



**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 2: Skills for Growth

Managing Authority	Department for Work and Pensions (DWP)
ESI Fund	European Social Fund
Priority Axis:	Priority Axis 2 : Skills for Growth
Investment Priority	2.1: Enhancing equal access to lifelong learning 2.2: Improving the labour market relevance of education and training systems
Call Reference:	Women in the Workforce – OC39S18P1169
LEP Area:	York, North Yorkshire & East Riding
Call Opens:	19 November 2018
Call Closes:	11 February 2019
Document Submission	Completed Full 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 assessments at outline and full application stage.

This call is issued by the Department for Work and Pensions (DWP) to commission ESF Funded projects that will support the Priority Axis 2 of the Operational Programme: Skills for Growth and Investment Priority: 2.1 Enhancing equal access to lifelong learning 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 proposals sets out the requirements for any applicants to consider before applying. Applications against this call will be assessed as part of a one stage appraisal process and successful applicants will enter into a funding agreement with the DWP. Further information is given in sections 4 to 10.

Applicants are advised to familiarise themselves with the detail of the Operational Programme, local European Structural and Investment Funds Strategy and the relevant documentation listed in sections 5 through to 8 **prior to** submitting a Full Application.

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 support skills for growth. It will support activities through:

Investment priority: 2.1 - Enhancing equal access to lifelong learning for all age groups in formal, non-formal and informal settings, upgrading the knowledge, skills and competences of the workforce, and promoting flexible learning pathways including through career guidance and validation of acquired competences; and

Investment priority: 2.2 – Improving the labour market relevance of education and training systems, facilitating the transition from education to work, and strengthening vocational education and training systems and their quality, including through mechanisms for skills anticipation, adaptation of curricula and the establishment and development of work based learning systems, including dual learning systems and apprenticeship schemes <https://www.businessinspiredgrowth.com/wp-content/uploads/2015/06/EUSIF-Strategic-Economic-Plan.pdf>

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 increase the skills levels of employed women to encourage progression in employment and help address the gender employment and wage gap.	The additional support from this investment priority will support women in raising the level of their skills, helping them to progress in employment or self-employment and achieve higher earnings. There is a result target about progression in work. This investment priority will also contribute to supporting business growth through the development of a more highly skilled workforce.
To promote improvements in the labour market relevance of skills provision through active engagement with relevant institutions and employers particularly SMEs and Micro Businesses	The additional support from this investment priority will enable the design of skills provision which will help individuals gain skills and qualifications relevant to the needs of the labour market

1.2 Local Development Need

Projects must deliver activity which directly contributes to the objectives of Priority Axis 2, Investment Priority 2.1 and Investment Priority 2.2 of the Operational

Programme, and which meets the **local development need** expressed in the text and table below.

Call outline

Women are represented the workforce in greater and greater numbers (the female employment rate in York, North Yorkshire & East Riding is 73.7% (ONS Annual Population Survey 2017) compared with 53% in 1971) and this is good news for the economy. More women are occupying senior positions in businesses and on boards (there are now 28% of women on FTSE 100 Boards compared with 12% in 2011) and women are more skilled than ever before (56% of university graduates are women).

However, evidence tells us that there are still inequalities in pay and opportunities between men and women (the median weekly pay for female full-time employees in April 2017 was £494 compared to £591 for male full time employees, and the median gender pay gap in April 2018 was 18.4%). Women are gaining the qualifications and skills required by industry but are not getting the jobs and opportunities commensurate with them.

Women are over represented in occupations historically linked with women (childcare, retail and cleaning) where wages tend to be low and opportunities for progression can be limited. In other occupations with higher skills requirements and higher average wages women are underrepresented e.g. in Science, Technology Engineering and Maths (STEM) related industries. The number of women graduating in core STEM subjects has grown from 22,020 in 2015/2016 to 22,340 in 2016/2017 (according to the WISE campaign report 'Core STEM Graduates 2017'). However, the percentage of women employed in these industries remains low (e.g. 11% of engineering workforce is female and 13% of people working in construction are women) with very little change over recent years.

In addition to this, women tend to occupy the lower ranking in businesses and are less likely to be promoted than men. The CMI 2016 National Salary Survey showed that men are 40% more likely than women to be promoted.

The York, North Yorkshire and East Riding LEP's [ESIF Strategy and Strategic Economic Plan](#) and [Strategic Economic Plan Update](#) set out the priorities for economic growth in the area. Its skills priority 'Inspired People' sets out a range of objectives and activities to ensure that growing businesses have a productive workforce, young people make the right education and job choices and unemployed people get the best chances to connect to sustainable jobs. However, these skills priorities overlay fundamental inequalities between men and women in the workforce and this call seeks to address these issues in order to redress the balance and support women to prosper in the local economy.

Local priorities

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. The lead applicant must ensure alignment with existing LEP projects and initiatives. The lead applicant

ESIF Call Template

ESIF-Form-2-001, Version 12

Date published: 19 November 2018

must provide monthly reporting and MI to the LEP as required and operate a steering group in partnership with the LEP.

	IP 2.2 Project	Detail
1	Gender Pay Gap Analysis & Action Plan	Support SMEs to calculate and analyse their gender pay gap & to create an action plan to address issues. Support SMEs to deliver an action plan, monitor progress and achieve success against measurable targets.
2	Organisational transformation to support women in the workforce	Support SMEs to understand how their 'business as usual' practices prevent women progressing in the workforce and create an action plan to mitigate them. Activity should align with existing best practice and use an evidence based approach to what works. Activity should enable businesses to look at a wide variety of factors which may affect female retention and progression including; <ul style="list-style-type: none"> • Recruitment practices • Impact of unconscious bias • Availability of and attitudes towards flexible and part time work • Values and culture that do not support female employees at all stages of their working lives • Availability of training packages that address issues
3	Sponsorship Programmes	Supporting SMEs to design, run and embed sponsorship programmes which link senior colleagues with junior female colleagues to champion their progression in the business. Support SMEs to link with other businesses to share best practice and provide peer support for sponsorship.
4	Women Returners 'Returnships'	Support SMEs to set up, run and embed initiatives to enable women who have taken a career break for caring responsibilities to return to work in a structured and supported way. The programme should reflect current best practice, include brush up skills or technical updating and result in women returning at the same level or higher than their previous role. The programme should be aimed at a variety of levels including senior levels and could explore other barriers to returning such as childcare.
5	Tackling gender stereotypes to increase women in senior roles	Work with SMEs singly or in groups to combat gender stereotyping in the workplace. Activity could include:

		<p>Working in sectors where there is a common gender imbalance to attract more women especially in senior positions (e.g. construction, STEM and digital industries)</p> <p>Working with businesses that have a concentration of women at lower pay grades but senior positions are skewed towards men to increase the number of women in senior positions. Action plans created to make lasting changes to business practices.</p>
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	IP 2.1 Project	Detail
1	Women leadership training	Tailored courses offered flexibly to enable women to gain the tools and confidence to progress in work to senior positions. Packages should include training in how to navigate the workplace confidently, combat existing structures, processes or behaviours that mitigate against women progressing and to strengthen leadership potential. May include coaching, mentoring and peer to peer support as well as individual or group training sessions.
2	Women Returners	Support women who have taken time out for caring responsibilities but are in lower paid or lower status jobs than the one they had prior to their career break to seek, prepare for and secure higher paid and more senior positions in the workforce. Activity may include practical support such as CV building, support to describe skills attained whilst on career break, brush up on technology skills, confidence building, negotiating skills and practice interviews.
3	Women Support Networks	Create support networks for working women and support existing networks to encourage women to grow their business. Peer mentoring groups set up to support women to progress at work. Link senior women in different organisations but geographically close to meet regularly for mutual support and share best practice. May include access to coaching, mentoring and sponsorship opportunities.
4	Aspiring Young Women	Work with women aged 19-30 to raise aspirations. Activity to focus on supporting young women to aim higher in their career aspirations. Support them to identify new opportunities and gain skills that will enable them to progress. Packages must be evidence based and properly evaluated.

5	Influencer training in schools, colleges & universities	Pilot of training package designed to interrupt and tackle unconscious bias; encourage young women and girls to be ambitious and aim for senior leadership positions particularly in non-gender specific careers. Targeted at teaching and support staff in schools, colleges and universities, this training should be evidence based and be linked to professional communities of practice.
6	Women Ambassadors	Create a sustainable network of senior women ambassadors to champion and encourage women onto Boards, Governing Bodies and leadership positions. Identify women leaders, bring them together to agree common purpose and offer training to achieve goals. Activity to include training and support for ambassadors and training delivered to Boards, Governing Bodies and Senior teams with less than 50% women represented.
7	Women Entrepreneurs	A targeted campaign to encourage women to set up in business and help in the early stages of a business. Focus support on women over 50 and those in rural areas.

Details of the local ESIF Strategy can be found at: [ESIF Strategy and Strategic Economic Plan](#)

1.3 Scope of activity

This call invites F Applications which support the delivery of Priority Axis 2, **Investment Priority 2.1 Enhancing equal access to lifelong learning** and Investment priority 2.2 of the European Social Fund Operational Programme and responds to the local development need set out in the York, North Yorkshire & East Riding 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:	<p>Indicatively, through this call the Managing Authority expects to allocate approximately £1,500,000 ESF split as follows.</p> <p>Investment Priority 2.1</p> <p>Approximately 25% - £250,000 allocated to the Transition Region</p> <p>Approximately 75%- £750,000 allocated to the More Developed Region</p> <p>Investment Priority 2.2</p> <p>Approximately 20% - £100,000 allocated to the Transition Region</p> <p>Approximately 80%- £400,000 allocated to the More Developed Region</p> <p>As a guideline for applicants the indicative amount of ESF funding per project is:-</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="text-align: center;">IP2.1</th> <th style="text-align: center;">Project</th> <th style="text-align: center;">Trans 25%</th> <th style="text-align: center;">MD 75%</th> <th style="text-align: center;">Total</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">1</td> <td>Women leadership training</td> <td style="text-align: right;">£125,000</td> <td style="text-align: right;">£375,000</td> <td style="text-align: right;">£500,000</td> </tr> <tr> <td style="text-align: center;">2</td> <td>Women Returners</td> <td style="text-align: right;">£25,000</td> <td style="text-align: right;">£75,000</td> <td style="text-align: right;">£100,000</td> </tr> <tr> <td style="text-align: center;">3</td> <td>Women Support Networks</td> <td style="text-align: right;">£12,500</td> <td style="text-align: right;">£37,500</td> <td style="text-align: right;">£50,000</td> </tr> <tr> <td style="text-align: center;">4</td> <td>Aspiring Young Women</td> <td style="text-align: right;">£25,000</td> <td style="text-align: right;">£75,000</td> <td style="text-align: right;">£100,000</td> </tr> <tr> <td style="text-align: center;">5</td> <td>Influencer training in schools, colleges & universities</td> <td style="text-align: right;">£25,000</td> <td style="text-align: right;">£75,000</td> <td style="text-align: right;">£100,000</td> </tr> <tr> <td style="text-align: center;">6</td> <td>Women Ambassadors</td> <td style="text-align: right;">£12,500</td> <td style="text-align: right;">£37,500</td> <td style="text-align: right;">£50,000</td> </tr> <tr> <td style="text-align: center;">7</td> <td>Women Entrepreneurs</td> <td style="text-align: right;">£25,000</td> <td style="text-align: right;">£75,000</td> <td style="text-align: right;">£100,000</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td style="text-align: right;">£1,000,000</td> </tr> </tbody> </table>	IP2.1	Project	Trans 25%	MD 75%	Total	1	Women leadership training	£125,000	£375,000	£500,000	2	Women Returners	£25,000	£75,000	£100,000	3	Women Support Networks	£12,500	£37,500	£50,000	4	Aspiring Young Women	£25,000	£75,000	£100,000	5	Influencer training in schools, colleges & universities	£25,000	£75,000	£100,000	6	Women Ambassadors	£12,500	£37,500	£50,000	7	Women Entrepreneurs	£25,000	£75,000	£100,000					£1,000,000
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	IP2.2	Project	Trans 20%	MD 80%	Total
	1	Gender Pay Gap Analysis & Action Plan	£10,000	£40,000	£50,000
	2	Organisational transformation to support women in the workforce	£60,000	£240,000	£300,000
	3	Sponsorship Programmes	£10,000	£40,000	£50,000
	4	Women Returners 'Returnships'	£10,000	£40,000	£50,000
	5	Tackling gender stereotypes to increase women in senior roles	£10,000	£40,000	£50,000
					£500,000
	<p>The Managing Authority reserves the right to decrease or increase the indicative allocation, or support more or fewer projects subject to the volume and quality of proposals received.</p>				
<p>Minimum application level</p>	<p>European Social Fund investment is intended to make a significant impact on local growth. Applications are expected to demonstrate appropriate scale and impact.</p> <p>The Managing Authority does not intend to allocate less than £150,000 of European Social Funding to any single project.</p> <p>Applications requesting an ESF amount below the 'Minimum Application Level' will be rejected</p> <p>The minimum project size for both ESF & match funding, is dependent on the intervention rate determined by CoR 60% Transition Region & 50% More Developed Region.</p> <p>As York, North Yorkshire & East Riding LEP area spans two CoR, Transition and More Developed applicants will need to provide separate financial and indicator tables with the appropriate intervention rates for each CoR.</p> <p>As the call spans two Investment Priorities, applicants will need to provide separate financial and indicator tables per Investment Priority.</p>				
<p>Duration of project approvals</p>	<p>Projects should be for a maximum of three years; however the Managing Authority reserves the right to vary the maximum duration in exceptional circumstances.</p>				

Geographical Scope	All interventions should be focused on activity and beneficiaries within the York, North Yorkshire & East Riding Local Enterprise Partnership area.
Specific call requirements	This is a call for ESF activity.
Call Deadlines	For this specific call, applications will be assessed 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 invite projects to full application stage where they complement other activity or provide niche activity to target groups within the OP.
Applicant proposals	These can only contain activities which are eligible for ESF.
Eligible match funding	<p>Applicants will need to have eligible match funding for the balance of costs, which must be from a source other than the European Union. At Full application stage the applicant will need to provide information to demonstrate that the operation is likely to have the required level of match funding in place at the point of formal approval.</p> <p>The intervention rate in the York, North Yorkshire & East Riding LEP Area is 50% in the More Developed areas and 60% in the Transition areas, so 50% of match funding must be provided in the More Developed areas and 40% of match funding must be provided in the Transition areas.</p>
Operational completion	Operations must be completed no later than 3 years and 6 months after the proposed 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.
Calls listing multiple activity	The applicant is required to list each activity they plan to deliver, supported by a clear breakdown of costs. Expected outputs and results per activity should be provided.

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	2.1 Enhancing equal access to lifelong learning
Specific Objectives	Enhancing equal access to lifelong learning for all age groups in formal, non-formal and informal settings, upgrading the knowledge, skills and competences of the workforce, and promoting flexible learning pathways including through career guidance and validation of acquired competences
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 activities that may be supported include:</p> <ul style="list-style-type: none"> • skills shortages or needs in particular sectors or local areas which are not currently being addressed by employers or individuals; • leadership and management training in Small and Medium size Enterprises (up to 250 employees); • training and support for people at all levels, in particular addressing the needs of disadvantaged groups in and out of the workplace; • access to learning; information about learning and skills; • brokering of opportunities between learners and employers.

2.1 Transition Results

ID	Result Indicator	Minimum Target value for this call
R3	Participants gaining basic skills	11%
R6	Participants gaining level 2 or below or a unit of a level 2 or below qualification (excluding basic skills)	25%
R7	Participants gaining level 3 or above or a unit of a level 3 or above qualification	8%
R8	Employed females gaining improved labour market status	35%

Results Table –

2.1 Transition Outputs

ID	Output Indicator	Total Minimum target value for this call	Men minimum target value	Women minimum target value
O1	Participants	302	0	302
O4	Participants over 50 years of age	76	-	-
O5	Participants from ethnic minorities	10	-	-
ESF - CO16	Participants with disabilities	18	-	-
ESF - CO14	Participants who live in a single adult household with dependent children	13	-	-
O6	Participants without basic skills	120	-	-

2.1 More Developed Results

ID	Result Indicator	Minimum Target value for this call
R3	Participants gaining basic skills	11%
R6	Participants gaining level 2 or below or a unit of a level 2 or below qualification (excluding basic skills)	25%
R7	Participants gaining level 3 or above or a unit of a level 3 or above qualification	8%
R8	Employed females gaining improved labour market status	35%

IP 2.1 More Developed Outputs

ID	Output Indicator	Total Minimum target value for this call	Men minimum target value	Women minimum target value
O1	Participants	1180	0	1180
O4	Participants over 50 years of age	347	-	-
O5	Participants from ethnic minorities	42	-	-
ESF - CO16	Participants with disabilities	88	-	-
ESF - CO14	Participants who live in a single adult household with dependent children	45	-	-
O6	Participants without basic skills	240	-	-

Results Table – 2.2 Transition

ID	Result Indicator	Minimum Target value for this call
R9	Small and Medium Enterprises successfully completing projects (which increase employer engagement; and/or the number of people progressing into or within skills provision)	75%

Outputs table – 2.2 Transition

ID	Output Indicator	Minimum Target value for this call
CO23	Number of supported micro, Small and Medium-sized Enterprises (including cooperative enterprises, enterprises of the social economy)	17
O1	Total number of participants	There is no target value for this call however applicants will be expected to provide a total number of participants the project is aiming to support in both the application and associated Indicators Annex.

Results Table – 2.2 More Developed

ID	Result Indicator	Minimum Target value for this call
R9	Small and Medium Enterprises successfully completing projects (which increase employer engagement; and/or the number of people progressing into or within skills provision).	75%

Outputs table – 2.2 More Developed

ID	Output Indicator	Minimum Target value for this call
CO23	Number of supported micro, Small and Medium-sized Enterprises (including cooperative enterprises, enterprises of the social economy)	80

ID	Output Indicator	Minimum Target value for this call
O1	Total number of participants	There is no target value for this call however applicants will be expected to provide a total number of participants the project is aiming to support in both the application and associated Indicators Annex.

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 York, North Yorkshire & East Riding 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.

In addition, applicants applying for ESF funds under I.P. 2.2 will be expected to complete a short annex, along with the standard application Full Application form. This is to ensure that full consideration is being given to the 'Value for Money' (VFM). The [Annex for ESF IP 2.2](#) funding calls can be located on the European Growth Funding website pages.

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.

ESIFs 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 a Full 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% in the More Developed area. 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. For the Transition area the maximum ESF intervention rate for the operation is 60%. This means ESF can contribute up to 60% of the total eligible project costs in the Transition area, subject to State Aid regulations. The remaining 40% or more must come from other eligible sources. For all outline applications, the applicant will need to provide information to demonstrate

that the operation is likely to have the required level of match funding in place at the point of formal approval.

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 Full 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.¹ 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. The details of this will be tested at the full application stage.

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. These will be further discussed if relevant following the Full Application stage.

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

¹ 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."

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.

5. Application Process & Prioritisation Methodology

Guidance is available on the [European Growth Funding](#) website pages. 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 Operational Programme 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 assessment 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 assessment 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 who are successful may be subject to due financial diligence checks by the Managing Authority, prior to submission of a Full Application. 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.

There is no appeal process for applicants whose Applications are rejected at Full Application stage, Full Application stage or for failing to satisfy the MA's Financial Due Diligence checks.

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
- Full Application Form Guidance
- Financial Annex
- Indicator Annex
- Local Enterprise Partnership area's ESIF strategy
- ESF Eligibility Rules
- Annex for ESF IP 2.2

8. Document Checklist

The assessment 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:

- fully completed Full Application (Section 2.7 and 2.8 are not applicable as this is a “one stage” application process);
- 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)
- [Annex for ESF IP 2.2](#)
- Visual representation of the customer journey is required (e.g. 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 Full Applications must be submitted to

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

10. Timescales

Launch of Call advertised on GOV.UK	19 November 2018
Deadline for submission of Application	11 February 2019

Application forms not received by the deadline will not be assessed. 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