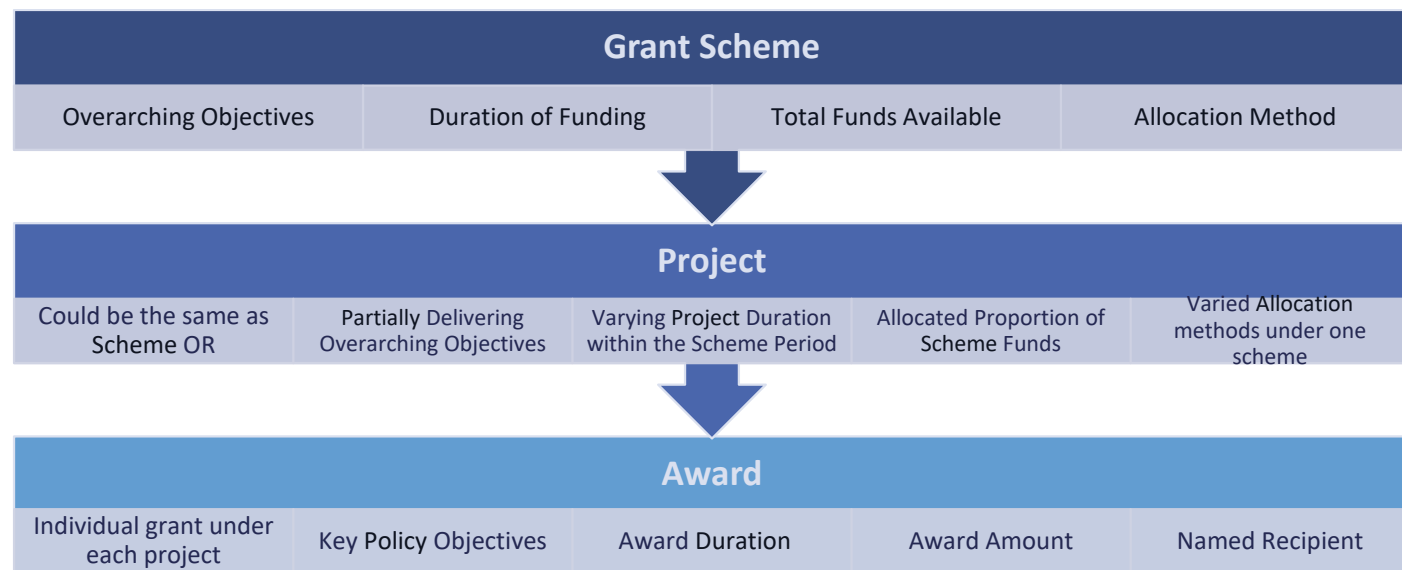


PRE GRANT APPLICATION FORM

Definitions



This form must be completed for all grants. Please speak to [DgC Grants team](#) and refer to Grants 6 Step Process and the [Policy Hub and DgC Grant Guidance](#). Only information boxes outlined in **Red** are Mandatory for initial stage.

For all grants complete sections **A B D** in addition complete section **C** for Direct Award Grants

Is this a Section 31 grant? (Awarded under S31 of the Local Authorities Act)

If you have selected YES please refer to [GP04](#) before continuing to complete this form.

Please complete ALL fields. (Only information boxes outlined in **RED** are mandatory for initial stage completion). The information provided will be used to create the scheme on the Government Grant Register (GGIS). The scheme will be triaged by Government Grants Management Function to select schemes mandated for Complex Grants Advice Panel (CGAP) referral. Non mandated schemes may still be recommended for CGAP advice. For further information relating to CGAP see Grant Standard [Minimum Requirement 3](#) and **step1.2** of the [DgC Grants 6 step process](#).

Have you contacted CGAP independently for advice in relation to this scheme/project?

If YES Please provide the reference number

Provide Details in the **comments** section

Is your Grant sensitive?



If YES we will restrict access to the information on internal systems and GGIS. Provide reasons in Section A comments.

Please indicate what stage form you are submitting

Initial

Updated

Final

Send Initial Enquiry Pre Grant Approval Forms to. DgCEnquiries@defra.gov.uk

Updated and Final PGAF should be submitted to your designated DgC Grants Team Category Officer

Please complete the following self-declaration:

In compliance with Grant Standard Minimum Requirement 10 I have completed the Grants Foundation Learning [accessed through Government Grants Centre of Excellence](#)

☐

I have partially completed or intend to complete the Grants Foundation Learning

☐

Date Completed:

MANAGEMENT AND GOVERNANCE

Issuing Authority

Policy Team

Directorate

Policy Team Grant Manager

Grant Manager Email

Policy Team Other

Policy Team Other Email

Senior Officer Responsible

SOR Email

Finance Business Partner

Finance Director

Counter Fraud Adviser

Subsidy Adviser

Legal Adviser

CGAP Contact

DgC Grant Category Officer

DgC GCO Email

DgC Quality Assurance

SECTION A: GRANT SUMMARY

DgC Grant Project Reference

GGIS Scheme Reference

Is this a New Scheme/Project or a Repeat Scheme/Project?

If this is a Repeat Scheme/project please provide the original scheme reference.

New scheme: a scheme for which no equivalent with the same aims, objectives and application process has existed previously

Repeat scheme: a scheme which represents a new budget administered under an existing framework, in common with prior schemes that share aims, objectives and application process but for a different time period (e.g. financial year or round of funding)

Scheme/ Project Title

Scheme Start Date

Scheme End Date

Payment Commencement
Date

(Date of Intended Grant Award)

Estimated Total Grant (For breakdown see Section B)

How much grant will be Offered?

NB: If Natural England is the Authority, any grant exceeding 50% of the total grant requires Finance Director Approval.

Aims and Objectives

(40 to 4000 characters)

This should be concise and include the specific impact and outcomes e.g. to reduce malnutrition in children under 12 who reside in Birmingham. By the end of year 1 the objective is to provide health and nutrition training to 125 parents living in Birmingham.

Scheme/Project Purpose

COVID-19: Any schemes set up in response to a new need driven by COVID-19

EU Successor: Any schemes set up as successors to EU funds

Manifesto Commitment: Any schemes set up in response to manifesto commitments (if a successor to an EU fund, EU Successor should be selected as the primary purpose)

BAU: Any scheme that does not fit the criteria above and can be considered Business as Usual

SECTION A: CONTINUED

Location of the Project

Recipient Sector

Tick All that Apply

☐

Central Government

☐

NDPBs

☐

Local Government

☐

Private

☐

Civil Society

☐

Individuals

☐

Public Organisations

☐

International

Are Intermediaries involved in running the scheme/project?

Number of Intended Recipients

Are Sole Traders Eligible to Apply?

Public Funding Source
If 'other' please specify
in text box

Expenditure Category

Detail any market
analysis undertaken

Expenditure by
Function

Is this scheme
for R&D?

4 digit Code

SECTION A: CONTINUED

Intended Allocation Method **This is a mandatory field**

☐

General Grant - Competed: applications for funding are invited and evaluated, with awards made based on the content of the application.

☐

General Grant - Direct Award: grants awarded without a competition being run, to deliver against a specific initiative or purpose. (Direct Awards are distinguished from Grant in Aid by the award being specific to a particular project / outcome and also by being open to recipients who are not public bodies.)

☐

General Grant - Mixed: Grants that are a mix of Competed, Criteria Based and/or Direct Award General Grants (This would only apply to a scheme with more than one project required to deliver the overarching objectives.)

☐

General Grant - Criteria Based: grants for which there are defined qualifying criteria for eligibility; all eligible applicants receive awards without competition

☐

Formula Grant: recipients receive a specific award amount calculated by formula

☐

Grant in Aid: **If Grant in Aid please refer to the Finance and Regularity Team before Proceeding any further.**

These funds are allocated from one level of government to another level of government. For example, Central Government departments providing funding towards the running costs of non-departmental public bodies (NDPBs) such as arm's length bodies (ALBs).

If you are proposing a Direct Award Complete Section C Grant funding

requires specific empowering legislation. Is there a Statutory Instrument

Authorising the Funding to a specific organisation?

If **YES** please state the relevant legislation

If **NO** please seek advice relating to [compliance with UK subsidy control](#) available on the [Policy Hub](#) and Defra intranet and by contacting the [Subsidy Control Team](#) and [WTO team](#) for assistance and guidance. Provide evidence of any advice.

Act of Parliament Giving Authority to Give the Grant (Select One)

Natural Environment and Rural Communities Act 2006

Marine and Coastal Access Act 2009

Environmental Protection Act 1990

Flood and Water Management Act 2010

Other (Refer to Step 1.5 of the DgC 6 step process)

SECTION A: CONTINUED

Scheme Risk Profile

Please state the current risk profile of your scheme/project

Refer to the [Fraud and Error guidance](#) and complete the correct level of fraud risk assessment. Submit this document with your assessment to the [Counter Fraud mailbox](#). Attach the assessment and counter fraud sign off email as evidence

Provide details of any Complex or High Risk characteristics

SECTION A: EVIDENCE

Finance Director Approval

Other Evidence: Please List

Training Evidence

Subsidy Clearance

Counter Fraud Sign Off

Counter Fraud Evidence

SECTION A: COMMENTS

SECTION B:

Budget Allocation by Financial Year

20	20	Value (£)
20	20	Value (£)
20	20	Value (£)
20	20	Value (£)
20	20	Value (£)

Seek email approvals for the funding from the relevant delegated authority indicated in the Management and Governance table and attach evidence.

Payments in advance should only be by exception and must be authorised by the Finance and Regularity Team

If there are match funding/contributions from third parties please give details.

Amount (£)	Source
------------	--------

Category Code

Category Codes

Account Code

Defra Codes

Cost Centre Code

NE Codes

SECTION B: EVIDENCE

SOR Approval

Other Evidence: Please List

FBP Approval

Other Delegated

[illegible]

SECTION C: DIRECT AWARD

Direct Award may be considered as an exception where competition would not be appropriate. Please indicate applicable exceptions.

An organisation is the only provider of the service

An organisation inhabits a unique position or offers a specialist function

The cost of approaching the market through competition exceeds the benefits to be gained from supplier competition.

Other

Please give a reason why an exception is required.

Recipient Due
Diligence

If Direct Award is confirmed, applicant due diligence checks are required to ascertain whether the intended recipient is a suitable candidate for grant funding. Please refer to the [guidance](#) and complete the [template](#). Submit as evidence.

Contributions

Is this a contribution to a larger fund/project?

Is this a contribution to an event?

What date will the event take place?

What is the Total Value of the Project?

What percentage is the authority contribution?

Please give details of contributors

Amount (£)

Source

Who is the intended recipient?

Organisation Name

Contact Name

Contact Email Address

Organisation Address

Registered Address
if different

Company number -

Charities Commission number-

Section C Evidence

Due Diligence
Check Sheet

Other Due Diligence
Evidence

Conflict of Interest Declaration

In line with [Defra Code of Conduct](#) and [Civil Service Code of Conduct](#), as requester, are you able to confirm no conflict of interest exists between anyone associated with this request and the proposed Direct Award Recipient?

If you have selected NO please provide details of any proposed mitigating actions in Section D Comments section.

SECTION D: SPECIFICATION/APPROVED PROJECT

Please detail the aims of the project and the purpose of the grant funding including expected outcomes and milestones. Alternatively, use [this template](#) and attach as evidence.

As a matter of good practise detail any considerations given to [Sustainability](#) including Social Value:

Detail any Public Sector Equality Duty Considerations. An [Equality Impact Assessment](#) may be required:

SECTION D: CONTINUED

Please note that grant payments must be made in arrears, for more advice on payment rules refer to the Defra Intranet [finance pages](#). If payments are to be made against milestones, please identify the milestone / outcome and the value attributed to each.

Amount of grant funding	Outcome/ Milestone

Grants are subject to the [No Contract No PO rules](#), the exception to this is where a recipient falls within the foreign payment process. In either case the 6-step process must be followed.

SECTION D: EVIDENCE

Equality Impact Assessment

Other Evidence Please List

Specification Document

Sustainability Evidence

SECTION D: COMMENTS