

# Outline Application and Guidance (Logasnet Version) European Structural Investment Funds-Form-2-001

The Outline Application must be completed by the **Applicant** and submitted to the **Managing Authority** via the IT system.

The **Managing Authority** will use the Outline Application form to carry out its assessment of the **Applicant's** proposal with the aim of determining whether the application meets the core selection criteria to be considered for funding.

This initial assessment will include considering relevant representations from the **Local Enterprise Partnership Area European Structural & Investment Funds Committee** about the operation's contribution to the needs and opportunities identified in the local European Structural & Investment Funds strategy.

For calls which cover more than one Local Enterprise Partnership area, you only need to submit one Outline Application but must attribute expenditure and certain other details to each Local Enterprise Partnership area covered.

Please note that the **Local Enterprise Partnership Area European Structural Investment Funds Committee** will have sight of the contents of the application, together with the **Managing Authority's** assessment. Applicants should highlight if any commercially sensitive information should be withheld from the **Local Enterprise Partnership Area European Structural Investment Funds Committee** and the reasons for this.

## **Do not use this sample form to apply**

We have provided this sample form to help you prepare your outline application. To actually apply, you will need to use our online application service.

Where anything in this document is shaded yellow, it is intended as supporting guidance.

### **How to register for the online application service**

Register by sending an email to [esif1420.ITqueries@communities.qsi.gov.uk](mailto:esif1420.ITqueries@communities.qsi.gov.uk)

Put 'Register to apply for European Structural Investment Funds' in the subject line. In the email, include:

- Your full name
- Full name of your organisation
- Email address
- Phone number (including extension)

**Allow 10 working days for us to set up your registration.** Then we will

send you a link to the online application service.

The following 'tips' are designed to help you use the system as efficiently as possible:

- Depending on your bandwidth the system may be slow. It's not advisable to attempt to complete the form whilst using a wi-fi connection.
- The IT system should not be opened using Google Chrome.
- Make sure that you actively 'save' your work every 15-20 minutes. If you don't the system will log you off without warning and any changes will be lost.
- It is advisable to complete your application 'offline' and when satisfied it's ready, 'copy and paste' into the online system. This will avoid the loss of work if you fail to save in time and will provide you with an accurate record of what you have submitted.
- There are character limits on the fields. If you need to provide more information it will need to be uploaded at the end. Please note that as this is Outline stage, it is not anticipated that more information will be required.
- If you intend to submit attachments, you must follow the guidance on file naming to ensure that your attachments are linked to your application.
- If you amend and re-certify your application after the call deadline, it will be rejected.

## Introduction

The Outline Application captures summary information to enable the Managing Authority to test your proposal(s) against the Core Selection Criteria and determine whether the project will be invited to submit a Full Application or be rejected. The Managing Authority will use this form to undertake basic checks to ensure that the project is eligible for European Structural Investment Funds investment and meets the criteria set out in the call for proposals against which it is being submitted. The core selection criteria can be found within the call and further information on the selection criteria are included in an annex to this guidance. Any queries on completing the application should be directed towards the contact found within the call itself.

The content of the Outline Application should provide a brief factual description of the proposed project activities. The length of the Application will depend on the scale and complexity of a project and how developed the proposal is.

Where appropriate and available, references should be made to economic data and reports either Government or industry guidance and independent verification e.g. state aid guidance and verification, financial reviews, valuations and accreditations.

In the 2014-20 European Structural Investment Funds programme, each Local Enterprise Partnership area has a Local Enterprise Partnership Area European Structural Investment Funds Committee whose function includes considering applications for funding and advising the Managing Authority on the suitability or otherwise of an application's fit with the local priorities in that Local Enterprise Partnership area. The Local Enterprise Partnership Area European Structural Investment Funds Committee will use the Outline Application to make this judgement and the Managing Authority will carefully consider the advice from this Committee in deciding which applications to take forward.

Throughout this document, the term "European Structural and Investment Funds" is used to refer to both the European Regional Development Fund and the European Social Fund.

## What you need to do

Before completing the Outline Application form, you are recommended to familiarise yourself with the call, the Operational Programme and the relevant European Structural Investment Funds strategy. Government's intentions for the use of European Structural Investment Funds funding in England are set out in the Operational Programmes for the European Regional Development Fund and the European Social Fund. Applications must ensure they deliver against the objectives within the appropriate Programme. Links to the Operational Programmes are contained in the call. Local Enterprise Partnership areas were invited by Government to develop an European Structural Investment Funds strategy setting out the priorities for European funding in their area. Links to the relevant European Structural Investment Funds strategy are also included in the call document.

Once it has been submitted, your Outline application will be assessed within the Managing Authority. Having read your Outline Application, the assessor should know what you intend to do, how you will do it, where you will do it, how much it costs and who will benefit from it. If these basics are not clear, the Managing Authority and the Local Enterprise Partnership Area European Structural Investment Funds Committee will be unable to understand your project and the Managing Authority is more likely to reject it. Therefore you are strongly encouraged to:

- ensure you read this document thoroughly;
- explain things clearly: assume the reader will not be familiar with your proposed activity or organisation; and
- explain any acronyms.

Be focussed and realistic, don't promise the world. If you later find that you are unable to deliver the activities or targets you have set out at this stage, your full application may be rejected.

If you have any questions, please use the contact stated within the call.

**Please note it will not be acceptable to simply state “the project will be delivered in accordance with European Structural Investment Funds requirements” as a response to any part of this application form, you should clearly describe how you will meet these requirements.**

**At the end of this document, there are four annexes provide more detailed guidance to support your application:**

- Annex A: Eligibility rules guidance
- Annex B: Selection criteria guidance
- Annex C: Publicity requirements
- Annex D: Cross Cutting Themes guidance

Additional guidance relating to output and results and to procurement is in development and indicative dates when this will be published on [www.gov.uk](http://www.gov.uk) are included in this document. This means you may need to re-visit relevant sections of your application form when the guidance is available. The availability of guidance will be taken into account in assessing your application form.

## 1.0 Applicant

Access (drop down menu)			
Unless this is a European Social Fund Opt-in application, you should select 'Open Call'.			
Local Enterprise Partnership (drop down menu)			
Select the Local Enterprise Partnership area for which the application covers. The option of multi-Local Enterprise Partnership is available if you are responding to a multi-Local Enterprise Partnership call. This information should be available in the Call.			
Fund (drop down menu)			
Which European Structural Investment Funds fund are you applying for? Select 'R' for the European Regional Development Fund and 'S' for the European Social Fund. This information should be available in the Call.			
Organisation type (drop down menu)			
Use the drop down menu to select the organisation type. Universities are considered 'public' bodies for the purpose of European Structural Investment Funds. If you consider that your organisation fits more than one type (e.g. a Community Interest Company or a Trust, may also be a Social Enterprise) select the one you consider to be most appropriate. If none apply, please use the free text box 'Other' to type in your organisation status.			
Company/charity registration number (where applicable)			
Please insert here your company or registration number. If is it not applicable please type 'N/A'.			
Value Added Tax number (where applicable)			
If the applicant organisation is Value Added Tax registered, you should insert the Value Added Tax registration number here. If not applicable please type 'N/A'			
For private sector applicants, what is the size of the enterprise applying for funding?	<b>Small</b>	<b>Medium</b>	<b>Large</b>
<p>Private Sector type - Where you have selected private sector, you need to tick against the appropriate size for your organisation. The main factors in determining this are number of employees and turnover. Where the company is part of a group, you may need to consider the staff numbers and turnover for the whole group. A full European definition of Small and Medium size Enterprises can be found at the following link:</p> <p><a href="http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm">http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm</a></p> <p>The type and size of the applicant will be taken into account when assessing the proposals compliance with state aid rules.</p>			

Website	
Provide the most appropriate website address for the applicant organisation.	
Applicant address	
Applicant Address – Line 1 is mandatory, as is the town / city. Address lines 2 and 3 are optional depending on the length of your address. This should be the main postal address for the applicant organisation. If the organisation has multiple addresses, it should be the address that all postal correspondence such as the Funding Agreement should be sent. Full address details except the postcode should be entered here.	
County	
Select from the drop down list. This is the town / county that completes the address given above.	
Postcode	
Please enter the postcode for the address given above in the following format: XX00 0XX	
Name of contact	
Please insert here the name of the person within the applicant organisation who will be the main contact for the purpose of the application. This person may change should the application proceed to a Funding Agreement, but should be consistent in as far as is possible for the duration of the project development.	
Job Title	
Please insert here the job title of the person named above. If it is unclear from the job title what the person's role is within the organisation please expand here and give their position.	
Email	
Please type the email address of the person named as main contact	
Main Telephone Number / Ext	
Telephone Number – Please insert the main telephone number of the person named as main contact	
Mobile Number (optional)	
Mobile Number – Please insert the mobile number of the person named as main contact. This is optional so if you do not want to do this then please leave blank.	
Alternative Email Address	
Please insert an alternative email address if there is an appropriate one to use. This is optional so if you do not want to do this please leave blank.	
Will the project involve Delivery Partners? If yes, please complete annex 1b for each Delivery partner.	
Delivery partners – if the project has delivery partners (as opposed to sub-contractors) you should tick yes and then complete annex 1b for each Delivery partner. Delivery Partners can add real value if you have an effective working relationship with them. But they add to the complexity of your managing of the project.	

A **Delivery Partner** is an organisation with responsibility for delivering elements of the project's activity and for a share of the project's outputs and results.

Delivery partners may provide match funding but they cannot make a profit from the European Structural Investment Funds they receive. They will follow all European Structural Investment Funds funding audit and compliance requirements which the lead partner will verify; this includes checking invoices, timesheets, outputs and results evidence.

Delivery Partners receive European Structural Investment Funds funding via the lead partner (i.e. the applicant). A legally-binding agreement, such as a Service Level Agreement is required between the lead partner and delivery partner. The Service Level Agreement details the requirements and liabilities of the delivery partner and should reflect the terms of the lead applicant's Funding Agreement.

Delivery partners can come from the public, voluntary or private sector. Sometimes the lead partner will assemble a number of partners to form a consortium. However, there will always be one lead partner who will sign the Funding Agreement with the Managing Authority and hold ultimate accountability and responsibility for the project.

The lead partner does not normally 'sub-contract' (i.e. procure) a Delivery Partner as they are in a partnership arrangement to deliver the European Structural Investment Funds project together.

Only the Grant Recipient or a Delivery partner can defray expenditure on a European Structural Investment Funds Grant.

A **Sub-contractor** is not the same as a Delivery Partner. Instead, there is a contractual arrangement following a procurement exercise between the lead partner and an organisation/individual. For example, where a lead partner hires a consultant to deliver part of the project activity and achieve a share of outputs and results, for which the lead partner will invoice the consultant.

Any sub-contractors involved with your project, will need to have been procured correctly. Errors often occur when sub-contractors are procured prior to the start date of the project. A sub-contractor does not provide match funding.

A **Strategic partner** is not the same as a Delivery Partner or sub-contractor. Instead, these are organisations are involved in overseeing the project; they may be members of a steering group for example. Partners can come from the public, private or voluntary sectors. Strategic partners do not provide match funding, nor do they receive any European Structural Investment Funds funds.

If Yes, describe how the Delivery partner(s) have been identified, any financial contribution made by the Delivery Partner(s) to the project and how the Delivery Partner(s) directly support the delivery of the project's objectives and activities

Delivery Partners – bearing in mind the definition of Delivery Partner; please use this section to explain how the partners have been identified, whether or not they are making a financial contribution to the project and what other involvement they will have. If you do not have any Delivery Partners, please type 'N/A'.

Has the organisation previously delivered European Social Fund, European Regional Development Fund or European Agricultural Fund for Rural Development (EAGGF / RDPE) funded projects?	Yes		No	
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This question is asking about previous experience of delivering European funded projects. The funds to which it refers are the European Social Fund, European Regional Development Fund, and European Agricultural Fund for Rural Development, European Agricultural Guidance & Guarantee Fund, and Rural Development Programme for England.

Please tick yes if the organisation named at 1.1 has previously been a lead applicant or delivery partner in any projects delivered using any of these European funds during the 2000 – 2006 Programme or the 2007 – 2013 Programme.

If Yes Please provide the official reference number and name of fund of the 10 most recent previous and existing European funded operations that the applicant has been involved in. If this is not available, provide the name of the operation, role within the operation, start and end dates. (This should include any European Social Fund, European Regional Development Fund, and European Agricultural Fund for Rural Development, European Agricultural Guidance & Guarantee Fund, and Rural Development Programme for England) operations from the 2000-06 and 2007-2013 or the 2014 -2020 Programmes).

Reference number and details – If you answered yes, you should be able to find the project reference number on any previous project correspondence.

If however, you are unable to find this, you should list the name of the relevant fund(s) (i.e. European Social Fund or European Regional Development Fund etc), the project name(s), role(s) within the project(s) and start and end dates.

It should be noted that the Managing Authority will use this information to look at past performance and if there have been errors, irregularities etc. the Managing Authority will look to see evidence in section 8.0 (Project Management and Governance) that steps have been taken to address the issues.

## 2.0 Project Details

Project Name			
You should give your proposed project a name. This should be concise and will be the name that will be used on correspondence thereafter.			
Total project value (£)		Total European Structural Investment Funds sought (£)	
Total Project Value: This is the amount of European Structural Investment Funds sought and the eligible match funding brought to the project in format £00,000,000		Total European Structural Investment Funds funding sought – This is the total amount of European Regional Development Fund, European Social Fund or Youth Employment Initiative funding sought and should be consistent with all other references to finances throughout the application. A very common error in applications is inconsistencies within the form with regards to financial totals. Be wary of rounding errors. Use the format £00,000,000	
Of Which	European Regional Development Fund (£)		
	European Social Fund (£)		
	Youth Employment Initiative (£)		
This comes from the total European Structural Investment Funds sought split between the funds where relevant. If the totality of funding requested comes from European Regional Development Fund, European Social Fund or Youth Employment Initiative, then the figure in total sought will be repeated in the appropriate box.			
Local Enterprise Partnership Area (s) covered			
Local Enterprise Partnership Area(s) covered - here you should use the drop down list to select each Local Enterprise Partnership Area covered by the project. If this is a single Local Enterprise Partnership Area project, just select the one relevant Local Enterprise Partnership Area. Include Local Enterprise Partnership areas where you will actively deliver the project and any areas you believe beneficiaries may travel from to access the project.			

Name of relevant European Regional Development Fund or European Social Fund Operational Programme Priority Axis	
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Name of Operational Programme Priority Axis. As the applicant you should ensure that you are familiar with part of the Operational Programme where your project fits and subsequently the aims and objectives of that part of the Operational Programme. You should find this information in the Call.

Name of European Structural Investment Funds Investment Priority	
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Name of European Structural Investment Funds Investment Priority. Each Priority Axis has one or more Investment Priorities. This information should be found in the Call. If the Call includes a number of Investment Priorities you will need to select the appropriate one(s).

Lead Local Enterprise Partnership Area	
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Where you have selected multiple Local Enterprise Partnership areas, you should now select from the drop down menu a lead Local Enterprise Partnership area. This would usually be the Local Enterprise Partnership area in the project where the majority of the European Regional Development Fund or European Social Fund would be spent

1	2	3	4
<b>Proposed Start Date</b> <i>i.e. date from which eligible expenditure will be incurred</i>	<b>Proposed Financial Completion Date</b> <i>i.e. date by which eligible costs will have been defrayed</i> (European Social Fund contractual completion date)	<b>Proposed Operation Practical Completion Date</b> <i>i.e. date by which all Outputs/Results will be achieved</i>	<b>Activity End Date</b> <i>i.e. the date by which all the operation's activities described in the application and Funding Agreement will be completed</i>

Project dates – Please note that the dates you provide in the Outline Application form are only proposed dates.

**Proposed Start Date** - This is the date from which that eligible project-related expenditure can be incurred and counted towards the project. Except in exceptional circumstances the date can be no earlier than the date on which you are advised by the Managing Authority that you have been invited to submit a Full Application. You will be informed of this date in writing. This is likely to be after any due diligence checks have been satisfactorily concluded.

**NB** If you commence project activity, or enter in to any legal contracts, including the ordering or purchasing of any equipment or services before the formal approval of your project and before you have signed an European Structural Investment Funds Funding Agreement, any related expenditure is incurred at your own risk as the project may not be approved.

**Proposed Financial Completion Date** - (for the European Social Fund sometimes known as the 'Contractual Completion Date') This is the date by which all expenditure on the project has been incurred and left the applicant's bank account (defrayed). The deliverability of the project and the realism of timescales must be taken into account when proposing this date.

**Proposed Project Practical Completion Date** - This date refers to the final date on which you achieve the Targets. The deliverability of the project and the realism of timescales compared with proposed activities, deliverables, outputs and outcomes should be taken into account when proposing this date

**Activity End Date** – This is the date on which you cease to provide a service to clients. This is most relevant (though not limited) to, business support type products; this is likely to be before the practical completion date for European Structural Investment Funds purposes. It is unlikely to be relevant for a capital build project, if there is no service to end users such as Small and Medium Enterprises.

<b>Project Funding</b>							
		European Regional Development Fund / European Social Fund (a) (£)	Public Match (b) (£)	Private Match (c) (£)	Total (d) (£)	Contribution rate (%) (a)/(d) x 100	Total public funding (%) (a+b)/d 100
Capital	European Regional Development Fund						
Revenue							
<b>Sub Total</b>							
Capital	European Social Fund						
Revenue							
<b>Sub Total</b>							
Revenue	Youth Employment Initiative						
<b>Sub Total</b>							
<b>TOTAL</b>							

Project Funding- Proposals can be made requiring both capital and revenue and from a variety of different European Structural Investment Funds. This table is intended to give a snapshot of the size and scope of the project. It also provides important information on the 'intervention rate' i.e. what percentage of the total project costs are being met by European Structural Investment Funds and the percentage of total project costs being provided by public funding which can be important for state aid depending on the scheme.

Note that you will need to scroll down in the online application form to enter funding details into "Annex 1a" – the Funding Profile.

### 3.0 The Business Case

What is the project? (100 words)

- What is it going to do?
- What will it achieve?

You should state concisely what it is you intend to do. You are restricted here to 100 words.

How will the project be delivered, to and by whom?

Briefly explain:

- The specific activities that will be undertaken as part of the project
- Who are the target beneficiaries?
- Where the project's activity will take place

How is it delivered? – You should expand on the above and provide concise information on how the project is to be delivered, to and by whom briefly explaining the specific activities, the target beneficiaries and where the activity will take place, for example, part of a Local Enterprise Partnership Area, a whole Local Enterprise Partnership Area, a specific address, or multiple Local Enterprise Partnership Areas.

#### Strategic Fit

Why is this project considered the best solution to the needs/opportunities set out in the Call Specification?

- Please explain how the proposal fits the Call Criteria
- Explain why the proposal should be viewed as the best option (solution)

Why is this project the best solution? – Having considered the needs as defined in the Call, you should set out how the project meets the aims, specific needs and opportunities identified in the Call for Proposals to which you are responding and why you think this is the best way of responding to these needs. You may also wish to describe alternative delivery options which have been dismissed.

Explain how the project will deliver the objectives of the Operational Programme at local (Local Enterprise Partnership area) level and will demonstrate alignment with local growth priorities set out in the local European Structural Investment Funds Strategy.

Strategic fit against both the Operational Programme & the relevant European Structural Investment Funds Strateg(y)ies – Please ensure this section covers the following points,

- How the project contributes towards the Operational Programme Priority Axis and relevant Investment Priorities;
- How the proposed activities contribute to the delivery of the relevant Local Enterprise

Partnership Area's European Structural Investment Funds Strategy;

- How the project complements and/or avoids duplicating other activities already taking place in the programme area;
- Clearly explain and evidence linkages with other initiatives and plans.

See the call specification for details. You may expand on your answers at the Full Application stage.

Do not try to make your proposal fit with the strategy; instead build-up from the strategy to develop your project proposal.

## Support for Cross Cutting Themes

### Support for the sustainable development theme

- How does the project respect the principle of sustainable development? In particular how does the project maximise positive environmental impacts or mitigate potential negative impacts having regard to the "polluter pays" principle where applicable?

All projects awarded European Structural Investment Funds funding must comply with European environmental legislation, which seeks to ensure that projects do not have adverse effects on the environment. European environmental legislation also requires that projects that are likely to have significant effects on the environment shall be subject to an assessment of those effects. For some types of projects, an assessment is mandatory, while for others it depends on whether the project is judged to have significant effects on the environment. Member States are required to give the European Commission, where appropriate, information about the environmental impact of measures for which funding is sought. In preparing the project application, it may be necessary to consult a competent environmental authority, depending on the nature of the project deliverables.

**Further guidance, particularly with regards to European Social Fund requirements at full application stage are contained as an annex to this form.**

### Support for the equality and diversity theme

- How will equality between men and women be taken into account and promoted in the project?
- What steps will be taken to prevent discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation during the preparation and implementation of the project?
- How will accessibility for persons with disabilities be taken into account in the project?

You should briefly explain how your project contributes to, and meets the requirements of, the equality and diversity theme. Projects must demonstrate commitment towards addressing equality issues as outlined in the European Regional Development Fund or European Social Fund Operational Programme and as set out under the 2010 Equalities Act. Equality should be integrated into all aspects of project planning, development, implementation, monitoring and evaluation. It must be embedded not only within the services the project provides, but also in the way the project is delivered.

Further guidance, particularly with regards to European Social Fund requirements at full application stage are contained as an annex to this form.

## 4.0 Justification

### Why should the Project Receive European Structural Investment Funds Funding?

Explain why the project should receive European Structural Investment Funds. Explain how the project will provide added value above existing or planned activity.

Please explain how the project delivers additional activity over and above what would otherwise be delivered, and or how the project activity would improve what might otherwise be delivered e.g. it might be increasing the quality/duration of interventions or allowing activity to commence more quickly.

European Structural Investment Funds cannot fund that which would have taken place anyway. You should be mindful of this when you seek funding.

Briefly explain the impact for the project for each of the following:

- If the project did not receive European Structural Investment Funds
- If the level of European Structural Investment Funds was reduced
- If there was a delay in European Structural Investment Funds

Describe here what would happen to the project in the three scenarios given. For example would it result in the project not going ahead at all? Going ahead at a reduced scale?

## 5.0 Project Schedule & Deliverables

### Key dates and milestones

Complete the schedule below with the key project milestones for the on going development and implementation of the project.

Milestone	Forecast Date

Key dates and milestones - In this section you should provide assurance that you have considered the implementation of the project; you are asked to provide key milestones. These should be both internal and external. For many projects these will only be initial indicative dates. It is important that the Managing Authority can understand the key stages within the project and when these might be achieved and any interdependencies. Examples may include (but not limited to):

- Commencement and completion of procurement/recruitment

- The start of delivery or construction work
- Planning permission approved
- Consents in place
- Key stages in the construction e.g. completion of ground works
- Completion of first deliverables
- Completion of final deliverables
- Payments Complete (note possible retentions for capital projects)
- Project Close

Please ensure that both capital and revenue milestones are included, where applicable.

## 6.0 Costs and Funding

Please summarise what the project budget (as detailed in Annex 1a) will be spent on.

In addition to completing the annex, summarise what the project budget will be spent on – please provide the narrative around the budget headings and what is contained within each.

Also consider the profiling of the expenditure. Bear in mind:

- European Structural Investment Funds operates by calendar years (January-December.)
- Be as realistic as possible about when expenditure will occur and be defrayed– European Structural Investment Funds operates on the basis of defrayed expenditure i.e. when a payment leaves the projects bank account, not when an invoice or cheque has been written/sent.
- Consider carefully the time requirement to get the project started – will it be necessary to factor in time for recruitment/procurement/formalising the partnership? Most projects spend very little in their first couple of quarters.
- European Structural Investment Funds is reimbursed upon submission of a claim. The applicant must ensure there is sufficient cash flow to manage the project.
- Include sufficient resources to administer and manage an European Structural Investment Funds project.

A10% retention is held back at the end of every European Structural Investment Funds Project whilst the final claim and final verifications are carried out.

Comment on how the project costs have been estimated. What is the level of certainty relating to the costs you have identified? More detail will be required at the full application stage.

Please explain how these costs have been estimated. The narrative should also include a

statement covering the level of certainty in the costs e.g. the extent to which costs are verified by benchmarking, third-party review experience of similar costs etc. Whilst this is Outline stage you should have some degree of certainty on overall budgets as substantial changes at the Full Application will result in a change to the Value for Money Assessment.

Please advise if irrecoverable Value Added Tax will be claimed

Please advise if the budget includes Value Added Tax that cannot be recovered from Her Majesty's Revenue and Customs and explain why the Value Added Tax is non-recoverable. If Value Added Tax can be recovered from Her Majesty's Revenue and Customs, it cannot not be part of the European Structural Investment Funds budget.

State the source of your match funding, whether it is in place and if not, when is it likely to be confirmed?

Source(s) of match funding – If you as the applicant are providing the balance of funding (i.e. the difference between total costs and eligible costs) then type 'Applicant's own funds, confirmed or unconfirmed'. If some other organisation(s) (including bank loan) is / are providing the balance of funds you need to state here who this / these organisation is / are and whether it's confirmed, and if not when it will be confirmed. It is not a requirement that match funding is confirmed at this stage but the applicant should know where it is being provided from and if it is not confirmed, when it is likely to be confirmed. Please explain the implications for the project if the match funding is refused.

If the applicant is seeking to use Small and Medium Enterprise contributions which are not confirmed then state "Small and Medium Enterprise contributions".

Is the project likely to generate income?

If a project generates income there are consequences on the amount and level of funding that can be provided. This is covered by Article 61 of the regulations. Therefore you need to answer whether or not the project will be charging for any services or generating rental income etc? If you reply 'yes' please provide a brief description of the type of income. This will be explored further at the full application stage.

If appropriate (multi Local Enterprise Partnership Area projects) explain how the costs have been shared between areas.

Multi-Local Enterprise Partnership area costs – if your project is responding to a Multi Local Enterprise Partnership area call (this will be stated clearly in the Call document) and the costs have been shared between Local Enterprise Partnership areas, please explain how the costs have been shared e.g. 50:50 split based or an explained methodology etc.

If you are not responding to a multi-Local Enterprise Partnership area call you should type 'N/A' here.

## 7.0 Deliverables

### Results / Outputs

Please indicate which, and how many Results/Outputs your project will deliver.

Local Enterprise Partnership area (from Pick List)

% split

If your project is a multi-Local Enterprise Partnership area project you will need to indicate the expected split of the deliverables (the outputs and results) by Local Enterprise Partnership area. Please ensure that the total % split across the Local Enterprise Partnership areas you have listed adds up to 100%.

If your project only covers one Local Enterprise Partnership area, select the relevant area and enter the split as 100%.

Fund, Indicator type, Indicator, Annual target

Please select as many that apply; firstly the fund type, then whether it is an output or result then the type of indicator followed by the number that is forecast to be achieved in each separate year.

Please note that guidance on outputs and results, including definitions, will be available on [www.gov.uk](http://www.gov.uk) in April. At this stage, please complete this section with your best estimate of forecast deliverables and we will discuss this with you further should your application be successful.

If your application is responding to a call for **Technical Assistance** under either the European Regional Development Fund or the European Social Fund, guidance on outputs and results is available on [www.gov.uk/european-growth-funding](http://www.gov.uk/european-growth-funding) .

For other **European Regional Development Fund proposals only**, applicants only need to identify outputs.

The selected deliverables must be:

- Relevant to the Programme you are applying to i.e. do not select European Social Fund outputs if you are applying for funding from the European Regional Development Fund.
- Consistent with proposed activity, project scope and European Structural Investment Funds strategy. The forecast deliverables should be appropriate to the size of the project and the description.
- Logical i.e. there should be a clear logic chain linking inputs to outputs, results and eventual impacts.
- Achievable i.e. don't set yourself up to over-promise and under-perform.

Please describe the rationale and assumptions you have made in establishing the outputs and results which will be achieved. This must link clearly to the project's activity and objectives. Please explain your method for calculating the target levels.

This must link clearly with the project's activity and objectives; your methodology and baseline assumptions must be outlined here.

## 8.0 Project Management and Governance

The responses given in this section should reflect the stage of development that the project is at. If this detail is yet to be determined then this is acceptable at Outline stage. However, you will need to describe what processes are in place and what steps are being undertaken to determine and put in place what is outstanding.

Outline the project management and control systems that will be established for the project, demonstrating that the project has the appropriate capacity to meet the requirements of European Structural Investment funds.

Managing and delivering a compliant European Structural Investment Funds project requires all parties to adhere to the European Union's Regulations, the Managing Authority's national rules and the terms and conditions of the funding agreement. Please briefly explain the management and delivery structure to be put in place to ensure effective management and control of the project. Failure to establish robust management and control systems may result directly or indirectly in the Managing Authority reducing the amount of funding provided to your project.

Describe who will take day to day responsibility for the project, who has overall responsibility, how the applicant organisation is structured and the associated accountability and reporting lines for this project.

Where other delivery partners are involved, these must be included in the description of the overall management and delivery structure for the project. Explain the role of Delivery Partners in the governance structure.

If you have previously been involved in delivering European funded projects and have incurred irregularities, the Managing Authority will consider whether or not appropriate steps have been taken to learn from previous errors and implement changes to avoid it happening again.

Outline how the project will gather evidence of outputs and results.

Evidence of Outputs and Results - It is vital that you are able to accurately report the European Structural Investment Funds fund outputs and results the project will deliver and that you are able to evidence these at audit. Please briefly describe how you would gather evidence and manage the monitoring of outputs and results.

Please describe whether or not the necessary team is in place to carry out the project and if not what the plans are to recruit the relevant expertise?

You should be able to provide some assurances here that the necessary resource is either in place or plans are in place to get the appropriate resource to carry out the project. This might include internal / external recruitment. You don't need to go into detail here of where or how the recruitment would take place just whether or not you would need to recruit once the project was approved.

## 9.0 Financial Management and Control

The responses given in this section should reflect the stage of development that the project is at. If this detail is yet to be determined then this is acceptable at Outline stage. However, you will need to describe what processes are in place and what steps are being undertaken to determine and put in place what is outstanding.

Outline the financial management and control systems that would be used for the project, including the process for compiling and authorising European Structural Investment Funds claims for payment?

It is vital that you are able to accurately account for expenditure that will be supported by European Structural Investment Funds and that costs not associated with the project are not included in any grant claims. Please briefly describe how you would manage the financial aspects of the project.

Failure to establish robust financial management systems may result directly or indirectly in the Managing Authority reducing the amount of funding provided to your project.

European Structural Investment Funds is paid to Grant Recipients in arrears. Please explain how the project will manage its cash flow throughout the project's lifetime.

Payment in arrears – As you will have had to incur costs before you are able to claim them you must be able to demonstrate that you can meet the cash flow requirements of European Structural Investment Funds funding and that in accepting a Funding Agreement you are not putting your organisation at financial risk. Depending upon when expenditure takes place in the claim cycle it may take 5 months between you defraying expenditure and then receiving reimbursement from the European Structural Investment Funds programme.

How will you ensure that only eligible and defrayed expenditure is included in a claim to the Managing Authority?

Eligible defrayed expenditure - Will this be a manual task or will you have accounting systems able to recognise if costs have been defrayed? Who checks the eligibility of costs before they are incurred and before they are claimed and who signs these off.

If applicable, how will you ensure that delivery partners / financial beneficiaries engaged in the delivery of the project will comply with the requirements relating to defrayal of expenditure?

Delivery partners - Will there be for example, any induction or training? Will you test their systems or will this form part of a memorandum of understanding with them?

Describe the system used for filing and retrieving original invoices; explain how evidence of costs incurred will be checked and verified.

Filing and retrieving invoices - This is particularly important and may result in rejection if it's poorly articulated. Consider whether or not your original invoices are stored off-site and if so how you will access them in a timely way.

Please explain how the accounting software and systems used will be capable of maintaining separate records for the project and producing detailed reports to demonstrate where the

European Structural Investment Funds is being spent. If applicable, please describe how your partner's software / systems will manage project finances.

Accounting software - Can you provide the name of the software or state if it's an in-house system?

## 10.0 Compliance

European Structural and Investment Funds are regularly audited and may be subject to recovery where the compliance requirements have not been met. For this reason, many applicants choose to obtain their own independent advice from a law firm or suitable organisation to assist them to structure their project in line with the compliance requirements.

The responses given in this section should reflect the stage of development that the project is at. If this detail is yet to be determined then this is acceptable at Outline stage. However, you will need to describe what processes are in place and what steps are being undertaken to determine and put in place what is outstanding.

### Procurement Law

Is your organisation a "Contracting Authority" under the Public Contracts Regulations?

Yes or No or Don't know

If not or don't know, please set out the reason(s)/questions

Confirm that you have completed Annex 2b, listing all contracts that will be used to provide goods, works or services to the project and which have already been awarded prior to this application.

Yes or No

Confirm that you have completed Annex 2b, listing all the contracts that will need to be awarded to deliver the project but which have not been awarded prior to this application.

Yes or No

Describe the system that will be put in place to:

Test that the contracts listed in Annex 2a can demonstrate compliance with procurement law including, if not a Contracting Authority, compliance with European Union Treaty principles on openness, transparency and equal treatment (short of undertaking an Official Journal of the European Union process). See DCLG Procurement Guidance.

Plan the tender processes listed at Annex 2b to ensure that they comply with procurement law / European Union principles including:

- Advertising contract opportunities to the market; and
- Evaluating bids in an open transparent and non-discriminatory manner.

Ensure that all relevant documents are retained with a view to providing relevant information in the event of an audit or other investigation.

Procurement -The Managing Authority's procurement requirements must be followed when selecting the suppliers of goods and services funded by European Structural Investment Funds.

Please note that it is anticipated that procurement guidance will be available on [www.gov.uk](http://www.gov.uk) from mid-May – you may need to return to this part of the application form when this guidance is available. If however the closing date of the call is before this guidance is available, you should still complete this section using the information below. Procurement errors are one of the main reasons why European Structural Investment Funds expenditure may be ineligible. It is vital that European Union procurement regulations are fully met at all stages of the tender process. European Structural Investment Funds operates within an audit and verification framework that places particular emphasis on full compliance with European Union regulations.

Providing evidence of previous compliant procurement and the time taken to implement new compliant procurement have historically been found to be significant causes of delay in projects. In some cases, this has led to expenditure being deemed ineligible and/or caused projects to fall significantly behind their plan. This in turn can have adverse impact on their ability to achieve key milestones and even to secure other time-dependant funding.

Using the templates provided in Annex 2a of the Application Form, list any items of expenditure already procured and explain how you have adequate evidence to show that this procurement activity is compliant.

Where new procurement is to be undertaken, complete the information in Table 2b in the annex. It is important to include the time required to manage the procurement process. This should be reflected in the Project Schedule.

## State Aid Law

Please list all the known organisations which may benefit from the funding of the project.

For each potential beneficiary (including the applicant and any delivery partners) identify whether they meet the State Aid test.

- If you believe any potential beneficiary is outside of the scope of State Aid, please provide the reasons.
- Applicants may wish to refer to the European Commission's "Notion of State Aid" guidance and the Department for Communities and Local Government's European Regional Development Fund guidance on State Aid Law available at <https://www.gov.uk/government/publications/european-structural-and-investment-funds-project-requirements-and-publicity-materials>
- For each beneficiary that the applicant regards as being in receipt of State Aid, explain which exemption they will be using to provide the aid in accordance with State Aid Law (for notified schemes outside the General Block Exemption Regulation the answer should include the full name of the scheme and the Commission reference number).
- Where a State Aid exemption is applied, describe the system in place to collect relevant documentation to demonstrate compliance and to meet the annual reporting requirements.

## State Aid

Applicants must ensure that projects comply with the law on state aid. Article 107(1) of the Treaty

on the Functioning of the European Union provides that: "Save as otherwise provided in the Treaties, any aid granted by a Member State or through state resources in any form whatsoever which distorts or threatens to distort competition by favouring certain undertakings or the production of certain goods shall, in so far as it affects trade between Member States, be incompatible with the internal market." Grant funding to any economic undertaking which is state aid can only be awarded if it is compatible aid, in that it complies with the terms of a notified scheme or is covered by the De Minimis Regulation. Guidance for grant recipients, explaining more about state aid, is available at <https://www.gov.uk/government/publications/european-structural-and-investment-funds-project-requirements-and-publicity-materials> It is important that applicants take responsibility for understanding the importance of the state aid rules and securing their full compliance with them throughout the project, if it is selected into the Programme.

You should assess the state aid implications for yourself as well as for other beneficiaries of the project. At this stage of the application process, only brief conclusions are required.

Briefly describe:

- Why it would be permissible within the State Aid Regulations for the applicant to receive European Structural Investment Funds at the levels requested.
- Why any payments to third parties (delivery-partners, beneficiaries, contractors) would be permissible within the State Aid regulations.
- The systems that will be established to manage any State Aid requirements.

State Aid errors can lead to European Structural Investment Funds expenditure being deemed to be ineligible. It is vital that European Union State Aid Regulations are fully met at all stages of the project. European Structural Investment Funds operates within an audit and verification framework that places particular emphasis on compliance with European Union regulations.

## Publicity

Please explain how the project will meet the European Structural Investment Funds Publicity Requirements.

The project must comply with the European Commission's publicity requirements and national European Structural Investment Funds requirements with effect from the project's Start Date. Please explain how you, any delivery partners and any existing or proposed sub-contractors will ensure compliance with the publicity rules.

Set out how, and when, you propose to publicise the project throughout its lifetime. For example, through events, social media and other methods. Further information about the national publicity requirements is appended as an annex to this document.

In addition, where the UK Government is a funding partner the 'Funded by UK Government' logo must also be used. This is available, with guidance for its use, from [marketing@communities.gsi.gov.uk](mailto:marketing@communities.gsi.gov.uk).

## 11.0 Confidential Information

Please insert here any information that you wish to keep confidential from the Local Enterprise

Partnership Area European Structural Investment Funds Committee and explain the reason why. Please note that the Managing Authority as a public body is bound by the Freedom of Information Act and may have to disclose information if requested.

Please remember that your Outline Application and the Managing Authority's Assessment will be provided to the members of the Local Enterprise Partnership Area European Structural and Investment Fund Committee who will then use both documents to form a view when advising the Managing Authority on whether the proposal meets a local need and should proceed to the Full Application stage. Members will need sufficient detail to come to this view. However, it is recognised that there may be some information which you would not wish to be shared with the Local Enterprise Partnership Area European Structural and Investment Fund Committee. This information should be provided in this box and the Managing Authority will not automatically share this with members. However, you should note that the Managing Authority as a public body is bound by legislation in the Freedom of Information Act and therefore may be forced to disclose this information unless it is able to legitimately refuse such a request on the grounds of one the exemptions.

**Where you chose to use this box you should make it clear which field the information relates to and explains the reason why you think it should be withheld.**

## Annex 1

### Annexe 1a Financial Tables

<b>Funding Profile</b>	<p><b>Category of Region</b></p> <p>The allocation of European Union funding must take into account 3 categories of region that are defined by the European Union. In England these allocations are split geographically:</p> <table border="1" data-bbox="252 427 1497 1077"> <tr> <td data-bbox="252 427 432 712"> <b>Less Developed</b> </td> <td data-bbox="437 427 1497 712"> <p>Gross Domestic Product per capita is less than 75% of the European Union average. Cornwall and the Isles of Scilly is the only region in England in this category which means the European Commission can contribute a larger percentage of spend (intervention rate). The intervention rate (the amount of project costs that can be funded by European Regional Development Fund or European Social Fund) is up to 80%.</p> </td> </tr> <tr> <td data-bbox="252 719 432 936"> <b>Transition</b> </td> <td data-bbox="437 719 1497 936"> <p>Gross Domestic Product per capita of between 75% and 90% of the European Union average. This category covers Cumbria, Tees Valley and Durham, Lancashire, Lincolnshire, East Yorkshire and North Lincolnshire, Shropshire and Staffordshire, Merseyside, South Yorkshire and Devon. The intervention rate is up to 60%.</p> </td> </tr> <tr> <td data-bbox="252 943 432 1077"> <b>More developed</b> </td> <td data-bbox="437 943 1497 1077"> <p>Gross Domestic Product per capita is above 90% of European Union average. The remainder of England falls into this category. The intervention rate is up to 50%.</p> </td> </tr> </table> <p>For European Regional Development Fund projects - if you believe your project will <b>cater for beneficiaries from more than one Category of Region</b>, please estimate the percentage of expenditure that will be drawn from each Category of Region. If you believe the activity will only serve beneficiaries from one Category of Region please state which and note as 100%.</p> <p>For European Social Fund projects - if you intend to <b>deliver the activity in more than one Category of Region</b> please estimate the percentage of expenditure that will take place in each Category of Region. If you believe the activity will only be delivered in one Category of Region please state which and note as 100%.</p>	<b>Less Developed</b>	<p>Gross Domestic Product per capita is less than 75% of the European Union average. Cornwall and the Isles of Scilly is the only region in England in this category which means the European Commission can contribute a larger percentage of spend (intervention rate). The intervention rate (the amount of project costs that can be funded by European Regional Development Fund or European Social Fund) is up to 80%.</p>	<b>Transition</b>	<p>Gross Domestic Product per capita of between 75% and 90% of the European Union average. This category covers Cumbria, Tees Valley and Durham, Lancashire, Lincolnshire, East Yorkshire and North Lincolnshire, Shropshire and Staffordshire, Merseyside, South Yorkshire and Devon. The intervention rate is up to 60%.</p>	<b>More developed</b>	<p>Gross Domestic Product per capita is above 90% of European Union average. The remainder of England falls into this category. The intervention rate is up to 50%.</p>
<b>Less Developed</b>	<p>Gross Domestic Product per capita is less than 75% of the European Union average. Cornwall and the Isles of Scilly is the only region in England in this category which means the European Commission can contribute a larger percentage of spend (intervention rate). The intervention rate (the amount of project costs that can be funded by European Regional Development Fund or European Social Fund) is up to 80%.</p>						
<b>Transition</b>	<p>Gross Domestic Product per capita of between 75% and 90% of the European Union average. This category covers Cumbria, Tees Valley and Durham, Lancashire, Lincolnshire, East Yorkshire and North Lincolnshire, Shropshire and Staffordshire, Merseyside, South Yorkshire and Devon. The intervention rate is up to 60%.</p>						
<b>More developed</b>	<p>Gross Domestic Product per capita is above 90% of European Union average. The remainder of England falls into this category. The intervention rate is up to 50%.</p>						
	<p><b>Priority Axis</b></p> <p>Details of the Priority Axes can be found in the Operational Programmes for the European Regional Development Fund and European Social Fund and the Call specification to which you are responding will state which of these Priority Axes are in scope. Please estimate the percentage of expenditure that will be drawn from each Priority Axis. If you believe the activity will only be funded under one Priority Axis please state which and note as 100%.</p> <p><b>Please note, the calls launched in March 2015 are restricted to a single Priority Axis.</b></p>						
	<p><b>Local Enterprise Partnership Areas</b></p> <p>If you are responding to a multi-Local Enterprise Partnership area call:</p> <ul style="list-style-type: none"> <li>• For European Regional Development Fund projects please estimate the</li> </ul>						

	<p>percentage of expenditure that relates to beneficiaries from each Local Enterprise Partnership area in scope of the call</p> <ul style="list-style-type: none"> <li>• For European Social Fund projects please estimate the percentage of expenditure that will take place in each Local Enterprise Partnership area in scope of the call.</li> </ul> <p>For a single Local Enterprise Partnership call, please insert the Local Enterprise Partnership area covered by the call and insert 100%</p>
	<p><b>Thematic Objectives</b></p> <p><b>For European Regional Development Fund applications</b> - you do not need to complete the Thematic Objectives fields on the online application form financial tables.</p> <p><b>For European Social Fund projects only</b> - please estimate the percentage of expenditure that will be drawn from each Thematic Objective. If you believe the activity will only be funded under one Thematic Objective, please state which and note as 100%.</p> <p>The Thematic Objectives are set out in the Operational Programme. Each has a number of “Investment Priorities” below it and these map across to the Thematic Objectives as set out below.</p> <p>Thematic Objective European Social Fund08 – promoting sustainability and quality employment and supporting labour mobility Investment Priorities: European Social Fund 1.1 – access to employment for job-seekers and inactive people European Social Fund 1.2 – sustainable integration of young people European Social Fund 1.3 – Youth Employment Initiative</p> <p>Thematic Objective European Social Fund09 – promoting social inclusion/combating poverty and discrimination Investment Priorities: European Social Fund 1.4 – active inclusion European Social Fund 1.5 – Community Led Local Development</p> <p>Thematic Objective European Social Fund10 – Investing in education/training and vocational training for skills and lifelong learning Investment Priorities: European Social Fund 2.1 – enhancing equal access to lifelong learning European Social Fund 2.2 – improving the labour market relevance of education and training systems</p>
	<p><b>Investment Priorities</b></p> <p>The European Regional Development Fund and European Social Fund Operational Programmes identify a number of “Investment Priorities” under each Priority Axis. Details can be found in the Operational Programmes but the call specification will outline those that are in scope for the call to which you are responding. Please estimate the percentage of expenditure that will be drawn from each Investment Priority. If you believe the activity will only be funded under one Investment Priority please state which</p>

	and note as 100%.
	<p><b>Funding Breakdown</b></p> <p>Explanations of the differences between public and private and sector match funding and of in-kind funding are set out in the Eligibility guidance.</p> <p>Please provide an estimate of the:</p> <ul style="list-style-type: none"> <li>• breakdown of European Regional Development Fund or European Social Fund funding over the duration of the project.</li> <li>• Public and Private sector funding and whether this is in cash or in kind</li> </ul> <p>For the European Regional Development Fund, the funding profile should be broken down into capital and revenue; all European Social Fund funding is revenue.</p> <p>For project seeking support from the Youth Employment Initiative as well as European Social Fund please provide a breakdown of the profile of the Youth Employment Initiative funding.</p> <p>This funding profile should be based upon the expenditure profile and the figures for each year should balance. The purpose of this table is to explain how you will fund the expenditure incurred in each period <b>it is not a cash flow</b>.</p>
<p><b>Costs Profile</b></p>	<p>Please insert the cost categories relevant to the project and estimate the expenditure under each cost category. For the European Regional Development Fund, the categories are:</p> <p>Capital</p> <ul style="list-style-type: none"> <li>• Building acquisition</li> <li>• Building &amp; construction</li> <li>• Equipment</li> <li>• Plant &amp; machinery</li> <li>• Premises</li> <li>• Fees</li> <li>• Land acquisition</li> <li>• Other capital</li> </ul> <p>Revenue</p> <ul style="list-style-type: none"> <li>• Consultancy</li> <li>• Marketing</li> <li>• Office Costs</li> <li>• Overheads</li> <li>• Professional fees</li> <li>• Rent</li> <li>• Salaries</li> <li>• Other revenue</li> </ul> <p>For the European Social Fund and Youth Employment Initiative the cost categories are revenue only:</p> <ul style="list-style-type: none"> <li>• Consultancy</li> </ul>

	<ul style="list-style-type: none"> <li>• Marketing</li> <li>• Office costs</li> <li>• Overheads</li> <li>• Professional fees</li> <li>• Rents</li> <li>• Salaries</li> <li>• Other staff costs</li> <li>• Participant costs</li> <li>• Depreciation</li> <li>• Other direct costs</li> </ul>
<b>Funding profile</b>	<p>Explanations of the differences between public and private and sector match funding and of in-kind funding are set out in the Eligibility guidance. Please set out:</p> <ul style="list-style-type: none"> <li>• Which organisations are providing match funding identified in the funding profile section. If the applicant is providing the funding please state “applicant’s own funds”.</li> <li>• Whether this contribution is in cash or in kind.</li> <li>• Whether the organisation is within the public or private sector</li> </ul> <p>For projects that involve the clients/beneficiaries providing some or all of the match funding please state “clients/beneficiaries” it is not necessary for you to know who they will be.</p> <p>The amount of funding each funder will contribute in each year. NB this is the amount that will be used to meet the costs incurred in each year, it is not a cash flow.</p> <p>For the European Regional Development Fund, this should be broken down into capital and revenue funding.</p>

1b - Delivery Partners			
<b>What other organisations will be involved in delivering the project?</b>	<i>Complete sections below for each partner (multiple sections required)</i>		
<b>Name of partner organisation</b>			
<b>Status of organisation</b>			
<b>Company/charity registration number (where applicable)</b>			
<b>Contact person</b>			
<b>Position in organisation</b>			
<b>Email</b>			
<b>Telephone number</b>			
<b>Address</b>		<b>Postcode</b>	
<b>Role in European Structural Investment Funds project delivery</b>			
<b>Contribution to match funding</b>			
<b>Relationship to lead applicant</b>			
<b>Is a contract in place between the applicant and the Delivery Partner(s)?</b>	<b>YES/NO</b>	<b>If not yet in place, when will it be completed?</b>	
<p>You should complete this information for every Delivery partner and consider in your response the definition of delivery partners provided earlier in this guidance.</p>			

Procurement Law: procured contracts		
<p>Please provide in the table below, details of any procurement already undertaken, or to be done in the future, that will be used to source works, goods or services that will be funded as part of the project. If in the future, enter the anticipated start date.</p>		
<b>Procurement ID</b>	Description of works, supplies or services procured or to be procured under the contract	
	Name of supplier	

	Ref #	
	Date of contract / purchase	
	Date procurement started / is expected to start	
	Supplies, services or works	(Drop down list)
	Total value of contract	
	Anticipated value of works, supplies or services which will be provided to the project under the contract.	
	Procurement method	
	How will / has the contract been advertised?	
	All relevant procurement records will need to be made available to demonstrate compliance in the event of an audit or other investigation. What processes will / have been established to ensure all records are held by your organisation?	
What evidence can you provide that processes me, or will meet, the public procurement requirements? Include details of how the tender opportunities were, or will be advertised.		
It is anticipated that procurement guidance will be available on gov.uk from mid May. and you may need to review this section of the application form when the guidance is available. If however the closing date of the call is before this guidance is available, you should still complete this section.		

## 12. Declaration & Signature

I declare that I have the authority to represent [*insert name of organisation*] in making this application.

I understand that acceptance of this Outline Application does not in any way signify that the project is eligible for European Structural Investment Funds support or that European Structural Investment Funds has been approved towards it.

On behalf of [*insert name of organisation*] and having carried out full and proper inquiry, I confirm to the Department:

- [*insert name of organisation*] has the legal authority to carry out the project; and
- That the information provided in this application is accurate.

I confirm to the Department:

- I have informed all persons in relation to whom I have provided personal information of the details of the personal information I have provided to you and of the purposes for which this

information will be used and that I have the consent of the individuals concerned to pass this information to you for these purposes.

- That I shall inform the Department if, prior to any European Structural Investment Funds being legally committed to *[name of organisation]*, I become aware of any further information which might reasonably be considered as material to the Department in deciding whether to fund the application.
- Match funding will be in place prior to any award of European Structural Investment Funds.
- I am aware that if the information given in this application turns out to be false or misleading Department for Communities & Local Government (DCLG, for the European Regional Development Fund) and the Department for Work and Pensions (DWP, for the European Social Fund) may demand the repayment of funding and/or terminate a funding agreement pertaining to this Application.

I confirm that I am aware that checks can be made to the relevant authorities to verify this declaration and any person who knowingly or recklessly makes any false statement for the purpose of obtaining grant or for the purpose of assisting any person to obtain grant is liable to be prosecuted. A false or misleading statement will also mean that approval may be revoked and any grant may be withheld or recovered with interest.

**NB I am aware that if the Applicant commences project activity, or enters any legal contracts or makes any binding commitments, including the ordering or purchasing of any equipment or services before both the formal approval of the project and the execution of the European Structural Investment Funds Funding Agreement, any related expenditure is incurred at the Applicant's own risk may not be compliant with European Structural Investment Funds funding requirements, could be ineligible for support and may render the entire project ineligible for support.**

Signed For and on behalf of the Applicant Organisation	_____ <b>will be done electronically</b> _____		
Name (Print)			
Position		Date	

**The following annexes provide more detailed guidance to support your applications:**

Annex A: Eligibility rules guidance

Annex B: Selection criteria guidance

Annex C: Publicity requirements

Annex D: Cross Cutting Themes guidance

## Annex A – Eligibility Rules Guidance

### Eligibility Rules

1. As well as meeting national selection criteria, the applicant must make sure their proposed project is eligible for funding under the relevant European regulations and national eligibility rules. If an approved project does not comply with the rules and regulations, financial penalties up to the total value of the grant awarded may be imposed.
2. In broad terms the Eligibility Rules for the European Regional Development Fund covers:
  - Who can apply
  - Location of project
  - Match funding
  - Project start date
  - Eligible activities
  - Simplified costs
  - Capital operations
  - Revenue operations
3. Read the full European Regional Development Fund Eligibility Rules at <https://www.gov.uk/government/publications/european-structural-and-investment-funds-assessment-documents>.
4. In broad terms the Eligibility Rules for the European Social Fund covers:
  - Location
  - Date for expenditure
  - Match funding
  - Participants
  - Costs
5. Read Full European Social Fund Eligibility Rules at <https://www.gov.uk/government/publications/european-structural-and-investment-funds-assessment-documents>

## **Who is eligible to apply for European Regional Development Fund or European Social Fund funding?**

6. A wide range of organisations in the public, private and voluntary sector may apply for funding, provided they are legally constituted and can demonstrate the necessary financial capacity and expertise required to fulfil the legal requirements of the funding agreement.
7. Potential applicant organisations include, but are not limited to:
  - Local Authorities;
  - Statutory and non-statutory public funded organisations/bodies;
  - Higher and Further Education Institutions;
  - Voluntary/community organisations;
  - Private sector companies;
  - Registered charities;
  - Not for Profit organisations.
8. Whether from the public or private sector, most applicants will be operating as an undertaking and therefore any grant funding from Departments and/or through state resources, will have the character of state aid. Guidance on State Aid is available as part of the wider suite of information on the Funds

## **European Regional Development Fund and European Social Fund applicant partners**

9. Projects may be delivered by consortiums and/or partnerships comprising of a lead partner and delivery partners.
10. The consortium's lead partner will be the applicant for investment. The lead partner shall be legally responsible to the Managing Authority for the delivery, monitoring and compliance of the entire project (whether delivered by themselves or through delivery partners). Therefore in bringing a consortium bid, the lead partner must take appropriate steps to ensure that the delivery partners have the necessary resources and expertise to deliver their elements of the project in line with all rules and regulations governing the use of funds and that appropriate reporting structures are in place. This must be clearly set out in their application for funding.
11. Each delivery partner will be required to execute a legally binding agreement with the lead partner setting out their involvement in the project. As with the applicant, the delivery partners are not able to receive any profit for delivering the project. Only the actual costs (based upon auditable expenditure) may be claimed. The lead partner is responsible for collecting information to demonstrate that the resources applied by the delivery partner are the minimum necessary to provide the service. Care should be taken to ensure that the involvement of any delivery partners is compliant with the Guidance on Public Procurement Law.

## European Regional Development Fund and European Social Fund match funding

12. The European Regional Development Fund contributes finances only for a specified percentage of the total eligible project costs (co-financing rate). The remaining match funding must be identified and secured by the applicant during the application process and be available to enable the project to be delivered as set out in the funding agreement. This is also the case for the 30% of European Social Fund funding that is not being made available through European Social Fund Opt-in arrangements.
13. The European Regional Development Fund and the European Social Fund do not generally pay all the eligible costs for a project. The funds will be awarded at an appropriate intervention rate depending on the location of the project. In most areas the European Regional Development Fund contribution is not more than 50% except for Cornwall and the Isles of Scilly (a less developed area – 80%) and the 9 transition areas in England (60%). The applicant can provide the remaining costs either through its own resources or through other funding regimes.
14. Before a full European Regional Development Fund or European Social Fund application can be approved by the Managing Authority there must be sound evidence that the match funding has been identified and will be made available to the project to enable it to be delivered as described in the application. The match funding cannot include any other type of European funding.
15. **Public sector match funding** can be provided by an organisation which directly or indirectly receives over 50% of its main funding from central or local government. This does not include payment for work carried out by private enterprises for the public sector. To decide if an organisation can supply public match funding, the relevant team in the Managing Authority will consider its previous financial year's receipts, excluding any European Union funding, and the income forecast for the following year, again excluding any European money. If over 50% of the net amount (after deductions) comes from central or local government sources, they are able to provide public match funding for European Regional Development Fund and European Social Fund-supported projects.
16. Non-profit making organisations, whether incorporated or unincorporated, that are registered with the Charity Commission can supply public match funding. The registration must be maintained throughout the period of the project. Public match funding can also be provided by private bodies designated or controlled by the State.
17. **Private sector match funding** is eligible provided it is included in the financial tables in the Operational Programme. This information will be clearly set out in the call for proposals. Contributions from companies can be included in the funding package, provided these will contribute towards the total eligible costs of the project and would not constitute income to a project.
18. Private match funds are defined as any money originating from private enterprise, including:
  - Public limited companies;
  - Private limited companies;

- Partnerships which have no shareholders;
  - Small and medium enterprises
  - Social enterprises;
  - Co-operatives;
  - Self-employed people; and
  - Individual investors.
19. All match funding, public and private, must be spent and evidenced in accordance with the requirements. Where match funds are not cash based they must be eligible to support the project. This may be the case with match for European Social Fund projects which must meet the eligibility requirements for the European Social Fund programme. The requirements for accounting for private sector match funding in Financial Instruments are different. Further guidance is in Financial Instruments Requirements which will be available soon.
20. Public funds cannot be used to match funds from the European Agricultural Fund for Rural Development Programme.

### **Voluntary Contribution in-kind match/Volunteer time match funding**

21. Contributions in kind are ineligible as match funding for European Regional Development Fund projects, except for the donation of land or buildings. The use of volunteers' time as match is not allowed.
22. Exceptionally, volunteer time may be considered as match funding for European Social Fund projects. The use of volunteer time is seen as a high risk area where historically applicants have struggled to meet audit and compliance requirements resulting in the repayment of funds. Therefore any proposal to use volunteer time will be subject to an assessment by the Managing Authority to ensure the applicant has the capacity and capability to satisfactorily deliver this aspect.

### **European Social Fund Opt-In Organisation [and National Offender Management Service Co-financing Organisation] arrangements**

23. Around 70% of European Social Fund funding is made available through Opt-In organisations. In these cases European Social Fund funding is available to applicants through open procurement with match funding supplied by the Opt In organisation through other eligible contracts. [Each Opt-In does not operate in all Local Enterprise Partnership areas.]

# Annex B - Guidance notes to the Selection Criteria

## General Note

1. The Managing Authority will apply these criteria in a fair and transparent way that endeavours to promote those activities that make the greatest contribution to the priorities set out in the Operational Programmes. The principle of partnership working is fundamental to the implementation of the programme and is written into the Operational Programme. This means that the Managing Authority will take advice from the local European Structural and Investment Fund committees on local economic growth conditions and opportunities within the context of Operational Programmes and the local European Structural and Investment Funds Strategy to aid its assessment at outline and full application stage.
2. The Managing Authorities will use qualitative and quantitative approaches in assessing against the selection criteria. Where calls are likely to be oversubscribed (e.g. European Social Fund Open calls) a scoring system will be used to enable project applications to be ranked to reflect the available funds. The managing authorities will set out any such approach so that the process is transparent, equitable and consistent.
3. Further guidance will be published to explain how the selection criteria will be applied in the case of the Sustainable Urban Development initiative and for Community Led Local Development.

## Core Selection Criteria

### Strategic Fit

4. The Operational Programme sets out the details of the priorities and includes outputs and expected results against which the programme will be measured. Activities will need to contribute to the output targets and expected results. The Growth Programme Board monitors progress towards the programme's strategic objectives. It may advise on changes that are needed in the light of implementation and external socio-economic factors.
5. Applicants will need to become familiar with the details of the priority axes in the Operational Programme. Any proposal must meet the aims set out in the Operational Programme and contribute to the relevant priority axis as specified in the call. Each priority axis has specific conditions related to it and the application will be assessed against these specific criteria. For example there are conditions on smart specialisation, business incubator units, and broadband infrastructure . If the proposed activity does not contribute to priorities set out in the Operational Programme, it will be rejected, regardless of other aspects of the application.
6. The proposed project must add value to and not duplicate existing national provision and must not conflict with national policy. This includes consideration of the following:
  - The proposed project does not duplicate or undermine existing business support services operating nationally or locally. Proposals for the enhancement of the Business

Growth Service must be consistent with the scope of that service (in terms of activity to be delivered and small and medium sized enterprise eligibility criteria). Proposals for the enhancement of UKTI trade services must: deliver clear added value beyond the core UKTI trade offer which is being delivered locally; be complementary and additional to existing UKTI trade services; and, demonstrate how they link to and work with UKTI trade services.

- Business support related projects should be aligned with local business support services and accessible through the local Growth Hub where one exists, or from the point at which a growth hub is launched.
  - In the case of innovation projects, the project is complementary and additional to existing Innovate UK programmes. The project does not duplicate or undermine existing Innovate UK programmes, except where these are themselves recognised innovation interventions currently used by a range of providers – for example Innovation Vouchers. The project will deliver clear added value beyond the core Innovate UK offer which is being delivered locally.
7. In addition, each call will specify which aspects of the Operational Programme proposals will be tested against, for example a priority axis, to meet specific local growth needs. Local growth needs are set out in the Local Enterprise Partnership area European Structural and Investment Funds strategy. The call will normally describe how proposed activities might contribute to the outcomes of the relevant priority axis aligned to local development needs.
  8. The Managing Authority will assess the application against these local development needs and any specific conditions within the call. In forming a view, the Managing Authority will take advice from local partners through the local sub-committee on local economic growth conditions and opportunities within the context of Operational Programmes and the local European Structural and Investment Funds Strategy to aid its assessment at outline and full application stage. If the proposed activity does not meet the requirements set out in the call, then it will not be selected into the programme at this stage.

## **Value for Money**

9. The key message is that the activity should provide good value for taxpayers' money. Although this is European money, it is also recycled UK taxpayers' money – and no public body should be funding activities that a UK body would not fund because it did not represent good value for money.
10. The first element in the criteria is about whether the activity and the related European funding delivers some additional value – over and above what would have been delivered in the absence of the funding or different activity. This could be more activity or a larger activity, more in-depth or more wide-spread activity. This concept of additionality is fundamental to European funding programmes. The funds are not intended to fund activities that would have taken place in the absence of European funding. Included in this aspect is an assessment of the need for public intervention. More detail can be found in the Eligibility Rules.
11. The second element is the assessment for value for money which involves judgement by the appraiser about costs, outputs, local conditions and broader strategic needs. Every

project must show how it will make a difference, including how it will contribute to the expected results in the programme. At the level of operations, this will mainly be expressed in outputs (for European Regional Development Fund) or outputs and results (for European Social Fund) and these must match the requirements of the Operational Programme. There are no fixed benchmarks for outputs at the level of an individual operation. In European Regional Development Fund it might be the case that an operation delivers limited outputs, or in exceptional circumstances limited outputs but has a wider strategic impact in terms of the expected results, or unlocks the potential for other economic activity, while another operation produces many outputs but has less of a strategic impact.

12. Depending on the degree of technical expertise required, for example a renewable energy operation, a very technical innovation activity or a financial instrument, the Managing Authority will draw on the advice of relevant independent experts to aid the assessment and appraisal of the proposed activity.
13. The appraiser will take all these factors into account in determining whether the activity should progress and at the same time provide a risk assessment of the proposed operation.

### **Management and Control**

14. The Managing Authority will assess 'appropriate expertise' by reference to the quality of the application and the extent to which it demonstrates an understanding of the issues.
15. The Managing Authority will consider the track record of the organisation in managing projects with European funding. A poor track record of irregularities will be taken into account at the outline assessment stage. This does not necessarily exclude the application but it will be taken into consideration, insofar as it is relevant, in deciding whether to invite the applicant to proceed to full application stage. It could also trigger a rise in the risk rating and the amount of additional checks that the Managing Authority conducts in the appraisal of the full application and in the contract management and monitoring of the activity.
16. Applicants who have a poor track record or where the Managing Authority has concerns about fraud or potential fraud will not be allowed to proceed unless significant evidence is provided that the circumstances that caused the concern have been completely removed. An excellent track record will be taken into account but an absence of any track record will not be held against an applicant.
17. Due diligence will include external reports (Dun and Bradstreet, Charity Commission etc.) and a review of three years of accounts to ensure that the applicant has sufficient capacity to manage the European Regional Development Fund and European Social Fund non Opt-In operations and repay grant in the event of claw back. Due diligence is not normally conducted on public sector organisations, Higher Education Institutions and Further Education Institutions.
18. Once the applicant organisation has demonstrated this for one application and the organisation is deemed to have the necessary experience and systems in place, this will be used as the basis for subsequent applications by the same applicant or in the case of larger organisations, the same business unit.

## **Deliverability**

19. The Managing Authority will take into account existing evidence from previous evaluations and experience of managing projects.
20. Risks will be assessed and where a proposal appears weak against any of the selection criteria, this will be fed into the overall risk assessment. A high risk rating does not automatically exclude a proposal from moving to funding agreement but it will be taken into account.
21. The European Regional Development Fund and European Social Fund finances only a specified percentage of the total eligible costs – the Co-financing Rate. The remaining match funding must be identified and secured by the applicant during the application process and be available to enable the project to be delivered as set out in the funding agreement.
22. The application must show that match funding is in place or provides evidence based assurances (Letters of intent or similar) that the match funding is likely to be available in good time.
23. In the assessment the Managing Authority will also look at the realism of the project including timescales and budget and compare this against similar activities to test whether the project is overly ambitious.
24. The activity may require the contribution of others, and where this is required the assessment will explore whether there is sufficient support or demand for the proposed activity.

## **Compliance**

### **Public Procurement**

25. Many projects purchase goods, works and services from providers as part of their project. Contracting authorities tendering contracts for goods, works or services at above-threshold values will of course be obliged under European law as transposed into UK law to comply with the public procurement rules. However, non-contracting authorities (charities, private sector companies and so on) must have regard to the Commission's interpretative communication on contract awards which are not fully subject to the procurement rules<sup>1</sup>. They should take into account the principles of openness, transparency and equal treatment established by the European Court of Justice and ensure that contracts are publicised in a way that will allow contractors from other Member States to be aware of the opportunity, and select competitors in a fair and transparent way: at the very least, advertising an opportunity on the grant recipient's website will aid compliance, unless exceptional circumstances apply. The Department's guidance, to be published shortly to take account of the new Regulations transposing the most recent European Directives on the subject, will provide more information on these issues.

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<sup>1</sup> Commission Interpretative Communication on the Community law applicable to contract awards not or not fully subject to the provisions of the Public Procurement Directives Brussels, 23.6.2006 COM  
**ESIF Outline Application and Guidance (Logasnet Version)**  
ESIF-Form-2-001, Version 2  
Date published 17 April 2015

26. Procurements will be subject to rigorous audits and management verifications to confirm that the process followed complies with Public Procurement Law and the principles of openness, fairness and transparency held by the European Court of Justice to derive from the Treaty on the Functioning of the European Union.
27. Applicants are strongly encouraged to become familiar with the guidance on Procurement Law and obtain independent legal advice.
28. As a minimum a compliant process will need demonstrate the following;
  - testing of the market to enable interested parties to apply
  - transparent and non-discriminatory bidding and selection processes
  - impartial assessment of bids against set criteria
  - selection of the winning bid on merit
29. All projects will be required to retain a full audit trail to support the process followed. The consequence of non compliance is a potential financial correction, in line with European Commission Guidance of anywhere between 5% and 100%.
30. Further information of Procurement Law will be published in due course.

## **State Aid**

31. Applicants must ensure that projects comply with the law on state aid. \* Grant funding to any economic undertaking which is state aid can only be awarded if it is compatible aid, in that it complies with the terms of a notified scheme (or a scheme advertised and complying with an exemption in the General Block Exemption Regulation<sup>2</sup>), or is covered by the De Minimis Regulation<sup>3</sup>. Guidance for grant recipients, explaining more about state aid, is available; it is important that applicants take responsibility for understanding the importance of the state aid rules and securing their full compliance with them throughout the project, if it is selected into the Programme.
32. If projects are complex, and/or likely to breach the terms, including the intervention rates and/or thresholds specified in a relevant General Block Exemption Regulation scheme, they should actively consider taking specialist legal advice to ensure that they are fully aware of the consequences of the choices they make in developing a project. Aid which is found not to be compatible will be withdrawn in its entirety. Like procurement, state aid is audited with rigour by the Audit Authority and the Commission, at all key stages of the Programme.
33. Article 107(1) of the Treaty on the Functioning of the European Union provides that: “Save as otherwise provided in the Treaties, any aid granted by a Member State or through state resources in any form whatsoever which distorts or threatens to distort competition by favouring certain undertakings or the production of certain goods shall, in so far as it affects trade between Member States, be incompatible with the internal market.”

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<sup>2</sup> Commission Regulation (EU) No. 651/2014

<sup>3</sup> Commission Regulation (EU) No. 1407/2013

## Publicity

34. European Union regulations relating to the European Regional Development Fund and the European Social Fund set out mandatory requirements relating to publicising the fact that funds are being used. This includes, for example, requirements to use the European Union emblem together with a reference to the Union and the Fund supporting the operation, both on electronic communications and, in some circumstances, placing a bill board on the sites of projects where infrastructure or construction projects are being financed.
35. Read the full Branding and Publicity Requirements, access the Programme logos and useful publicity templates.
36. Where the UK Government is a funding partner the 'Funded by UK Government' logo must also be used. This is available, with guidance for its use, from [marketing@communities.gsi.gov.uk](mailto:marketing@communities.gsi.gov.uk).

## National Eligibility Rules

37. National Eligibility Rules are part of the legal basis for the implementation of projects co-financed by European funding. All projects must comply strictly with the eligibility rules. Failure to do so can lead to financial penalties being imposed of up to 100% of the grant. The appraisal will test whether the proposed activity and expenditure is eligible.

## Assessment on Compliance

38. Failure of any of these aspects will mean that some or all of the funding related expenditure will be deemed as ineligible and will be clawed back. Lack of understanding of these issues will be taken into account in assessing whether the applicant passes the management and control test but, in general, projects that cannot demonstrate an appropriate understanding of compliance will not be eligible for funding.
39. The Managing Authority will provide guidance to applicants and this also provides additional information on what to consider in preparing an application including where relevant obtaining independent legal advice.

## Cross Cutting Themes (Horizontal Principles)

40. Cross cutting themes of Gender Equality and non-discrimination and Sustainable Development are important components in administering European funds, and will form part of the general assessment of compliance with the Operational Programme.
41. The applicant must have demonstrated that they have considered and embedded these cross cutting themes in their project and where possible strive to demonstrate best practice. Chapter 11 of each Operational Programme provides more information on what the Managing Authorities will take into account under these principles.

## Gender Equality and non-discrimination – for European Social Fund only

42. The project applicant will be expected to demonstrate in its application that it, and any subcontractors, will deliver their activities in-line with the Equality Act 2010 Public Sector Equality Duty.

43. The applicant will need to answer a series of questions contained in both the application form (and some additional European Social Fund –specific questions which will be listed in the full application form and related guidance).
44. Applicants will be expected to submit a suitable equal opportunities policy and implementation plan alongside their application. Guidance is provided to demonstrate the minimum requirements for the policy and plan at the full application stage.

### **Sustainable Development - for European Social Fund only**

45. The project will need to answer a series of sustainable development –related questions set out in the application form (and some additional European Social Fund specific questions which will be listed in the full application form and related guidance).
46. In addition, European Social Fund applicants will be expected to submit a suitable sustainable development policy and implementation plan alongside their full application. Guidance is provided to demonstrate the minimum requirements for the policy and plan at the full application stage.

# Annex C: Publicity Requirements

- The table below shows the specific publicity activity that you must comply with for European Regional Development Fund and European Social Fund funded activity as part of the European Structural Investment Funds Growth Programme.

	European Regional Development Fund	European Social Fund
Plaques	✓ **	
Billboards	✓ **	
Posters	✓ *	✓
Print and Publications	✓	✓
Electronic Materials	✓	✓
Media and PR Activity	✓	✓
Events, Conferences, Seminars and Workshops	✓	✓
Informing Beneficiaries / Participants	✓	✓
Description of Activity on Website (List of Operations)	✓	✓
Evidencing Publicity Activities	✓	✓

\*For European Regional Development Fund projects where the total public contribution is €500,000 or less

\*\*For European Regional Development Fund projects where the total public contribution is more than €500,000

The total public contribution is the total contribution from all public sources.

## Plaques

- European Regional Development Fund projects are required to put up a permanent plaque in a location readily visible to the general public, no later than three months after completion of the project. This is applicable where the total public contribution to the project exceeds €500,000 and the project consists in the purchase of a physical object or in the financing of infrastructure or of construction projects.
- Plaques should be of a significant size (at least 300mm x 300mm) and include a space reserved for the European Regional Development Fund Logo as acknowledgement of the role played by the fund in part-financing the project.

## Billboards

4. Billboards must be erected on the sites of projects where infrastructure or construction projects are being financed by the European Regional Development Fund and the total public contribution to the project exceeds €500,000.
5. A billboard must be erected at the start of the works. Billboards should be sited to maximise the opportunities for it/them to be seen by the public and include a space reserved for the European Regional Development Fund Logo as acknowledgement.
6. When the project is completed, the billboard should be replaced by a permanent plaque no later than 3 months of project completion.

## Posters

7. Beneficiaries of European Structural Investment Funds funding that are not required to display a plaque or billboard (see 3.1 and 3.2 above) **must** display at least one poster with information about the project, including the financial support from the Union, at a location readily visible to the public, such as the entrance area of a building.
8. Beneficiaries include, but are not restricted to:
  - All European Social Fund (and match) providers and their subcontractors delivering the project, who must display at least one poster at their main delivery locations. A main delivery location is defined as “the most commonly attended location by participants at each European Social Fund provider (and each of their sub-contractors)” during the lifetime of the project. For each project, providing the criteria set out in this guidance are met, the content of the poster can be the same irrespective of the posters’ location or whether it is displayed by a provider or sub-contractor.
  - European Regional Development Fund projects where the total public contribution to the project is less than €500,000
  - Any other beneficiary not covered by the bullets above or the billboard/plaque requirements in sections 3.1 and 3.2 (see the full Publicity Requirements)
9. The poster must be at least A3 size (portrait or landscape).
10. Poster templates are available but projects can develop their own designs so long as European Commission regulations are met.

## Print and Publications

11. All printed documents and publications produced by projects supported by one or more of the funds must acknowledge and reference the funding received by displaying the correct Logo and ensuring it is visible in a prominent position. This extends to a variety of materials and documents including, but not restricted to:
  - General advertisements, job advertisements and notices;

- Leaflets, brochures, flyers and posters;
- Case studies;
- Exhibition banners and display panels;
- Invitations;
- Business cards;
- Promotional items;
- Newsletters;
- Stationery;
- Letterheads and compliment slips;
- Reports and papers;
- Project documentation - for example timesheets, induction material etc;
- Procurement material; and
- Job descriptions.

## **Electronic Materials**

12. All electronic materials produced by projects must acknowledge and reference the funding received by displaying the appropriate Logo. This extends to a variety of materials including, but not restricted to:

- Websites;
- E-Newsletters;
- Presentation slides;
- Press notices;
- Email footers and signatures;
- Audio visual material including films, video, DVDs, CD Roms; and
- Social media tools including Facebook, Twitter and SMS Messages.

13. The full colour version of the Logo must be placed on the beneficiaries' website (on the homepage and/or the project specific pages) and must be visible without requiring a user, upon landing on the page(s), to scroll down the page. This applies to the use of desktops, laptops and other digital devices.

14. During the implementation of a project, beneficiaries must provide on their website a short description of the project, including its aims and results, and highlighting the financial support from the European Union – including a reference to Youth Employment Initiative funding where used as part of European Social Fund funding.

## **Media and PR Activity**

15. All press releases relating to projects supported by European funding streams must include:
  - A text reference to the European programme support in the main body of the release;
  - The 'notes to editors' for the relevant funding stream; and
  - The Logo of the relevant funding stream
16. Please note that the European funding agreements for the project should be in place and completed before any media or PR activities are completed.
17. If a project is interviewed by the media (print, TV or radio), with the aim to produce a news story about funded activity, or produces a radio or TV advertisement to promote the project, reference should be made to the European funding stream support provided. A reference to Youth Employment Initiative funding should also be included where used as part of European Social Fund support.

# Annex D - Sustainable Development Policy and Implementation Plan

## Introduction

18. Sustainable development is a regulatory cross cutting theme for all Structural Fund programmes.
19. The UK Government is committed to sustainable development. The Government aims to stimulate economic growth and tackle the deficit, maximise wellbeing and protecting the environment, without negatively impacting on the ability of future generations to do the same.
20. This refreshed vision and commitment builds on the principles that underpinned the UK's 2005 Sustainable Development strategy, by recognising the needs of:
  - the economy;
  - society; and
  - the natural environment,
21. The European Social Fund England Operational Programme explains that the objectives of the European Social Fund programme will be pursued in line with the principle of sustainable development, including the aim of preserving and improving the quality of the environment as well as the need to prepare for expected changes to the environment and climate.
22. Sustainable development in the European Social Fund Programme has an environmental focus – to help provide some balance to the European Social Fund's strong social and economic focus (its main mission). The European Social Fund programme therefore welcomes applications from projects that have a strong environmental focus whilst also supporting either: jobs; skills; or social inclusion in a way that addresses local strategic needs. The programme also welcomes complementary training support for specialist sustainable development activities delivered by other programmes such as the European Regional Development Fund.
23. All projects, whether they have an environmental focus or not, must take the environment into account when delivering their services. The Operational Programme explains that Managing Authority and Opt-In organisations will require all programme providers to have sustainable development policies and implementation plans.
24. The purpose of the sustainable development policy is to provide a statement – a public commitment – to promoting sustainable development and to comply with relevant environmental legislation whilst delivering European Social Fund activities.
25. The purpose of the implementation plan will be to turn the above policy commitment into action.

26. **It should be noted that this regulatory theme is subject to monitoring, audit and evaluation.**
27. Your sustainable development policy and plan will undergo a basic initial assessment at application stage to ensure that a basic policy and plan exist and that the key elements of the policy and plan have been drafted. **Passing the basic initial assessment should not be considered as a full endorsement of the policy / plan.**
28. The policy and plan are working documents and developmental in nature and are therefore expected to be subject to continuous improvement. This means that the policy and plan may well need to be amended / improved / updated on an on-going basis should your application be approved. This will be discussed in the context of future contract management and monitoring of your project.

## **The basic requirements**

### **Sustainable development policy**

29. i) The provider's sustainable development policy should provide a firm commitment to promoting sustainable development whilst delivering the European Social Fund activity that is being funded and provides an assurance that any sub-contractors delivering European Social Fund activities will also support sustainable development. The plan should list sub contractors used / to be used (if known at application stage).
30. ii) The sustainable development policy statement should confirm that it will check that that each organisation involved in delivery of the contract (the provider and any sub-contractors) will: (a) dispose of its waste using a registered waste collector and (b) observe and comply with the Waste Electrical and Electronic Equipment regulations.
31. iii) The sustainable development policy should be specific to the European Social Fund contract being delivered and should include details of any sub-contractors involved in the delivery of the contract provided (where this is known).

### **Sustainable development implementation plan**

32. (iv) The sustainable development implementation plan should explain what specific action it will take to ensure that each organisation involved in delivery of the contract will:
- (a) minimise waste;
  - (b) minimise energy consumption;
  - (c) minimise use of travel and promote use of public or green transport where travel is unavoidable.
33. (v) The sustainable development implementation plan should include a commitment to researching and producing a simple 'baseline' estimate of its own environmental impact in terms of: waste minimisation; recycling; and energy consumption. The plans should also explain how this will be assessed for any other organisations helping to deliver the contract.

Having established the simple baselines, the plan should then explain how they will monitor reduced energy consumption, increased volumes of recycling and improvements in waste management (where required) against the original baseline. The aim of this exercise is to demonstrate that, as far as possible, efforts are being made to reduce waste, increased recycling and reduce energy consumption during the life of the project. **The baselines and subsequent measurements can be set in very simple terms** (e.g. number of toner cartridges used / volumes of paper consumed / electricity consumed etc). Some projects may prefer to use 'carbon usage' estimates – this will be a matter of choice for each project.

34. (vi) The sustainable development implementation plan should provide details of how staff and trainee awareness of sustainability will be increased / improved in order to support the policy and plan (for example , how with policy and plan be communicated? Will training be provided? will the projects have a 'switch it off' campaign, will public transport / green transport be promoted for staff and participants etc?).

## **Gender Equality and Equal Opportunities Policy and Implementation Plan**

### **Introduction**

35. All European Social Fund providers will be expected to have an equality policy and an implementation plan. The Managing Authority requires this in order to:
- (i) help embed 'due regard' to the Public Sector Equality Duty / Equality Act 2010 into programme delivery; and
  - (ii) help meet EU structural fund regulations to promote gender equality and equal opportunities.
36. It should be noted that European Social Fund-funded private and voluntary sector organisations, including sub-contractors, come under the scope of the Public Sector Equality Duty
37. The policy and implementation plan will not only help projects / providers meet regulatory requirement – but should also be used as a tool to help provide a quality service to participants.
38. The purpose of the equality policy is to provide a statement which acts as a public commitment to promoting equality in-line with the Public Sector Equality Duty ( Equality Act 2010). This commitment need to be put in writing and communicated to staff and participants and other service users.
39. The purpose of the implementation plan is to set out the action that will be taken by the providers and its staff to enable equality to be promoted in line with the Public Sector Equality Duty. The plan should be set out as an action-plan.
40. Background information on the Equality Act 2010 and the Public Sector Equality Duty is available from the EHRC website:
41. <http://www.equalityhumanrights.com/legal-and-policy/legislation/equality-act-2010>

42. Your equality policy and plan will undergo **an initial basic assessment** at application stage to ensure that a basic policy and plan exist and that the key elements of the policy and plan have been drafted. **Passing the basic assessment is not, in itself, a full endorsement of the policy / plan.** The policy and plan are working documents and are expected to be subject to **continuous improvement**. The policy and plan may well need to be amended / updated should your application be approved. This will be discussed in light of contract management and monitoring of your project.

## **The basic requirement for the equality policy and implementation plan**

43. Equality Policy:

- (i) **The equality policy has a clear title linking it to the project / provision.**
- (ii) **The policy has a clear general statement which recognises the importance of the Equality Act 2010 and the related Public Sector Equality Duty** and commits the organisation to have due regard to the need to the three aims of the general duty i.e:

- eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act;
- advance equality of opportunity between people who share a protected characteristic and those who do not;
- foster good relations between people who share a protected characteristic and those who do not.

### **To note:**

44. The Equality Act explains that having due regard for advancing equality involves:

- removing or minimising disadvantages suffered by people due to their protected characteristics;
- taking steps to meet the needs of people from protected groups where these are different from the needs of other people;
- encouraging people from protected groups to participate in public life or in **other activities where their participation is disproportionately low.**

45. The Equality Act states that meeting different needs includes taking steps to take account of disabled people's disabilities.

46. The Act describes fostering good relations as tackling prejudice and promoting understanding between people from different groups.

(iii) **The public commitment should be endorsed by the chief executive** ( or a similar senior figure within the organisation) – so, reflecting commitment from a high level within the organisation.

(iv) **There should be a clear revision history** – indicating when the plan was agreed and who approved it.

### **(v) scope:**

- The policy should cover the nine protected characteristics of the Equality Act 2010 i.e.: age; disability; gender reassignment; pregnancy and maternity; race; religion or

belief; sex and sexual orientation. Public authorities also need to have due regard to the need to eliminate unlawful discrimination against someone because of their marriage or civil partnership status.

- **The policy should cover staff and participants alike.**
- **The policy should cover the European Social Fund funded activity and explain how the provider will ensure that any sub-contractors will promote equality in line with legal requirements (if this is required). If action is required this should be reflected in the implementation plan.**
- The policy should give **a commitment to communicate to staff and participants** and suppliers as necessary.
- The policy should give **a commitment to monitoring of progress towards any key objectives – including monitoring representation and performance of different groups ( sex, race, disability, age).**

## **The Implementation Plan**

47. The implementation plan should set out how the project will turn its equality commitment into action.

48. The plan should cover:

### (i) staff

- how they will be trained in equality and diversity / how training will be reviewed
- annual monitoring of staff by characteristics – sex, race, disability, age ( with a view to identifying any significant under-representation)
- do staff have equality objectives in personal development and appraisal processes.

### (ii) participants

- how they will  
rn about importance of good relations

### (iii) performance

- how the  
the project has been running for a period of time)

### (iv) arrangements for reviewing the policy and implementation plan

The plan should be reviewed on a regular basis and in line with any contractual requirements set by the opt in organisation or Managing Authority.

### (v) Communication

How the policy and plan will be communicated to staff, participants and where necessary, other suppliers