

Document E3

RURAL DEVELOPMENT PROGRAMME 2014-2020

PROJECT APPRAISAL & ELIGIBILITY CHECKLIST RURAL COMMUNITY DEVELOPMENT FUND (RCDF)

Scheme:	RCDF
Measure:	7
Sub Measure:	7.7
Applicant:	The Pumpkin Patch Cookery and Gardening School
Project Title:	The Pumpkin Patch Cookery and Gardening School
PPIMS Case ID Number:	81123

RISK ASSESSMENT

		Yes/No	Comments																		
1	<p>Please refer to the Risk Flowchart Matrix to determine the level of Financial Appraisal and complete responses below:</p> <table border="1"> <thead> <tr> <th>Risk Criteria</th> <th>Actual</th> <th>Risk Criteria</th> </tr> </thead> <tbody> <tr> <td>Grant Value</td> <td>£128,000</td> <td>>£25,000 <£250,000</td> </tr> <tr> <td>Applicant Type</td> <td>Unincorporated</td> <td></td> </tr> <tr> <td>Credit Rating</td> <td>n/a</td> <td></td> </tr> <tr> <td>Grant Intervention Rate</td> <td>80%</td> <td></td> </tr> <tr> <td>Outcome/Risk Classification</td> <td>Full</td> <td></td> </tr> </tbody> </table> <p><i>Is the Credit Report on file dated over 6 months ago? If Yes, please re-run the report and save a copy on file.</i></p>	Risk Criteria	Actual	Risk Criteria	Grant Value	£128,000	>£25,000 <£250,000	Applicant Type	Unincorporated		Credit Rating	n/a		Grant Intervention Rate	80%		Outcome/Risk Classification	Full		No	
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Applicant Type	Unincorporated																				
Credit Rating	n/a																				
Grant Intervention Rate	80%																				
Outcome/Risk Classification	Full																				

2	<p>Has the project been referred to LNFD (Welsh Government Official (1)) to determine the level of Technical Appraisal? <i>Please confirm the level of appraisal required in comments box</i></p>	Yes	High

3	<p>Has the application been referred to the Financial Appraisal Manager (if required)? <i>Insert date referred and date report received in comments box and update the Budget Management & Project Development Tracker</i></p>	Yes	<p>First referred on 14/12/2016 – this was not a full report as eligibility was in question at this point PPIMS ref 2016-12-14 c81123 – Financial Appraisal required. Financial Risk Matrix received 12/01/2017 PPIMS ref 2017-01-12 c81123 – Financial Risk Matrix. Sent for full financial appraisal once eligibility was confirmed on 15/03/2017 – Further information required 21/03/2017 email to applicant - waiting reply. Final report updated with revised project costs 17/05/2017 PPIMS Ref – 2017-05-22 c81123 – Financial report – revised 17/05/2017</p>
4	<p>Has the application been referred to LNFD (if required)? <i>Insert date referred and date report received in comments box and update the Budget Management & Project Development Tracker</i></p>	Yes	<p>First referred on 14/12/2016 – this was not a full report as eligibility was in question at this point PPIMS ref 2016-12-14 c81123 – Technical Appraisal required. Eligibility has now been confirmed and re-sent for full technical appraisal 15/03/2017 PPIMS ref 2017/03/15 Updated Technical Appraisal Required – waiting reply Final report received 19/05/2017 –</p>

			recommends addition of SC to approval letter covering VAT registration. PPIMS Ref – 2017-05-19 c81123 – Technical Report.
5	<p>Has the application been referred to the Policy lead for advice on Strategic Fit, response received and evidence on file?</p> <p>Does the project have a connection with agricultural/forestry/land-based? <i>If yes, please send the application, for information only to Mark Alexander and Laura Griffiths Agriculture – Sustainability and Development Division.</i></p> <p>Does the project have a connection with animal health and welfare? (directly or indirectly i.e. any thing to do with livestock identification, traceability, movement recording, animal handling etc). <i>If yes, please send the application to OCVO (Christianne Glossop, Chris Hale and Sonia Winstone) along with the specific policy comments form (OCVO) for comments.</i></p>	<p>Yes</p> <p>No</p> <p>No</p>	<p>Received from Digital Inclusion – PPIMS ref – 2017-01-06 c81123 – Policy Comments Form – Digital Inclusion – Medium Rating. Received from Tackling Poverty – PPIMS ref – 2017-01-09 c81123 – Policy Comments Form – Tackling Poverty – Low Rating. Received from Tourism – PPIMS ref – 2017-01-09 c81123 – No policy comments from Tourism.</p>
6	<p>Does the application differ significantly from the EOI submitted and has the appraisal of this been recorded in the Decision report? <i>Refer to PDM/PC if required</i></p>	No	No significant differences

SCHEME ELIGIBILITY CHECK

Please provide responses to questions in the Comments box

		Yes/No	Comments
1	Has the Applicant status been confirmed in the Applicant Eligibility Check? <i>Include status as a comment</i>	Yes	Sole Trader not currently VAT registered - Micro enterprise
2	Is the applicant a legal entity? Is the status of the applicant eligible for the scheme they have applied for? Refer to the “who can apply” section of the RCDF Guidance Notes. <i>Include type of applicant in the comment box</i>	Yes	Applicant eligibility has been confirmed by Welsh Government Official (2) . Please refer to document PPIMS Ref – 2017-02-21 c81123 – PDO Appraisal – Minutes of Video Conference with Applicant
3	Is the project based in a Less Developed Region (LDR), Other <i>Please confirm which area in the comments box and include address</i>	Yes	LDR Allt y Gog Farm Abergorlech Road Whitemill Carmarthen SA32 7AY
4	Has the correct grant intervention rate been applied for in accordance with the Scheme Guidance? <i>Please state the intervention rate in the comments box</i>	Yes	80%
5	Is the Focus Area being addressed by the project correct under the scheme? Must be <u>at least one</u> of the scheme Focus Areas listed in Section 29 of Scheme Guidance Note. The selected focus area must have a financial allocation. <i>List which Focus Area it meets in the comments box and highlight which focus area the project is most closely aligned to (as entered in PPIMS)</i>	Yes	The project addresses Focus Area 6b – please refer to Application part 2 p5-8 and Business Plan PPIMS ref – 2017-03-15 c81123 – Application form part 2 Revised (V2). 2016-10-26 c81123 – Annexe 1 – Business Plan.
6	Please confirm that State Aid regulations apply and are being correctly interpreted? <i>Insert State Aid details in Comments</i>	Yes	Please see scheme guidance

7	<p>Are Planning Permissions and other Licences required? <i>If yes, answer the following questions providing details of documents included in the Comments.</i></p> <p>Has Planning been obtained and supporting documents provided?</p> <p>Are other Licences or consents required and if so details supplied?</p>	<p>Yes</p> <p>Yes</p> <p>No</p>	<p>Full planning consent is required. Documents were submitted via WEFO online on 23/05/2017.</p>
8	<p>Does the grant amount requested fall between the minimum of £400 and maximum of £128,000 threshold and is it in-line with the sub measure minimum/maximum? <i>Please confirm in comments box</i></p>	Yes	£128,000
9	<p>Has the applicant selected a minimum of two case level indicators? <i>See scheme indicator guidance</i></p>	Yes	<p>1.Jobs accommodated – 4.5 2.Premises created or refurbished - 1 3.Enterprise accommodated - 1 4.Enterprise financially supported - 1</p>
10	<p>Is the period of investment within 3 years <i>Note the project time scales in the comments box</i></p>	Yes	<p>Start date PPIMS – 21/06/2017 End date PPIMS – 31/07/2019 Start date Approval Letter – 24/10/2016 End date Approval Letter – 31/10/2019</p>
11	<p>From the financial documentation submitted:</p> <ul style="list-style-type: none"> - Could the project progress without grant assistance? - Is the amount of grant being applied for the minimum gap funding necessary for the project to go ahead? <p><i>Refer to financial report and provide details in the comments box.</i></p>	<p>No</p> <p>Yes</p>	<p>Please refer to Finance report PPIMS Ref – 2017-05-17 c81123 – Finance report – revised 17/05/2017.</p>
12	<p>Where does the match funding for the project come from? <i>Note if the match is in kind/cash and source</i></p>	<p>Exempt under Section 43</p>	<p>Exempt under Section 43 – supporting evidence</p>

			has been provided. Please see Finance report. PPIMS Ref – 2017-05-17 c81123 – Finance report – revised 17/05/2017.
13	For existing businesses, has the economic viability of the business been confirmed? (through the provision of accounts of 3 consecutive years and financial forecasts for the period of the project). <i>Please refer to the Financial Appraisal report and give details in the comments box</i>	Yes	3 years accounts and further 1 year accounts provided... Exempt under Section 43 ... also full financial forecasts for the period of the project. Please see PPIMS Ref – 2017-05-17 c81123 – Finance report – revised 17/05/2017.
14	If the applicant is a new business, have they supplied full details about the background and experiences of the directors, along with other evidence necessary to validate the business plan, the financial forecasts and project proposals? <i>Please refer to the Financial Appraisal report and give details in the comments box</i>	n/a	
15	Has the project information provided explained why the project is necessary for the business at this time. <i>Please refer to the Financial/Technical Appraisal reports and give details in the comments box</i>	Yes	Please refer to p6-7 of Application form part 2 and Business Plan p2 PPIMS ref – 2017-03-15 c81123 – Application form part 2 Revised (V2). 2016-10-26 c81123 – Annexe 1 – Business Plan.
16	Is there evidence that the applicant has discussed their ideas and proposals with the LAG.	Yes	Please refer to p5-8 of the application form part 2 PPIMS ref – 2017-03-15 c81123 – Application form part 2 Revised (V2).
17	Does their project fit with the priorities of their approved Local Development Strategy (LDS) for their area	Yes	Please refer to application form part 2 p5-11 PPIMS ref – 2017-03-15 c81123 – Application form part 2 Revised (V2).
18	Which sub-Measures under Measure 7 does the project deliver against	7.7	Confirmed by Welsh Government Official (3) please see

			document PPIMS Ref – 2017-02-21 c81123 – PDO Appraisal – Minutes of Video Conference with Applicant
19	Is the project under 7.2-7.7 supported by detailed development plan. (not more than 3 years old)	Yes	PPIMS ref – 2016-10-26 c81123 – Annexe 1 – Business Plan.
20	Are the project costs applied for all Capital and/or Revenue	Yes	Please see Delivery Profile - Exempt under Section 43
21	Are the items eligible under the sub-measure? <i>(see section 51-53 of the RCDF guidance notes)</i>	Yes	Please see Scheme Guidance
22	Has the project demonstrated how the following cross cutting themes will be addressed: <ul style="list-style-type: none"> • Equal Opportunities and Gender Mainstreaming • Sustainable Development • Tackling Poverty • Social Exclusion <i>Please refer to the technical appraisal report. Is there evidence to suggest compliance with UK and EU Law.</i>	Yes	Please refer to Strategic Fit and Cross-cutting Themes report PPIMS Ref – 2017-05-22 c81123 – Strategic Fit & Cross-cutting Themes Report.
23	Has the project demonstrated compliance with minimum standards and legislative requirements regarding the environment, hygiene, animal welfare and health and safety standards (to include approvals from the Meat Hygiene Service and the local Environmental Health Officer) <i>See OCVO comments</i>	n/a	
24	If the investment is related to building work has the applicant attained or exceeded the ‘Excellent’ rating under the Building Research Establishment Environmental Assessment Methodology (BREEAM) environmental assessment framework, or equivalent?, This applies to all new buildings, where required <i>LNFD to confirm</i>	n/a	
25	Has the project demonstrated aspirations to achieve zero carbon emissions for all new buildings built from 2011 onward? <i>LNFD to confirm</i>	n/a	

PROJECT APPRAISAL

Please provide responses to questions in the Comments box

		Yes/No	Comments
1	Do you have a conflict of interest that may affect your appraisal of this project? <i>If Yes, please provide details in comments box</i>	No	-
2	Has an Application Form Part 1 been received with the Application Form Part 2? If 'Yes', please check if there are any changes to the original form. If there are, please repeat Stage 1 checks <i>Please state in comments box if Stage 1 checks have been repeated</i>	No	-
3	Are there any outstanding issues to be addressed from Stage 1? <i>If Yes, please provide details of in comments box</i>	No	-
4	Has the Application Form (Parts 1 & 2) been received within 6 months of date of invite letter?	Yes	-
5	Have all sections of the Application Form Part 2 been fully completed and supporting evidence received? <i>If No, state the reasons why in comments box</i>	Yes	-
6	Has an Acknowledgement at Risk Notification letter been issued? <i>Include Date letter sent in comments box</i>	Yes	Issued 04/01/2017 At risk costs from 24/10/2016
7	Does the applicant have a CRN number? <i>If Yes, is it in a status of 'confirmed'?</i> <i>If No, has the applicant requested/been issued with a CD(W) form and/or any issues resolved?</i> <i>Discuss with PDO (TS) if there any issues and what stage they had got to with resolving them</i>	Yes	<u>Exempt under Section 43</u>
8	Are there any costs relating to consultant's and architect's fees, other technical design costs, site surveys and professional fees; planning application fees and costs; fees incurred for statutory permissions, licences and consents? If Yes, have these costs been incurred before the date the application was submitted but not before the start of the Programme?	Yes No	

	<p>If Yes, then the date in the Retrospection / Preliminary section of the Delivery Profile Basic Details should be the date that the costs were incurred and not the date the application was submitted.</p>		
9	<p>Is the project 'start date' and 'end' date within the permitted timescale (Delivery Profile to be no later than 30 September 2021 and End Date to be no later than 31 December 2021) Retrospective costs are eligible from the date of the full application was submitted on WEFO online <i>'Start date' on PPIMS is the date of the approval letter</i></p> <p><i>Please note, the 'start' and 'end' dates on PPIMS and the Approval Letter will never match. Please refer to Sections 7 and 11 of the Appraisal Business Process Desk Instructions</i></p>	Yes	<p>Start date PPIMS – 21/06/2017</p> <p>End date PPIMS – 31/07/2019</p> <p>Start date Approval Letter 24/10/2016</p> <p>End date Approval Letter 31/10/2019</p>
10	<p>If the applicant is an incorporated legal entity, has a copy of the Memorandum and Articles of Association been provided?</p> <p>If not, the Memorandum and Articles of Association can be obtained from the Companies House Website</p>	n/a	
11	<p>If the Business is a Private Sector Business, are the Memorandum and Articles of Association dated on or after 01/10/2009 and refer to the Companies Act 2006?</p> <p>If yes, check the headings to see if it refers to the following: Restriction to Objects, Limited Objects and/or Change to Objects. - If so, refer to Legal Services Send email to the Legal Services mailbox and Nerys Arch LegalServices-RuralAffairsTeam@wales.gsi.gov.uk nerys.arch@wales.gsi.gov.uk – Send a copy of the full application (Parts 1 & 2) and set a 10 day deadline for a response. - If not, no further action is needed.</p>	n/a	

	<p>If the Memorandum and Articles of Association dated prior to 01/10/2009, refer to Legal Services Send email to the Legal Services mailbox and Nerys Arch LegalServices-RuralAffairsTeam@wales.gsi.gov.uk Nerys.arch@wales.gsi.gov.uk Send a copy of the full application (Parts 1 & 2) and set a 10 day deadline for a response.</p>		
12	<p>Has the delivery profile template spreadsheet been issued to Applicant, completed and approved? <i>Template to be issued once the financial & technical appraisals have been completed</i></p> <p>Following approval of delivery profile spreadsheet, has the delivery profile been completed correctly on WEFO online and validated?</p> <p>Has an Ad Hoc Report been saved in PPIMS?</p>	<p>Yes</p> <p>Yes</p> <p>Yes</p>	<p>Issued 22/05/2017</p> <p>Uploaded and agreed 15/06/2017</p>
13	<p>Have the Due Diligence Hub checks been completed?</p> <p>Have any issues been identified? <i>If Yes, please provide detail in the comments box</i></p>	<p>Yes</p> <p>No</p>	<p>Checked 14/12/2016</p> <p>No issues</p>
14	<p>Has the applicant submitted their BACS details? <i>If No, please remind the applicant and note in comments box</i></p>	<p>Yes</p>	<p>26/01/2017 status complete</p>
15	<p>Have all selection criteria been assessed on PPIMS and scored medium or above? <i>(Update overall assessment and ensure PDO assessed complete)</i></p>	<p>Yes</p>	
16	<p>Have all Issues and Actions been completed and closed? <i>Please note - the status cannot be moved to 'Evidence Awaiting Sign Off' / 'Evidence Baselined without acceptance' if any issues/actions are still open</i></p>	<p>Yes</p>	

17	<p>Has the PPIMS status been updated to the following:</p> <ul style="list-style-type: none"> i. Move to status of 'Evidence Awaiting Sign Off' ii. Move to status of 'Evidence Baselined without acceptance' iii. <p><i>Please note - the status cannot be moved to 'Evidence Baselined without acceptance' without a CRN Number. The CRN number will only be accepted on PPIMS if it is in a status of 'confirmed'</i></p>	Yes	
18	Is the Decision Report complete?	Yes	
19	<p>Is the Grant Approval/Rejection Letter drafted?</p> <p><i>Please note, the 'start' and 'end' dates on PPIMS and the approval letter will never match. Please see Sections 7 and 11 of the Appraisal Business Process Desk Instructions</i></p> <p>Is the De Minimis State Aid Notification Letter drafted (if applicable)?</p>	Yes	
20	Are all documents saved on file and the correct naming convention used?	Yes	
21	<p>Are there any outstanding issues which need to be referred to the PDM management check?</p> <p><i>If Yes, please provide details in the comments box</i></p>	No	
22	Please provide details of any issues below:		

Completed by (PDO) (print name)	<u>Welsh Government Official (4)</u>
Signature:	<i>Electronic copy only</i>
Date completed:	15/06/2017

PDM / Management Checks

Please provide responses to questions in the Comments box

		Yes/No	Comments
1	Do you have a conflict of interest that may affect your appraisal of this project? <i>If Yes, please provide details in comments box</i>	No	-
2	Have both the Applicant Eligibility Checklist and the Project Eligibility Checklist been completed satisfactorily? <i>Check both for accuracy and completeness</i>	Yes	All saved to Stage Two Evidence Folder on PPIMS
3	Has the Decision Report been reviewed and completed by PDO and PDM?	Yes	Reviewed, completed and saved to PPIMS
4	Has the application scored a minimum of 'Medium' against all selection criteria? Has PPIMS been updated to complete the PDM Assessment on Assessment and Review?	Yes Yes	All scored Medium or above PPIMS has been updated accordingly
5	Is the information about the project correctly entered on PPIMS? <i>Including Priority (Focus Area), Theme (Sub Measure), Category of Contribution, Retention, Start/End Dates, Current Derogation</i>	Yes	Priority – 6b Theme – 7.7 Category of Contribution – LDR Retention - £0 Start Date – 21/06/2017 End Date – 31/07/2019 Retrospection Start Date – 24/10/2016 Derogation – Mainstream
6	Is the Delivery Profile validated in PPIMS?	Yes	-
7	Are there sufficient funds available in the Scheme budget to commit to this project? <i>Check and update the Budget Management & Project Development Tracker and enter budget remaining in comments</i>	Yes	-
8	Is the correct CRN number being used?	Yes	<u>Exempt under Section 43</u> Confirmed and attached to the Business Party
9	Is the Grant Approval/Rejection Letter complete and accurate? <i>Including Project Details, Start and End Dates*, Financial Details and Special Conditions. Do these match the details entered in PPIMS?</i>	Yes	Start Date – 24/10/2016 End Date – 31/10/2019 Total Expenditure – £160,000

	<p><i>*Please note, the 'start' and 'end' dates on PPIMS and the approval letter will never match. Please see Sections 7 and 11 of the Appraisal Business Process Desk Instructions</i></p> <p>Is the De Minimis State Aid Notification Letter complete and accurate (if applicable)? <i>Including Project Details and amount of aid?</i></p>		<p>Total Grant – £128,000 Intervention Rate – 80%</p> <p>Match what is included within PPIMS</p>
10	<p>Has the project appraisal been completed within 90 working days of receipt of the full Application? <i>If No, state why.</i></p>	No	<p>Full application received on 24/10/2016 – Initial thoughts were that the project was not eligible. A meeting was held with the applicant to discuss. Full appraisal continued after this.</p>
11	<p>Are all documents saved on file and the correct naming convention used?</p>	Yes	<p>All saved to PPIMS</p>

Completed by (PDM) (print name)	<u>Welsh Government Official (5)</u>
Signature:	<i>Electronic copy only</i>
Date completed:	20/06/2017

POST APPROVAL OR REJECTION CHECKS

To be completed by PDO

Please provide responses to questions in the Comments box

		Yes/No	Comments
1	Has the PC approved or rejected the project in PPIMS?	Yes	Approved
2	Has the approval or rejection letter been saved in PPIMS and the Applicant notified?	Yes	Dated 21/06/2017
3	Has the PPIMS status been set to 'Approval Letter Sent' or 'EOI Rejected'?	Yes	
4	<p>If approved, has the Budget Management & Project Development Tracker been updated? <i>(Outcome updated to 'Active', date outcome letter issued and Approved total project costs and approved grant)</i></p>	Yes	
5	If approved, has the acceptance been signed and submitted via WEFO Online	Yes	

	within 14 days? <i>If not, please state reason and resolution in comments box</i>		
6	If the signed acceptance has been received, has the PC moved the PPIMS status to 'Active'?	Yes	
7	If the status has been moved to 'Active', has a plaque been issued to the sponsor and PPIMS updated? <i>(enter date plaque sent on the basic details tab)</i>	No	To be sent
8	If rejected, has the Budget Management and Project Development Tracker been updated? <i>(Outcome updated to 'Rejected', date outcome letter issued)</i>	n/a	
9	Have the Due Diligence Hub pages been updated to reflect the grant award? <i>(Does not apply to public sector)</i>	Yes	
10	If the PPIMS status has been moved to 'Active', has the CRN number been emailed to Nerus Hughes (Nerus.Hughes@wales.gsi.gov.uk) and Gwyneth Wilmot (Gwyneth.Wilmot@wales.gsi.gov.uk), cc Carol Williams (carol.williams@wales.gsi.gov.uk) to request that the Objective 1 Status is updated?	Yes	
11	Has an e-mail been sent to the relevant policy mailbox to inform of approval or rejection?	Yes	

Completed by: (print name)	<u>Welsh Government Officer (4)</u>
Signature:	<i>Electronic copy only</i>
Date completed:	21/06/2017

FINAL MANAGEMENT CHECK To be completed by PDO or PDM
 dependant on who completes the post approval or rejection checks

		Yes/No	Comments
1	Has the Budget Management and Project Development Tracker been updated correctly?	Yes	Tracker Updated Accordingly

Completed by: (print name)	<u>Welsh Government Official (5)</u>
Signature:	<i>Electronic copy only</i>
Date completed:	21/06/2017

CONFLICT OF INTEREST BY PRIORITY CONTROLLER

If you have a conflict of interest that may affect your decision on this project please provide details here.

None

Completed by (print name): **Welsh Government Official (6)**

Signature: Electronic copy only

Date completed: 27/03/2018