



**Department
for Work &
Pensions**



European Union
European
Social Fund

2014 to 2020 European Structural and Investment Funds Growth Programme

Call for Proposals European Social Fund

Priority Axis 1: Inclusive Labour Markets

Managing Authority	Department for Work and Pensions (DWP)
ESI Fund	European Social Fund
Priority Axis:	Priority Axis 1 : Inclusive Labour Markets
Investment Priority:	1.2 Sustainable Integration of Young People into the Labour Market
Call Reference:	Careers and Employability Service for those at risk of becoming NEET - OC08S18P1196
LEP Area:	D2N2
Call Opens:	8th November 2018
Call Closes:	16th January 2019
Document Submission	Completed Applications must be submitted to ✉: 2014-2020.esfapplications@dwp.gsi.gov.uk

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1. Call Context

The 2014 to 2020 European Structural and Investment Funds (ESIF) bring the European Regional Development Fund (ERDF), European Social Fund (ESF) and part of the European Agricultural Fund for Rural Development (EAFRD) together into a single European Union (EU) Structural Investment Funds (ESIF) Growth Programme for England supporting the key growth priorities of innovation, research and development, support for Small and Medium Enterprises (SME), low carbon, skills, employment, and social inclusion.

European Structural and Investment Funds are managed by the Ministry of Housing, Communities and Local Government (ERDF), Department for Work and Pensions (ESF) and the Department for Environment Food and Rural Affairs (EAFRD). In London, the Greater London Authority acts as an Intermediate Body for the European Regional Development Fund and European Social Fund programmes. Unless stated otherwise, the term “Managing Authority” will apply to all these organisations. These Departments are the Managing Authorities for each Fund. The Managing Authorities work closely with local partners who provide:

- Practical advice and information to the Managing Authorities to assist in the preparation of local plans that contribute towards Operational Programme priorities and targets;
- Local intelligence to the Managing Authorities in the development of project calls (decided by the Managing Authorities) that reflect Operational Programme and local development needs as well as match funding opportunities;
- Advice on local economic growth conditions and opportunities within the context of Operational Programmes and the local ESIF Strategy to aid the Managing Authority’s appraisal.

This call is issued by the Department for Work and Pensions (DWP) to commission ESF Funded projects that will support the **Priority Axis 1 of the Operational Programme: Inclusive Labour Markets** and **Investment Priority: 1.2 Sustainable Integration into the Labour Market of Young People** as set out in the Operational Programme.

All applications will need to be eligible under the European Social Fund Operational Programme for England 2014 to 2020. The [ESF Operational Programme](#) is available for applicants to read.

This call for proposal sets out the requirements for any applicants to consider before applying. Applications against this call will be appraised as part of a one stage application process and successful applicants will enter into a funding agreement with the DWP. Further information is given in sections 4 to 10.

All ESF applicants will need to be aware of the requirement to collect and report data on all participants as per Annex 1 (see Appendix A). This will be as well as the requirement of reporting on output and result indicators referred to in section 3 of the call for proposal.

1.1 National Context

This priority axis aims to increase participation in the labour market and thereby improve social inclusion and mobility. The Operational Programme identifies the need to address high levels of youth unemployment in specific areas of England this will be delivered through the following Investment priority:

Investment priority 1.2 Sustainable integration into the labour market of young people (ESF), in particular those not in employment, education or training, including young people at risk of social exclusion and young people from marginalised communities, including through the implementation of the Youth Guarantee

ESF will not fund activity that duplicates or cuts across national policy on grants and loans for tuition for skills activities. Exemptions to this principle will be considered only where a local specific need and/or market failure has been demonstrated and where the activity falls within the scope of the Operational Programme.

Full details of what can and cannot be supported under this Investment Priority are set out in the Operational Programme. Details of the specific objectives have been reproduced below.

Specific Objective	Results that the Member States seek to achieve with Union support
To support the rise in the participation age by providing additional traineeship and apprenticeship opportunities	The additional support from this investment priority will help more young people enter traineeships and apprenticeships (in areas that do not qualify for the Youth Employment Initiative up to 2018) It will improve the quality of what is offered to individuals by improving recruitment and assessment and engagement with employers. By helping more young participants aged 15 to 24, male and female, who at risk of NEET, to take up traineeships or apprenticeships, we will improve movements into work.
To engage marginalised 15-18 year olds and support them to re-engage with education or training	The additional support from this investment priority will help to find and engage young people who are disconnected from mainstream activity in areas that do not qualify for the Youth Employment Initiative. Participants could, for example, be members of gangs, care leavers, young lone parents, ex-offenders or young people with learning difficulties. They are likely to require more intensive and tailored interventions. The main result that will be achieved is that more participants will be engaged with education or training on leaving, and this will be measured by the result target.
To address the basic skills needs of at risk of NEETS so that they	The additional support from this investment priority will help young at risk of NEETs (in areas that do not qualify for the Youth

<p>can compete effectively in the labour market;</p>	<p>Employment Initiative up to 2018) to acquire the basic skills necessary to enable them to progress into an apprenticeship, traineeship or other employment. The main result that will be achieved is that more participants will have gained basic skills. There is an output target for participants without basic skills and a result target for participants gaining basic skills.</p>
<p>To support young lone parents to overcome the barriers they face in participating in the labour market (including childcare).</p>	<p>The additional support from this investment priority will help young lone parents (in areas that do not qualify for the Youth Employment Initiative up to 2018) to move closer to and into sustainable employment (including self-employment). Support will include assistance with childcare when this has not been covered by public provision, such as Universal Credit. It will also help participants to overcome other barriers, such as low basic skills or lack of confidence. The main result that will be achieved is that more participants will move into sustainable employment (including self-employment). There is an output target for the number of lone parents.</p>

1.2 Local Development Need

Projects must deliver activity which directly contributes to the objectives of Priority Axis 1, Investment Priority 1.2 of the Operational Programme, and which meets the **local development need** expressed in the text and table below.

Call outline

The D2N2 LEP area covers the cities of Derby and Nottingham and the counties of Derbyshire and Nottinghamshire. It is one of the largest LEP areas in the country, with a population of 2.2 million, a Gross Value Added (GVA) of £45bn, a stock of some 72,000 businesses, and a workforce of almost 1 million people residing in a rich mix of urban and rural communities across 19 local authority areas.

D2N2 is one of the most important local economies in the country. It has, in absolute terms, the 4th largest population and the 5th largest workforce outside London. However, D2N2 has only the 9th largest economy.

Much of the area's GVA is generated in and around the two cities – Nottingham and Derby - which are also the main centres of population and employment, although a significant proportion (34%) of the area's economic value comes from outside the 2 cities. However, there is a marked gap between the most prosperous parts of the D2N2 area and those facing the biggest economic challenges which has built up

over many years because of uneven patterns of economic growth and industrial restructuring.

While the employment rate is relatively high, many of the jobs in the economy are low-skilled and low-paid. Some areas of the D2N2 LEP Area are starting from a much lower base than others - workplace earnings range from 118% of the England average in Derby, to 65% in Mansfield and the LEP Area is seeking to increase the number of jobs in higher paid occupations.

Young People Not in Employment Education or Training (NEET) in D2N2 LEP Area

The latest ONS data for 2016 highlights the number and proportion of young people who are classified as NEET across the D2N2 LEP Area, as per the table below:-

Area	Number of 16 -17 known to local authority	Total number NEET	Proportion NEET (inc not known)
Derby	5,430	460	8.4%
Derbyshire	15,830	610	3.9%
Nottingham	6,340	420	6.7%
Nottinghamshire	17,190	650	3.8%
Total	44,790	2,140	4.8%

The State of the Nation 2017: Social Mobility in Great Britain¹ also assesses the education, employability and housing prospects of young people living in England's 324 LA's. The index highlights where people from disadvantaged backgrounds are most and least likely to make social progress

This report shows that East Midlands is the worst region of the country for social mobility with half the local authority areas in the region are social mobility cold spots. D2N2 LEP Area has a high proportion of cold spots where social mobility is deemed an issue and the report identified the following areas as being social mobility priority areas:-

- Ashfield and Mansfield
- North East Derbyshire, Bolsover and Chesterfield
- Derby and Nottingham
- Erewash and South Derbyshire
- Newark and Sherwood

¹ *State of the Nation; Social Mobility Report 2017*

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/662744/State_of_the_Nation_2017_-_Social_Mobility_in_Great_Britain.pdf

In addition, in the D2N2 LEP Area the working age population will rise by just 1% between 2014 and 2039 and the current employment rate is relatively high.

Young people entering the labour market will have a very different experience of work to their parents, with estimates of up to 5 careers, and 17 jobs over a working lifetime. This emphasises the need to support those most at risk of not managing transitions successfully to have early interventions to develop their careers and employability skills to navigate a complex future careers landscape.

Employers are also beginning to experience real recruitment challenges across the D2N2 LEP Area. According to the latest Quarterly Economic Survey undertaken by the East Midlands Chamber employers are experiencing difficulties in recruiting at all skills levels.

D2N2 LEP Area Core Delivery Principles

The D2N2 LEP Area ESIF Sub-Committee has agreed and published a set of Core Delivery Principles that structure advice given to the Managing Authority on appraising the local strategic fit of applications. The Core Principles cover:-

- Impact and Scale
- Delivery Readiness
- Added Value
- Local Value
- Quality, Performance and Efficiency
- Strategic Partnerships and Co-ordination of Market Engagement
- Flexibility and Responsiveness

Applicants should also be able to demonstrate how they will operate effectively and respond to changing and emerging needs to deliver the D2N2 LEP Area ESIF Strategy.

Details of the D2N2 LEP Area ESF Strategy and Core Delivery Principles can be found at:

<http://www.d2n2ta.org/european-structural-and-investment-funds/d2n2-esif-strategy-core-delivery-principles/>

Technical Assistance

The D2N2 Local Enterprise Partnership and their partners can offer advisory support to potential applicants to inform development of their Full Applications, including awareness raising events and sharing of good practice.

For further background information visit the 'TA Support' page at <http://www.d2n2ta.org/>

Local Priorities:

Through this call, the ESF Managing Authority is seeking applicants who can provide a 'Careers and Employability Service' to work with senior managers in educational establishments to agree a programme of activity that delivers enhanced careers and employability support to young people aged 15 – 19 identified as at risk of becoming NEET.

The service should aim to support and develop career management skills in young people in the following ways:

- access to high-quality labour market information;
- effective engagement with employers to develop employability skills;
- careers advice that supports young people in making the best career and training decisions, with a particular focus on broadening the horizons of young people struggling with exclusion and social mobility.

The successful project(s) should support the following 4 key priorities for developing skills and knowledge, with a focus on those at risk of not making a successful transition into future education, training or employment opportunities:-

Skills Match & Pathways

Equipping school and college leavers to understand what skills will be required in the future workforce and motivating them to move up the skills escalator to more productive, better-paid jobs of the future.

Job Readiness

Enable young people at risk of becoming NEET to develop the knowledge, skills and experience to successfully enter the labour market – providing businesses with a stronger pool of motivated and ambitious indigenous talent.

Skilled and Adaptable Workforce

Enable the future workforce to up-skill and adapt to changes in technology (including digitalisation) through inculcating a personal commitment to lifelong learning.

Innovation Know-how

Providing careers advice and labour market information so young people can exploit opportunities within the emerging growth sectors of our future economy.

Activities

Suggested activities for the ESF Project could include:-

- engage in tailored enterprise and employability activities to develop the personal skills and competencies valued by local employers and provide clear progression pathways to apprenticeships, traineeships or employment with training;

- motivational experiences involving employers to encourage continued learning and skills development including activities designed to address the basic skills needs of young people so they can progress to traineeships, apprenticeships and employment with training;
- raise awareness of and provide mentored support for young people to access traineeships, apprenticeships and employment opportunities locally especially of apprenticeships including those at higher and degree level. This could involve the Young Apprenticeship Ambassadors Network to act as role models to enthuse and motivate young people to access the opportunities apprenticeships can provide;
- access good quality work experience and 'purposeful' employer interactions for participants to successfully progress to traineeships, apprenticeships and employment with training;
- providing enhancements to and supplementing existing local CEIAG activities (such as the Careers & Enterprise Company, Enterprise Adviser Network and NCS activities with educational institutions);
- providing support, information and advice to educational institutions in terms of curriculum planning to champion employability, careers and enterprise activities to enhance existing support for young people at risk of becoming NEET;
- promote co-ordinated employability programmes between educational institutes and training providers to support young people to access traineeship, apprenticeship and employment opportunities;
- provide incentives for educational institutions to provide targeted interventions to help young people develop enterprise and employability skills, to support progression to traineeships, apprenticeships and employment
- raise awareness of the further and higher education offer across D2N2 including higher apprenticeships and add value to existing provision in this area (DANCOP).

This list is not exhaustive and applicants are encouraged to explain the full range of activities they are aiming to deliver.

Engagement

Applicants will need to demonstrate how they will find innovative ways to positively engage with those who are at risk of becoming NEET to maximise their potential within the future workforce.

Applicants will also need to show how they will work with all educational establishments across D2N2 LEP Area in a planned and systematic manner which has real impact in reducing NEET levels by supporting learners to develop rigorous career management, enterprise and employability skills to enable them to make a positive post education transition into traineeships, apprenticeships, sustained employment and continued education. The table below shows the number and spread of secondary schools across the LEP Area.

Number of secondary schools across D2N2 LEP Area

Local Authority	Total number of schools (including special schools)	% of total
Derby	17	12.2%
Derbyshire	54	38.8%
Nottingham	21	15.1%
Nottinghamshire	47	33.8%
Total	139	

Applicants will also need to demonstrate how they will work innovatively with employers to develop ways of working which provide solutions to recruitment challenges and support young people's progression into continued education, traineeships, apprenticeships and sustained employment including self-employment.

Alignment

Applicants should explain how their proposed project will add value to, and not duplicate, the work of the current Careers and Enterprise Company, National Careers Service and other local youth engagement programmes to give educational establishments an added value model of careers and employability provision.

Geography

The aim of this call is to ensure that all of the D2N2 LEP Area is supported. Applicants should set out which geographical areas they will cover within the D2N2 LEP Area and, if they are not covering the whole LEP Area, how they intend to engage with other successful applicants to ensure full coverage and complementarity of services.

Consortia/Partnership Bids

Applications are encouraged from consortia or other similar types of partnership arrangements. In each such case the application must be submitted by a lead organisation on behalf of the partnership/consortia and the lead applicant must have the financial capacity to meet the required Due Diligence criteria

Partnerships/ consortia should be able to deliver holistic packages of support which will identify and address the barriers young people face in moving into work (e.g. confidence, lack of recent work experience, basic skills, job related skills, job seeking skills or other material barriers such as childcare, language or debt).

1.3 Scope of activity

This call invites Applications which support the delivery of Priority Axis 1, **Investment Priority 1.2 Sustainable Integration of Young People into the Labour Market** of the European Social Fund Operational Programme and

responds to the local development need set out in the D2N2 Local Enterprise Partnership Area European Structural and Investment Funds Strategy.

This call aims to address the identified shortfalls listed in section 1.2 Local Development Need above.

2. Call Requirements

All applications are competitive

Indicative Fund Allocation:	Indicatively, through this call the Managing Authority expects to allocate approximately £1m ESF . The Managing Authority reserves the right to increase or decrease the indicative allocation, or support more or fewer projects subject to the volume and quality of proposals received.
Minimum application level	European Social Fund investment is intended to make a significant impact on local growth. Applications are expected to demonstrate appropriate scale and impact. The Managing Authority does not intend to allocate less than £200,000 of European Social Funding to any single project . Applications requesting an ESF amount below the 'Minimum Application Level' will be rejected.
Duration of project	Projects should be for a maximum of 3 years and 6 months; however the Managing Authority reserves the right to vary the maximum duration in exceptional circumstances.
Geographical Scope	All interventions should be focused on activity and beneficiaries within the D2N2 Local Enterprise Partnership area.
Specific call requirements	This is a call for ESF activity.
Call Deadlines	For this specific call, applications will be appraised following closure of the call. Applications received after the published call close date will not be considered.
Application selection	All applications will be scored in line with the ESF scoring criteria, but the MA reserve the right to offer funding to projects where they complement other activity or provide niche activity to target groups within the ESF Operational Programme.
Applicant proposals	These can only contain activities which are eligible for ESF.

Eligible match funding	Applicants will need to have eligible match funding for the balance of costs, which must be from a source other than the European Union.
Operational completion	Operations must be completed no later than 3 years and 6 months after the proposed project start date.
Procurement	All procurement must be undertaken in line with EU regulations.
State Aid law	Applicants must demonstrate compliance with State Aid law.
Audit/ Compliance	All expenditure and activities will be subject to rigorous audit and non-compliance may lead to financial penalty.

ESF cannot be used to duplicate existing activities or activities that do not address market failure. ESF can only be used to achieve additional activity or bring forward activity more quickly. Applicants must be able to demonstrate that proposals are additional to activity that would have occurred anyway or enables activity to be brought forward and delivered more quickly than otherwise would be the case in response to opportunity or demand.

3. Deliverables required under this Call:

Applications will be expected to achieve the minimum indicative level of Programme Deliverables by contributing to the following Investment Priority. The definitions of which can be accessed at the [ESF Operational Programme](#).

Investment Priority	1.2 Sustainable Integration Of Young People Into The Labour Market
Specific Objectives	Sustainable integration into the labour market of young people (ESF), in particular those not in employment, education or training, including young people at risk of social exclusion and young people from marginalised communities, including through the implementation of the Youth Guarantee
Indicative Actions	<p>ESF will not support activities that duplicate or replace existing support within national programmes, but may be used to support additional activities or target groups, including provision co-designed with local partners.</p> <p>Examples of actions for all young people who are NEET or at risk of becoming NEET include:</p> <ul style="list-style-type: none"> • literacy, numeracy, ICT and employability provision to ensure that individuals have the basic skills needed in all jobs and to help them prepare for apprenticeships and progress through other routes to gaining higher skills; • support which complements other skills provision, such as crosscutting and 21st century skills, including team

	<p>working, effective communication, problem solving, critical thinking and self-direction;</p> <ul style="list-style-type: none"> • training and vocational qualifications to equip young people for specific jobs; • support for young women to enter non-traditional sectors (e.g. construction) which addresses barriers to entry e.g. to apply for apprenticeships; • community and informal learning to engage young people who have struggled at school and encourage them to access more formal learning; • intermediate labour market activity to provide a structured and supportive environment where young people can gain work experience; • using self-employment as a route out of worklessness, including providing advice and support for self-employment.
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Results Table

ID	Result Indicator	Minimum Target value for this call
R3	Participants gaining basic skills	4%
5	Participants (below 25 years of age) in employment, including self-employment, or education/ training upon leaving	43%
ESF-CR06	Participants in employment, including self-employment, 6 months after leaving	34%

Outputs table

ID	Output Indicator	Total Minimum target value for this call	Men minimum target value	Women minimum target value
O2	Participants (below 25 years of age) who are unemployed or inactive	1,448	796	652
ESF – CO03	Inactive	1448		
O5	Participants from ethnic minorities	130		

ESF - CO16	Participants with disabilities	159		
O6	Participants without basic skills	260		
ESF - CO14	Participants who live in a single adult household with dependent children	58		

Applicants will be required to demonstrate how they will achieve the deliverables within their proposal along with any methodology that will be used to record achievement. Applicants will also need to ensure robust systems are in place, and be able to describe them, to capture and record the targets and to report quantitative and qualitative performance across the D2N2 LEP area. All operations will be required to collect data and report progress against the deliverables with each claim. Where an operation underperforms against their deliverables they may be subject to a performance penalty.

There must be a fully evidenced audit trail for all contracted deliverables.

4. General Information

Essential information to support the drafting of an application and delivery of a successful ESF funded project is available at the [European Growth Funding](#) website pages.

4.1 Compliance and Eligibility

When developing an application, Applicants should refer to [guidance](#) on eligible Applicants, activities and costs. These are for guidance only and Applicants should take their own specialist advice if in doubt. It is the responsibility of the Applicant to ensure that the rules and guidance are adhered to both at application stage and following approval.

European Structural Investment Funds (ESIF) are governed by European regulations and national rules. Applicants are advised to familiarise themselves with the relevant documentation listed in the 'key documents' section prior to submitting an application. If successful, Applicants will enter into the standard Funding Agreement and must abide by the standard terms and conditions contained therein. Applicants are therefore strongly advised to read these terms and conditions to ensure that they would be able to enter into such an agreement prior to responding to the call. Once a Funding Agreement has been issued it should be signed and returned within a short timescale.

4.2 Intervention Rate & Match Funding

ESF is funding used where no other funding can be obtained (the funder of last resort) and the maximum ESF intervention rate for the operation is **50%**. This means

ESF can contribute up to 50% of the total eligible project costs, subject to State Aid regulations. The remaining **50%** or more must come from other eligible sources.

ESF is not paid in advance and expenditure must be defrayed prior to the submission of any claims. Applicants may be asked to demonstrate how they are able to cash flow the operation.

4.3 Applicants

Applicants must be legally constituted at the point of signing a Funding Agreement, and be able to enter into a legally binding Funding Agreement. The Applicant will be the organisation that, if the application is successful, enters into a contract for ESF and therefore carries the liability for ensuring that the terms of the ESF Funding Agreement are met by them and to all delivery partners. If there is more than one organisation applying for the funds, a lead organisation must be selected to become the Applicant. It is this organisation that carries the responsibility and liability for carrying out a compliant project.

The Managing Authority will consider the Applicant's track record, both positive and negative. If the Applicant has been involved in the delivery of previous European grants and any irregularities with this (these) grant(s) have been identified, the Managing Authority will look into these and expect to see how and what steps have been taken to ensure that these have been addressed to mitigate the risk of further irregularities in the future. It is acknowledged that some organisations will be new to ESIF funding and will not have a track record.

4.4 Cross Cutting Themes

All applications received under this Call should demonstrate how the Cross Cutting Themes have been addressed in the project design and development. Cross cutting themes for ESF are 'gender equality and equal opportunities' and 'sustainable development'.

For ESF, the project applicants will be required to deliver their services in-line with the Public Sector Equality Duty (as defined in the Equality Act 2010). All projects must have a gender and equal opportunities policy and implementation plan which will be submitted at full application stage and in-line with Managing Authority guidance. Project applicants will also be required to answer a number of ESF-specific equality questions which will be set out in both the full application form and the related guidance.

For ESF, all projects will also be required to submit a sustainable development policy and implementation plan (in-line with guidance produced by the Managing Authority).

The ESF programme particularly welcomes projects that have an environmental focus that can meet the strategic fit at local and programme level whilst also adding value by:

- supporting environmental sustainability; and/ or

- complementing the environmental thematic objectives of other programmes such as ERDF; and/or
- using the environment as a resource to help motivate disadvantaged people

Further information is available in the [ESF Operational Programme](#).

4.5 State Aid & Revenue Generation

Applicants are required, in the Application, to provide a view on how their proposal complies with State Aid law. Applicants must ensure that projects comply with the law on State Aid.² 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; 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.

The Managing Authority is not able to give legal advice on State Aid. It is the responsibility of the Applicant to ensure that the operation is State Aid compliant.

Where the Applicant does not perceive that there is any State Aid, it should state whether or not it considers Articles 61 and 65(8) of regulation 1303/2013 to apply. This revenue should be taken into account in calculating eligible expenditure. Article 61 refers to monitoring revenues generated after completion of the project, and Article 65(8) how to deal with differences in the forecast and actual revenues at the end of the operation.

4.6 Funding Agreement

The Funding Agreement is a standard, non-negotiable and legally binding document. Any successful Applicant will be subject to the terms and conditions contained within this agreement. Applicants are strongly advised to seek their own advice to ensure that they would be able to enter into and abide by the terms of the Funding Agreement.

Failure to meet any of the conditions of the agreement or the commitments within the application will result in claw back of funding.

Applicants should be aware that additional provisions and securities may be included within the Funding Agreement to protect the investment.

² 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."

4.7 Procurement

All costs delivered by the Grant Recipient (the applicant) and/or delivery partners must be delivered on an actual cost basis. Other costs must be procured in line with EU regulations. The most common error identified during audit has been failure to comply with relevant procurement regulations and crucially to maintain a full audit trail to prove that they have complied with the relevant regulation. Robust and transparent procurement is required to ensure that Grant Recipients:

- consider value for money;
- maximise efficient use of public money; and
- maintain competitiveness and fairness across the European Union.

It is recommended that applicants seek their own legal advice pertaining to their procurement and requirements to publicise any tendering opportunities.

The Managing Authority is not able to give legal advice on procurement. It is the responsibility of the applicant to ensure the project is compliant in this respect.

4.8 Retrospection

There will be no retrospection for applications made against this call.

5. Application Process & Prioritisation Methodology

This is a one-stage ESF application process - Full Application. Guidance is available on the [European Growth Funding](#) website pages. Acceptance of a Full Application does not in any way indicate or constitute an offer of European Social Fund grant. Applications will be subject to a Gateway Assessment undertaken by the Managing Authority under the following criteria:

- Applicant eligibility;
- Activity and expenditure eligibility; and
- The fit with the ESF OP and the call.

Proposals that pass the Gateway Assessment will move into the Core Assessment which consists of the following:

- Strategic fit;
- Value for money;
- Management & control;
- Deliverability;
- Procurement / tendering; and
- State Aid compliance.

The Managing Authority will seek advice from partners when considering applications to ensure its appraisal is informed by local economic growth conditions and opportunities within the context of Operational Programmes and the local ESIF Strategy. This will include the relevant LEP Area ESIF Committee and other partners deemed relevant to the application.

The appraisal and any prioritisation will be undertaken using only the information supplied as part of the application process. The Managing Authority cannot accept further detail outside this process.

Non-public sector Applicants may be subject to due financial diligence checks by the Managing Authority. Applicants will be required to submit accounts, and to clarify financial or other organisational information. New Applicant organisations may be required to provide details of a guarantor.

If, following the appraisal process, an applicant is not satisfied with the ESF funding decision for their project, they can submit an appeal in writing to the ESF Managing Authority.

6. Support

Please note that this is a competitive call and to preserve impartiality we are unable to enter into correspondence with applicants over their application. Details of where guidance can be found are contained throughout this calls document. In exceptional circumstances, if there are issues with accessing this guidance, please contact:

✉: esf.2014-2020@dwp.gsi.gov.uk

No applications are to be sent to this email address. Completed applications must be sent to the email address provided in Section 9 – Document submission.

7. Key Documents

- Full Application Form
- Application Form Guidance
- Financial Annex
- Indicator Annex
- Local Enterprise Partnership area's ESIF strategy; and
- National ESF Eligibility Rules.

8. Document Checklist

The appraisal will be undertaken on the basis of documentation received at the point of closure of the call. Applicants should provide the following documentation.

Full application Stage:

- Full Application

- Financial tables (if the application is against more than one Category of Region, a financial table for each Category of Region);
- Outputs, Results and Indicators tables (if the application is against more than one Category of Region, a Outputs, Results and Indicators table for each Category of Region);
- Visual representation of the customer journey is required (this could be a flow chart); and

To enable the Managing Authority to complete the required Financial Due Diligence checks (if private or voluntary and community sector), applicant to provide

- three years financial accounts
- Proof of existence - Certificate of Incorporation, Charities Registration , VAT Registration Certificate or alternate form of incorporation documentation;
- Proof of trading - Financial Accounts/Statements for the most recent two years of trading including, as a minimum, Profit and Loss Account and Balance Sheets;
- Completed Financial Viability and Risk Assessment Applicant Template (for applications requesting annualised funding of greater than £1m)

Failure to provide the above documentation could result in the application being rejected.

9. Document Submission

Completed Applications must be submitted to

✉: 2014-2020.esfapplications@dwp.gsi.gov.uk

10. Timescales

Launch of Call advertised on GOV.UK	8 th November 2018
Deadline for submission of Full Application	16 th January 2019

Application forms not received by the deadline will not be appraised. Applications which are not fully completed will be excluded.

For this call applications will normally be required to **commence delivery/activity within three months** of the award of contract.

Any changes related to the deadline for the submission of the Application form will be notified on the [European Growth Funding](#) website pages.

11. Appendix A – Common output indicators

Appendix A – extract from Annex 1 of the ESF regulation

Common output and result indicators for ESF investments

(1) Common output indicators for participants

"Participants" refers to persons benefiting directly from an ESF intervention who can be identified and asked for their characteristics, and for whom specific expenditure is earmarked. Other persons shall not be classified as participants. **All data shall be broken down by gender.**

The common output indicators for participants are:

unemployed, including long-term unemployed
long-term unemployed
inactive
Inactive, not in education or training
employed, including self-employed
below 25 years of age
above 54 years of age
above 54 years of age who are unemployed, including long-term unemployed, or inactive not in education or training
with primary (ISCED 1) or lower secondary education (ISCED 2)
with upper secondary (ISCED 3) or post-secondary education (ISCED 4)
with tertiary education (ISCED 5 to 8)
participants who live in jobless households
participants who live in jobless households with dependent children
participants who live in a single adult household with dependent children
ethnic minorities
Participants with disabilities
other disadvantaged
homeless or affected by housing exclusion
from rural areas

Common immediate result indicators for participants are:

inactive participants engaged in job searching upon leaving
participants in education/training upon leaving
participants gaining a qualification upon leaving
participants in employment, including self-employment, upon leaving
disadvantaged participants engaged in job searching, education/ training, gaining a qualification, in employment, including self-employment, upon leaving

Common longer-term result indicators for participants are:

participants in employment, including self-employment, six months after leaving
participants with an improved labour market situation six months after leaving
participants above 54 years of age in employment, including self-employment, six months after leaving
disadvantaged participants in employment, including self-employment, six months after leaving