

# COMMUNITY INVESTMENT FUNDING

## Summary of the Funding Application Process

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## List of Acronyms

RWM – Radioactive Waste Management

NDA – Nuclear Decommissioning Authority

CIP – Community Investment Panel

CIF – Community Investment Funding

GDPR – General Data Protection Regulation

## 1. Background

This guidance is for organisations wishing to bid for Community Investment Funding. It aims to explain the application and funding process and assist you in developing your application and meeting the requirements of the funding.

Community Investment Funding (CIF), in the form of grants, will be available for projects, schemes and initiatives, to those communities that form Community Partnerships and participate in the siting process for a Geological Disposal Facility (GDF). Each community will initially have access to up to £1 million per year. For communities that progress onto technical investigations that require deep boreholes this will rise to up to £2.5 million per year.

A Community Partnership will consider applications and award funding via a Community Investment Panel (CIP).

## 2. Pre-Application Support

RWM can support you with your application. We strongly recommend you contact the Community Investment Team for an informal discussion about your project and funding needs before applying.

Ways we can support you:

- Funding advice to groups considering applying for funding
- Sharing funding priorities relevant to each CIP
- Telephone and/or e-mail enquiries line  
**Email:** [communityinvestment-allerdale@nda.gov.uk](mailto:communityinvestment-allerdale@nda.gov.uk)  
**Tel:** 0300 369 0000
- FAQ's available on the Community Partnership website
- A 'readiness questionnaire' to assist you in preparing to meet funding requirements
- One to one advice from a designated Grants Officer
- Signposting to other sources of specialised support and sources of funding

### 3. Submitting your Application

Your application for Community Investment Funding is made using our online grants system, available at <https://nda.tfaforms.net/25>. The grant application form should be used to set out what you would like the funding for, how it will benefit the community and how it meets any published eligibility criteria and priorities.

Completion of all questions in the Application Form is required and any supporting documentation will need to be uploaded via the Application Form. Depending on the sum requested, supporting documentation may include:

- Constitution / memorandum and Articles of Association
- Most recent management accounts
- Last 3 years annual accounts
- Financial projections
- Policies for example:
  - Health and Safety Policy
  - Volunteering
  - Safeguarding (if relevant) including working with children/vulnerable adults
  - Recruitment/Supervision
  - GDPR/Data Protection
  - Equality, Diversity and Inclusion Policies

For requests for sums over £50,000 please ensure you speak to one of our Community Investment Team prior to submitting your application to check what additional financial supporting documentation may be required.

## 4. Eligibility

Properly constituted private, public and third sector organisations may apply for funding. Organisations may also apply in partnership but would require one organisation to act as lead organisation for the partnership and ‘accountable body’ for the funding. If you are an unconstituted organisation it might be possible for another organisation to apply for funding on your behalf. Individuals may not apply for funding for their own personal use.

As explained in the government policy *‘Implementing Geological Disposal – Working with Communities<sup>1</sup>’*, Community Investment Funding can only be used to fund projects, schemes or initiatives that:

- **improve community well-being.** For example, improvements to community facilities. Enhancement to the quality of life or health and well-being of the community; or
- **enhance the natural and built environment.** Including cultural and natural heritage. Especially where economic benefits, for example through tourism, can be demonstrated; or
- **provide economic development opportunities.** For example, employment opportunities, job creation, skills development, education or training, promotion of local enterprise, long-term economic development or economic diversification.

Funding should also be used to meet any published Community Partnership priorities (these can be found on the Community Partnership website).

### Eligible expenditure

The following outlines what would be regarded as eligible expenditure in any project application.

There are two types of eligible costs – direct and indirect/overhead costs.

**Direct costs** Costs that are directly related to a project activity including both staff costs (e.g. project administration) and non-staff costs (e.g., the costs of advertising the project, purchase of equipment etc). These costs are usually incurred on an item-by-item basis.

**Indirect/overhead costs** Costs that cannot be connected directly to a specific project activity, such as rent and rates, or the cost of support staff (e.g. HR staff).

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<sup>1</sup> <https://www.gov.uk/government/publications/implementing-geological-disposal-working-with-communities-long-term-management-of-higher-activity-radioactive-waste>

The following table provides a guide to supporting documentation that should be maintained for all expenditure. (Full requirements to be determined prior to Grant Agreement)

Eligible expenditure	Evidence that must be retained for up to 7 years after the final payment from us
<p>Staff costs including employer's National Insurance and pension contributions, and any taxable incentives linked to pay</p>	<p>For staff that are working fully on the project:</p> <ul style="list-style-type: none"> <li>• A letter of appointment with start and finish dates;</li> <li>• A job description stating that the individual will be solely employed on the project. The job description should clearly constitute a job specific to the project and of an appropriate scale to take up all the hours that the individual is employed;</li> <li>• payroll information;</li> </ul> <p>For part time staff,</p> <ul style="list-style-type: none"> <li>• Timesheets are to be completed, identifying the time spent working on the project;</li> <li>• payroll information;</li> <li>• Calculation of cost of working on the project.</li> </ul>
<p>Other Costs</p>	<p>For all direct purchases of goods and/or services, the following evidence should be in place:</p> <ul style="list-style-type: none"> <li>• Receipts / invoices for purchases relating to the project.</li> <li>• Quotes received to support value for money should be saved,</li> <li>• For larger purchases, details of the procurement process should be saved.</li> <li>• Overheads e.g. heating, rates etc – copies of utilities bills etc</li> </ul>

## Ineligible expenditure

The following outlines what would be regarded as ineligible expenditure in any project application.

- Paid-for lobbying, which means using grant funds to fund lobbying (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; or attempting to influence legislative or regulatory action;
- Using grant funds to directly enable one part of government to challenge another on topics unrelated to the agreed purpose of the grant;
- Using grant funding to petition for additional funding;
- Expenses such as for entertaining, specifically aimed at exerting undue influence to change government policy;
- Input VAT reclaimable by the grant recipient from HMRC; and
- Payments for activities of a party political or exclusively religious nature.

Other examples of expenditure, which are prohibited, include the following:

- Contributions in kind;
- Interest payments or service charge payments for finance leases;
- Gifts and Hospitality;
- Statutory fines, criminal fines or penalties;
- Payments for works or activities which the grant recipient, or any member of their Partnership has a statutory duty to undertake, or that are fully funded by other sources;
- Bad debts to related parties; and
- Payments for unfair dismissal or other compensation.

## 5. Assessment of Applications

If your application meets the **eligibility** criteria it will then be assessed for **deliverability** (this means – Is the objective of the project achievable with the level of funding requested and the resources available?) and **value for money**. If it does not meet any of these requirements it will initially be rejected, with advice for improvement and further support offered by the Community Investment Team.

RWM will carry out timely and proportionate due diligence and fraud risk assessments of all applications.

## 6. Decision Making and Awards

Grants are competed for by default through an open and transparent grant making process.

A Community Investment Panel (CIP) will be appointed by each Community Partnership with a terms of reference outlining the key roles of the panel. The panel will be made up of members of the Community Partnership, including RWM, and appropriate co-opted members if required.

The CIP will review recommendations made by the RWM Community Investment Team and award funding to applications against the Community Investment Funding (CIF) criteria including any priorities the Community Partnership has decided to apply.

All grant applications and supporting documentation (where required) are subject to review by the CIP who will maintain evidence of the review process and the decision made.

The following approval thresholds will apply:

- The CIP awards grants for applications under £50,000.
- For applications for £50,000 - £100,000 an RWM committee will scrutinise the applications recommended by the CIP and authorise the award of funding.
- Applications over £100,000 will be referred to the NDA Group Investment Committee (GIC). Any issues highlighted by this committee will be returned to the CIP for further consideration.

Each CIP (and RWM/NDA committee for grants over £50k) is provided with all eligible applications, assessments and due diligence information to inform their decision making. It is expected that each CIP will also utilise their local knowledge and experience of the community in making its decision.

## 7. Grant Award & Grant Agreement

All organisations that are awarded a grant will have this confirmed in a grant agreement. This will detail any requirements that may need to be met and will be proportionate to the value of the grant.

The grant agreement will incorporate the defined milestones and outputs for your project. It will also outline the performance management arrangements and reporting processes that are required.

The grant agreement will need to be signed by a representative of your organisation and RWM.

## 8. Managing your grant

You will be required to demonstrate that the grant and related project activity are being managed effectively. This could be through documents and processes such as project plans, risk registers, the ability to track grant income/ expenditure and detail records of the project activity.

If your organisation is audited, you will need all the information required to demonstrate this. All grant recipients will be required to keep project records for 6 years and financial records for 7 years from the end date of the grant agreement.

If you are submitting a partnership/ collaborative application, please ensure you speak with one of our Community Investment Team prior to your application for further guidance.

## 9. Finance

The grant awarded to you is identified in your grant agreement and cannot be increased without a further application. All expenditure must be incurred during the lifetime of the project.

The funding can be used to cover costs you will incur in delivering your project, including capital costs, but there are some costs that are not eligible, these are detailed in the Eligible and Ineligible Costs under '**4. Eligibility**' earlier in this document.

When evidencing your expenditure you will also need to make sure it meets the following criteria;

- The costs are actual. This means that you can demonstrate that they are a real cost – not an estimated, notional, theoretical, lump sum or budgeted cost. They cannot include any profit. Any underspend remaining at the end of your project will need to be returned. This will be demonstrated through evidence such as payroll information, invoices and receipts. The requirement for actual costs applies to the lead organisation and all project partners.
- The costs are incurred and defrayed. You must be able to demonstrate that you are liable for the cost and it has been paid through your bank account. This will be demonstrated through BACs runs and bank statements.
- You must be able to justify value for money for all expenditure.
- We reserve the right to audit your project's finances. If, for example, we suspect that you have incurred any ineligible expenditure, or deliberately under resourced the project in order to make a profit, or if the project performance and/or quality is poor and we need to understand the reasons behind this.

### Clawback

If funding is not used as intended or project activity cannot be evidenced, we may recover some or all of the funding provided.

## 10. Monitoring and reporting

Performance monitoring will be carried out on a quarterly, or six monthly basis (as per the reporting schedule specified in the grant agreement) and will take place over the course of the funding period. You will be required to report against the milestones and outputs specified in your grant agreement. You will receive at least one site visit to review progress with an RWM Grants Manager or Grants Officer.

In the event of non-compliance with the grant agreement, funding may be stopped or recovered.

## 11. GDPR

You will be required to comply with the **General Data Protection Regulation (GDPR)**. Details of your obligations will be provided in detail in your grant agreement

## 12. Publicity

We want to raise awareness of the good work our grant recipients are doing for the benefit of the community and to encourage others to engage with us and seek our support for their projects. For these reasons, we have a set of guidelines for you to follow in relation to how to acknowledge your grant publicly and how to refer to RWM & The Community Partnership in your communications.

Please contact the Grants Team to discuss and agree written authorisation prior to any announcements, materials, publications or press releases referring to the project, the grant, the grant agreement or RWM by you, and if relevant, partner organisations.

## 13. Project Closure

At the end of a grant's life, RWM will conduct an evaluation of the grant, financial payments will be reconciled and lessons learnt disseminated. You will be required to complete an end of project report.



Certificate No LRQ 4008580

**Radioactive Waste Management Limited**

Building 329  
Thomson Avenue  
Harwell Oxford  
Didcot  
OX11 0GD

**t** +44 (0)1925 802820

**f** +44 (0)1925 802932

**w** [www.nda.gov.uk/rwm](http://www.nda.gov.uk/rwm)

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